



# **Examination & Certification Policy**

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Responsible Committee:	
Corporation Committee (if applicable):	
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Lead responsibility:	Deputy Principal – Curriculum & Quality
Policy Category:	Quality

## **1. Purpose**

- 1.1. The purpose of this policy is to outline the principles and processes that must be adhered to when registering, examining and certificating learners on their chosen course of study. As a result of this policy all our learners will be entered onto the correct course, receive any support they require and be certificated in a timely manner.

## **2. Scope**

- 2.1. This policy applies to all teachers, trainers, assessors, verifiers, learning support staff, examination staff and learners and apprentices within the organisation.

## **3. Overarching Principle(s)**

- 3.1. The College ensures that it adheres to the guidelines set out by the Joint Council for Qualifications (JCQ) and the awarding organisations learners are enrolled onto. This allows for the correct registration, examination and certification of learners. In addition to the JCQ and awarding body guidelines followed, the College sets out the processes and procedures it follows within this policy.

## **4. Registrations**

### **4.1. College Registrations**

- 4.1.1. All learners undertaking qualifications must be registered prior to the awarding body deadline. All learners will be automatically registered on the qualification that they are enrolled on by the exams team in the last week of October or first week of November (dependant on Awarding Body deadlines) of the first year of the qualification.
- 4.1.2. The Exams team will register all learners on the appropriate qualification based upon information provided by the Head of Curriculum. When entering the registrations, the exam team will work in pairs to ensure correct details are entered.
- 4.1.3. Heads & Deputy Heads of Curriculum are to submit all withdrawal and transfer change requests before the 42 days. The Data and Funding team will action all change requests during October half term ready for registration.
- 4.1.4. If an awarding body deadline is before the last week of October, registrations will be made by the Exams Officers by the appropriate deadline.
- 4.1.5. If unit information is required for registration this will be communicated to Heads & Deputy Heads of Curriculum by the Exams Manager ensuring all actions are completed by the appropriate deadline.
- 4.1.6. A fortnightly missing registration report is to be ran by the Exams Manager and distributed to Exams Officers to action to ensure any withdrawals, transfers and cancellations are picked up and updated with the awarding body.

### **4.2. Business Development Unit registrations**

4.2.1. All learners undertaking qualifications must be registered prior to the awarding body deadline where possible. Apprenticeships, Distance Learning and Adult Education courses do not necessarily follow the academic year therefore it is not always possible to register them within deadlines that follow the academic year. Internal registration deadlines are listed below:

- Apprenticeships - within 42 days of starting the course
- Adult Education - after 1 week of attendance
- Distance Learning short courses - within 14 days of starting the course

#### 4.3. **Distance Learning and Adult Education**

4.3.1. When a learner is ready to be registered the 'Register for exam' box on ProSolution should be ticked. The exams department have a view set up to identify those that need registering and it is monitored regularly. Exams will complete the registrations within 3-5 working days of the 'Register for exam' box being ticked. The batch number (where applicable) will be added in the 'Batch Number' field.

#### 4.4. **Apprenticeships**

4.4.1. When an apprentice is enrolled on the apprenticeship on ProSolution their offering site, data number, learner surname and forename and any qualifications that they need to be registered on should be added on the Apprenticeship registration tracker. The learners and qualifications will then need to be checked and confirmed by the Head of Apprenticeships and Skills Training before they are added to the tracking document. Exams will complete the registrations within 3 working days of them being added to the tracker and confirm the registrations have been completed by filling in the relevant columns on the tracker.

#### 4.4.2. Withdrawal of Awarding Body approval - Apprenticeships

In the unlikely event of an Awarding Organisation removing approval for a qualification, the following options would be considered and the most appropriate option implemented:  
*either*

- transfer of learners to an alternative College or Private Training Provider who offers the same qualification and retains approval by the Awarding Organisation;

*or*

- subcontracting of the provision to a recognised College or Private Training Provider who is approved by the Awarding Organisation and is also on the Register of Apprenticeship Training Providers (RoATP).

The decision on the above would largely rest with the employer. If the option of subcontracting were chosen, then West London College would follow rigorously their own sub-contracting policy and ensure that all due diligence measures had been undertaken with satisfactory results before proceeding. In addition, consultation would take place with the Awarding Organisation to ensure that the new arrangements met with their approval before proceeding.

#### 4.5. **Withdrawals**

- 4.5.1. When a learner withdrawal from a qualification, the exams team must be completed the withdrawal on the awarding body portal within 30 days.

## **5. External examinations**

### **5.1. Entries**

- 5.1.1. All learners enrolled on a qualification are automatically entered for compulsory fixed date external assessments. Once entered the entry lists are sent to Heads & Deputy Heads of Curriculum for checking.
- 5.1.2. A candidate cannot request any changes to their exam e.g. entry, withdrawal, change of level. All changes must be submitted via change request by the Heads & Deputy Heads of Curriculum before they can be actioned by the Exams Officer.
- 5.1.3. Learners will be informed of their fixed date exam arrangements by post at least 3 weeks before the date of the assessment. Rooms will be invigilated in accordance with JCQ guidelines.

### **5.2. Late entries**

- 5.2.1. Deadlines for late entries will be circulated via email by the Exams Manager. Late entries will need to be authorised by the appropriate Assistant Principal.

### **5.3. Re-takes**

- 5.3.1. All learners will be expected to pay to resit an examination, or unit of an examination where the awarding body charges for resits and also any additional costs that may be incurred such as scribe, reader, invigilation, etc. This must be paid before the College re-enters the learner for the examination. Resit fees can be waived at the discretion of Assistant Principal depending on learner circumstances such as good attendance and progress.

## **6. Invigilation and Exam day responsibilities**

- 6.1.1. The recruitment of invigilators is the responsibility of the Exams Manager. Training for invigilators is provided by the Exams Manager annually to advise on JCQ guidelines. A record of all that attended invigilator training sessions will be held on file for inspection.
- 6.1.2. The Exams Manager will ensure all awarding organisation guidelines are followed for examinations
- 6.1.3. Invigilators are timetabled and briefed by the Exams Officer or Exams Manager. It is also the responsibility of the Exams Manager or Exams Officer to book all examination rooms.
- 6.1.4. The Estates and IT Teams are responsible for ensuring the set-up of the allocated rooms. The Exams Team will give sufficient notice of any special requirements for rooms.
- 6.1.5. Invigilators will run all examinations in accordance with JCQ guidelines.

- 6.1.6. 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.
- 6.1.7. 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 Heads & Deputy Heads of Curriculum 24 hours after the exam finish time.

## **7. Results and enquiries about results**

### **7.1. Results**

- 7.1.1. All results received during the year will be available for collection from the College exams department.
- 7.1.2. Fixed date exam (GCSEs & BTECs) results will be available for collection on results day and any results not collected will be posted to candidates' home addresses.

### **7.2. Enquiries about results & Access to Scripts**

- 7.3. Results envelopes will include information on how to request a post results service and a full list of fees.
- 7.4. Candidates should fill out the JCQ enquires about results (EAR) or Access to Scripts form, go to the College cashiers and make a payment before handing the completed form and proof of payment to the Exams Office. The Exams Team will process the request and inform the candidate when the script or outcome of the EAR has been received.

## **8. Exams Access Arrangements and Special Considerations**

### **8.1. Exams Access Arrangements (EAA)**

- 8.1.1. Access Arrangements are pre-examination adjustments for candidates based on evidence of need and normal way of working. These must be requested prior to assessment taking place. Access Arrangements fall into two distinct categories: some arrangements are delegated to centres; others require prior JCQ awarding body approval.
- 8.1.2. Access Arrangements allow candidates/learners with special educational needs, disabilities or temporary injuries to access the assessment without changing the demands of the assessment. For example, readers, scribes and Braille question papers. In this way Awarding Bodies will comply with the duty of the Equality Act 2010 to make 'reasonable adjustments'.
- 8.1.3. The Equality Act 2010 requires an Awarding Body to make reasonable adjustments where a disabled person would be at a substantial disadvantage in undertaking an assessment.
- 8.1.4. A reasonable adjustment for a particular person may be unique to that individual and may not be included in the list of available Access Arrangements.

- 8.1.5. How reasonable the adjustment is will depend on a number of factors including the needs of the disabled candidate/learner. An adjustment may not be considered reasonable if it involves unreasonable costs, timeframes or affects the security or integrity of the assessment.
- 8.1.6. There is no duty on the Awarding Bodies to make any adjustment to the assessment objectives being tested in an assessment. (JCQ, 2018)
- 8.1.7. Exams Access Arrangements are applied for through the Additional Learning Support (ALS) department; this allows for a process of checking the validity of any application or applying an assessment process where necessary before permission is sought from the Joint Council of Qualifications (JCQ) to allow the learner to have appropriate arrangements in their exam(s). The Head of ALS will make the final decision.
- 8.1.8. Records of decisions relating to exams access arrangements and special considerations must be kept for 3 academic years.
- 8.1.9. Any specific requirements of awarding organisations regarding requesting reasonable adjustments not covered by this policy must be adhered to at all times.

## **8.2. Referral and "Normal Way of Working"**

- 8.2.1. A referral should be made for any learner for whom there is evidence of a need for an EAA . It is the teachers responsibility to complete a 'Normal Way of Working' (NWW) form and this should be sent to the ALS department who will assess the learners needs.
- 8.2.2. The Normal Way of Working statement will outline how the learner normally works in class demonstrating a difference to other learners. This may be, for example but not exclusively, taking additional time, using a scribe or reader, needing rest breaks. The Normal way of Working will also outline how that affects the work of the learner and what strategies the teacher has put in place to enable the learner. This Normal Way of Working statement forms the basis of the process to assess for EAA. Without the NWW, no assessment can be undertaken.
- 8.2.3. Please contact the ALS department to discuss further or use the Referral form to refer a learner.

## **8.3. Special Considerations**

- 8.3.1. If a candidate is unable to sit an exam due to exceptional circumstances it is the candidate's responsibility to alert the centre.
- 8.3.2. Appropriate evidence must be produced within 7 working days of the last exam in that series. The Exams Officer will complete the special consideration form and forward it to the relevant awarding body alongside supporting evidence within 7 working days. Once a decision has been made by the awarding body on whether to accept the special consideration the candidate will be informed within 3 working days of their decision.

#### **8.4. Appeals**

- 8.4.1. Where the candidate remains unhappy with the decision, an appeal may be made to the Deputy Principal Curriculum & Quality who will review the evidence. Their decision is final.

### **9. Malpractice & Maladministration**

- 9.1. In this instance malpractice is any action which is taken by a member of staff, invigilator or a learner to undermine the validity and integrity of an assessment/examination result. Malpractice which includes maladministration and non-compliance is any activity or practice which deliberately contravenes regulations and compromises the integrity of the internal or external assessment process and/or the validity of results. This covers deliberate actions, neglect or any other practice that either compromises or could compromise results/certification.
- 9.2. Where malpractice is suspected the member of staff or learner should bring it to the attention of the campus Assistant Principal who will instigate investigations.
- 9.3. Where a learner is suspected of cheating in an examination, the Invigilator should observe the candidate's actions during the examination so that they can complete a detailed 'suspected malpractice' form alongside the Exams Manager.
- 9.4. We will ensure that all staff and learners are fully aware of the definitions of malpractice and the implications and sanctions that can be imposed where malpractice is proven to have taken place including the relevant disciplinary procedure.
- 9.5. For further details see Assessment and Verification Policy

### **10. Plagiarism and Collusion**

- 10.1. Plagiarism is the act of presenting the material, ideas, and arguments of another person/persons as one's own. To copy sentences, phrases or even particular striking expressions without acknowledgement, in a manner which may deceive the reader as to the source, is plagiarism.
- 10.2. All staff carrying out internal or external assessed work must make learners aware of the guidelines on plagiarism. This is part of the whole college learner induction and contained in the Learner Handbook and Course Handbook.
- 10.3. All tutors and teachers before the main examination and coursework period must make learners aware of the college plagiarism and assessment malpractice policy.
- 10.4. Any instance of proven plagiarism is regarded as serious misconduct under the College's Learner Disciplinary Procedure and the matter will be subject to that Procedure and reference will be made to the rules and regulations for coursework and examinations of the Awarding Body or Partner University.
- 10.5. For further details see Assessment and Verification Policy



## **11. Claims/Certification**

11.1. Before the College can claim certification for any learner, the following must be completed:

- The learner must have completed all necessary components of the course
- All Internal Verification procedures must have been carried out
- Any amendments/actions identified in the SV/EV reports have been carried out e.g. the report required learners to improve work, centre to check other assessments etc.
- Claims should **not** be submitted to the exams department for learners prior to the above being completed

11.2. The process for claiming learner certification is as follows:

- All grades must be inputted on Markbook, Onefile or an internal tracker
- All grades are to be checked by the Lead IV in consultation with the relevant teachers to ensure accuracy
- Lead IV and a nominated person within each curriculum area is to check and approve the grades
- An internal claim form must be filled out and signed off by the IV and Curriculum Manager/Head of Curriculum and sent to the exams department
- The exams officer is to enter the grades for each candidate and curriculum area on the awarding body website or via a claim form emailed to the Awarding Body
- Whatever means the certificates is claimed it must be checked for accuracy to ensure no admin errors are made
- All certification claims for courses that follow the academic year must be done by the second week of July
- All queries and late claims must be provided to exams no later than 2 weeks before the final funding return (the final return deadline will be communicated by MIS to all College staff)
- There is no guarantee that claims provided to exams less than 2 weeks before the final funding return will be processed
- Certificates will be checked for accuracy by the examinations officer and any inaccuracies will immediately be reported to the awarding body

## **12. Certificates**

12.1. Certificates will be posted out to candidates within 5 working days of being received by the College. BDU certificates will be scanned for audit and Apprenticeship Certificate England (ACE) claim purposes before they are posted out.

### **12.2. Postage not received and lost certificates**

12.2.1. Records of postage including tracking numbers will be held on record for 1 years should candidates not receive their certificate(s) and query their whereabouts.

### **12.3. Certificates not received by candidate**

- 12.3.1. If candidates do not receive their certificate(s) and query within 1 academic years of the completion of their course the Exams Team will look into why the certificate(s) was not received and if necessary order a replacement for the candidate. After 1 academic years the Royal Mail Track and Trace tool will no longer hold information on the certificate dispatch therefore candidates will be responsible for ordering their own certificates. The College will not cover the cost of the replacement certificate.

### **12.4. Lost/misplaced certificates**

- 12.4.1. If a candidate loses their certificate(s) it is their responsibility to contact the awarding body and order a replacement.

### **12.5. Incorrect personal details**

- 12.6. The College will not be liable to pay for any fees incurred as a result of the wrong name or any other details appearing on a learner certificate. It is the learner's responsibility to inform the College of any changes or errors with their name or any other personal details. This will be assessed on a case by case basis and only in exceptional cases where the College is proven to be at fault will the College pay for a replacement.

## **13. Relevant Legislation / Regulation**

- None

## **14. Related Documents**

- 14.1. The following related documents are relevant to this policy / procedure:

- Assessment & Verification Policy
- JQC Guidelines
- Awarding body guidelines

## **15. Accountability**

- 15.1. The Deputy Principal Curriculum & Quality and Examinations Manager are responsible for the drafting and implementation of this policy.
- 15.2. He or she is also responsible for ensuring that this document is regularly reviewed and updated – and is the first contact point for managers seeking advice and guidance about the Examination & Certification or making enquiries about its interpretation.
- 15.3. All managers are responsible for ensuring that they and their team members follow the requirements set out in this document.
- 15.4. All employees are responsible for adhering to the requirements set out in this document.

## **16. Equality, Diversity & Inclusion**

- 16.1. The College has paid due regard to equality considerations during the preparation and implementation of this Policy.
- 16.2. These considerations included the potential for any differential negative effect on the grounds of age, disability, gender reassignment, pregnancy and maternity, race (including ethnic or national origins, colour or nationality), religion or belief (including lack of belief), sex, sexual orientation, marriage or civil partnership.
- 16.3. The College's judgement is that there is no such negative effect on those grounds and, consequently, no potential breach of the Equality Act 2010.
- 16.4. The operation of this Policy and Procedure will be monitored by the Executive Director of People and Organisational Development in order to establish that no unlawful discrimination is taking place and to identify opportunities for the College to enhance equality of opportunity and fair treatment.

## **17. Review**

- 17.1. This document will be reviewed by July 2023.
- 17.2. The Deputy Principal Curriculum & Quality and Examinations Manager will undertake this review, taking into account the outcomes of the monitoring process, legislative changes and developments in good practice.
- 17.3. As part of the review, the Deputy Principal Curriculum & Quality and Examinations Manager will seek and consider the views of the College's employees and, where appropriate, of the recognised trade unions.
- 17.4. The outcome of the review will be reported to the Senior Leadership Team.

## **18. Policy Category**

<b>Category</b> [select ONE only]	<input type="checkbox"/> Business Development, Marketing and Subcontracting <input type="checkbox"/> Corporation <input type="checkbox"/> Data Protection <input type="checkbox"/> Equality & Diversity <input type="checkbox"/> Estates / Facilities <input type="checkbox"/> Executive Support, Administration and Reception <input type="checkbox"/> Finance <input type="checkbox"/> Health and Safety <input type="checkbox"/> International <input type="checkbox"/> IT Services <input type="checkbox"/> Management Information Systems <input type="checkbox"/> People and Organisational Development <input checked="" type="checkbox"/> Quality <input type="checkbox"/> Student Services & Safeguarding
<b>Audience</b> [select ALL that apply]	<input checked="" type="checkbox"/> Employees <input type="checkbox"/> Governors <input checked="" type="checkbox"/> Learners <input type="checkbox"/> Partners <input type="checkbox"/> Suppliers