CYNGOR GWLEDIG LLANELLI
Adeiladau Vauxhall, Vauxhall, Llanelli, SA15 3BD
Ffiin: 01554 774103

PWYLLGOR YMGYNGHOROL DATBLYGIAD A DYSG
I'w cynnal yn Siambr y Cyngor a thrwy bresenoldeb o bell ar,
Ddydd Ian, 31 Gorffennaf, 2025 4.45 y.h.

PP N G Williams

CLERC Y CYNGOR

24 Gorffennaf, 2025

AGENDA

1. Derbyn ymddiheuriadau am absenoldeb.

2. Derbyn Datganiad o Fuddiannau gan Aelodau mewn perthynas busnes i'w drafod.

3. Polisiau — i ystyried a derbyn y polisiau newydd.

4. Deddf Cyrff Cyhoeddus (Mynediad i Gyfarfodydd), 1960 — i ystyried eithrio aelodau'r cyhoedd pan ystyrir y materion canlynol oherwydd natur gyfrinachol y busnes a drafodir.

5. Rhaglen Twf Swyddi Cymru + -
    (1) I dderbyn a nodi Contract ITEC ar gyfer cyflwyno gwasanaeth 2025/26.
    (2) I dderbyn ac i nodi proffiliau contract Coleg Sir Gar ar gyfer cyflenwi gwasanaeth 2025/26.
    (3) I dderbyn ac ychwanegu at adroddiad EQA City and Guilds ar y Cymhwyster Sgiliau Cyflogadwyedd.
    (4) I dderbyn adroddiad ar ddosbarthu gan y Rheolwr Ffoesieithoedd Ieuenctid.

6. Rhaglen Brentisiaethau —
    (1) I dderbyn a nodi Proffil Contract Academi Sgiliau Cymru 2025/26.
    (2) I dderbyn a nodi cynnydd Ffioedd Rheoli Academi Sgiliau Cymru o Awst 2025.

Aelodau'r Pwyllgor

Cyng: S. R. Bowen (Cadeirydd y Pwyllgor), R. E. Evans (Is-gadeirydd y Pwyllgor) S. N. Lewis, (Arweinydd Y Cyngor), D. M. Cundy, T. M. Donoghue, N. Evans, K. Morgan, J. S. Phillips a O. Williams

LLANELLI RURAL COUNCIL

Vauxhall Buildings, Vauxhall, Llanelli. SA15 3BD
Tel: 01554 774103

LEARNING AND DEVELOPMENT CONSULTATIVE COMMITTEE

To be hosted at the Council Chamber and via remote attendance
on Thursday, 31 July, 2025, at 4.45 p.m.

[signature]

CLER C to the COUNCIL

24 July, 2025

AGENDA

1. To receive apologies for absence

2. To receive Members' Declarations of Interest in respect of the business to be transacted.

3. Policies — to consider and accept the new policies.

4. Public Bodies (Admission to Meetings) Act. 1960 — to consider excluding members of the public during consideration of the following matters owing to the confidential nature of the business to be transacted.

5. Jobs Growth Wales + Programme -
   (1) To receive and note ITEC Contract for service delivery 2025/26.
   (2) To receive and note Coleg Sir Gar Contract profiles for service delivery 2025/26.
   (3) To receive and note the City and Guilds EQA report for the Employability Skills Qualification.
   (4) To receive a report on delivery from the Youth Employment Manager.

6. Apprenticeship Programme -
   (1) To receive and note Skills Academy Wales Contract Profile 2025/26.
   (2) To receive and note Skills Academy Wales Management Fee increase from August 2025.

Members of the Committee:

Cllrs. S. R. Bowen (Chairman of Committee), R. E. Evans (Vice Chairman of Committee), S. N. Lewis (Leader of Council), D. M. Cundy, T. M. Donoghue, N. Evans, K. Morgan, J. S. Phillips and O. Williams

To the Chairman and Members of the
Learning and Development Consultative Committee:

Date of meeting: 31 July, 2025.

Dear Councillor,

NEW POLICIES

1.   PURPOSE OF REPORT

1.1   To present new policies developed for the delivery of training programmes for members' consideration and approval.

2.   NEW POLICIES

2.1   This report outlines new policy introductions designed to ensure the training department maintains compliance with the standards of awarding bodies and meets contractual obligations set by prime contractors. These policies are essential to safeguard funding streams, accreditation status and long-term partnerships.

2.2   Awarding bodies and prime contractors require the training department to adhere to strict quality assurance, data management, safeguarding and delivery standards. With increased scrutiny and evolving compliance frameworks, the introduction of comprehensive internal policies is critical.

2.3   The appended policies developed by the Compliance Manager in collaboration with the training department managers are presented to the committee for review and adoption.

- Additional Learning Needs Policy
- Data Protection Policy
- Fair Access to Assessment, Reasonable Adjustment, and Special Considerations Policy
- Malpractice and Maladministration Policy
- Non-examination/Controlled Assessment Policy
- Procedure for Identifying Candidates in Examinations and Assessments
- Retention of Records Policy

3.   LONG TERM IMPLICATIONS

3.1   The policies in this report are significant in terms of educational quality, compliance and organisational integrity in improving learner outcomes, data governance, equitable assessment practices that support all learners fairly, provide clear accountability and credibility with awarding bodies and prime contractors.

3.2   The introduction of a structured review plan will enhance governance, accountability and adaptability across the department over the long term.

4. SUSTAINABILITY AND WELL-BEING CONSIDERATIONS

4.1 The above will meet the following aims, core values and well-being goals:

Strategic Aim	Core Value	National Well-Being Goal						
		1	2	3	4	5	6	7
Community Development	CD1 CD2 CD3 CD4 CD5 CD6 CD7 CD8 CD9 CD10	✓	✓	✓	✓	✓	✓	✓
Serving the Public	STP1 STP2 STP3 STP4 STP5 STP6 STP7 STP8 STP9 STP10 STP12 STP13	✓		✓	✓	✓	✓	✓
Acting as a Local Voice	LV1 LV2 LV3 LV4 LV5	✓	✓	✓	✓	✓	✓	✓
Quality of Life								
(1) Environment	QL1							
(2) Social Inclusion	QL2 QL3 QL4	✓		✓	✓	✓		✓
(3) Safe and Healthy Places	QL5							
Sports, Leisure and Cultural Activities	SLC3 SLC4	✓						
The Local Economy	LE1 LE2 LE3 LE4	✓	✓		✓			
Local Democracy								
Partnership Working	PW1 PW2 PW5 PW6	✓			✓	✓	✓	✓
Communication	C1 C3 C4 C5 C6 C8 C9 C11	✓	✓	✓	✓	✓	✓	✓
Health and Safety	HS1 HS2 HS3 HS4 HS5	✓		✓	✓	✓		✓
Resources	R1 R2 R3	✓	✓					✓
Management and Control	MC1 MC2 MC3 MC5	✓			✓		✓	✓

5. PUBLIC INVOLVEMENT

5.1 The training department delivers a range of training opportunities for the direct benefit of the public, in turn helping to improve the general quality of life.

6. COLLABORATION OPPORTUNITIES

6.1 The provision of work-based learning supports the on-going collaboration between the council, Welsh Government, prime contractors, awarding bodies and other sector partners. The local business enterprise is supported by upskilling local people through the provision of training opportunities.

7. PREVENTATIVE MEASURES/CONSIDERATIONS

7.1 Staff are provided with appropriate training to ensure they fully understand their roles and responsibilities in relation to each policy.

7.2 All policies are aligned with the requirements of the prime contractors and the awarding bodies. They are reviewed regularly to maintain compliance with current regulations and guidelines.

7.3   Each policy undergoes a risk assessment, with control measures implemented to prevent breaches. Contingency plans are in place to guide corrective actions and establish clear communication protocols in the event of an incident.

7.4   Policies are cross-referenced to ensure consistency, alignment and mutual reinforcement across all areas.

7.5   Secure digital platforms are used for data management, assessments, and record retention. These systems are routinely updated and security checks are conducted to maintain integrity and protection.

7.6   The activities outlined in this report are critical to ensuring the long-term sustainability of the training department and the continued delivery of its services.

8.   RECOMMENDATIONS

8.1   That members approve the new policies.

Yours sincerely,

FINANCE MANAGER

23 July, 2025.

ADDITIONAL LEARNING NEEDS SUPPORT (ALS) POLICY

Applies to:	Assessors/Tutors/Lead Workers
Effective from and replaces all previous policies prior to:	January 2025
Controlled by:	Compliance Manager
Reviewed and monitored by:	Operational Management Team
Approved by	Llanelli Rural Council Learning and Development Consultative Committee
Location:	Teams
Review Frequency:	Annually

Change History Changes to specific sections of this document from the previous version are listed below				
Version No.	Section Reference	Summary of Changes	Author	Date

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Contents

1. Policy Statement

This policy outlines LRC Training's commitment to providing inclusive education that meets the diverse needs of our learners. This Additional Learning Needs Support (ALS) Policy outlines our approach to supporting learners with additional learning needs to ensure their equal access to education and opportunities for success.

LRC Training has a team of Learning Support Assistants (LSAs) who are involved in providing a range of interventions for learners. These interventions are tailored to meet the specific needs of learners, which include literacy and numeracy interventions, as well as a range of other interventions to address other needs, e.g., developing greater emotional literacy through ELSA interventions.

Learning Support staff are available at both training centres: the main Hub, at Vauxhall Buildings, Llanelli, and at its satellite centre at Tŷ Myrddin, Old Station Road, Carmarthen.

2. Definition of Additional Learning Support

Additional Learning Support refers to any provision, intervention, or accommodation designed to support learners who may require extra assistance due to disabilities, learning difficulties, medical conditions, or any other barriers to learning.

3. Legal Framework

This policy is guided by the Additional Learning Needs and Education Tribunal (Wales) Act 2018 and the ALN Code for Wales 2021

This policy also relates to the following legislation:

- Children Act (1989)
- The Education (Special Educational Needs) (Wales) Regulations 2002
- Additional Learning Code for Wales 2021
- Education Act 2022
- Equality Act 2010
- Children and Families Act (2014)
- Special Educational Needs and Disability Regulations (2014)

It aligns with the principles of inclusivity, early identification, and person-centred planning.

4. Objectives

- To identify and assess the ALN of learners promptly and accurately
- To provide tailored support and interventions to meet individual needs
- To ensure learners' views, wishes, and feelings are central to the planning and decision-making process
- To facilitate smooth transitions between different educational settings and stages of education
- To promote collaboration between education, health, and social care services.

5. Principles of Support

- **Inclusivity:** We promote an inclusive environment where all learners are valued and supported regardless of their individual needs
- **Equality:** We strive to ensure equality of opportunity for all learners, including those with additional learning needs
- **Respect:** We respect the dignity and autonomy of learners with additional learning needs, fostering an atmosphere of understanding and acceptance
- **Collaboration:** We work collaboratively with learners, their families, educators, and external support services to identify and address their individual learning needs
- **Accessibility:** We endeavour to make our learning environment and resources accessible to all students, removing barriers to participation and achievement.

6. Identification and Assessment

- **Early identification** - We aim to identify learners with additional learning needs as early as possible through comprehensive assessment and monitoring processes, including observation, screening, and consultation with relevant stakeholders
- **Individual Assessments** - We conduct individualised assessments to identify the specific learning strengths, challenges, and support requirements of each learner
- Involvement of learners and their families in the assessment process.

7. Support and Provision

- **Additional Learning Provision (ALP)** - We ensure ALP is tailored to individual needs, including specialist teaching, assistive technology, and access to therapeutic services
- **Individual Development Plans (IDPs)** - We ensure each learner has an IDP that outlines specific interventions, accommodations, and resources required to facilitate their learning and participation
- **Reasonable Adjustments:** We make reasonable adjustments to our teaching, assessment, and learning environments to accommodate the needs of learners with disabilities or learning difficulties
- **Reviews:** We regularly review and adapt support strategies to ensure their effectiveness
- Collaboration with external agencies and specialists to provide comprehensive support.

8. Inclusion Principles

LRC Training is committed to creating an inclusive learning environment that respects and values diversity by ensuring that all learners have equal access to educational opportunities and resources, and by promoting a culture of acceptance and understanding among staff and learners.

9. Staff Training and Development

We provide ongoing training and support for staff to develop inclusive teaching practices and strategies for supporting learners with ALN.

We offer training to raise awareness and promote understanding of diverse learning needs, fostering a culture of empathy and inclusion within the training department.

10. Monitoring and Evaluation

Regular monthly Progress Reviews are undertaken to monitor the progress of learners with additional learning needs to evaluate the effectiveness of support interventions and to make adjustments as necessary.

Through the use of Progress Reviews, Learner Surveys, and discussions, we seek feedback from learners, families, and staff regarding the adequacy and effectiveness of support provisions, using this feedback to inform continuous improvement efforts.

We ensure compliance with relevant legislation, regulations, and quality standards governing the provision of additional learning support, maintaining a commitment to excellence in inclusive education.

Undertaking an annual review of the policy ensures it remains relevant and effective.

11. Confidentiality and Privacy

We respect the confidentiality and privacy of learners with additional learning needs, ensuring that sensitive information is handled in accordance with data protection regulations and ethical guidelines.

Before sharing any personal information or implementing support interventions, we ensure that informed consent is obtained through the use of Learner Privacy Notices. These notices clearly outline the purpose, scope, and nature of the information to be shared or the interventions to be implemented. We respect the rights of learners and their parents/guardians to make informed decisions about their personal data and support needs.

12. Complaints and Appeals

LRC Training has clear procedures for learners and families to raise concerns or complaints about our ALN provision.

At LRC Training, we are committed to providing a supportive and responsive learning environment. We recognize that from time to time, learners and their families may have concerns or complaints. To ensure these are addressed promptly and fairly, we have established clear procedures.

Learners and their families are encouraged to log any complaints by utilising LRC Training's Appeals Procedure. Additionally, they may refer to LRC Training's Complaints Policy for detailed guidance on how to proceed.

13   Monitoring and Review

This policy will be reviewed annually or in response to changes in legislation or operational requirements.

Data Protection Policy

Applies to:	Assessors / Tutors / Data Admin Team
Effective from and replaces all previous policies prior to:	June 2025
Controlled by:	Compliance Manager
Reviewed and monitored by:	Operational Management Team
Approved by	Llanelli Rural Council Learning and Development Consultative Committee
Location:	Teams
Review Frequency:	Annually

Change History
Changes to specific sections of this document from the previous version are listed below

Version No.	Section Reference	Summary of Changes	Author	Date

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Registered office: LRC Training, Vauxhall Buildings, Llanelli, Carmarthenshire, SA15 3BD

Contents

1. Purpose

Llanelli Rural council has an established Data Protection Policy that governs the management of data across the organisation. This policy for LRC Training aligns fully with the overarching council policy and reflects its principles and standards.

This policy outlines how Llanelli Rural Council Training (LRC Training) collects, uses, stores, and protects personal data in compliance with applicable data protection laws, including the UK General Data Protection Regulation (UK GDPR) and the Data Protection Act 2018.

2. Scope

This policy applies to all staff involved in the delivery, administration, and support of our training programmes, including subcontractors and third-party providers where applicable.

3. Overview

LRC Training is fully committed to compliance with the requirements of the GDPR and all other data protection legislation currently in force. The Regulation applies to anyone processing personal data and sets out principles which should be followed and gives rights to those whose data is being processed.

To this end, LRC Training endorses fully and adheres to the Data Protection Principles listed below. When processing data we will ensure that it is:

- processed lawfully, fairly and in a transparent way ('lawfulness, fairness and transparency')
- processed no further than the legitimate purposes for which that data was collected ('purpose limitation')
- limited to what is necessary in relation to the purpose ('data minimisation')
- accurate and kept up to date ('accuracy')
- kept in a form which permits identification of the data subject for no longer than is necessary ('storage limitation')
- processed in a manner that ensures security of that personal data ('integrity and confidentiality')
- processed by a controller who can demonstrate compliance with the principles ('accountability')

4. Definitions

- **Personal Data:** Any information relating to an identified or identifiable individual
- **Processing:** Any operation performed on personal data, including collection, storage, use, and deletion
- **Data Subject:** the individual whose personal data is being processed

- **Data Controller:** The organisation that determines the purposes and means of processing personal data
- **Data Processor:** A third party that processes personal data on behalf of the data controller.

5. Data Collection

LRC Training collects personal data for the following purposes:

- Enrolling individuals onto the Apprenticeship, Jobs Growth Wales + programmes
- Managing attendance and performance
- Issuing certificates and qualifications
- Evaluating training effectiveness
- Complying with legal and regulatory requirements

6. Lawful Basis for Processing

Personal data is processed based on one or more of the following lawful bases:

- Consent of the data subject
- Performance of a contract
- Compliance with a legal obligation
- Legitimate interests pursued by the training department

7. Data Minimisation

Only data that is necessary for the specified purposes will be collected and processed. Unnecessary data will not be retained.

8. Data Storage and Security

- Access to personal data is restricted to authorised personnel only
- Digital data is stored securely in secure, access-controlled systems on a cloud-based server that meets accepted Cyber Security standards and legal requirements
- Data is encrypted where appropriate and backed up regularly
- Data in paper-based format is stored in secure, lockable, fireproof, non-portable storage containers
- Travelling with hard copies of personal data is to be avoided when electronic storage is available. The device will be kept secure and locked out of sight i.e. in the boot of a car
- When it is essential to travel with hard copies of personal data, this will be kept securely in a bag and where possible, locked away out of sight i.e. in the boot of a car. Data will be removed overnight and kept in a lockable cabinet / container.

9. Data Retention

Personal data will be retained only for as long as necessary to fulfil the purposes for which it was collected, or as required by law. A data retention schedule is maintained and reviewed annually.

10. Data Sharing

Personal data may be shared with:

- Accrediting bodies
- External trainers or facilitators
- Regulatory authorities (where legally required)

All third parties must agree to comply with data protection requirements.

11. Data Subject Rights

Data subjects have the right to:

- Access their personal data within a period of one month of a written request
- Request the correction or deletion of information that is incorrect
- Object to processing
- Request data portability
- Lodge a complaint with the Information Commissioner's Office (ICO)

12. Data Breach Management

All data breaches must be reported immediately to the Data Protection Officer (DPO). Breaches will be investigated and, where necessary, reported to the ICO within 72 hours.

13. Training and Awareness

All staff involved in data processing will receive regular training on data protection principles and practices.

14. Policy Review

This policy will be reviewed annually or in response to significant changes in legislation or departmental practices.

Fair Access to Assessment, Reasonable Adjustment, and Special Considerations Policy

Applies to:	All Learners
Effective from and replaces all previous policies prior to:	March 2025
Controlled by:	Compliance Manager
Reviewed and monitored by:	Operational Management Team
Approved by	Llanelli Rural Council Learning and Development Consultative Committee
Location:	Teams
Review Frequency:	Annually

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2	Cover page	New cover page showing dates of review; contents page added	Compliance Manager	March 2025

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Contents

1. **Purpose**

   This policy ensures that all learners have fair access to assessments and that reasonable adjustments and special considerations are provided to support learners with specific needs.

2. **Scope**

   This policy applies to all learners enrolled in our courses and programmes. It covers all forms of assessment, including exams, coursework, and practical assessments.

3. **Principles**

   - **Equality:** All learners are entitled to fair and equal access to assessments
   - **Inclusivity:** We are committed to creating an inclusive learning environment that accommodates the diverse needs of our learners
   - **Support:** Learners will receive appropriate support to ensure they can demonstrate their knowledge and skills effectively.

4. **Fair Access to Assessment**

   Assessments will be designed to be accessible to all learners, taking into account diverse learning styles and needs.

   Information about assessments, including dates, formats, and criteria, will be provided well in advance to allow learners to prepare adequately.

5. **Reasonable Adjustments**

Reasonable Adjustments are agreed at the pre-assessment planning stage and defined as any action that helps stop, or reduce the effect of a disability or difficulty, which places the Learner at a substantial disadvantage in the assessment situation.

Reasonable adjustments must not, however, affect the reliability or validity of assessment outcomes, nor must they give the learner an assessment advantage over other learners undertaking the same or similar assessments.

Learners with disabilities or specific needs can request reasonable adjustments to assessments. These adjustments may include, but are not limited to, extended time, alternative formats, or the use of assistive technology. To request reasonable adjustments, learners must provide relevant documentation, such as a medical certificate or an educational psychologist's report.

The need for a reasonable adjustment will be individual to the learner and should be discussed firstly between the learner and assessor.
The need for reasonable adjustments must then be discussed with the Internal Quality Assurer, who may also need to get advice or clarification from the Centre Co-ordinator(s) or an External Quality Assurer who will review the request and determine appropriate adjustments in consultation with the learner and relevant staff.

Reasonable adjustments must not affect the validity or reliability of assessment outcomes, but may include:

- changing usual assessment arrangements
- adapting assessment materials
- providing assistance during assessment
- re-organising the assessment physical environment
- using assistive technology.

Reasonable adjustments must be approved and put in place prior to the assessment.

The work produced following a reasonable adjustment must be assessed in the same way as the work for other learners.

6.   Special Considerations

Special considerations may be granted to learners who experience unforeseen circumstances that impact their ability to complete assessments. These circumstances may include illness, bereavement, or other significant personal issues.

A special consideration must not give a learner an unfair advantage over other learners.

A learner who if fully prepared and present for a scheduled assessment may be eligible for special consideration if:

- performance in an assessment is affected by circumstances beyond the control of the learner, e.g. serious disturbance during the assessment
- alternative assessment arrangements, which were agreed, in advance of the assessment proved inappropriate or inadequate
- part of an assessment has been missed due to circumstances beyond the control of the learner.

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

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

Unlike reasonable adjustment, there are no circumstances whereby a centre can apply its own special consideration. The relevant Centre Co-ordinator is to apply to the awarding organisation for special consideration, within 7 days of the assessment taking place.

The awarding organisation can apply a Special Consideration.

7. **Lost or Damaged Work**

When a learner's work has been lost or damaged, the awarding organisation may consider accepting completion of a unit where there is limited available evidence.

The centre must be able to verify that the work was completed and assessed.

Applications to accept evidence that is not available must be submitted to the awarding organisation, the Centre Co-ordinator(s) must also submit evidence of learner achievement (assessment and verification records).

8. **Confidentiality and Support**

All requests for reasonable adjustments and special considerations will be handled confidentially. Information will only be shared with those directly involved in the process.

5

Learners will have access to support services throughout the process to ensure they receive the necessary assistance.

9. Monitoring and Review

LRC Training will regularly review and monitor the implementation of this policy to ensure its effectiveness. This policy will be reviewed annually and updated as necessary.

Malpractice and Maladministration Policy

Applies to:	All staff, learners and stakeholders
Effective from and replaces all previous policies prior to:	March 2025
Controlled by:	Compliance Manager
Reviewed and monitored by:	Operational Management Team
Approved by	Llanelli Rural Council Learning and Development Consultative Committee
Location:	Teams
Review Frequency:	Annually

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2	Whole document	New Malpractice and Maladministration Policy	Compliance Manager	March 2025

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Contents

1. Purpose

The purpose of this policy is to ensure the integrity and credibility of the centre's assessment and certification processes. It aims to prevent, identify and address any instances of malpractice or maladministration, thereby safeguarding the interests of learners, staff, and the awarding organisation. This policy outlines the procedures for reporting, investigating, and resolving such incidents to maintain high standards of quality and fairness.

2. Scope

This policy applies to all staff, learners, and any other individuals involved in the assessment and certification processes at the training centre.

This policy is applicable to all qualifications and courses offered by the training centre and is aligned with the guidelines and regulations set forth by the relevant Awarding Organisations.

3. Policy Statement

Malpractice and maladministration are serious issues that involve failing to adhere to the rules and regulations of examinations or assessments. This policy aims to address and manage any instances of malpractice and maladministration to maintain the integrity and credibility of all qualifications delivered by the centre.

This policy summarises the management of assessment malpractice and maladministration and is aligned with the Joint Council for Qualifications (JCQ) General Regulations for Approved Centres https://www.jcq.org.uk/exams-office/general-regulations/

4. Definition:

4.1 Malpractice involves those acts, which undermine the integrity and validity of assessment, the certification of qualifications and/or damage the authority of those conducting the assessment and certification.

4.2 Maladministration is similar to malpractice, it involves administrative failures that result in non-compliance with the rules and regulations of examinations or assessments.

4.3 LRC Training does not tolerate actions or attempted actions of malpractice or maladministration by learners, assessors, IQAs, tutors and invigilators.

4.4 LRC Training must be vigilant regarding assessment malpractice and maladministration and will deal with this in an open and fair manner. Assessors must confirm that all evidence submitted by the learners is valid, sufficient, authentic, and current. Internal Quality Assurer(s)/Moderator(s) have a Sampling Strategy to ensure consistency of assessment decisions and to confirm that the assessor is consistently acting in accordance with the centre's policies and procedures.

4.5 The Centre Co-ordinator(s) will supervise investigations resulting from allegations of malpractice and maladministration and will inform learners and centre staff suspected of malpractice and maladministration of their rights and responsibilities.

4.6 Awarding organisations reserve the right to withhold the issuing of certificates while an investigation into malpractice is in progress.

5. Learner Malpractice:

Learner malpractice is considered the breach of examination or assessment rules, regulations and requirements. This may include:

- copying the work of others
- pretending to be someone else/impersonation, such as sitting an exam in place of another learner
- fabrication of evidence
- forging signatures
- false declaration of authenticity for portfolio evidence/coursework
- plagiarism
- submitting AI generated text
- submitting work purchased from a third party, such as an essay or assignment writing service
- altering certificates
- obtaining or attempting to obtain secure examination/assessment material
- disseminating or photographing examination material
- inappropriate or abusive content such as, swearing, racist, homophobic, or transphobic remarks.

6. Centre Staff Malpractice/Maladministration:

Centre staff malpractice is the failure to meet the awarding organisation's centre and qualification approval requirements. Examples include:

- producing falsified witness statements
- assisting learners in answering examination questions beyond that which is permitted for example, misusing conditions for special learner requirements
- any action or inaction that allows a learner to have an unfair advantage or causes a learner to be disadvantaged
- failing to keep learner records secure
- falsifying records
- fraudulent certification claims for example, claiming for certificates where there is little, or no evidence to support certification
- failing to provide the staff, resources or systems needed to support assessment, internal quality assurance or certification claims
- failing to maintain accurate records relating to learners, assessment or internal quality assurance for the required period of time
- failure to report any alleged, suspected or actual instances of malpractice or maladministration involving a learner or member of staff to the relevant awarding body

- submitting false or misleading investigation reports that may lead to an incorrect conclusion by the awarding body organisation
- destroying evidence related to a malpractice investigation.

7.   Identification and Reporting

7.1   All staff, learners, and stakeholders must be vigilant in identifying and reporting any suspected malpractice or maladministration. An initial investigation will be undertaken for any instances of alleged or suspected malpractice or maladministration. Where actual malpractice or maladministration is suspected, it must be promptly reported to the Head of Centre who will notify the relevant awarding body organisation's investigation and compliance team within 10 working days of it being reported.

7.2   All reported cases will be thoroughly investigated by a designated team to determine the nature and extent of the malpractice or maladministration. The centre will inform the individual suspected of malpractice or maladministration in writing, making the individual aware of the possible consequences should malpractice be proven.

7.3   The suspected individual will be given the opportunity to respond, preferably in writing to the allegations made.

7.4   The centre will also inform the individual of the Awarding Organisation's appeal procedure should a judgement be made against them.

7.5   Appropriate actions and sanctions will be applied based on the findings of the investigation. This may include retraining, disciplinary action, or other measures to prevent recurrence.

7.6   Depending on the outcome of the investigation by an awarding organisation, certificates may be recalled and declared invalid.

7.7   All instances of malpractice and maladministration, along with the actions taken, will be documented and recorded for audit purposes and future reference. They will also be reported to the main Commissioned Contract Holders. If practitioner related, they will be reported to EWC.

7.8   Regular communication and training will be provided to all staff and stakeholders to ensure awareness and understanding of the rules, regulations, and procedures related to examinations and assessments.

By adhering to this policy, we aim to uphold the highest standards of integrity and fairness in all our examination and assessment processes.

NON-EXAMINATION / CONTROLLED ASSESSMENT POLICY

Applies to:	Assessors/Tutors
Effective from and replaces all previous policies prior to:	June 2025
Controlled by:	Compliance Manager
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1. Purpose of the policy

This policy affects the delivery of qualifications which contain a component(s) of non-examination assessment.

The regulators' definition of an examination is very narrow. In effect, a non-examination assessment (NEA) is classified as any type of assessment that is not:

- set by an awarding body
- designed to be taken simultaneously by all relevant candidates at a time determined by the awarding body, and
- taken under conditions specified by the awarding body (including conditions relating to the supervision of candidates during the assessment and the duration of the assessment)

The purpose of this policy, as defined by JCQ, is to:

- cover procedures for planning and managing non-examination assessments
- define staff roles and responsibilities for non-examination assessments
- manage risks associated with non-examination assessments

The policy will need to cover all types of non-examination assessment. (NEA, section 1)

2. What are non-examination assessments?

Non-examination assessments measure subject-specific knowledge and skills that cannot be tested by timed written papers.

There are three assessment stages and rules which apply to each stage. These rules often vary across subjects. The stages are:

- task setting
- task taking
- task marking. (NEA, section 1)

3. Procedures for planning and managing non-examination assessments identifying staff roles and responsibilities

3.1 The basic principles

Head of centre

- Submits an online 'Head of Centre declaration' (managed as part of the National Centre Number Register annual update) to confirm awareness of, and that relevant centre staff are adhering to, the latest version of NEA
- Ensures the centre's Non-examination Assessment Policy is fit for purpose and covers all types of non-examination assessment
- Ensures the centre's Internal Appeals Procedure clearly details the procedure to be followed by candidates (or their parents/carers) appealing against internal assessment decisions (centre assessed marks) and request a review of the centre's marking.

Senior managers/leaders

- Ensure the correct conduct of non-examination assessments which comply with the NEA and awarding body subject-specific instructions
- Ensure the centre-wide calendar records assessment schedules (*if applicable*) by the start of the academic year
- Confirms that appropriate awarding body forms and templates for non-examination assessments are used by teachers/assessors and candidates
- Ensures appropriate procedures are in place to internally standardise/verify the marks awarded by subject teachers/assessors in line with awarding body criteria
- Where not provided by the awarding body, ensures a centre-devised template is provided for candidates to keep a detailed record of their own research, planning, resources etc.
- Ensures subject teachers understand their role and responsibilities within the non-examination assessment process and are trained sufficiently in the delivery of NEA
- Ensures appropriate centre-devised templates are provided to capture/record relevant information is received and understood by candidates
- Ensures NEA and relevant awarding body subject specific instructions are followed in relation to the conduct of non-examination assessments
- Works with the QA lead/Lead internal verifier to ensure appropriate procedures are followed to internally standardise/verify the marks awarded by subject teachers/assessors.

Subject teacher/assessor

- Understands and complies with the general instructions as detailed in NEA
- Where these may also be provided by the awarding body, understands and complies with the awarding body's specification for conducting non-examination assessments, including any subject-specific instructions, teacher's notes or additional information on the awarding body's website
- Marks internally assessed work against the criteria provided by the awarding body
- Ensures the exams officer is provided with relevant entry codes for subjects (whether the entry for the internally assessed component forms part of the overall entry code for the qualification or is made as a separate unit entry code) to the internal deadline for entries.

Exams officer

- Makes subject exam entries ensuring that the internally assessed component forms part of the entry
- Signposts centre staff to the JCQ NEA publication which is updated annually
- Carries out tasks where these may be applicable to the role in supporting the administration/management of non-examination assessment.

4.   Task Setting

Subject teacher/assessor

- Selects tasks to be undertaken provided by the awarding body *or* designs tasks where this is permitted by criteria set out within the subject specification
- Makes candidates aware of the criteria used to assess their work.

Ensures where the centre is responsible for task-setting, the awarding body's specification to ensure that the assessment criteria can be met and that tasks are accessible to candidates is referred to.

4.1   Issuing of tasks

Subject teacher/assessor

- Determines when set tasks are issued by the awarding body
- Identifies date(s) when tasks should be taken by candidates
- Access set tasks in sufficient time to allow planning, resourcing and teaching and ensures that materials are stored securely at all times
- Ensures the correct task is issued to candidates.

5.   Task taking

5.1 Supervision

In accordance with the *JCQ Instructions for conducting non-examination assessments*, where appropriate to the component being assessed, the following arrangements apply unless the awarding body's specification says otherwise.

Invigilators and display of the *JCQ Unauthorised items poster* and the JCQ *Warning to candidates* are **not** required.

Candidates **do not** need to be directly supervised at all times. The use of resources, including the internet, is not tightly prescribed. The centre will always check the subject-specific requirements issued by the awarding body.

The centre will ensure that:

- There is sufficient supervision of every candidate to enable work to be authenticated
- The work that an individual candidate submits for assessment is their own.

Work may be completed outside of the centre without direct supervision, provided that the centre is confident that the work produced is the candidate's own. Candidates may normally:

- Have unlimited access to electronic and printed resources
- Use the internet without restriction
- Work in groups.

Where candidates work in groups, the teacher/assessor should keep a record of each candidate's contribution so that it is possible to attribute assessable outcomes to individual candidates.

The centre will ensure that candidates understand what they need to do to comply with the regulations for non-examination assessments.

http://www.jcq.org.uk/exams-office/information-for-candidates-documents

The centre will ensure that candidates:

- Understand that information from all sources must be referenced
- Receive guidance on setting out references
- Are aware that they must not plagiarise other material.

5.2   Advice and feedback

Subject teacher/assessor

As appropriate to the subject/component, the teacher/assessor advises candidates on relevant aspects before candidates begin working on a task. Such aspects include:

- Sources of information
- Relevance of materials/concepts
- Structure of the response (e.g. chapter titles and content)
- Techniques of data collection
- Techniques of data presentation
- Skills of analysis and evaluation
- Health and safety considerations, including the use of equipment
- Potential ethical considerations
- Security of their work.

Model answers or writing frames specific to the task (such as outlines, paragraph headings or section headings) **must not** be provided.

Unless prohibited by the awarding body's specification, teachers/assessors may:

- Review candidates' work and provide oral and written advice at a **general** level
- Having provided advice at a general level, allow candidates to revise and re-draft their work
- Give clear advice on referencing and identify unreferenced sources to avoid plagiarism
- Record any assistance given beyond general advice and take this into account when marking or submitting it to the external examiner
- Ensure when work has been assessed, candidates are not allowed to revise it.

Annotations should be used to explain how marks were applied in the context of the additional assistance given.

5.3 Resources

Candidates are permitted to use source material, including the internet and AI, when researching and planning their tasks and will **normally** have unrestricted access to resources.

Subject teacher/assessor

- Refers to the awarding body's specification and/or associated documentation to determine if candidates have restricted/unrestricted access to resources when planning and researching their tasks
- Refers to the *JCQ AI Use in Assessments: Protecting the Integrity of Qualifications* http://www.jcq.org.uk/exams-office/malpractice
- Make candidates aware of the appropriate and inappropriate use of AI, the risks of using AI, and the possible consequences of using AI inappropriately in a qualification assessment
- Ensures conditions for any formally supervised sessions are known and put in place
- Ensures conditions for any formally supervised sessions are understood and followed by candidates

- Ensures appropriate arrangements are in place to keep the work to be assessed, and any preparatory work, secure between any formally supervised sessions, including work that is stored electronically
- Ensures candidates understand that they are not allowed to introduce improved notes or new resources between formally supervised sessions
- Ensures that where appropriate to include references, candidates keep a detailed record of their own research, planning, resources etc.

5.4 Word and time limits

Subject teacher/assessor

- Refers to the awarding body's specification to determine where word and time limits apply/are mandatory
- Ensure where limits are for guidance only, discourage learners from exceeding them.

5.5 Collaboration and group work

Subject teacher/assessor

- Unless stated otherwise in the awarding body's specification, and where appropriate, allows candidates to collaborate when carrying out research and preparatory work
- Ensures that it is possible to attribute assessable outcomes to individual candidates
- Ensures that where an assignment requires written work to be produced, each candidate writes up their own account of the assignment
- Assesses the work of each candidate individually.

5.6 Authentication procedures

Unless stated otherwise within the awarding body's specification, candidates are free to collaborate when carrying out research and preparatory work.

Where the specification permits, some assignments may be undertaken as part of a group. The specification may place a restriction on the maximum size of the group. It **must** be possible to attribute assessable outcomes to individual candidates.

Subject teacher/assessor

- Ensure candidates sign a declaration confirming the work they submit for final assessment is their own unaided work
- Signs the teacher declaration of authentication confirming the requirements have been met

- Keeps signed candidate declarations on file until the deadline for requesting reviews of results has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later
- Provides signed candidate declarations where these may be requested by a JCQ Centre Inspector (Electronic signatures are acceptable)
- Where there may be doubt about the authenticity of the work of a candidate or if malpractice is suspected, follows the authentication procedures and malpractice information in NEA and informs a member of the senior leadership team
- Understands that if, during the external moderation process, it is found that the work has not been properly authenticated, the awarding body will set the mark(s) awarded by the centre to zero.

5.7 Presentation of work

Subject teacher/assessor

- Obtains informed consent at the beginning of the course from parents/carers if videos or photographs/images of candidates will be included as evidence of participation or contribution
- Instructs candidates to present work as detailed in NEA unless the awarding body's specification gives different subject-specific instructions
- Instructs candidates to add their candidate number, centre number and the component code of the assessment as a header/footer on each page of their work
- Ensures if candidates' work is to be submitted electronically, that it meets the awarding body's specified requirements.

5.8 Keeping materials secure

Where candidates are producing work over a period of time under formal supervision, their work **must** be stored securely between sessions.

The centre will ensure that any work submitted by a candidate is kept secure.

Work that is stored in hard-copy format will be stored in a securely locked cabinet or cupboard.

Where work is stored electronically, access to this material will be restricted. The centre will utilise appropriate security safeguards such as firewall protection and virus scanning software. An effective back-up strategy will also be employed to ensure an up-to-date archive of candidates' evidence is maintained.

Consideration will be given to encrypting sensitive digital media to ensure the security of the data stored within it. The centre will refer to awarding body guidance to ensure that the method of encryption is suitable.

Subject teacher/assessor

- Ensures work is stored securely between sessions (if more than one session)

- When work is submitted by candidates for final assessment, ensures work is securely stored
- Follows secure storage instructions as defined in NEA 4.8
- Takes reasonable precautions when work is taken home for marking
- Stores internally assessed work, including the sample returned after awarding body moderation, securely until all possible post-results services have been exhausted
- If post-results services have not been requested, returns internally assessed work to candidates (if requested by a candidate) after the deadline for requesting a review of results for the relevant series
- If post-results services have been requested, returns internally assessed work to candidates (if requested by a candidate) one the review of results and any subsequent appeal has been completed
- Reminds candidates of the need to keep their own work secure at all times and not share completed or partially completed work on-line on social media or through any other means (reminds candidates of the contents of the *JCQ information for candidates – social media* publication)
- Where work is stored electronically, liaises with the IT manager/Pisys to ensure the protection and back-up of candidates' work and that appropriate arrangements are in place to restrict access to it between sessions
- Understands that during the period from the submission of work for formal assessment until the deadline for requesting a review of results, copies of work may be used for other purposes, provided that the originals are stored securely as required.

6A. Task marking – externally assessed components

6a.1 Conduct of externally assessed work

The format of external assessment will vary according to the specification and the component.

Some components, for example, may have a Visiting Examiner. Other components will require candidates' work to be despatched to an examiner or uploaded electronically. The centre will refer to the subject-specific arrangements of the awarding body's specification and/or administration guide.

Any externally assessed components will be conducted within a window as specified by the awarding body.

Subject teacher/assessor

- Liaises with the exams officer regarding the arrangements for any externally assessed components of a specification which must be conducted within a window of dates specified by the awarding body and where applicable, according to *JCQ Instructions for conducting examinations*
- Liaises with the Visiting Examiner where this may be applicable to any externally assessed component.

Exams officer

- Arranges timetabling, rooming and invigilation where and if this is applicable to any externally assessed non-examination component of a specification
- Conducts the externally assessed component within the window specified by the awarding body and according to the *JCQ instructions for conducting examinations.*

6a.2 Submission of work

Subject teacher/assessor

- Pays close attention to the completion of the attendance register, if applicable.

Exams officer

- Provides the attendance register to the subject teacher/assessor where applicable
- Ensures the awarding body's attendance register for any externally assessed component is completed correctly
- Where candidates' work must be despatched to an awarding body's examiner or uploaded electronically, ensures this is completed by the date specified by the awarding body
- Keeps a copy of the attendance register until after the deadline for reviews of results for the exam series
- Packages the work as required by the awarding body and attaches the examiner address label
- Ensures that the package in which the work is despatched is robust and securely fastened
- Despatches the work to the awarding body's instructions by the required deadline.

6B. Task marking – internally assessed components

6b.1 Marking and annotation

Teachers/assessors are responsible for marking work in accordance with the marking criteria detailed in the relevant specification and associated subject-specific documents.

Teachers/assessors will not use artificial intelligence as the sole means of marking candidates' work.

To facilitate the standardisation of marking within the centre, and enable the moderator to check that marking is in line with the assessment criteria, teacher/assessor annotation will be used to provide evidence to indicate **how** and **why** marks have been awarded.

Head of centre

- Makes every effort to avoid situations where a candidate is assessed by a person who has a close personal relationship with the candidate, for example, 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)
- Where this cannot be avoided, ensures the possible conflict of interest is declared to the relevant awarding body and the marked work is submitted for moderation whether or not it is part of the moderation sample.

Subject head/lead

- Sets timescales for teachers/assessors to inform candidates of their centre-assessed marks that will allow sufficient time for a candidate to appeal an internal assessment decision/request a review of the centre's marking prior to the marks being submitted to the awarding body external deadline.

Subject teacher/assessor

- Accesses awarding body training/updates as required to ensure familiarity with the mark scheme/marking process
- Marks candidates' work in accordance with the marking criteria provided by the awarding body
- Annotates candidates' work as required to facilitate internal standardisation of marking and enable external moderation to check that marking is in line with the assessment criteria
- Informs candidates of their marks which could be subject to change by the awarding body moderation process
- Ensures candidates are informed of the timescale set by the subject lead or as indicated in the centre's *internal appeals procedure* to enable an internal appeal/request for a review of marking to be submitted by a candidate and the outcome known before final marks are submitted to the awarding body.

6b.2 Internal standardisation

Quality assurance (QA) Lead/Lead Internal Verifier (Senior Leadership Member – Exams)

- Ensures that internal standardisation of marks across assessors and teaching groups takes place as required and to sequence
- Supports staff not familiar with the mark scheme (e.g. supply staff etc.)
- Ensures accurate internal standardisation – for example by:
  - obtaining reference materials at an early stage in the course
  - holding a preliminary trial marking session prior to marking
  - carrying out further trial marking at appropriate points during the marking period

- o after most marking has been completed, holds a further meeting to make final adjustments
- o making final adjustments to marks prior to submission, retaining work and evidence of standardisation
- o Retains evidence that internal standardisation has been carried out.

Subject teacher/assessor

- Indicates on work (or cover sheet) the date of marking
- Marks to common standards
- Keeps candidates work secure until after the closing date for review of results for the series concerned or until any appeal, malpractice or other results enquiry has been completed, whichever is later.

6.b.3   Consortium arrangements

Subject head/lead

- Ensures a consortium co-ordinator is nominated (where this may be required as the consortium lead)
- The consortium lead liaises with the exams officer to ensure the relevant awarding body is informed that the centre is part of a consortium by submitting form *JCQ/CCA centre consortium arrangements for centre-assessed work*
- Submits a new application for each examination series no later than the published deadline
- Ensures procedures for internal standardisation as a consortium are followed.

Subject teacher/assessor

- Provides marks to the exams officer to the internal deadline
- Provides the moderation sample to the exams officer to the internal deadline
- Retains all candidates' work in the consortium until after the deadline for reviews of results for the exam series concerned or until any appeal, malpractice or other results enquiry has been completed, whichever is later.

Exams officer

- Where the centre is the consortium lead:
- submits an online notification of *Centre consortium arrangements for centre-assessed work* to the relevant awarding body through the Centre Admin Portal (CAP) by no later than the published deadline for each exam series affected; this can be accessed via any of the awarding bodies' secure extranet sites

- submits marks for home centre candidates to the awarding body deadline
- where relevant, liaises with the other exams officers within the consortium to arrange despatch of a single moderation sample to the awarding body deadline.

6b.4   Submission of marks and work for moderation

Subject teacher/assessor

- Inputs and submits marks online, via the awarding body secure extranet site, keeping a record of the marks awarded, to the external deadline or, provides marks to the exams officer to the internal deadline
- Where responsible for marks input, ensures checks are made that marks for any additional candidates are submitted and ensures mark input is checked before submission to avoid transcription errors
- Submits the requested samples of candidates' work to the awarding body moderator by the external deadline, keeping a record of the work submitted or, provides the moderation sample to the exams officer to the internal deadline
- Ensures that where a candidate's work has been facilitated by a scribe or practical assistant, the relevant completed cover sheet is securely attached to the front of the work and sent to the moderator in addition to the sample requested
- Ensures the moderator is provided with authentication of candidates' work, confirmation that internal standardisation has been undertaken and any other subject-specific information where this may be required
- Submits any supporting documentation required by the awarding body or, provides the exams officer with any supporting documentation required by the awarding body.

Exams officer

- Inputs and submits marks online, via the awarding body secure extranet site, keeping a record of the marks submitted, to the external deadline. Confirms with subject teachers/assessors that marks have been submitted to the awarding body deadline
- Where responsible for marks input, ensures checks are made that marks for any additional candidates are submitted and ensures mark input is checked before submission to avoid transcription errors
- Submits the requested samples of candidates' work to the moderator by the awarding body deadline, keeping a record of the work submitted. Confirms with subject teachers/assessors that the moderation sample has been submitted to the awarding body deadline
- Ensures that for postal moderation:
- work is dispatched in packaging provided by the awarding body
- moderator label(s) provided by the awarding body are affixed to the packaging
- proof of dispatch is obtained and kept on file until the successful issue of final results

- Through the subject teacher/assessor, ensures the moderator is provided with authentication of candidates' work, confirmation that internal standardisation has been undertaken and any other subject-specific information where this may be require
- Through the subject teacher/assessor, submits any supporting documentation required by the awarding body.

7. Storage and retention of work after submission of marks

Subject teacher/assessor

- Keeps a record of names and candidate numbers for candidates whose work was included in the moderation sample
- Retains all marked candidates' work (including any sample returned after moderation) under secure conditions for the required retention period
- In liaison with the IT manager/Pisys, takes steps to protect any work stored electronically from corruption and has a back-up procedure in place
- If retention is a problem because of the nature of the work, retains some form of evidence such as photos, audio or media recordings.

Exams officer

- Ensures any sample returned after moderation is logged and returned to the subject teacher/assessor for secure storage and required retention.

8. External moderation – the process

The purpose of moderation is to ensure that the standard of marking is consistent across all centres.

The awarding body (or the moderator acting on its behalf) specifies the sample which will include work from across the range of attainment at the centre.

Subject teacher/assessor

- Ensures that the awarding body or its moderator receive the correct samples of candidates' work
- Where relevant, liaises with the awarding body/moderator where the moderator visits the centre to mark the sample of work
- Complies with any request from the moderator for remaining work or further evidence of the centre's marking.

External moderation – feedback

Subject head/lead

- Checks the final moderated marks when issued to the centre when the results are published

- Checks moderator reports and ensures that any remedial action, if necessary, is undertaken before the next exam series.

Exams officer

- Accesses or signposts moderator reports to relevant staff
- Takes remedial action, if necessary, where feedback may relate to centre administration.

9.   Access arrangements and reasonable adjustments

In principle, if a candidate has an access arrangement as part of their normal way of working within the centre and meets the published criteria for the arrangement, then it will normally be permitted for written examinations and non-examination assessments. *JCQ Access Arrangements and Reasonable Adjustments, 1 September 2024 to 31 August 2025:*

http://www.jcq.org.uk/exams-office/access-arrangemetns-and-special-considerations

Subject teacher/assessor

- Works with the ALS lead/SENCo to ensure any access arrangements for eligible candidates are applied to assessments.

Special educational needs coordinator (SENCo)

- Follows the regulations and guidance in the *JCQ Access Arrangements and Reasonable Adjustments* publication in relation to non-examination assessments
- Where arrangements do not undermine the integrity of the qualification and is the candidate's normal way of working, will ensure access arrangements are in place and awarding body approval, where required, has been obtained prior to assessments taking place
- Makes subject teachers aware of any access arrangements for eligible candidates which need to be applied to assessments
- Works with subject teachers to ensure requirements for access arrangement candidates requiring the support of a facilitator in assessments are met
- Ensures that staff acting as an access arrangement facilitator are fully trained in their role.

10.   Special consideration and loss of work

Subject teacher

- Understands that a candidate may be eligible for special consideration in assessments in certain situations where a candidate is absent and/or produces a reduced quantity of work

- Liaises with the exams officer when special consideration may need to be applied for a candidate taking assessments
- Liaises with the exams officer to report loss of work to the awarding body.

Exams officer

- Refers to/directs relevant staff to the *JCQ publication, **A guide to the special consideration process***
  - Where a candidate is eligible, submits an application for special consideration via the awarding body's secure extranet site to the prescribed timescale
  - Where application for special consideration via the awarding body's secure extranet site is not applicable, submits the required form to the awarding body to the prescribed timescale
  - Keeps required evidence on file to support the application
- Refers to/directs relevant staff where applicable to *Form 15 – JCQ/LCW* and where applicable submits to the relevant awarding body.

11. Malpractice

Head of centre

- Understands the responsibility to immediately report to the relevant awarding body any alleged, suspected or actual incidents of malpractice involving candidates or centre staff
- Ensures any irregularity identified by the centre before the candidate has signed the authentication statement (where required) are dealt with under its own internal procedures, with no requirement to report the irregularity to the awarding body (the only exception being where the awarding body's confidential assessment materials has been breached, the breach must be reported to the awarding body)
- Is familiar with the *JCQ Suspected Malpractice: Policies and Procedures*
- Ensures that those members of teaching staff involved in the direct supervision of candidates producing non-examination assessment are aware of the potential for malpractice and ensures that teaching staff/assessors are reminded that failure to report allegations of malpractice or suspected malpractice constitutes as malpractice in itself.

Subject teacher/assessor

- Is aware of the *JCQ Notice to Centres – Sharing NEA material and candidates' work* to mitigate against candidate and centre malpractice
- Ensures candidates understand what constitutes malpractice in non-examination assessments
- Ensures candidates understand the *JCQ Information for candidates – non-examination assessments* document

- Ensures candidates understand the *JCQ Information for candidates – Social media* document
- Escalates and reports any alleged, suspected or actual incidents of malpractice involving candidates to the head of centre.

Exams officer

- Signposts the *JCQ Suspected Malpractice: Policies and Procedures* to the head of centre
- Signposts the *JCQ Notice to Centres – Sharing NEA material and candidates' work* to subject heads
- Signposts candidates to the relevant *JCQ information for candidates'* documents
- Where required, supports the head of centre in investigating and reporting incidents of alleged, suspected or actual malpractice.

12. Post-results services

Head of centre

- Is familiar with the *JCQ* publication *Post-Results Services*
- Ensures the centre's *internal appeals procedure* clearly details the procedure to be followed by candidates (or their parents/carers) appealing against a decision not to support an application for a review of results or an appeal.

Subject head/lead

- Provides relevant support to subject teachers making decisions about reviews of results.

Subject teacher/assessor

- Provides advice and guidance to candidates on their results and the post-results services available
- Provides the exams officer with the original sample or relevant sample of candidates' work that may be required for a review of moderation to the internal deadline.

Exams officer

- Is aware of the individual post-results services available for externally assessed and internally assessed components of non-examination assessments as detailed in the *JCQ Post-Results Services (Information and guidance to centres...)* publication
- Provides/signposts relevant centre staff and candidates to post-results services information
- Ensures any requests for post-results services that are available to non-examination assessments are submitted online via the awarding body secure extranet site to deadline.

13. Management of issues and potential risks associated with non-examination assessments

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
Centre staff malpractice	*Records confirm that relevant centre staff are familiar with and follow:* • *The current JCQ publication Instructions for conducing non-examination assessments* • *The JCQ document Notice to Centres – Sharing NEA material and candidates' work –* *www.jcq.org.uk/exams-office/non-examination-assessments*	Head of Centre/ Exams Officer
Candidate malpractice	*Records confirm that candidates are informed and understand they must not:* • *Submit work which is not their own* • *Make available their work to other candidates through any medium* • *Allow other candidates to have access to their own independently sourced material* • *Assist other candidates to produce work* • *Use books, the internet, AI or other sources without acknowledgement or attribution* • *Submit work that has been word processed by a third party without acknowledgement* • *Include inappropriate, offensive or obscene material* *Records confirm that candidates have been made aware of the JCQ documents Information for candidates – non-examination assessments and Information for candidates – Social Media –* *www.jcq.org.uk/exams-office/information-for-candidates-documents and understand they must not post their work on social media.*	Subject lead/ Line Manager
Task setting		
Awarding body set task: IT failure/corruption of task details where set task details accessed from the awarding body online	*Awarding body key date for accessing/downloading set task noted prior to start of course* *IT systems checked prior to key date* *Alternative IT system used to gain access* *Awarding body contacted to request direct email of task details.*	Exams Officer
Centre set task: Subject teacher fails to meet the assessment criteria as detailed in the specification	*Ensures that subject teachers access awarding body training information, practice materials etc.* *Records confirmation that subject teachers understand the task setting arrangements as defined in the awarding body's specification* *Samples assessment criteria in the centre set task.*	Subject lead/Line Manager
Candidates do not understand the marking criteria and what they need to do to gain credit	*A simplified version of the awarding body's marking criteria described in the specification that is not specific to the work of an individual candidate or group of candidates is produced for candidates* *Records confirm all candidates understand the marking criteria* *Candidates confirm/record they understand the marking criteria*	Teacher/ Assessor

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Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
Subject teacher long term absence during the task setting stage	*Refer to the centre's Exam Contingency Plan (Teaching staff extended absence)*	
Issuing of tasks		
Awarding body set task not issued to candidates on time	*Awarding body key date for accessing set task as detailed in the specification noted prior to start of course* *Course information issued to candidates contains details when set task will be issued and needs to be completed by* *Set task accessed well in advance to allow time for planning, resourcing and teaching.*	Teacher/ Assessor
The wrong task is given to candidates	*Ensures course planning and information taken from the awarding body's specification confirms the correct task will be issued to candidates* *Awarding body guidance sought where this issue remains unresolved*	Subject lead/ Line Manager
Subject teacher long term absence during the issuing of tasks stage	*Refer to centre's Exam Contingency Plan (Teaching staff extended absence).*	
A candidate (or parent/carer) expresses concern about safeguarding, confidentiality or faith in undertaking a task such as a presentation that may be recorded	*Ensures the candidate's presentation does not form part of the sample which will be recorded* *Contacts the awarding body at the earliest opportunity where unable to record the required number of candidates for the monitoring sample*	Subject Lead
Task taking		
Supervision		
Planned assessments clash with other centre or candidate activities	*Assessment plan identified for the start of the course* *Assessment dates/periods included in centre wide calendar*	Subject teacher/ Assessor/ Line Manager
Rooms or facilities inadequate for candidates to take tasks under appropriate supervision	*Timetabling organised to allocate appropriate rooms and IT facilities for the start of the course* *Staggered sessions arranged where IT facilities insufficient for number of candidates* *Whole cohort to undertake written task in large exam venue at the same time (exam conditions do not apply).*	Teacher/ Subject lead
Insufficient supervision of candidates to enable work to be authenticated	*Confirm subject teachers are aware of and follow the current JCQ publication Instructions for conducting non-examination assessments and any other specific instructions detailed in the awarding body's specification in relation to the supervision of candidates* *Confirm subject teachers understand their role and responsibilities as detailed in the centre's non-examination assessment policy.*	Subject lead/ Line Manager
A candidate is suspected of malpractice prior to submitting their work for assessment	*Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (section 9 Malpractice) are followed* *An internal investigation and where appropriate internal disciplinary procedures are followed*	Subject lead/ Head of Centre

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
Access arrangements were not put in place for an assessment where a candidate is approved for arrangements	*Relevant staff are signposted to the JCQ publication **A guide to the special consideration process (section 2)**, to determine the process to be followed to apply for special consideration for the candidate.*	ALS lead/ SENCo/ Exams Officer
Advice and feedback		
Candidate claims appropriate advice and feedback not given by subject teacher prior to starting on their work	*Ensures a centre-wide process is in place for subject teachers to record all information provided to candidates before work begins as part of the centre's quality assurance procedures* *Regular monitoring of subject teacher completed record and sign-off to confirm monitoring activity* *Full records kept detailing all information and advice given to candidates prior to starting on their work as appropriate to the subject component* *Candidate confirms/records advice and feedback given prior to starting their work.*	Teachers/ Subject leads/ Compliance Manager
Candidate claims no advice and feedback given by subject teacher during the task-taking stage	*Ensures a centre-wide process is in place for subject teachers to record all advice and feedback provided to candidates during the task-taking stage as part of the centre's quality assurance procedures.*	Teachers/ Assessor/ Subject lead
A third party claims that assistance was given to candidates by the subject teacher over and above that allowed in the regulations and specification	*An investigation is conducted; candidates and subject teacher are interviewed and statements recorded where relevant* *Records as detailed above are provided to confirm all assistance given* *Where appropriate, a suspected malpractice report is submitted to the awarding body.*	Head of Centre
Candidate does not reference information from published source	*Candidate is advised at a general level to reference information before work is submitted for formal assessment* *Candidate is again referred to the JCQ document **Information for candidates: non-examination assessments*** *Candidates' detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion.*	Teacher/ Assessor/ Subject lead
Candidate does not set out references as required	*Candidate is advised at a general level to review and re-daft the set out of references before work is submitted for formal assessment* *Candidate is again referred to the JCQ document **Information for candidates: non-examination assessments*** *Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion.*	Teacher/ Assessor/ Subject lead
Candidate joins the course late after formally supervised task taking has started	*A separate supervised session (s) is arranged for the candidate to catch up.*	Teacher/ Assessor/ Subject lead
Candidate moves to another centre during the course	*Awarding body guidance is sought to determine what can be done depending on the stage at which the move takes place.*	Exams Officer
An excluded learner wants to complete a non-examination assessment(s)	*The awarding body specification is checked to determine if the specification is available to a candidate outside mainstream education* *If so, arrangements for supervision, authentication and marking are made separately for the candidate.*	Exams Officer

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
Resources		
A candidate augments notes and resources between formally supervised sessions	*Preparatory notes and the work to be assessed are collected in and kept secure between formally supervised sessions* *Where memory sticks are used by candidates, these are collected in a kept secure between formally supervised sessions* *Where work is stored on the centre's network, access for candidates is restricted between formally supervised sessions.*	Teacher/ Assessor/ Subject lead
A candidate fails to acknowledge sources on work that is submitted for assessment	*Candidate's detailed record of his/her own research, planning, resources etc. is checked to confirm all the sources used, including books, websites and audio/visual resources* *Awarding body guidance is sought on whether the work of the candidate should be marked where candidate's detailed records acknowledges sources appropriately* *Where confirmation is unavailable from candidate's records, awarding body guidance is sought and/or a mark of zero is submitted to the awarding body for the candidate.*	Teacher/ Assessor/ Subject lead
Word and time limits		
A candidate is penalised by the awarding body for exceeding word or time limits	*Records confirm the awarding body specification has been checked to determine if word or time limits are mandatory* *Where limits are for guidance only, candidates are discouraged from exceeding them* *Candidates confirm/record any information provided to them on word or time limits is known and understood.*	Subject lead/ Line Manager
Collaboration and group work		
Candidates have worked in groups where the awarding body states this is not permitted	*Records confirm the awarding body specification has been checked to determine if group work is permitted* *Awarding body guidance sought where this issue remains unresolved.*	Teacher/ Assessor/ Subject lead
Authentication procedures		
A teacher has doubts about the authenticity of the work submitted by a candidate for internal assessment Candidate plagiarises other material	*Records confirm subject staff have been made aware of the JCQ document **Notice to Centres – Sharing NEA material and candidates' work*** *Records confirm that candidates have been issued with the current JCQ document **Information for candidates: non-examination assessments*** *Candidates confirm/record that they understand what they need to do to comply with the regulations for non-examination assessments as outlined in the JCQ document **Information for candidates: non-examination assessments*** *The candidate's work is not accepted for assessment* *A mark of zero is recorded and submitted to the awarding body.*	Teacher/ Assessor/ Subject lead
Candidate does not sigh their authentication statement/declaration	*Records confirm that candidates have been issued with the current JCQ document **Information for candidates: non-examination assessments*** *Candidates confirm/record they understand what they need to do to comply with the regulations as outlined in the JCQ document **Information for candidates: non-examination assessments*** *Declaration is checked for signature before accepting the work of a candidate for formal assessment.*	Teacher/ Assessor/ Subject lead
Subject teacher not available to sign authentication forms	*Ensures a centre-wide process is in place for subject teachers to sign authentication forms at the point of marking candidates work as part of the centre's quality assurance procedures.*	Exams Officer

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
Presentation of work		
Candidate does not fully complete the awarding body's cover sheet that is attached to their work submitted for formal assessment	*Cover sheet is checked to ensure it is fully completed before accepting the work of a candidate for formal assessment.*	Teacher/ Assessor/ Subject lead
Keeping materials secure		
Candidates work between formal supervised sessions is not securely stored	*Records confirm subject teachers are aware of and follow current JCQ publication **Instructions for conducting non-examination assessments*** *Regular monitoring/internal audit ensures subject teacher use of appropriate secure storage*	Subject lead/ Line Manager
Adequate secure storage not available to subject teacher	*Records confirm adequate/sufficient secure storage is available to subject teacher prior to the start of the course* *Alternative secure storage sourced where required*	Subject lead/ Line Manager
Candidates work produced electronically is not securely stored	*Records confirm subject teachers are aware of and follow current JCQ publication **Instructions for conducting non-examination assessments*** *Internal processes and regular monitoring/internal audit by IT Manager/Compliance Manager ensures the following using the systems set out below:* • *Access to this material is restricted* • *Appropriate security safeguards are in place* • *An effective back-up strategy is employed so that an up to date archive of candidates' evidence is maintained* • *Any sensitive digital media is encrypted (according to awarding body guidance to ensure that the method of encryption is suitable) to ensure the security of the data stored within it.* *Where a networked computer is used, network drive access is controlled by Microsoft Active Directory.* *Internet access is content filtered or blocked by use of a Firewall.* *Data saved on networked drives are backed up daily.* *Data stored on USB drives should also be saved on a network drive in case the USB drive fails or is lost.*	IT Manager/ Pisys Compliance Manager
Task marking – externally assessed components		
A candidate is absent on the day of the examiner visit for an acceptable reason	*Awarding body guidance is sought to determine if alternative assessment arrangements can be made for the candidate. If not, eligibility for special consideration is explored and a request submitted to the awarding body where appropriate.*	Exams Officer
A candidate is absent on the day of the examiner visit for an unacceptable reason	*The candidate is marked absent on the attendance register.*	Exams Officer
Task marking – internally assessed components		
A candidate submits little or no work	*Where a candidate submits no work, the candidate is recorded as absent when marks are submitted to the awarding body*	Teachers/ Subject lead

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Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
	Where a candidate submits little work, the work produced is assessed against the assessment criteria and a mark allocated appropriately; where the work does not meet any of the assessment criteria a mark of zero is submitted to the awarding body.	
A candidate is unable to finish their work for unforeseen reasons	*Relevant staff are signposted to the JCQ publication **A guide to the special consideration process (section 5)**, to determine eligibility and the process to be followed for shortfall in work.*	Subject Lead
The work of a candidate is lost or damaged	*Relevant staff are signposted to the JCQ publication **Instructions for conducting non-examination assessments (section 8)**, to determine eligibility and the process to be followed for lost or damaged work.*	Subject lead
Candidate malpractice is discovered	*Instructions and processes in the current JCQ publication **Instructions for conducing non-examination assessments (section 9 Malpractice)** are followed* *Investigation and reporting procedures in the current JCQ publication **Suspected Malpractice: Policies and Procedures** are followed* *Appropriate internal disciplinary procedures are also followed.*	Head of Centre
A teacher assesses the work of a candidate with whom they have a close personal relationship e.g. 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)	*A possible conflict of interest is declared by informing the awarding body before the published deadline for entries for each examination series* *Marked work of said candidate is submitted for moderation whether part of the sample requested or not.*	Head of Centre
An extension to the deadline for submission of marks is required for a legitimate reason	*Awarding body is contacted to determine if an extension can be granted* *Relevant staff are signposted to the JCQ publication **A guide to the special consideration process (section 5)**, to determine eligibility and the process to be followed for non-examination assessment extension.*	Senior Lead/Exams Officer
After submission of marks, it is discovered that the wrong task was given to candidates	*Awarding body is contacted for guidance* *Relevant staff are signposted to the JCQ publication **A guide to the special consideration process (section 2)**, to determine eligibility and the process to be followed to apply for special consideration for candidates.*	Senior Lead/Exams Officer
A candidate wishes to appeal/request a review of the marks awarded for their work by their teacher	*Candidates are informed of the marks they have been awarded for their work prior to the marks being submitted to the awarding body* *Records confirm candidates have been informed of their marks* *Candidates are informed that these marks are subject to change through the awarding body's moderation process* *Candidates are informed of their marks to the timescale identified in the centre's internal appeals procedure and prior to the internal deadline set by the exams officer for the submission of marks* *Through the candidate exam handbook, candidates are made aware of the centre's internal appeals procedures and timescale for submitting an appeal request for a review of the*	Teacher/ Subject lead

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
	centre's marking prior to the submission of marks to the awarding body.	
Deadline for submitting work for formal assessment not met by candidate	*Records confirm deadlines given and understood by candidates at the start of the course* *Candidates confirm/record deadlines known and understood* *Depending on the circumstances, awarding body guidance sought to determine if the work can be accepted late for marking providing the awarding body's deadline for submitting marks can be met* *Decision made (depending on the circumstances) if the work will be accepted late for marking or a mark of zero submitted to the awarding body for the candidate.*	Teacher/ Subject lead
Deadline for submitting marks and samples of candidates work ignored by subject teacher	*Internal/external deadlines are published at the start of each academic year* *Reminders are issued through senior leaders/subject heads as deadlines approach* *Records confirm deadlines known and understood by subject teachers* *Where appropriate, internal disciplinary procedures are followed.*	Teacher/ Subject lead/ Line Manager
Subject teacher long term absence during the marking period	*See centre's Exam Contingency Plan (Teaching staff extended absence).*	

PROCEDURE FOR IDENTIFYING CANDIDATES IN EXAMINATIONS AND ASSESSMENTS

Applies to:	Assessors/Tutors
Effective from and replaces all previous policies prior to:	June 2025
Controlled by:	Compliance Manager
Reviewed and monitored by:	Operational Management Team
Approved by	Llanelli Rural Council Learning and Development Consultative Committee
Location:	Teams
Review Frequency:	Annually

Change History Changes to specific sections of this document from the previous version are listed below				
Version No.	**Section Reference**	**Summary of Changes**	**Author**	**Date**

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Contents

1. Policy Statement

This procedure is reviewed and updated annually to ensure that procedures to verify the identity of all candidates that are entered for examinations or assessments at LRC Training are managed in accordance with current requirements and regulations.

References in this procedure to GR and ICE refer to the JCQ publications *General Regulations for Approved Centres (GR)* and *Instructions for Conducting Examinations (ICE).*

The purpose of this procedure is to confirm that LRC Training:

- Verifies the identity of all students that it enters for examinations or assessments (GR 5.6)
- Has processes in place to be satisfied that all candidate identities have been checked (GR 5.6)
- Has written procedures in place to verify the identity of all candidates at the time of the examination or assessment. (GR 5.9)

2. Process to check candidate identity

Internal candidates

The identity of students on enrolment at LRC Training is checked as part of the initial registration process. (GR 5.6)

This is done by the relevant programme Tutor/Assessor, and further checked by Administrative staff who check and verify each student's information for eligibility purposes.

Private candidates

The identity of students (private candidates), not on a roll at a centre but who may be accepted to take examinations, must be checked by a verification process which involves photo-ID. (GR 5.6)

At LRC Training:

Private candidates must provide photographic identification. The student's identity will be checked by confirming it against their passport, driving licence or other Government-issued identity card.

3. Procedures to verify candidate identity at the time of the examination/assessment

Invigilators are able to establish the identity of all candidates sitting examinations by following the arrangements in place to carry out adequate checks. (ICE 16.1)

The arrangements at LRC Training are:

- All students will be asked to show photographic documentary evidence to prove that they are the same person who entered/registered for the examination/assessment, e.g. passport or photographic driving licence (ICE 16.2)
- Where it is impossible to identify a candidate due to the wearing of religious clothing, such as a veil, the candidate will be approached by a member of staff of the same gender and taken to a private room where they will be politely asked to remove the religious clothing for identification purposes (ICE 16.3)
- Invigilators will be informed of those candidates with access arrangements prior to the start of all exams, and made aware of the access arrangement(s) awarded (ICE 16.4)
- Students enter the examination room through one single door. Senior members of centre staff (approved by the Head of Centre) may be present outside the examination room to assist with the identification of candidates as they enter the examination room. Additionally, senior members of centre staff who have not taught the subject being examined may also, if necessary, assist with the identification of candidates within the examination room
- A register of candidates is taken by invigilators before the examination starts. The candidates are asked their name, and this is confirmed against the register.
- Once the identity of all students has been confirmed, the examination may commence.

4. Roles and Responsibilities

The role of the Examination Officer

- Through training, ensure invigilators are aware of the procedures for verifying the identity of all candidates at the time of the examination or assessment (ICE 16.1)
- Prior to the examination, inform a private/external candidate or a transferred candidate who is not known to the centre that they must show photographic documentary evidence to prove that they are the same person who entered/registered for the examination/assessment, e.g. passport or photographic driving licence (ICE 16.2)
- Inform candidates prior to their first examination that where it is impossible to identify a candidate due to the wearing of religious clothing, such as a veil, the candidate will be approached by a member of staff of the same gender and taken to a private room where they will be politely asked to remove the religious clothing for identification purposes and that once identification has been established, the candidate should replace, for example, their veil and proceed as normal to sit the examination (ICE 16.3)
- Prior to the beginning of the examination, brief invigilators on those candidates with access arrangements and make them aware of the access arrangement(s) awarded (ICE 16.4)

Retention and Disposal Policy

Applies to:	Assessors/Tutors/Lead Workers/Data Admin Team
Effective from and replaces all previous policies prior to:	June 2025
Controlled by:	Compliance Manager
Reviewed and monitored by:	Operational Management Team
Approved by	Llanelli Rural Council Learning and Development Consultative Committee
Location:	Teams
Review Frequency:	Annually

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Version No.	**Section Reference**	**Summary of Changes**	**Author**	**Date**

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Contents

1. Purpose

Llanelli Rural council has an established Retention and Disposal Policy that governs the management of records across the organisation. This policy for LRC Training aligns fully with the overarching council policy and reflects its principles and standards.

This policy applies to all learner records for the training department and outlines the procedures for the collection, storage, retention, and disposal of learner records within LRC Training. It ensures compliance with contractual, legal, regulatory, and quality assurance requirements, including but not limited to data protection legislation and awarding body standards.

By adhering to this policy, LRC Training supports the effective, secure, and compliant management of learner information, safeguarding both the integrity of its training provision and the rights of learners.

2. Scope

This policy applies to all staff involved in the delivery, administration, and support of our training programmes, including subcontractors and third-party providers where applicable.

The Data Admin Team is responsible for storing and archiving physical and digital data/documentation in line with Welsh Government requirements set out within the Welsh Government Programme Specification and Guidance Document.

3. Overview

Historically, WBL learner records have been managed separately from learner portfolios when using hard copy files. However, with the introduction of the Smart Assessor (SA) system, learner records containing compliance programme paperwork are now combined with portfolio evidence.

This procedure addresses the secure retention, archiving, and disposal of all learner records, including those held on the SA system, that include the compliance programme paperwork.

Within SA, compliance programme paperwork and portfolio evidence are stored together. Data teams within LRC Training are required to separate these documents for ease of processing terminations. A dedicated Compliance Folder within the evidence library is to be used to store completed forms, facilitating easy downloading at the end of the learning programme.

Copies of the compliance programme paperwork is to be extracted from SA at the end of the learning programme (once all programme evidence, including the framework certificate, has been obtained) and are to be securely downloaded to a protected server. This backup safeguards compliance records against potential loss within SA, ensuring accessibility even if issues arise within the system.

4. Definitions

- **Learner Records:** Any information related to a learner's identity, enrolment, progress, assessment, and achievement
- **Retention Period:** The length of time learner records are kept before being securely destroyed or archived
- **Data Protection:** Compliance with the UK GDPR and Data Protection Act 2018.

5. Types of Learner Records

The following records must be maintained:

- Personal details (e.g., name, contact information, date of birth)
- Enrolment forms
- Learning agreements and individual learning plans
- Attendance records
- Assessment records and feedback
- Certificates and evidence of achievement
- Correspondence with learners.

6. Data Protection and Confidentiality

- All learner data must be handled in accordance with data protection laws
- Learners must be informed of how their data will be used and stored
- Consent must be obtained where required.

7. Record Keeping Procedures

All learner records must be accurate, up-to-date, and securely stored.

- Digital/electronic data records and documents must be stored in secure, access-controlled systems on a cloud-based server that meet accepted Cyber Security standards and legal requirements
- If records are kept in paper-format they will be stored in individual folders. All paper records will be stored in secure, lockable, fireproof, non-portable storage containers
- During transportation, learner files are to be kept secure in a vehicle and removed overnight to then be returned and kept in a lockable cabinet / container.

8. Archiving

All archived records require a basic level of security to ensure their authenticity and integrity, and to prevent misuse. This will be achieved by:

- Having a designated area specifically for paper archive records, with restricted access limited to the Data Admin team and Managers only
- Password protecting all digital archived records, assigning responsibility for managing access to a senior officer or administration manager.

To ensure that all records have been captured and correctly archived, a dedicated Data Admin staff member is responsible for performing a full reconciliation of archived records for the full contract year against a Maytas report in December, following the closure of the previous contract year.

8.1 Paper Records:

- Paper records are to be securely archived on site at Vauxhall Buildings for approximately two years
- Archived paper records that are over two years are to be relocated to secure off-site storage premises owned by Llanelli Rural Council
- Any relocation of data is to be recorded by the Data Admin Team on the Archive Register detailing the Box Number, Box Label/Contents Dates, Secure Storage Location, Earliest Destruction Date and Actual Destruction Date
- Any requests for Archived data must be recorded on the Archive Tracking Schedule to ensure any files retrieved from archives can be monitored until they are returned – Box Ref, Box Name, File Title, Borrower Name and Reason, Date out, Borrower's initials.

8.2 Digital Records:

- Digital records are to be stored securely in a designated area specifically for Archive Records on platforms such as SA or encrypted cloud storage, with restricted access limited to Admin staff and Managers only
- Individual folders containing archived records must be password protected
- A complete record of Digital Archive Records stored on the cloud-based server is to be entered on the Archive Register, in addition to the Prime Contractor Archive Record Spreadsheet
- Responsibility for managing access to Archived Records will be assigned to the Administration Manager

9. Record Retention Schedules and Legal Compliance

WBL learner records that contain the compliance programme paperwork, in either hard copy or electronic format, must **not be destroyed until official written confirmation is received from Medr** confirming that records may be disposed of.

All file storage systems, physical or digital, must be clearly marked with "Do Not Destroy" labels or equivalent notices to ensure staff are aware of the retention requirements and do not dispose of any files prematurely.

In terms of other evidence such as, portfolio evidence, EQA reports, or contractual data reports, staff must consider the Data Protection Act 2018 and the UK General Data Protection Regulation (UK GDPR), when storing information for longer than necessary.

Retention periods must be:

- Justifiable and reasonable
- Aligned with any stipulated regulatory timeframes
- Compliant with requirements from external bodies such as the Welsh Government, awarding organisations, or examination boards.

Where no specific regulatory timeframe exists, retention periods must be supported by a clear, documented rationale that considers the necessity of keeping the records for legitimate operational or legal purposes.

The Record Retention Schedule must also inform the timely disposal or preservation of records and support proper maintenance during the retention period.

10.   Secure Disposal of records

Records should not be deleted or disposed of in an ad hoc or unmanaged manner. The uncontrolled destruction of learner records can lead to possible breaches of confidentiality and data protection legislation.

Formal written notification must be received from Medr confirming that the destruction of records can be undertaken before any action is taken to destroy records.

When records have reached their retention period, data will be disposed of securely and confidentially.

When appraising records for destruction (deletion), LRC Training will:

- Ensure all staff involved in destruction are trained and aware of confidentiality requirements and procedures
- Use the Archive Record Spreadsheet to provide the basis of selection and to document the destruction accordingly. Consider any special circumstances which may alter the situation for individual records, e.g. records involved in an on-going insurance claim or Freedom of Information request should not be destroyed, even if due for destruction
- Ensure destruction is authorised by a senior member of staff
- Ensure all copies of records scheduled for destruction are destroyed, including those stored electronically on internal servers and on the SA database
- Ensure all records are destroyed in a confidential and non-recoverable manner. Paper records will be placed in a confidential waste bag, collected and incinerated by a registered external company. Digital records will be permanently deleted from all systems and backups
- Keep a record of all deleted records.

11.   Responsibilities

- **Head of Centre:** Overall responsibility for policy implementation and compliance

- **Data Protection Officer:** Ensures adherence to data protection regulations
- **Assessors, Trainers and Admin Staff:** Responsible for accurate and secure record keeping.

12.   Monitoring and Review

This policy will be reviewed annually or in response to changes in legislation or operational requirements.

Compliance will be monitored through internal audits and quality assurance processes.