



EXAMINATIONS AND CONTROLLED ASSESSMENT POLICY

Policy reference UKV-QA-22 | Version 3.0

UK Versity Online Limited | BAC Accredited College | UKPRN 10052768

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Status	Consolidated
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Policy owner	Examinations Officer
Author	Director of Education
Approved by	Principal (Ramanjeet Singh), on behalf of the Academic Board
Approval date	1 October 2026

Examinations and Controlled Assessment Policy

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Document control

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Next review	September 2027 (annual), or earlier if required
Owner	Examinations Officer
Author	Director of Education
Approval authority	Academic Board, chaired by the Principal (Ramanjeet Singh)
Approval date	1 October 2026
Applies to	All UK Versity candidates taking external assessments or controlled assessments, and all staff who administer, invigilate or supervise them
Supersedes	Examination Policy (QA-66); Non-Examination Assessment (Controlled Assessment) Policy (QA-710)
Summary	Sets out how UK Versity securely administers, invigilates and supervises external and controlled assessments, including NCFE Functional Skills, and handles results, incidents and records.

Compliance mapping

BAC College Scheme 2023 standards	14.1-14.3; 26.3
UK Quality Code 2024 (voluntary)	Principle 11
OfS conditions (benchmark only; not OfS registered)	B4 (benchmark)
Awarding organisations	NCFE; ATHE; Pearson; OTHM; Ascentis; IFA Direct
Legislation and regulation	Equality Act 2010; UK GDPR and Data Protection Act 2018 (as amended by the Data (Use and Access) Act 2025); Health and Safety at Work etc. Act 1974; Ofqual General Conditions of Recognition

Version history

Version	Date	Change
1.0	August 2018	First issue as Non-Examination Assessment (Controlled Assessment) Policy (QA-710); Examination Policy (QA-66) issued 31 March 2019
2.0	2025	QA-710 revised to reference JCQ Information for Candidates: Non-Examination Assessments (September 2025)

Version	Date	Change
3.0	October 2026	Full rebuild: QA-66 and QA-710 consolidated; NCFE Functional Skills focus, written candidate identification procedure, invigilator training, remote invigilation rule, contingency, results and post-results services, cross-reference to UKV-NCFE-FS-P-01; BAC/QAA/OfS mapping, version control

1. Purpose

Almost all qualifications at UK Versity are assessed by assignment. The main exception is NCFE Functional Skills, which uses external assessments conducted by the centre. This policy sets out how UK Versity:

- keeps assessment materials secure (BAC standard 14.1);
- identifies candidates and conducts external assessments fairly and in line with AO regulations;
- supervises any controlled assessment;
- deals with access arrangements, emergencies, suspected malpractice, results and post-results services;
- keeps the records AOs require.

2. Scope

This policy applies to:

- NCFE Functional Skills English (Reading and Writing) and Mathematics external assessments, whether on screen or on paper, and the controlled Speaking, Listening and Communicating (SLC) component of English;
- any other assessment that an awarding organisation (AO) specification requires to be taken under controlled or supervised conditions;
- any supervised assessment the Quality Manager directs because of an authenticity concern (for example an authenticity interview or a supervised resubmission);
- all candidates, and all staff who administer, invigilate, supervise or quality assure these assessments.

AOs covered: NCFE (including qualifications under the NCFE CACHE brand, and NCFE Functional Skills); ATHE (Awarding body for Training and Higher Education); Pearson Education Ltd (Pearson BTEC, including BTEC Higher Nationals); OTHM Qualifications; Ascentis (including Access to HE Diplomas, validated under the QAA Access to HE scheme); and Institute of Financial Accountants (IFA) qualifications delivered through IFA Direct, administered in partnership with ATHE.

For NCFE Functional Skills, the companion policy UKV-NCFE-FS-P-01 Plagiarism, Malpractice and Examination Conduct Policy v1.0 (18 September 2026) applies. It contains the detailed invigilation rules, invigilator checklist and dos and don'ts. This policy does not repeat that detail; staff must use both.

3. Definitions

- **External assessment:** an assessment set and marked by the AO, taken under examination conditions at a time or in a window set by the AO.
- **Controlled assessment:** an assessment carried out and marked by the centre under conditions set by the AO, for example the Functional Skills SLC component.
- **Invigilator:** a trained person who supervises candidates during an external assessment.
- **Examinations Officer:** the member of staff responsible for administering external assessments. At UK Versity this role is held by the Examinations Officer and NCFE Coordinator.

- **Access arrangement:** an approved reasonable adjustment for an assessment (UKV-QA-18).
- **Remote invigilation:** invigilation of a candidate at another location using a live video link and secure assessment software.

4. Policy statement and principles

UK Versity will:

1. follow the regulations of the relevant AO in full; for NCFE, the NCFE Regulations for the Conduct of External Assessment (ADEL-003 v2.1) and the Qualification Specific Instructions for Delivery (QSID);
2. use the JCQ Instructions for Conducting Examinations 2026-27 (from 1 September 2026) as a good-practice framework where the AO's own regulations are silent; where NCFE and JCQ differ, NCFE's regulations are followed;
3. keep assessment materials secure from receipt to return or destruction;
4. identify every candidate before they start, using a written procedure;
5. use only trained invigilators with no conflict of interest;
6. use remote invigilation only where the AO permits it, and only under the AO's conditions;
7. report suspected malpractice promptly and act on AO instructions.

5. Examinations Officer role

The Examinations Officer:

- books external assessments with NCFE and confirms dates and arrangements to candidates in writing;
- receives, logs, stores and returns or destroys assessment materials securely;
- carries out the second-pair-of-eyes check of papers and materials with an invigilator and logs it;
- prepares the Invigilator (attendance) Register and seating plan;
- applies for and records access arrangements and special consideration (UKV-QA-18);
- recruits, trains and briefs invigilators and keeps training records;
- manages on-screen assessment log-ins and technical arrangements;
- reports incidents and suspected malpractice to the Head of Centre and NCFE;
- issues results and manages post-results requests;
- keeps examination records for the retention periods in section 15.

The Principal, as Head of Centre, is accountable to NCFE for the conduct of external assessments.

6. Secure storage and handling of materials

1. Paper assessment materials are stored, unopened, in a locked secure cabinet at UK Versity House with access limited to the Examinations Officer and the Head of Centre. A log records every receipt, access and dispatch.
2. On-screen assessment log-ins and passwords are held securely by the Examinations Officer and issued only to the invigilator for that session.
3. Papers are checked by two people (Examinations Officer and invigilator) for the correct paper, level and materials, and the check is logged.
4. Packets are opened only in the assessment room and no earlier than NCFE permits (UKV-NCFE-FS-P-01 section 8.2).

5. Completed scripts are checked, counted and returned securely to the Examinations Officer straight after the assessment, and dispatched or uploaded as NCFE instructs.
6. Controlled assessment evidence (for example SLC recordings and records) is stored on Zoho WorkDrive with access restricted to authorised staff.
7. Any breach of security, or suspected breach, is reported to the Head of Centre and NCFE immediately.

7. Candidate identification procedure

UK Versity follows this written candidate identification procedure, in line with NCFE ADEL-003 section 16.1:

1. When the assessment is booked, the candidate is told in writing that they must bring valid photographic identification (for example a passport, photocard driving licence or national identity card) and that they will not be allowed to sit the assessment without it.
2. Before the assessment starts, the invigilator checks each candidate's photographic identification against the candidate in person and against the Invigilator Register (name and candidate number), and against the ID verified at enrolment under UKV-QA-05.
3. Where a candidate's face is covered for religious reasons, a private identity check is carried out by a member of staff of the same gender, with a second member of staff supervising the room. Candidates are told about this procedure in advance.
4. A member of staff who has taught the candidate the subject does not carry out the identification check for that subject.
5. For remote invigilation, where permitted, the candidate shows their photographic identification to the camera, and the invigilator compares it with the candidate and with the enrolment ID before the assessment is released.
6. A candidate who cannot be identified, or refuses identity verification, is not permitted to sit the assessment. The invigilator records this on the Register and informs the Examinations Officer.
7. The invigilator signs the Register to confirm identities have been checked.

8. Invigilation

1. Invigilators are trained before they first invigilate and updated at least annually. Training covers NCFE regulations, the QSID, UKV-NCFE-FS-P-01, this policy, access arrangements, emergencies and malpractice. Training is recorded.
2. Invigilators declare any conflict of interest (for example a relative sitting the assessment) and any outstanding malpractice sanction before invigilating (UKV-QA-21).
3. Ratios are no more than 1 invigilator to 30 candidates for written assessments and 1 to 20 for on-screen assessments.
4. Invigilators follow the chronological checklist and dos and don'ts in UKV-NCFE-FS-P-01 Appendices A and B, including removal of unauthorised items, starting and finishing times, late arrivals, and completion of the Invigilator Register and incident log.
5. Invigilators give their full attention to the candidates and do not do other work.

9. Remote invigilation

Remote invigilation is used only where the AO permits it for that assessment and only under the AO's published conditions (for example approved software, a room check by camera, continuous video and audio, and a clear desk). Where the AO does not permit remote invigilation, the candidate must attend the

assessment room at UK Versity House or another venue approved by the AO. The Examinations Officer confirms the AO's current position before booking.

10. Rules for candidates

These rules are sent to candidates with their booking confirmation and read out by the invigilator before the assessment starts:

- Bring valid photographic ID. Without it you cannot sit the assessment.
- Mobile phones, smartwatches and any device with smart or communication functions must be switched off and handed in before the start. Bags, notes and books are not allowed at your desk.
- Use only the materials allowed for your assessment. For Mathematics, calculators are checked and released only when the rules allow.
- Do not talk to or communicate with anyone except the invigilator.
- Do not remove question papers, answer booklets or working paper from the room, and do not copy questions.
- Follow the invigilator's instructions at all times, including in an emergency.

Breaking these rules is malpractice. It will be reported to the awarding organisation and may lead to disqualification.

11. Controlled assessments

For the SLC component and any other controlled assessment:

1. the tutor explains the task, conditions, deadlines and authentication requirements in advance;
2. work required under supervision is completed under direct staff supervision, with unauthorised materials and devices controlled;
3. staff do not give feedback or help beyond what the AO permits, and record any help given;
4. the candidate signs a declaration that the work is their own; the assessor signs to confirm authenticity;
5. any permitted use of sources or AI is acknowledged by the candidate;
6. evidence is stored securely and made available for IQA (UKV-QA-16) and AO moderation.

12. Access arrangements

Access arrangements are identified through the learner's Learning Support Plan (UKV-QA-32) and requested and approved under UKV-QA-18, within the notice periods it sets. Arrangements must reflect the learner's normal way of working. Arrangements that need NCFE approval are applied for by the Examinations Officer. Approved arrangements are recorded on the Invigilator Register and invigilators are briefed before the assessment. A person acting as reader, scribe or practical assistant must be trained, must not be another candidate, and must not be involved in the delivery, assessment or quality assurance of the learner's programme.

13. Emergencies and contingency

1. **Evacuation:** if the fire alarm sounds at UK Versity House, the invigilator stops the assessment, notes the time, and leads candidates out by the nearest safe exit to the assembly point in front of the building (Carrol Grove Street side). Candidates leave all papers and equipment on their desks, stay under examination conditions and do not communicate. On return, if the regulations have not been breached, the assessment resumes with the time remaining. The incident is recorded and reported to NCFE.

2. **Technical failure (on-screen):** the invigilator records the time and nature of the failure, keeps candidates under examination conditions, and follows NCFE's process for re-setting timing and re-admitting candidates to their responses where possible (UKV-NCFE-FS-P-01 section 10).
3. **Illness or incident during the assessment:** the invigilator records it; the Examinations Officer considers special consideration under UKV-QA-18.
4. **Wider disruption** (loss of premises, systems or staff): managed under UKV-QA-03 Business Continuity, Contingency and Disaster Recovery Policy. The Examinations Officer contacts NCFE to rearrange assessments.

14. Malpractice, results and post-results services

14.1 Malpractice

Suspected malpractice by a candidate or member of staff is dealt with immediately by the invigilator, recorded on the incident log and reported to the Examinations Officer and Head of Centre the same day. It is reported to NCFE immediately in line with the NCFE Malpractice and Maladministration Policy (PA-014 v1.1), and investigated under UKV-QA-20 Malpractice and Maladministration Policy and Procedure and UKV-NCFE-FS-P-01.

14.2 Results

Results are released to candidates only after NCFE has issued them. The Examinations Officer tells candidates their results in writing. Certificates are claimed and dispatched by the Registrar under UKV-QA-07 Registration and Certification Policy.

14.3 Post-results services and appeals

1. A candidate who is concerned about a result contacts the Examinations Officer within 5 working days of receiving it.
2. The Examinations Officer explains the NCFE post-results options available, and any NCFE fee, before a request is made.
3. Learners cannot appeal directly to NCFE. UK Versity submits the appeal on the learner's behalf, with the learner's written permission, within 14 calendar days of the decision (NCFE Appeals Policy ADEL-002 v2.6).
4. Decisions made by UK Versity (for example on identification or access arrangements) can be appealed under UKV-QA-23 Appeals Policy and Procedure.

15. Records and retention

The Examinations Officer keeps: the materials receipt and security log; second-pair-of-eyes checks; Invigilator Registers and seating plans; incident logs; access arrangement records; invigilator training and conflict of interest records; controlled assessment evidence; and correspondence with NCFE. These are kept in line with the NCFE Centre Agreement and for at least 3 years after certification. Malpractice investigation records are kept for at least 5 years. Unused and used papers are returned or securely destroyed as NCFE instructs.

16. Roles and responsibilities

Role	Responsibility
Principal and Director of Education (Head of Centre)	Accountable to NCFE for examination conduct; approves this policy; leads or appoints the lead for malpractice investigations.

Role	Responsibility
Examinations Officer and NCFE Coordinator	Owens this policy; carries out the duties in section 5.
Quality Manager	Oversees IQA of controlled assessments; directs supervised assessments where authenticity is in doubt; approves access arrangements under UKV-QA-18.
Invigilators	Conduct assessments in line with NCFE regulations and this policy; check identity; record incidents.
Registrar	Registers candidates and claims certificates.
Tutors and assessors	Prepare candidates; conduct and authenticate controlled assessments; do not invigilate their own subject's identification checks.
Candidates	Follow the rules in section 10; bring photographic ID; declare authenticity.

17. Awarding organisation requirements

AO	Requirement / escalation route	Source document
NCFE	Conduct external assessments under NCFE regulations and the QSID; written candidate identification procedure; malpractice reported immediately; centre appeals on the learner's behalf within 14 calendar days; complaints then Ofqual.	NCFE Regulations for the Conduct of External Assessment ADEL-003 v2.1; NCFE Malpractice and Maladministration Policy PA-014 v1.1; NCFE Appeals Policy ADEL-002 v2.6; NCFE Complaints and Feedback Policy v1.8 (June 2026)
Pearson	Pearson BTEC Higher Nationals are assessed by assignment under the HN editions; supervised conditions may be required for a resubmission where authenticity is at risk; malpractice reported under JCQ Suspected Malpractice procedures.	Pearson HN Resubmission and Reassessment Policy (July 2026); JCQ Suspected Malpractice Policies and Procedures (current edition)
ATHE, OTHM, Ascentis, IFA Direct	Assessment by assignment; controlled conditions only where the qualification specification requires them.	Relevant qualification specification

18. Related policies and legislation

- UKV-QA-03 Business Continuity, Contingency and Disaster Recovery Policy
- UKV-QA-05 Recruitment and Admission Policy
- UKV-QA-07 Registration and Certification Policy
- UKV-QA-15 Assessment Policy
- UKV-QA-16 Internal Quality Assurance Policy and Procedure
- UKV-QA-18 Reasonable Adjustments, Special Consideration and Mitigating Circumstances Policy
- UKV-QA-20 Malpractice and Maladministration Policy and Procedure
- UKV-QA-21 Conflict of Interest Policy
- UKV-QA-23 Appeals Policy and Procedure

- UKV-QA-29 Data Protection and Records Retention Policy
- UKV-QA-31 Health, Safety and Wellbeing Policy
- UKV-NCFE-FS-P-01 Plagiarism, Malpractice and Examination Conduct Policy v1.0 (18 September 2026)
- JCQ Instructions for Conducting Examinations 2026-27 (good-practice framework)
- JCQ Suspected Malpractice Policies and Procedures (current edition)
- Ofqual General Conditions of Recognition
- Equality Act 2010
- UK GDPR and Data Protection Act 2018, as amended by the Data (Use and Access) Act 2025
- Health and Safety at Work etc. Act 1974

19. Monitoring and review

The Examinations Officer monitors this policy through the security log, incident logs, identification refusals, access arrangements, malpractice reports, NCFE monitoring and EQA findings, and post-results requests. A summary is reported to the Quality Manager each term and to the Academic Board annually.

This policy is reviewed at least annually, and earlier if legislation, AO requirements (including a new edition of NCFE ADEL-003 or the JCQ Instructions for Conducting Examinations), BAC standards, an EQA or inspection action, or a significant incident requires it. The Quality Manager records each version in the Policy Register (UKV-QA-REG v3.0). Examination records are kept for at least 3 years after certification, and malpractice records for at least 5 years.

Approval and review

Stage	Name and role	Date
Prepared by	Director of Education	30 September 2026
Checked by (policy owner)	Examinations Officer	30 September 2026
Approved by	Ramanjeet Singh, Principal and Director of Education, on behalf of the Academic Board	1 October 2026
Next review due	Quality Manager (Shazia Khan) to schedule through the Policy Register UKV-QA-REG	September 2027