



Security of Examinations and Assessments Procedures

Introduction

Higher education providers have an obligation to ensure that the awards they make meet nationally agreed standards. The [UK Quality Code for Higher Education](#) requires providers to “operate equitable, valid and reliable processes of assessment” in order to achieve this. This means that assessments must accurately reflect or test the extent to which students have achieved the learning outcomes of their programme. The Security of Examinations and Assessments Procedures are in place to ensure that summative examinations and assessments at the School are operationally conducted in a secure way, to ensure minimal opportunities for students to commit academic misconduct, including plagiarism, self-plagiarism, and contract cheating. They must be consistently implemented to ensure safeguard the integrity of the assessment process and in turn the integrity of the academic standards of each award, thereby ensuring fairness to all students.

These Procedures have been developed in line with the [UK Quality Code for Higher Education](#) and in relation to the QAA’s [UK Quality Code for Higher Education Advice and Guidance – Assessments](#) and its advisory document, [Contracting to Cheat in Higher Education](#) (2017). They should be read in conjunction with the School’s [Assessment and Classification Framework](#), and its [Academic Misconduct Policy and Procedure](#).

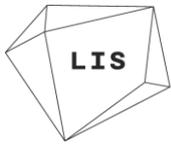
Summative examinations and assessments at the School will take a variety of forms, including written assignments, presentations, groupwork, and skills performance, and may include examinations. Some of these may be under proctored, time-constrained conditions such as an unseen examination, an in-class test or written piece of work, an in-class presentation or a piece of personal reflection. The forms of assessment and their weighting and timing are set out in the School’s module forms and programme specifications.

Linked Policies, Procedures and Regulations

The School’s [General Academic Regulations](#) contain the School’s policies and procedures in relation to assessment, progression and award of credit, including:

- [Assessment and Classification Framework](#)
- [Marking and Moderation Policy](#)
- [Assessments Approval Procedure](#)
- [Academic Misconduct Policy and Procedure](#)
- [Deferral, Extension and Extenuating Circumstances Policy and Procedure](#)
- [Academic Appeals Procedure.](#)

The School’s [Governance Overview](#) sets out the membership and terms of reference of the Board of Examiners.



The School's [External Examiners Policy and Procedure](#) covers the recruitment, role and support provided to External Examiners.

Procedures

The Security of Examinations and Assessments Procedures have been designed to mitigate against potential risks to the integrity of assessments. They comprise:

- A. Invigilation Guidelines
- B. Protocol for the Authoring, Storage, Printing and Transport of Assessment Instruments
- C. Protocol for the Collection, Storage and Delivery of Assessment Scripts (student answers)
- D. Protocol for the Establishment of the Record of Results
- E. Protocol for the Recommendation of Awards
- F. Strategy to Prevent Plagiarism
- G. Protocol for Release of Results
- H. Staff Training in Assessment Security

A. Invigilation Guidelines

Introduction

This document sets out the guidelines for the appointment, training and instruction of invigilators for School examinations, the duties that invigilators must undertake, and any other rules relating to permitted student conduct in the examination room.

Appointment, training and instruction of invigilators

The number of invigilators required in each examination room will be determined by the Registrar. The Teaching and Learning Department will nominate invigilators to the Registrar at least four weeks in advance of the examination; and the Registrar will appoint a chief invigilator for each examination.

All invigilators must complete a training session conducted by the Registrar or their nominee, which will cover these guidelines.

The Registrar will provide a copy of these Guidelines to all appointed invigilators as part of their training session. Ahead of each examination, the Registrar will notify the invigilators of:

- The location, date and time of the examination;
- The number of candidates, and their candidate numbers;
- Examination materials to be provided by the School;



- Examination-specific instructions provided by the module leader;
- The names of the invigilators;
- Any arrangements for concessions for students with specific learning differences and/or disabilities.

Where an assessment involves online assessment tasks, the invigilators must be familiar with the software and must know what the candidates are expected to do during the assessment, so that they can spot any attempts to cheat.

Invigilators must meet the Registrar or their nominee at the location of the examination an hour prior to the examination for a briefing. The chief invigilator will be responsible for conducting the layout of the examination room and will be given the contact details of the internal examiner or their nominee should any student queries arise during the examination. Invigilators will place the appropriate examination papers on each desk, together with any other examination materials, before the candidates are admitted to the room.

Examination Room

The location, equipment and furniture of the examination room will be determined by the Registrar their nominee in consultation with the module lead.

Examination accommodation space and furniture shall be sufficient to enable the examination to be conducted with integrity,

A clock, visible to all candidates, will be on the wall.

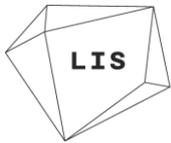
When more than one examination is held in the same room, each examination shall commence and end at the same time to avoid disturbing candidates.

Where a candidate with a specific learning difference and/or a disability or medical condition has been granted additional time or other provision in the taking of an examination, the Registrar or their nominee, in liaison with the Student Support Department, shall determine whether that candidate should take the examination in the main centre with their peers or in separate accommodation.

Admission of Candidates to the Examination Room

Candidates will be admitted to the room in sufficient time, as determined by the chief invigilator, to be seated and receive any instructions so that the examination may begin at the designated time.

Candidates will not be admitted after the beginning of the examination. They may leave the room temporarily at any time for a bathroom break provided they are accompanied by an invigilator; once they have submitted their answer paper, however, they may not return to the examination room.



Invigilators must check that each candidate has displayed their candidate identification card on their desk and that the photographic identification matches with the candidate. If a student does not have their identification card, they should provide another form of photographic identification.

Announcements to candidates before examination starts

The chief invigilator must make the following announcements to candidates before the examination begins:

- Only authorised materials should be on candidates' desks during the examination. Any other materials be placed in a separate, designated part of the room;
- Mobile phones and smart watches must be placed in a separate designated part of the room;
- Each student must display their identification card or substitute on their desk throughout the examination;
- Candidates should complete the front cover of their answer booklets at the beginning of the examination;
- Candidates should carefully read all instructions on the examination paper;
- Candidates should check that they have the right examination paper;
- Candidates should note the duration of the examination;
- Candidates may submit their answer paper and leave at any time.
- If a candidate needs to leave the room temporarily, they must be accompanied by an invigilator;
- The times at which candidates will be informed of time remaining.

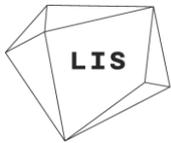
These instructions will be written on a noticeboard in the examination room for any students arriving after the start of the examination.

Availability of the Internal Examiner

Throughout the examination, an internal examiner or a nominee who is familiar with the examination paper will be available for consultation either in person or by telephone by the chief invigilator, to answer any queries raised by candidates. Any responses will be stated to the candidates by the chief invigilator and written upon a whiteboard for students who arrive later within the examination window.

The internal examiner or nominee will communicate any clarifications shared with the Registrar, who will ensure that they are communicated to all students taking the examination.

End of the examination



The chief invigilator must end the examination on time and require candidates to put down their pens immediately. The chief invigilator will instruct students to remain in their seats until the invigilators have collected each student's

- Examination answer booklet(s) together with any additional sheets appended;
- Rough working on scrap paper;
- The examination instrument.

Candidates may not remove any question papers, answer books, paper or any other examination materials from the room when they leave.

The invigilators must record whether or each candidate has submitted an answer booklet for all relevant parts of the examination.

All answer booklets must be collated into the pre-agreed bundles for distribution to examiners. Each bundle must contain a top-sheet recording the scripts included by examination, student number and whether or not they cover all relevant parts of the examination. Each pack must be secured either by lawyres tape or be contained in a robust envelope.

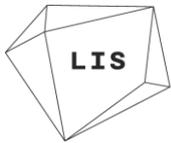
Examiners are permitted to collect their bundles of scripts either from the examination centre or from the Registry. In each case the examiner must check the bundle allocated to him or her and sign for its receipt. Any bundles that cannot be collected at the examination centre must be stored in a secure area of the Registry in a locked cabinet. Bundles that are required to be delivered to an examiner must be delivered either by an approved member of staff, by approved courier or by recorded delivery. In each case a receipt is required from the recipient.

All other material collected from the examination centre (scrap paper and question papers) must be stored in the Registry until the marking process has been completed in case missing scripts are identified. Once the marking process is completed all other material from the examination centre may be securely recycled.

The chief invigilator must complete a report on the conduct of the examination, noting any exceptional circumstances or suspected academic misconduct, and submit it to the Registrar.

Exceptional circumstances

If an examination room has to be evacuated for any reason, the chief invigilator must instruct candidates to leave all examination papers and materials on their desks and proceed to the nearest exit. The chief invigilator should be the last person to leave the room, and should then seek guidance from the Registrar. Once candidates are readmitted to the examination room, they will be given new instructions by the chief invigilator as to the new start time and any additional time allowed.



If a candidate becomes ill during an examination, the chief invigilator should take direct them to medical assistance and report the occurrence to the Registrar.

Academic Misconduct

Where an invigilator suspects a candidate of academic misconduct, the chief invigilator shall warn the candidate that a report will be made. The chief invigilator should remove the candidate's answer book, endorse it as being completed prior to the discovery of the incident, and attach any unauthorised materials to it. The candidate should then be given a new answer book and permitted to continue. The incident must be reported in the chief invigilator's report to the Registrar; the candidate will be invited to verify the report and/or add a statement to the report. Further information on Academic Misconduct can be found in the School's [Academic Misconduct Policy and Procedure](#).

B. Protocol for the Authoring, Storage, Printing and Transport of Assessment Instruments

Roles and responsibilities

The **Registrar** is responsible for ensuring that the Registry has within it a secure area, with appropriate security and safeguards, and with equipment and furnishings such as a secure computer, printer, lockable cabinets and a secured safe.

The **Registrar** or their nominee is responsible for ensuring arrangements are in place for the proper conduct of each examination, including the security, delivery and receipt of examination papers and scripts.

Protocols

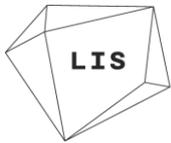
It is imperative that there can be confidence in the integrity of the School's academic standards. A key aspect of this is to ensure the security of assessment instruments at all stages of their development and use. The School has agreed, therefore, that the following protocols must be observed in the authoring, storage, printing and transport of assessment instruments.

Authoring and sharing

An assessment instrument is comprised of two parts: the assessment question(s) or issues to be put to students, and the marking criteria to be applied to the students' answers.

The composition of written assessment instruments must take place only on LIS staff servers, within secure, password protected drives. The Registrar shall specify which drive(s) staff may use and shall ensure that these are secure, password protected and encrypted.

Only members of academic staff directly involved in the authoring of assessment instruments, the Registrar and nominated staff of the Registry may be afforded access to these secure drives.



To reduce risk, the assessment instrument must not be emailed internally between collaborators. Collaboration and editing must only take place via the LIS server and secure drive.

Where an assessment instrument is shared externally (for example with an External Examiner), this must only be done by secure email, from an LIS address. The assessment instruments must be password protected with the password sent in a different email.

Once an assessment instrument has received final approval under the [Assessments Approval Procedure](#), it must be saved on the secure drive and market as approved, with a label populated with the name of the examination or assessment and its date and time of deployment.

Testing Summative Online Assessment Tasks

The technology being used for all summative online assessment tasks must be tested before students undertake the assessment.

Printing and storage

The printing of assessment instruments will be undertaken by named and trained members of Registry staff and conducted within the secure area of the Registry. The number of question papers and time of printing will be logged on a form attached to the papers and the number endorsed.

The printed papers will then be stored in an insurance approved, industry standard, biometric safe within the secure area of the Registry. Access to the safe will be limited to nominated personnel.

Each time the safe is opened a log must be completed as to the purpose and action taken.

No one may take a copy of the assessment instrument out of the secure area of the Registry other than to deliver it to the examination centre or to otherwise release it to students at the appropriate time e.g. in the case of a takeaway assignment.

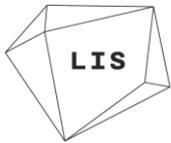
Where the summative assessment is online, it must be stored in a secure, server, password-protected with restricted user access.

Delivery and Collection

Printed assessment instruments may only be transported by an approved member of staff.

At each point of delivery or handover of printed copies of an assessment instrument or the collection or delivery of student scripts a record must be made of the handover transaction signed by both parties. The record must be on LIS headed paper and follow the approved format. The record must contain:

1. The name of the examination or assessment;
2. The date of the examination or release of the assessment;
3. The number of copies of the assessment instrument;



4. The location and time of handover;
5. The names and signatures of the persons delivering receiving the assessment instruments.

The record must then be scanned and stored in the relevant electronic folder on the secure drive and the hard copy filed and retained until results have been released and the appeals period has expired.

C. Protocol for the Collection, Storage and Delivery of Assessment Answer Scripts (student answers)

Assessment answer scripts must be collected, collated, stored and delivered to examiners securely.

An assessment answer script may be in the form of a written answer on paper, a written answer in electronic form or an audio/visual recording of a presentation, performance or viva voce examination.

Proctored Examinations

Proctored examinations are conducted under the School's regulations pertaining to the conduct and invigilation of examinations as set out in the School's Invigilation Guidelines (see Section A above), which should be read in conjunction with this protocol.

At the end of the examination students must not be allowed to leave the examination until the invigilators have collected each student's:

- a. Examination answer booklet(s) together with any additional sheets appended;
- b. Rough working on scrap paper;
- c. The examination instrument.

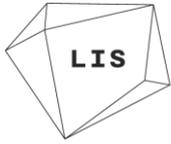
The invigilators must record on the designated form whether or not each candidate has submitted an answer booklet for all relevant parts of the examination.

All answer booklets must be collated into the pre-agreed bundles for distribution to examiners. Each bundle must contain a top-sheet recording the scripts included by examination, student number and whether or not they cover all relevant parts of the examination (see below).

Each pack must be secured either by lawyers tape or be contained in a robust envelope.

Examiners are permitted to collect their bundles of scripts either from the examination centre or from the Registry.

At each point of delivery or receipt of answer scripts a record must be made of the handover signed by both parties. The record must be on LIS headed paper and follow the approved format. The record must contain:



- The name of the examination or assessment;
- The date of the examination or release of the assessment;
- The number of student scripts and the candidate number of each student and, where applicable, a record of whether or not the student has submitted a script against each part of the assessment;
- The location and time of handover;
- The names and signatures of the persons delivering receiving the papers.

The record must then be scanned and stored in the relevant electronic folder on the secure drive and the hard copy filed and retained until results have been released and the appeals period has expired.

Following collection examiners are responsible for the security of the bundle(s) of answer scripts allocated to them. Failure to take appropriate measures to secure and safeguard scripts is a disciplinary offence.

Any bundles that cannot be collected at the examination centre must be taken by a member of Registry staff back to the Registry and stored in the secure area in a locked cabinet.

In exceptional circumstances bundles that are required to be delivered to an examiner must be delivered either by an approved member of staff or by approved courier. In each case the record of receipt form must be signed by the recipient and any discrepancy raised immediately with the Registrar or his nominee.

All other material collected from the examination centre (scrap paper and question papers) must be stored in the Registry until the marking process has been completed in case missing scripts are identified. Once the marking process is completed all other material from the examination centre may be securely recycled.

Takeaway Assignments

Takeaway assignments must be submitted through Turnitin by the deadline specified.

Students may run their assignments through Turnitin to generate a text-match report prior to submitting.

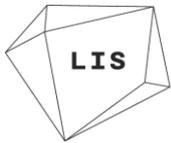
Turnitin will generate an electronic receipt, which should be retained by the student.

Bundles must be collected by or delivered to examiners in accordance with the protocol applying to proctored examinations.

Audio/Visual Submissions

Audio-visual recordings must be delivered to the Registry in electronic form.

The Registry will download the recordings on to a LIS server and secure drive;



The Registry will collate recordings into password protected folders allocated to individual markers.

The Registry will contact examiners with details of their password and the location of their folder.

D. Protocol for the Establishment of the Record of Results

Once the marking and internal and external moderation process has been completed, examiners must return to the Registry:

- a. Each student answer script;
- b. The grading and feedback sheet for each student;
In the case of electronic, audio-visual recordings the grading and feedback sheet may be stored with the recording in the previously allocated folder.

The Registry will enter the marks from each grading and feedback sheet onto the student's Record of Results. In doing so the Assessments Officers will:

- a. Have been trained on data entry;
- b. Follow the requirements of the LIS student information system;
- c. Follow the conventions of the programme's assessment structure;
- d. Address any automated error reports that arise during the entry of assessment results.

For each assessment instrument 10% of the marks will be double-checked by a separate member of staff. Where errors are found the complete population input by that member of staff will be double checked.

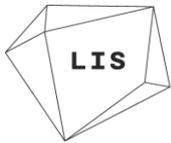
The LIS Student Record System will collate individual student records into a single, cohort Record of Results document for presentation to the Board of Examiners. All student results will be double-checked before entry into the Student Record System.

The Record of Results document will be reviewed prior to the Board of Examiners by each module leader and the Director of Teaching and Learning to ensure the pattern of marks appear consistent and no system errors have arisen.

Following the entry of assessment results the answer scripts and feedback sheets will be stored securely within the Registry until the assessment feedback, verification, and appeals periods have expired at which point they will be archived in line with the School's [Data Retention Policy and Detailed Data Retention Schedule](#).

E. Protocol for the Recommendation of Awards

Awards recommended by the Board of Examiners of LIS must be approved by the School's Academic Council. This protocol sets out the steps to be taken from the confirmation of



results by the Board of Examiners to communication of those results to the Academic Council.

1. During the meeting of the Board of Examiners (the Board), the Secretary to the Board of Examiners will annotate the Record of Results in accordance with the decisions of the Board. At the end of the meeting the annotated Record of Results will be reviewed and signed by the Chair of the Board, the Programme Leader and the External Examiner(s).
2. The Secretary will then immediately submit by hand the signed and annotated Record of Results to the Registry.
3. The Registry staff will enter the approved results onto the assessments database.
4. A sample of 10% of the results entered will be audited for error. In the case of any errors being discovered all the marks entered by the member(s) of staff who committed the errors must be checked.
5. The Registry shall produce:
 - F7 Sheet
 - A final Record of Results
 - Award Recommendation ListAll documents must be signed as indicated.
6. The Registrar and the Director of Teaching Learning shall complete a final check on the accuracy of the Award Recommendation List and in particular that the number of students recommended for awards on the Award Recommendation List corresponds to the number of awards on the Record of Results. Every award shall be checked during this process.
7. The Registrar will then send the all documents by email to the Academic Council within two working days of the Board of Examiners.

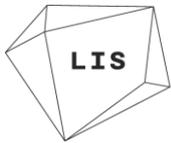
F. Strategy to Prevent Plagiarism

LIS recognises the insidious damage that plagiarism causes to the value and worth of higher education and its awards.

LIS will adopt a number of preventative and practical approaches to combat plagiarism that will both educate and deter students from resorting to plagiarism. These are:

Training-Led

As is set out in the [Academic Misconduct Policy and Procedure](#), students and staff will be inducted into, and receive training on, what constitutes poor academic practice and what constitutes plagiarism. This will include defining how both impact and quantity are regarded, what level of understanding is expected at each stage of the programme and how repeated offences will be regarded. Students committing poor academic practice will be required to undertake an educational activity to address the deficit in their understanding and practice.



All submissions will require students to sign an academic integrity statement specifying that the work is their own and that all sources have been appropriately referenced.

The School will adopt a model referencing system that all staff will consistently reinforce to students.

The School will use Turnitin as its 'text-matching' software and will allow students to vet their work through Turnitin before it is finally submitted. This will enable students to see for themselves how their work appears and what is acceptable referencing and what is re-phrasing.

Key messages regarding poor academic practice and plagiarism will be refreshed and repeated at key points in the term such as before submission of assessments.

All staff will be trained in reading plagiarism reports and interpreting what is significant and what is not.

Design-Led

The diet of assessments will contain a variety of forms of assessment instruments such as written assignments, presentations, groupwork, skills performance and examinations. Some of these will be under proctored, time constrained conditions such as an unseen examination, an in-class test or written piece of work, an in-class presentation or a piece of personal reflection.

Pieces of work conducted under secure conditions (e.g. in-class) will be used as a reference point for other pieces of work in relation to expression, style, and writing ability. These may be used as evidence where a submitted piece of work departs too far and too suspiciously from what the tutor expects. This will be made clear to students at the beginning of the course.

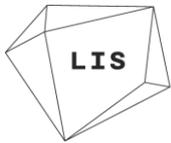
Assessments will be grounded in and drawn out of the specific issues and problems that students explore within the programme and within their own groups and individually. The interdisciplinarity of the programme together with the individual-centric approach to problem identification, exploration and curating of materials will reduce the ease with which other sources can be plagiarised effectively, even where those are bespoke.

Capstone or high-credit assessments may require a number of stages to be fulfilled such as written proposals, literature reviews, and the submission of drafts at different stages for review and comment by the tutor.

Detection-Led

The School will adopt clear, robust and fair procedures for the handling and investigation of cases of academic misconduct, as set out in the School's [Academic Misconduct Policy and Procedure](#).

The School will adopt Turnitin to assist in the detection of plagiarism.



Securely produced written work will be used as a fingerprint of style, expression and written skills to help identify and provide evidence of submitted work that might be ghost written.

Viva-voce examinations may be used to determine a student's level of understanding of a piece of work. Students will be informed that vivas may be used as a form of random-sampling as well as a tool in target investigations of suspected plagiarism.

Monitoring and Review

LIS will report all cases of plagiarism to the Academic Council. together with an annual summary report that will review trends and practices that the cases reveal, practice in the wider sector, and any recommendations that might arise.

G. Protocol for Release of Results

Provisional Results

Provisional results of programme awards will be kept on a secure, password protected server in the Registry. On the authority of the Registrar, provisional results of programme awards, including classifications and results on the completion of designated stages in the programme, may be published to candidate prior to the meetings of the Board(s) of Examiners, provided that it is made clear that the recommendations for awards are subject to confirmation by the Board(s) of Examiners and approval by the Academic Council. These results will be published securely to individual students via the Student Record System. Students must log in with their unique username and password to access their results.

Provisional results on individual module summative assessments may be released to students on the authority of the Director of Teaching and Learning, once these results have been internally moderated. These results will also be published securely to individual students via the Student Record System.

Confirmed Results

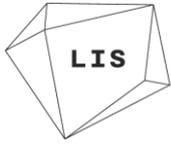
When results of awards have been approved by the respective Board of Examiners the results may be published to students as confirmed results.

Final Results

When results of awards have been approved by the Academic Council, the results shall be final.

H. Staff training in assessment security

The Director of Teaching and Learning will provide support, training and development to the members of academic staff involved in the assessment of students. As part of this training,



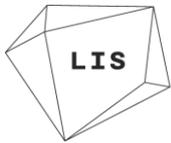
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staff will be made aware of the of designing assessments that minimise opportunities for plagiarism and other forms of unacceptable academic best practice

The relevant administrative staff will receive training on the academic regulations and these Procedures so that they may manage the administrative aspects of assessment and examination properly and efficiently.

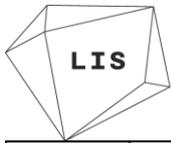
Monitoring and Review

To ensure that the School's protocols for ensuring the security and integrity of its assessments remain fit for purpose, these Procedures will be reviewed annually by the Director of Teaching and Learning, drawing on input from the Programme Monitoring Review Procedure and External Examiner reports, and taking account of changing circumstances and pedagogical developments. Changes will be authorised by the Academic Council.



Name of policy/procedure:	Security of Examinations and Assessments Procedures
Document owner:	Hannah Kohler, Director of Admissions and Student Support
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Last reviewed:	08/2021
Reviewed by:	Dr Andrew Redford (Head of Quality)
Audited by:	Academic Council
Date of Audit:	12/2019, 03/2020 (approved)
Date of next review: (annually unless otherwise agreed)	
Related documents: (eg associated forms, underpinning processes, related policies or overarching policies)	Academic Framework Assessments Approval Procedure Assessment and Classification Framework Academic Misconduct Policy and Procedure Examinations and Assessments Regulations and Procedures for Students

Version Control			
Version	Author	Date	Brief summary of changes
1	Hannah Kohler (Director of Admissions and Student Support)	13/01/2019	Original draft
2	Prof. Carl Gombrich (Director of Teaching and Learning)	10/03/2019	Minor wording changes
3	Prof. Chris Maguire (Registrar)	20/06/2019	Clarification of language.
4	Hannah Kohler (Director of Admissions and Student Support)	23/06/2019	Separated examinations and assessments regulations and procedures into one staff-facing document and one student-facing document



5	Hannah Kohler (Director of Admissions and Student Support)	24/06/2019	Minor wording changes.
6	Prof. Chris Maguire (Registrar)	28/06/2019	Updated invigilator guidelines
7	Prof. Chris Maguire (Registrar)	08/08/2019	Included examinations protocols
8	Hannah Kohler (Director of Admissions and Student Support)	14/08/2019	Included strategy to prevent plagiarism. Ensured internal consistency of regulations.
9	Prof. Chris Maguire (Registrar)	16/08/2019	Added further detail on procedure for maintaining security of assessments.
10	Hannah Kohler (Director of Admissions and Student Support)	08/11/2019	Clarification of role of Registry; slimmed down regulations so just relate to Security of Assessments, renamed Procedure. All marks to be double checked before entry into student record system. Inclusion of reference to online assessments
11	Academic Council	18/12/2019	Requires update as part of overall update of general academic regulations, in light of decision to pursue NDAPs
12	Hannah Kohler (Director of Admissions and Student Support)	04/01/2020	Minor wording changes
13	Academic Council	16/03/2020	Approved