

Examinations Policy 2024-25

Policy Details	
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1 Statement of Intent

Achieving success in public examinations is a key aim in raising the success rates for USP College students. The purpose of this policy is to ensure that the planning and administration of examinations is such that every student is offered the maximum opportunity to achieve success.

2 Introduction & Purpose

The purpose of this exam policy is to ensure:

- a. all aspects of the centre's exam process is documented, supporting the exams contingency plan, and other relevant exams-related policies, procedures and plans are signposted
- b. the workforce is well informed and supported
- c. all centre staff involved in the exams process clearly understand their roles and responsibilities
- d. all exams and assessments are conducted according to JCQ and awarding body regulations, guidance and instructions, thus maintaining the integrity and security of the exam/assessment system at all times
- e. exam candidates understand the exams process and what is expected of them

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

This policy will be communicated to all relevant centre staff.

3 Statutory Framework

3.1 Equality Act 2010

- a. All exam centre staff must ensure that they meet the requirements of the Equality Act 2010.
- b. The Equality Act (which replaced the Disability Discrimination Act 1995 along with other pieces of discriminative legislation) introduced measures aimed at eliminating the discrimination often faced by disabled people. The main provisions of the Equality Act (the Act) give protection to disabled people in the areas of employment and education.
- c. A person has a disability for the purposes of the Act if they have a physical or mental impairment that has a substantial and long-term adverse effect on their ability to carry out normal day-to-day activities.

3.2 Special Needs

The centre will meet the disability provisions under the Act by ensuring that the exams Centre is accessible and improving candidate experience. This is the responsibility of the Head of Additional Learning Support (or designated person).

4 Related Policies & Procedures

- a. Resit Procedure – Appendix 1
- b. Private Examination Candidate Procedure – Appendix 2
- c. Assessment Appeals Procedure – Appendix 3
- d. Enquiries About Results (EAR) & External Appeals Procedure – Appendix 4
- e. ID Policy – Appendix 5
- f. Word Processor Policy – Exams
- g. Non-Examination Assessment Policy
- h. Health & Safety Policy
- i. Disability Policy (Exams)
- j. Safeguarding Policy
- k. Contingency Plan - Exams
- l. Escalation Process – Appendix 6
- m. Conflict of Interest – Appendix 7
- n. Lockdown Policy
- o. Malpractice Policy (Exams) – Appendix 8
- p. Artificial Intelligence Policy
- q. Plagiarism Policy

5 Link to Exams Procedure

5.1 Qualifications Offered

- a. The qualifications offered at this centre are agreed by the Senior Management Team (SMT).
- b. The Exams Office will liaise with departments to confirm a list of qualifications being offered with associated awarding body for confirmation. Any amendments or changes to the schedule must be agreed by the Curriculum Planning Group.

5.2 Exams series

- a. Internal and external exams and assessments with variable dates are arranged in line with an agreed Assessment Pattern (for each academic year). This currently includes Association of Accounting Technicians (AAT), London Institute of Banking & Finance (LIBF), Pearson Functional Skills/BTEC/T Levels, Northern Council of Further Education (NCFE) and WJEC (for Criminology). General qualification set dates for A Level/GCSE are covered by AQA, Pearson, OCR and WJEC/Eduqas and are not flexible.
- b. All departments are to have an assessment pattern, details of which are agreed by the Senior Management Team (SMT).
- c. Any changes to the agreed Assessment Pattern must be notified in writing/emailed to the Exams Office giving at least 10 working days' notice in line with good practice (or longer if required by exam board regulations). If sufficient notice is not given, then the area will be responsible for the payment of invigilator costs.
- d. Controlled tests (low control) are invigilated by curriculum staff under specified external exam conditions. Medium/high control will be coordinated by the exams team.

5.3 Timetable

The Exams Officer will upload the exam timetable for external exams via the student portal. An all staff email is sent to advise when this has happened and will include the following information;

- a. Entries, entry details, and late entries
- b. Candidates are identified for their exam entries by the Curriculum Managers
- c. Entry deadlines
- d. Late entries which are authorised by Curriculum Managers/Directors

5.4 Exam Fees

- a. Candidates or Curriculum Areas will not be charged for changes of tier, withdrawals made by the proper procedures or alterations arising from administrative processes provided these are made within the time allowed by the awarding bodies.
- b. Exam fees are paid by the Centre. Late entry or amendment fees will be charged in accordance with the late entry / withdrawal process.
- c. Resit fees are charged in accordance with the Resit procedure (Appendix 1). All resit fees are to be paid by the student unless previously agreed with the exams office and/or the subject department.

5.5 Overseas Candidates

It is the responsibility of Management Information Systems (MIS) to identify overseas candidates and inform the Examinations Officer. The Examinations Officer will inform the Finance Team to arrange invoicing accordingly.

5.6 Contingency Planning

Contingency Planning for exams administration is the responsibility of the Exams Officer, with support from the Senior Management Team. See separate Exams Contingency Plan.

5.7 Private Candidates

Managing private candidates is the responsibility of the Exams Officer in accordance with the Private Examination Candidates Procedure (Appendix 2).

6 Exam Day Procedures

6.1 Exam Days

- a. The Exams Officer will book all exam rooms after liaison with other users and MIS and make question papers, other exam stationery and materials available for the invigilator.
- b. The Estates team are responsible for setting up the allocated rooms/halls.
- c. The invigilator will start all exams in accordance with JCQ guidelines.
- d. Curriculum Managers may be present up to 10 minutes before the start of the exam to assist with identification of candidates but must not have sight of the exam paper or advise on which questions or sections are to be attempted.

- e. CMs cannot delay start or finish of exams or impede invigilator's responsibilities.
- f. In practical exams subject teachers may be on hand in case of any technical difficulties.
- g. Exam papers must not be read by subject teachers or removed from the exam room before the end of a session. Papers will be distributed to CMs one day after the dated exam.

6.2 Absentees

Absentees are noted by CMs where applicable. Curriculum staff are expected to be outside the main rooms (up to 10 minutes before start of exam) to advise any known withdrawn or absent students to the supervising invigilator and note any missing students to action after the start of the exam. This is valid for all students in A Level, GCSE and BTEC examinations.

6.3 Access Arrangements

- a. Access arrangements allow candidates with specific needs such as special educational needs, disabilities or temporary injuries to access the assessment without changing the demands of the assessment. Access arrangements are reasonable adjustments which are agreed at the pre-assessment planning stage and is any action which helps to reduce the effect of a disability or difficulty which places the learner at a substantial disadvantage.
- b. The Head of Centre will ensure that a reasonable adjustment implemented by the centre on the behalf of a learner is based on firm evidence of a barrier to assessments and is line with JCQ rules and guidance.
- c. The access arrangements put in place reflects the 'normal way of working' for that learner in the centre.
- d. The Additional Learning Support (ALS) Manager will ensure that the candidate has an impairment which has a substantial and long term adverse effect giving rise to persistent and significant difficulties. The ALS Manager will determine the needs of candidates based on a current Educational Health & Care Plan (EHCP) or Individual Support Plan which confirms the candidate's disabilities. For learners without an EHCP, the appropriately qualified assessor's report will confirm standardised scores, which are significantly below average and confirm the candidate's persistent and significant difficulties.
- e. The ALS Manager will ensure that all documentation is completed and assessment processes undertaken in a rigorous fashion in accordance with JCQ regulations. Documentation will be held available for inspection by JCQ inspectors.
- f. Submitting completed access arrangement applications to the awarding bodies is the responsibility of the Exams Office.

6.4 Candidates

- a. The centre's published rules on acceptable dress, behaviour and candidates' use of mobile phones and other electronic devices apply at all times. Electronic devices, headphones/earpods, airpods, smart glasses, watches and mobile phones are not permitted in the exam room.
- b. Candidates' personal belongings remain their own responsibility and the centre accepts no liability for their loss or damage.
- c. Disruptive candidates are dealt with in accordance with JCQ guidelines. Candidates are expected to stay for the full exam time at the discretion of the Exams Officer or Senior Invigilator.
- d. Candidates may only leave the exam room for a genuine purpose and are required to return immediately to the exam room. They must be accompanied by a member of staff at all times.

6.5 Clash Candidates

For clash candidates, the supervision of candidates, identifying a secure venue and arranging overnight supervision is the responsibility of the Exams Officer.

6.6 Special Consideration

- a. Should a candidate be ill before an exam, suffer bereavement or other trauma, be taken ill during the exam itself or otherwise disadvantaged or disturbed during an exam, then it is the candidate's responsibility to alert the centre, the Exams Officer, or the Exam Invigilator, to that effect.
- b. The candidate must support any special consideration claim with appropriate evidence within three calendar days of the exam, for example by providing a letter from the candidate's doctor.
- c. The Exams Officer will then submit a special consideration request per subject to the relevant awarding body within seven working days of the exam session.

7 Internal Assessments and Appeals

7.1 Controlled assessments, coursework and non-examination assessments

- a. The Head of Centre will ensure appropriate controls are in place which allow accurate data to be submitted to the awarding bodies, eg internally assessed marks.
- b. Marks for all internally assessed work are submitted online to the awarding boards by the Curriculum Managers.
- c. It is the duty of Curriculum Managers to ensure that all internal assessment material is ready for dispatch at the correct time. The exams staff will assist by keeping a record of each dispatch, including the recipient details and the date and time sent, if appropriate.
- d. SMT should ensure teaching staff keep candidates' work, whether part of the moderation sample or not, secure and for the required period stated by JCQ and awarding bodies.

- e. Candidates' work should be returned to the student after the retention period, or disposed of according to the requirements.
- f. The Non-examination assessment policy covers GCE and GCSE qualifications which include NEA components.

7.2 Appeals against internal assessments

The process for managing appeals against internal assessments is available at Appendix 3 of the Exams Policy.

8 Results

Candidates will receive individual result slips on end of year results days, via e-mail. At other times, results will be available via subject tutors.

8.1 Enquiry About Results (EARs)

- a. EARs may be requested by centre staff or candidates if there are reasonable grounds for believing there has been an error in marking. The candidate's consent is required in writing before any EAR is requested.
- b. If the centre has concerns about one of its component/subject cohorts, then requests for reviews of marking should be submitted for all candidates believed to be affected (candidate consent is required as marks and subject grades may be lowered, confirmed or raised); the Exams Officer, teaching staff and Head of Centre will investigate the feasibility of asking for a review of marking at the Centre's expense.
- c. When the Centre does not support a candidate request for an EAR, the candidate may apply to have an enquiry carried out, but would be responsible for paying the fee (where applicable).
- d. Candidates may complete an internal appeals form where the centre does not support an appeal following a review outcome.

8.2 Access to Scripts (ATS)

- a. After the release of results, candidates may ask the exams office to request the return of papers (where applicable) - fee payable.
- b. Centre staff may also request scripts for investigation or for teaching purposes. The consent of candidates must be obtained, in writing.
- c. GCE/GCSE review of marking cannot be applied for once a script has been returned, unless a priority script has been requested.

8.3 Certificates

- a. Students will be notified when they can collect certificates from the college. They must advise the exams office prior to collection.
- b. Certificates can be posted to a student's home address for a nominal fee if requested.

- c. Certificates can be collected on behalf of a candidate by a third party, provided they have been authorised to do so. Prior notification must be given to the exams office, in writing or by e-mail from the student's personal e-mail address.
- d. Certificates that have been returned by the post office are held at the Centre for one year.
- e. Certificates that remain uncollected will be held at the centre for a period of one year, after which they may be destroyed. A record of destroyed certificates will be held by the centre.

9 Invigilators roles and responsibilities

- a. Examination invigilators include external staff.
- b. These invigilators can be used for internal and external assessments.
- c. Recruitment of invigilators is the responsibility of the Exams Officer and HR.
- d. Securing the necessary Disclosure and Barring Service (DBS) clearance for new invigilators is the responsibility of the Human Resource (HR) Department.
- e. DBS fees for securing such clearance are paid by the centre.
- f. Invigilators are timetabled and briefed by the Exams Office.
- g. Invigilator rates of pay are set by the Finance Department.
- h. Invigilators will record any incidents or irregularities on the exam room incident log which will be returned to the exams office.
- i. Invigilator training is provided by the exams office.

10 Malpractice and Maladministration

See Appendix 8.

11 Roles & Responsibilities

Exam Responsibilities

11.1 The Head of Centre (or nominated deputy)

- a. Is the individual who is accountable to the awarding bodies for ensuring that the centre is always compliant with the published JCQ regulations and awarding body requirements to ensure the security and integrity of the examination/assessment process. This individual must have the authority to deploy the necessary resources to ensure that the centre is always compliant in meeting the published JCQ regulations and awarding body requirements.
- b. The Head of Centre must ensure that Senior Leadership Teams and Exams Office personnel familiarise themselves with the entire contents of JCQ General Regulations for Approved Centres booklet, in particular sections 5.1, 5.3 and 5.4.
- c. The Head of Centre must ensure that relevant members of staff respond promptly to requests for information from awarding bodies relating to the administration and conduct of exams/assessments (General Regulations Section 1)
- d. Will ensure the location of the centre's secure storage facility is in a secure room which must only be used for the purpose of administering secure examination materials.
- e. Ensuring support is provided for the EO and invigilators when dealing with disruptive candidates in exam rooms.

- f. Ensures any cases of alleged, suspected or actual incidents of malpractice or maladministration are investigated and reported to the awarding body immediately.

11.2 The Examinations Officer

- a. Is the person appointed by the Head of Centre to act on behalf of, and be the main point of contact for the centre in matters relating to the general administration of awarding body examinations and assessments.
- b. Understands the contents of annually updated JCQ publications.
- c. Completes/submits the National Centre Number Register annual update by the end of October every year. Any changes will be advised immediately to the NCN.
- d. Advises the Senior Management Team, subject tutors and other relevant support staff of annual exam timetables and application procedures as set by the various awarding bodies.
- e. Oversees the production and distribution to staff and candidates of an annual calendar for all exams in which candidates will be involved and communicates regularly with staff concerning imminent deadlines and events.
- f. Ensures that candidates are informed of and understand those aspects of the exam timetable that will affect them.
- g. Provides and confirms detailed data on estimated entries, where applicable.
- h. Receives checks and stores securely all exam papers and completed scripts.
- i. Administers access arrangements and makes applications for special consideration using the JCQ Publication Access arrangements and Reasonable Adjustments.
- j. Identifies and manages exam timetable clashes.
- k. Accounts for income and expenditure relating to all exam costs/charges.
- l. Line manages the Deputy Examinations Officers in organising the recruitment, training and monitoring of a team of exams invigilators responsible for the conduct of exams.
- m. Works with the ALS Manager to ensure invigilators supervising access arrangement candidates and those acting as facilitator supporting access arrangement candidates fully understand the respective role and what is permissible in the exam room.
- n. Arranges for dissemination of exam results and certificates to candidates and forwards, in consultation with the CMs, any appeals/review of marking requests.
- o. Maintains systems and processes to support the timely entry of candidates for their exams.
- p. Makes arrangements to receive, check and store question papers and examination material safely and securely at all times and for as long as required in accordance with the current JCQ publication Instructions for Conducting Exams (ICE).
- q. Allows candidates access to relevant pre-release materials on, or as soon as possible after issue
- r. Arranges for the despatch of candidate exam scripts via the yellow label service, or the awarding body where qualifications sit outside the scope of this service, and keeps a record of of despatch.
- s. Arranges for invigilator training and issues an annually reviewed invigilator handbook to support regulation changes and centre-specific processes.
- t. Deploys invigilators effectively to exam rooms throughout an exam series.
- u. Arranges supervision for candidates with a timetable clash.
- v. Will accompany a JCQ Inspector throughout a visit to the centre

12 Teachers are responsible for:

- a. Notification of access arrangements requirements (as soon as possible after the start of the course) to the Additional Learning Support Department.
- b. Undertaking key tasks, as detailed in this policy, within the exams process and meet internal deadlines set by the EO and ALS Manager.
- c. Keeping updated with awarding body subject and teacher-specific information to confirm effective delivery of qualifications.
- d. Attending relevant awarding body training and update events.
- e. Teachers and CMs ensure any internal disciplinary procedures relating to candidate behaviour are instigated, where appropriate.

13 The Additional Learning Support Manager is responsible for:

- a. The identification and testing of candidates who require access arrangements. The ALS Manager will ensure the documentation provided to support the need for access arrangements is accurate and follows best practice as set out by Jcq *Access Arrangements and Reasonable Adjustments booklet*.
- b. The provision of reasonable adjustments within examinations and assessments by providing support staff and relevant IT equipment. The support provided will be that of the normal way of working in class.
- c. Determining candidate eligibility for arrangements or adjustments that are centre-delegated.
- d. Keeping a file for each candidate for Jcq Inspection purposes containing all the required documentation. E-files must contain all required documentation for inspection.
- e. Ensuring staff appointed to facilitate access arrangements are thoroughly trained and understand the rules of the particular arrangement(s) and keeps a record of the content of training.

14 Lead Invigilator / Invigilators are responsible for:

- a. Invigilators are responsible for running the exam in accordance with awarding body requirements. Jcq ICE Booklet.
- b. Verifying candidate identity using information provided by the EO.
- c. Marking candidate absences on the attendance register/seating plan.
- d. Making candidates aware of the emergency evacuation procedure for the exam room.
- e. Collection of exam papers and other material from the exams office before the start of the exam.
- f. Collection of all exam papers in the correct order at the end of the exam and their return to the Exams Office.

15 Candidates are responsible for:

- a. Checking their examination timetable on the Student Portal.
- b. Reading and understanding Jcq requirements and coursework regulations, as made available on the MyUSP app and wall displays outside the exams office.
- c. Signing a declaration that authenticates any coursework as their own.
- d. Attending for external and internal examinations, as indicated on their exam timetable.
- e. Ensuring they have attended Access Arrangement meetings if scheduled.
- f. Arriving on time for scheduled assessments and bringing any relevant stationery.
- g. Ensuring they do not bring any unauthorised materials into the exam room.

Appendix 1 Resit Procedure

1. The college will pay for the first sitting of any examination undertaken by the candidate at the college. Thereafter the following procedure will apply:

1.1 A Level

Summer resits (board deadline 21 February)

- a. Private Examination Candidates - to be submitted by 31 January
- b. Resit forms/requests must be submitted to Exams no later than 4pm on the first Friday in February (for Summer series).
- c. Forms submitted after the above date may incur late fees (per unit) as the exams office cannot guarantee that these will be processed and entries submitted to the boards within the national deadline date (21 February)
- d. Late fees will be current unit price in addition to original payment
- e. All above information, where possible, to be included in results day information sent to students and exams notice board

1.2 November GCSE resits

Board deadline 4 October

- a. USP College does not accept private candidates for GCSEs (returning or current students only)
- b. Forms/requests must be submitted to Exams no later than 26 September (for Autumn series)
- c. Forms submitted after the above date may incur late fees (per unit) as Exams cannot guarantee that these will be processed and entries submitted to the boards within the national deadline date (4 October)
- d. Late fees will be current unit price in addition to original payment
- e. All above information where possible to be included in results day information sent to students and exams notice board

1.3 BTEC Resits

- a. Candidates may resit external assessments to improve their grade in January or June.
- b. Forms and payments must be submitted to Exams by the specified deadline date (dependent on series).
- c. Forms submitted after the deadline date will be liable to late fees.

Other

Unless prior agreement has been made with departments, candidates will not be entered for resit exams until payment has been made to Finance (where applicable).

Students who are in receipt of Bursary payments will be entitled to one free resit per academic year.

Appendix 2

Private Examination Candidates Procedures

1. The college welcomes private examinations candidates for A Levels (returning students only).
 - a. In the first instance the private examination candidate will make contact with the Exams Officer to ensure that the college offer the unit/exams/qualification requested.
 - b. The Exams Office will maintain a list of units/exams/qualifications that the College are able to offer which will exclude any exams/qualification that involves coursework or support from college staff members.
 - c. Any student that has been excluded from college through the course of its disciplinary procedures, may, at the discretion of the Senior Management Team, sit the exams/qualifications. This will only be allowed in exceptional circumstances and the student will remain on the college ILR.
 - d. A fee for each exams/qualification will be set by the college for each academic year and will cover the cost of administration and escorting to and from the examination room.
 - e. All non-college examination candidates will be considered private examination candidates.
 - f. Under no circumstances will any private examination candidate be allowed access to the college premises for any other reason than for sitting the examination. They must also be escorted to and from the examination room in accordance with the College Safeguarding Policy.
 - g. Candidates should be reminded that if they resit once they have left college they will be classified as a private examination candidate.
 - h. All private examination candidates must comply with the JCQ requirements found on the JCQ website at www.jcq.org.uk
 - i. Private candidates will be requested at the time of enquiry to state if they require any special examination arrangements. As in all examinations exam board approval must then be gained.
 - j. Completed forms should be returned and payments made by the 31st January.

Appendix 3

Assessment Appeals Procedure

Issued and reviewed by the Exams Officer
Date of this version: September 2024

All students should be informed of the Appeals Procedure at the beginning of the course.

1. Students have the right to appeal if:

- a. They think that their work has not been assessed when they believe any relevant deadlines were met.
- b. They think that the evidence/work that they have produced has not been properly assessed.
- c. This may include an occasion where a student thinks that circumstances (e.g. difficulties that were not of the student's making) were not taken into account even though they were communicated to the subject teacher before any relevant deadlines had passed.

If a student thinks that either of the above points apply to them they should first follow the Informal Appeals Procedure (see below).

Higher Education students should follow the Informal Appeals Procedure provided in their Programme Handbook.

2. Informal Appeals Procedure

The student should first communicate with the subject teacher or assessor concerned and ask that:

- a. Assessment takes place if it has not already been carried out
- b. The evidence / work be reassessed if they think that it has not been properly assessed
- c. A review take place if there are factors which should have been taken into account
- d. In the case of a countrywide lockdown or other exceptional circumstances, the student believes that their award has not been graded properly.

3. Formal Appeals Procedure

- a. If the student is still not satisfied with the outcome of the informal appeal, then he or she may appeal for a second opinion from the relevant Curriculum Manager for the course concerned.
- b. To make a formal appeal, the student should complete the appeals form which is available from the Exams office at the college. The student may ask their Progress Coach (for 16-19 students usually) or any other person to assist with the completion of the form. The form should be submitted within 5 working days of their informal appeal outcome.
- c. The student will be notified of the outcome of the formal appeal within 10 working days.
- d. Any grades present or altered as a result of an internal appeal will be subject to the normal moderation/verification procedures where appropriate.
- e. If the student is still not satisfied with the outcome of the formal appeal, then they may follow the college's Complaints Procedure.
- f. If, after following the Complaints Procedure, the student considers that the college's decision continues to disadvantage them, then the student can request that the college forwards the student's appeal to the Awarding Body.

Appendix 4

ENQUIRIES ABOUT RESULTS AND EXTERNAL APPEALS PROCEDURE

1. Enquiries about Results (EARs)

- a. Students have the right to appeal to the Awarding Organisation if they feel their results are not accurate. There are a number of services that all Awarding Organisations offer, which include reviewing the basic clerical steps involved in awarding a grade, to having the script reviewed by a Senior Examiner. Students should be aware that as a result of any appeal marks and grades may go up, stay the same, or go down.
- b. Full details of enquiries about results services are given in the JCQ publication Post-Results Services:

<http://www.jcq.org.uk/exams-office/post-results-services>

2. Awarding Organisations have fees associated with the various forms of review and the student is responsible for paying these fees to the college prior to an application being made on their behalf. If there is a positive change to the overall subject grade (e.g. a grade D to a C) the fee will be refunded. The appeals process is managed by the Exams Department. Enquiries about Results can only be submitted by the college on behalf of the student. Students may not appeal directly (unless they are a Private Candidate).

- 2.1 When considering whether or not to apply for post result services, students must be aware of the following points:

- a. The published deadline dates for enquiries about results and subsequent appeals are final. Enquiries about results should be submitted as soon as possible. All fees and deadline information will be provided at the time of results issue.
- b. All applications for EARs will be accepted by the college but students are responsible for seeking advice from their subject teachers prior to submitting a request. The student must sign the consent section on the application to indicate that they understand that marks and grades may go up, stay the same, or go down.

3. **Re-moderation requests: Internally assessed components – coursework, controlled assessments and practical's**

- 3.1 If a student is dissatisfied with the results for an internally assessed component they must contact the Curriculum Manager in the first instance. It is not possible to submit an individual appeal in relation to coursework, controlled assessment or practical marks. The matter must be referred to the Curriculum Manager. The Curriculum Director will decide whether to request re-moderation of all students' work – their decision is final.

4. **Appeals against the outcomes of enquiries about results**

Introduction

- 4.1 If the Head of Centre or student is dissatisfied with examination results and has reasons to suspect they may not be accurate, the first step to take is to make an enquiry about results as outlined above.
- 4.2 If doubts remain about the accuracy of the results following the enquiry about results process, the student should refer initially to the JCQ publication 'Post Results Services'. If after consulting this document the centre or student is convinced that the Awarding Organisation

has not followed due process it is possible to submit an appeal based upon specific grounds. An appeal against an Enquiry about Results outcome must be approved by the Head of Centre.

NB internal students and/or their parents/carers are not entitled to appeal directly to the awarding body. Representations must be made to the Head of Centre where the student was entered or registered. The Head of Centre's decision as to whether to proceed with an appeal is subject to the Centre's internal appeals arrangements.

- 4.3** If, after following the internal appeals process, an appeal is accepted by the Head of Centre an application will be made to the Awarding Organisation and an investigation will follow. An appeal investigation does not generally involve a further review of students' work.

Full details of the Appeals process can be found in the JCQ 'Appeals Booklet':

<http://www.jcq.org.uk/exams-office/appeals/>

NB If an original hard copy script has been returned to the centre under the Access to Scripts service, the exam script cannot form part of an enquiry about results or a subsequent appeal.

- 4.4** If the Head of Centre decides that an appeal is unwarranted after an internal appeal has been carried out, then this decision is final.

Appendix 5

1. ID Policy

- 1.1 Upon registration, all students are supplied with photographic ID and expected to wear this at all times via a lanyard whilst in college. Entry to the college is by way of a 'swipe in, swipe out' barrier system. Any students who forget or lose their ID are expected to purchase a replacement card via Reception.
- 1.2 Students are expected to bring their ID passes to all examinations. These are displayed on their desk to enable identification checks prior to commencement of the exam. Any students who have a temporary ID will remain at the end of the exam and be brought to the Exams Office for ID verification checks via the college database.
- 1.3 Private candidates are required to provide photographic ID when registering for an exam (passport etc). A copy of this information and photograph is made available to the invigilator for verification. Private candidates should bring a photographic ID to the exam as proof of identity.

Appendix 6

Escalation Process

Purpose of the Process

- a.** To confirm the main duties and responsibilities to be escalated should the member of the Senior Management Team with oversight of examination administration be absent.
- b.** In the event of absence, responsibility for implementing JCQ Regulations and requirements will be escalated to the Assistant Principal: Quality, Performance and Innovation.
- c.** To support understanding of the regulations and requirements, the following publications will be referenced for planning of examinations:
 - i.** General Regulations for Approved Centres
 - ii.** Instructions for Conducting Examinations (ICE)
 - iii.** Access Arrangements & Reasonable Adjustments
 - iv.** Suspected Malpractice – Policies and Procedures
 - v.** Instructions for Conducting Non-Examination Assessments (and coursework)
 - vi.** A guide to the Special Consideration Process

Main duties and responsibilities relate to:

- I.** Centre Status
 - II.** Confidentiality
 - III.** Communication
 - IV.** Recruitment, selection & training of staff
 - V.** Internal governance arrangements
 - VI.** Delivery of Qualifications
 - VII.** Public Liability
 - VIII.** Conflicts of Interest
 - IX.** Controlled assessments, coursework and non-examination assessments
 - X.** Security of assessment materials
 - XI.** National Centre Number Register
 - XII.** Centre Inspections
 - XIII.** Policies
 - XIV.** Personal Data, freedom of information and copyright
 - XV.** USP Examinations Policy
- d.** To support understanding of regulations & requirements before examinations (Entries & Pre-Exams), sections of relevant JCQ publications will be specifically referenced, including:
 - i.** General Regulations for Approved Centres (Section 5)
 - ii.** Instructions for Conduction Examinations (Sections 1-15)
 - iii.** Access Arrangements & Reasonable Adjustments (Sections 6-8)

Main duties and responsibilities relate to:

- i.** Access arrangements & reasonable adjustments
- ii.** Entries
 - a.** JCQ Key dates in the examination cycle
 - b.** Guidance notes for transferred candidates
 - c.** Alternative site guidance notes

- d. Guidance notes for overnight supervision of candidates with a timetable variation
 - iii. Centre assessed work
 - iv. Candidate information
 - a. JCQ Information for candidates documents
 - b. Exam Room Posters
- e. To support the understanding of the regulations and requirements during exam time, sections of relevant JCQ publications will be referenced including:
 - i. General Regulations for Approved Centres (sections 3, 5)
 - ii. Instructions for Conducting Examinations (sections 16-30)
 - iii. Access Arrangements & Reasonable Adjustments (Section 8)
 - iv. A guide to the Special Consideration Process (Sections 2-7)

Main duties and responsibilities relate to:

- i. Conducting examinations and assessments
 - a. JCQ Guidance Notes – Very Late Arrival
 - ii. Malpractice
 - iii. Retention of Candidates' work
- f. To support understanding of regulations and requirements after examinations have taken place, sections of JCQ publications will be specifically referenced including:
 - i. General Regulations for Approved Centres (Section 5)

Main duties and responsibilities relate to:

- i. Results (see JCQ Release of Results notice)
 - ii. Post-results services and appeals
 - a. JCQ Post-Results Services: Information & Guidance to Centres
 - b. JCQ Appeals Booklet (A guide to the awarding bodies' appeals processes)
 - iii. Certificates

Appendix 7

Conflicts of interest

USP College manages conflicts of interest in accordance with JCQ General Regulations 5.3.j. The Exams Office will inform the awarding bodies before the published deadline for entries for each examination series, of:

- a. any members of centre staff who are taking qualifications at their own centre which include internally assessed components/units;
- b. any members of centre staff who are teaching and preparing members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) for qualifications which include internally assessed components/units; and maintains clear records of all instances where:
- c. exams office staff have members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) being entered for examinations and assessments either at the centre itself or other centres;
- d. centre staff are taking qualifications at their own centre which do not include internally assessed components/units;
- e. centre staff are taking qualifications at other centres.

The Exams Office will 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 will 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.

Appendix 8

Malpractice Policy (Exams)

This policy is reviewed and updated annually to ensure that any malpractice at USP College is managed in accordance with current requirements and regulations

What is Malpractice & Maladministration?

Malpractice and Maladministration are related concepts. The common theme of which is that they involve a failure to follow the rules of an examination or assessment. This policy and procedure uses the word 'malpractice' to cover both terms and it means any act, default or practice which is:-

- a. A breach of the Regulations
- b. A breach of awarding body requirements regarding how a qualification should be delivered
- c. A failure to follow established procedures in relation to a qualification

which

- I. Gives rise to prejudice to candidates
- II. Compromises public confidence in qualifications
- III. Compromises, attempts to compromise or may compromise the process of assessment, the integrity of any qualification or the validity of a result or certificate
- IV. Damages the authority, reputation or credibility of any awarding body or centre, or any officer, employee of agent of any awarding body or centre
(Suspected Malpractice Policies & Procedures Section 1)

Candidate Malpractice

Candidate malpractice means malpractice by a candidate in connection with any examination or assessment, including the preparation and authentication of any controlled assessments, coursework or non-examination assessments, the presentation of any practical work, the compilation or portfolios of assessment evidence and the writing of any examination paper (SMPP 2)

Examples of Malpractice

- a. Accessing the internet, online materials or AI tools where this is not permitted.
- b. Allowing others to assist in the production of controlled assessments, coursework, non-examination assessments, examination responses or assisting others.
- c. Plagiarism: unacknowledged copying from, or reproduction of, third party sources or incomplete referencing (including the internet and artificial intelligence (AI) tools).
- d. Being in possession (whether used or not) of unauthorised material during an examination or assessment – Airpods are also now included in examples listed.

Centre staff Malpractice

'Centre staff malpractice' means malpractice committed by:

- a. a member of staff, contractor (whether employed under a contract of employment or a contract for services) or a volunteer at a centre; or
- b. an individual appointed in another capacity by a centre such as an invigilator, a Communication Professional, a Language Modifier, a practical assistant, a prompter, a reader or a scribe.

Suspected Malpractice

For the purposes of this document, suspected malpractice means all alleged or suspected incidents of malpractice.

Purpose of the policy

To confirm USP College: has in place a written malpractice policy which covers all qualifications delivered by the centre and details how candidates are informed and advised to avoid committing malpractice in examinations/assessments, how suspected malpractice issues should be escalated within the centre and reported to the relevant awarding body (General Regulations 5.3)

General principles

In accordance with the regulations USP College will:

- a. Take all reasonable steps to prevent the occurrence of any malpractice (which includes maladministration) before, during and after examinations have taken place (GR 5.11)
- b. Inform the awarding body immediately of any alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, by completing the appropriate documentation (GR 5.11)
- c. As required by an awarding body, gather evidence of any instances of alleged or suspected malpractice (which includes maladministration) in accordance with the JCQ publication Suspected Malpractice - Policies and Procedures and provide such information and advice as the awarding body may reasonably require (GR 5.11)

Preventing malpractice

USP College has in place:

- a. Robust processes to prevent and identify malpractice, as outlined in section 3 of the JCQ publication Suspected Malpractice: Policies and Procedures. (SMPP 4.3)
- b. This includes ensuring that all staff involved in the delivery of assessments and examinations understand the requirements for conducting these as specified in the following JCQ documents and any further awarding body guidance:

General Regulations for Approved Centres 2024-2025;
 Instructions for conducting examinations (ICE) 2024-2025;
 Instructions for conducting coursework 2024-2025;
 Instructions for conducting non-examination assessments 2024-2025;
 Access Arrangements and Reasonable Adjustments 2024-2025;
 A guide to the special consideration process 2024-2025;

Suspected Malpractice: Policies and Procedures 2024- 2025;
Plagiarism in Assessments;
AI Use in Assessments: Protecting the Integrity of Qualifications;
A guide to the awarding bodies' appeals processes 2024-2025 (SMPP 3.3.1)

Informing and advising candidates

The college will endeavour to eliminate all student malpractice by:

- a. Seeking to avoid potential malpractice by using the induction period to inform students of the college's policy on malpractice and the penalties for attempted and actual incidents of malpractice, including inappropriate use of AI.
- b. Showing students the appropriate formats to record cited texts and other material or information sources, including where AI use is appropriate (as stated in the Artificial Intelligence Policy).
- c. Asking students to declare that their work is their own.
- d. Asking students to provide evidence that they have interpreted and synthesised appropriate information and acknowledged any sources used

Identification and reporting of malpractice

Escalating suspected malpractice issues

- a. Once suspected malpractice is identified, any member of staff at the centre can report it using the appropriate channels (SMPP 4.3).
- b. Where malpractice by a student is suspected, the College will apply the Student Positive Behaviour Policy, investigate and take action at a level commensurate with the nature of the malpractice allegation. The Curriculum Manager and the Senior Management Team will support such an intervention and all personnel linked to the allegation.
- c. The intervention will include the following stages:
 - i. Make the individual fully aware at the earliest opportunity of the nature of the alleged malpractice and of the possible consequences should malpractice be proven
 - ii. Give the individual the opportunity to respond to the allegations made
 - iii. Inform the individual of the avenues for appealing against any judgment made
 - iv. Document all stages of any investigation

Where malpractice is confirmed, the college will apply the appropriate penalties / sanctions and record details on Promonitor (Cause for Concern) for staff to reference.

Reporting suspected malpractice to the awarding body

- a. The Exams Officer and/or Head of Centre will notify the appropriate awarding body immediately of all alleged, suspected or actual incidents of malpractice, using the appropriate forms, and will conduct any investigation and gathering of information in accordance with the requirements of the JCQ publication Suspected Malpractice: Policies and Procedures (SMPP 4.1.3)

- b. The Head of Centre will ensure that where a candidate who is a child/vulnerable adult is the subject of a malpractice investigation, the candidate's parent/carer/ appropriate adult is kept informed of the progress of the investigation (SMPP 4.1.3)
- c. Form JCQ/M1 will be used to notify an awarding body of an incident of candidate malpractice (SMPP 4.4)
- d. Form JCQ/M2 will be used to notify an awarding body of an incident of suspected staff malpractice/maladministration (SMPP 4.6)
- e. Malpractice by a candidate discovered in a controlled assessment, coursework or non- examination assessment component prior to the candidate signing the declaration of authentication need not be reported to the awarding body but will be dealt with in accordance with the centre's internal procedures. The only exception to this is where the awarding body's confidential assessment material has potentially been breached. The breach will be reported to the awarding body immediately (SMPP 4.5)
- f. If, in the view of the investigator, there is sufficient evidence to implicate an individual in malpractice, that individual (a candidate or a member of staff) will be informed of the rights of accused individuals (SMPP 5.33)
- g. Once the information gathering has concluded, the Head of Centre (or other appointed information gatherer) will submit a written report summarising the information obtained and actions taken to the relevant awarding body, accompanied by the information obtained during the course of their enquiries (5.35)
- h. Form JCQ/M1 will be used when reporting candidate cases; for centre staff, form JCQ/M3 will be used (SMPP 5.37)
- i. The awarding body will decide on the basis of the report, and any supporting documentation, whether there is evidence of malpractice and if any further investigation is required. The Head of Centre will be informed accordingly (SMPP 5.40)

Communicating malpractice decisions

Once a decision has been made, it will be communicated in writing to the Head of Centre as soon as possible. The Head of Centre will communicate the decision to the individuals concerned and pass on details of any sanctions and action in cases where this is indicated. The Head of Centre will also inform the individuals if they have the right to appeal. (SMPP 11.1)

Appeals against decisions made in cases of malpractice

USP College will:

- a. Provide the individual with information on the process and timeframe for submitting an appeal, where relevant
- b. Refer to further information and follow the process provided in the JCQ publication 'A guide to the awarding bodies' appeals processes'.

Equality and Diversity Statement & Impact Assessment

USP College is committed to equality of opportunity. The aim is to create an environment in which people treat each other with mutual respect, regardless of: age, disability, family responsibility, marital status, race, colour, ethnicity, nationality, religion or belief, gender, gender identity, transgender, sexual orientation, trade union activity or unrelated criminal convictions.

This form should be used by managers and policy owners within their area of responsibility to carry out Equality and Diversity Impact Assessments (EDIAs) in relation to protected characteristics including, but not limited to: Age, Disability, Gender reassignment, Marriage and civil partnership, Pregnancy and maternity, Race, Religion and belief, Sex, Sexual orientation. The word 'policy' is taken to include strategies, policies, procedures and guidance notes; both formal and informal, internal and external.

1. Name of Policy

Examinations Policy

2. Which of the following groups could be affected by this policy?

(Tick all that apply)

Students	<input checked="" type="checkbox"/>
Staff	<input checked="" type="checkbox"/>
Wider Community	<input type="checkbox"/>

3. Complaints

Have complaints been received from anyone with one or more protected characteristic about the service provided? If yes then please give details.

N/A

4. The Impact

Four possible impacts should be considered as part of the assessment:

- Positive Impact** - Where the policy might have a positive impact on a particular protected characteristic.
- None or Little Impact** – Where you think a policy does not disadvantage any of the protected characteristics
- Some Impact** – Where a policy might disadvantage any of the protected characteristics groups to some extent. This disadvantage may be also differential in the sense that where the negative impact on one particular group of individuals with protected characteristic is likely to be greater than on another.
- Substantial Impact** – Where you think that the policy could have a negative impact on any or all of the protected characteristics. This disadvantage may be also differential in the sense that the negative impact on one particular protected characteristic is likely to be greater than on another.

Thought-provoking questions, which might help come to a decision about the impact of a policy on individuals with protected characteristics:

- Does policy outcomes and service take up differ between people with different protected characteristics?
- What key information do we have? Does data or engagement with people with protected characteristics give insights into areas of disadvantage, which relate to the policy area?
- If the policy is likely to have a negative impact on individuals, sharing particular characteristics what steps can be taken to mitigate these effects?
- Will the policy deliver practical benefits for certain groups?
- Does the policy miss opportunities to advance equality of opportunity and foster good understanding/ relationships between groups?
- Do other policies need to change to make this policy more effective?
- Is there any elements of the policy that could be unlawful under the Equality Act 2010?

Use the guidance provided above and complete the following table: **(Please Tick ✓)**

Gender/Age	Positive Impact	No or Little Impact	Some Adverse Impact	Substantial Adverse Impact
Gender		✓		
Age		✓		
Disability	Positive Impact	No or Little Impact	Some Adverse Impact	Substantial Adverse Impact
Visually Impaired				
Hearing impaired				
Physical Disability				
Specific Learning Difficulties				
Global Learning Difficulties				
Autistic Spectrum Disorder				
Any other disability – Various				
Other Factors	Positive Impact	No or Little Impact	Some Adverse Impact	Substantial Adverse Impact
Race				
Culture				
Religious Belief				
Sexual Orientation				
Gender Reassignment				
Marriage/Civil Partnership				
Pregnancy /Maternity /Paternity				

Please comment on any areas where some or substantial impact is indicated. Any resulting actions must be added to the below action plan.

5. Is there anything that cannot be changed?

What cannot be changed?	Can this be justified?	If so, how?
Not applicable		
E.g., Disabled people can be treated more favourably under the Disability Discrimination Act 2005. If a policy appears to treat disabled people more favourably than other equality groups, the disadvantage may be justifiable		

Please list the main actions that you plan to take as a result of this assessment in your area of responsibility.
(Continue on separate sheets as necessary)

Action Plan:
