## EXAMINATIONS POLICY

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Purpose of the policy

The centre is committed to ensuring that the exams management and administration process is run effectively and efficiently. This exam policy will ensure that:

- all aspects of the centre exam process is documented and other relevant exams-related policies, procedures and plans are signposted
- the workforce is well informed and supported
- all centre staff involved in the exams process clearly understand their roles and responsibilities
- all exams and assessments are conducted in accordance with JCQ and awarding body regulations, guidance and instructions, thus ensuring that

  “... the integrity and security of the examination/assessment system is maintained at all times and is not brought into disrepute”  \[JCQ General regulations for approved centres 1\]  

- exam candidates understand the exams process and what is expected of them.

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

This policy will be communicated to all relevant centre staff.

The exam policy is available electronically via the staff portal under General Admin/College Policies and changes following review will be highlighted to relevant staff via email.

Roles and responsibilities overview

“The head of centre is responsible to the awarding bodies for making sure all examinations/assessments are conducted according to the instructions, and the qualification specifications issued by the awarding bodies.

The head of centre may not appoint themselves as the examinations officer.” [GR1]

Principal (Head of centre)

- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:  
  General regulations for approved centres (GR)  
  Instructions for conducting examinations (ICE)  
  Access Arrangements and Reasonable Adjustments ( AA)  
  Suspected Malpractice in Examinations and Assessments (SMEA)  
  Instructions for conducting non-examination assessments (NEA) (and the instructions for conducting controlled assessment and coursework)
- Ensures the National Centre Number Register Annual Update (administered on behalf of the JCQ member awarding bodies by OCR) is responded to and approves the Head of Centre formal declaration
- Ensures the exams officer (EO) attends appropriate training events offered by awarding bodies, MIS providers and other external providers to enable the exam process to be effectively managed and administered
- Ensures centre staff are supported and appropriately trained to undertake key tasks within the exams process
• Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the EO
• Ensures “that a teacher who teaches the subject being examined, or a senior member of teaching staff who has had overall responsibility for the candidates preparation for the examination, is not an invigilator during the examination or on-screen test;” [ICE 6]
• Ensures security within the examination process is managed according to JCQ and awarding body regulations, guidance and instructions
• Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place

Exam contingency plan

The college exam contingency plan is available electronically via the staff portal under General Admin/College Policies and changes following review will be highlighted to relevant senior leaders via email.

“It is the responsibility of the head of centre to ensure that his/her centre: …has in place a written examination contingency plan/examinations policy which covers all aspects of examination administration. This will allow members of the senior leadership team to have a robust contingency plan in place, minimising risk to examination administration, should the examinations officer be absent at a crucial stage of the examination cycle. (The examination contingency plan/examinations policy should also reinforce procedures in the event of the centre being unavailable for examinations owing to an unforeseen emergency.)” [GR5]

• Ensures required internal appeals procedures are in place

Internal appeals procedures

The college internal appeals procedures are available electronically via the staff portal under General Admin/College Policies and changes following review will be highlighted to all relevant staff via email.

“The centre agrees to...have in place, and be available for inspection purposes, a written internal appeals procedure relating to internal assessment decisions and to ensure that details of this procedure are made widely available and accessible to all candidates; (A centre may place its internal appeals procedure on the school/college website or alternatively, the document may be made available to candidates upon request.)” [GR5]

“The centre agrees to...have available for inspection purposes and draw to the attention of candidates and their parents/carers, a written internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support an enquiry about results or an appeal;” [JCQ Post-results services 5.14]

• Ensures a disability policy for exams showing the centre’s compliance with relevant legislation is in place

Disability policy (exams)

The college Disability Policy for exams is numbered as Appendix 1 in this document

“The centre agrees to...recognise its duties towards disabled candidates as defined under the terms of the Equality Act 2010†. This must include a duty to explore and provide access to suitable courses, submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates. A written disability policy setting out how the centre seeks to comply with the Equality Act 2010† and fully supporting disabled candidates must be available for inspection purposes.

†for any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect ” [GR5]
• Ensures the centre has documented processes in place relating to access arrangements and reasonable adjustments (with effect from the academic year 2017/18 via an Access Arrangements Policy).
• Ensures staff are only entered for qualifications through the centre where entry through another centre is not available
• Ensures the appropriate steps are taken where a candidate being entered for exams is related to a member of centre staff

“*The examinations officer or quality assurance co-ordinator is the person appointed by a head of centre to act on behalf of the centre in matters relating to the administration of awarding body examinations and assessments.*”

Exams officer

• Understands and refers to the contents of annually updated JCQ publications including:
  - General regulations for approved centres
  - Instructions for conducting examinations
  - Instructions for conducting non-examination assessments (and the instructions for conducting controlled assessment and coursework)
  - Suspected Malpractice in Examinations and Assessments
  - Access Arrangements and Reasonable Adjustments
  - Post-results services (PRS)
• Is familiar with the contents of annually updated information from awarding bodies on administrative procedures, key tasks, key dates and deadlines
• Ensures key tasks are undertaken and key dates and deadlines met
• Recruits, trains and deploys a team of external invigilators

Senior leaders (SLT)

• Are familiar with the contents, refer to and direct relevant centre staff to annually updated JCQ publications including:
  - General regulations for approved centres
  - Instructions for conducting examinations
  - Access Arrangements and Reasonable Adjustments
  - Suspected Malpractice in Examinations and Assessments
  - Instructions for conducting non-examination assessments (and the instructions for conducting controlled assessment and coursework)

Learning Support Manager (LSM)

• Is familiar with the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:
  - Access Arrangements and Reasonable Adjustments
• Leads on the access arrangements and reasonable adjustments process (referred to in this policy as ‘access arrangements’)
• If not the qualified access arrangements assessor, works with the person appointed, on all matters relating to assessing candidates and the administration of the assessment process
• Presents when requested by a JCQ Centre Inspector, evidence of the assessor’s qualification

Head of department (HoD)

• Ensures teaching staff undertake key tasks, as detailed in this policy, within the exams process (exam cycle) and meet internal deadlines set by the EO and LSM
• Ensures teaching staff keep themselves updated with awarding body teacher-specific information to confirm effective delivery of qualifications
• Ensures teaching staff attend relevant awarding body training and update events
Teaching staff
- Undertake key tasks, as detailed in this policy, within the exams process and meet internal deadlines set by the EO and LSM
- Keep updated with awarding body teacher-specific information to confirm effective delivery of qualifications
- Attend relevant awarding body training and update events

Invigilators
- Attend training, update, briefing and review sessions as required
- Provide information as requested on their availability to invigilate

Reception staff
- Support the EO in dealing with exam-related deliveries and dispatches with due regard to the security of confidential materials

Site staff
- Support the EO in relevant matters relating to exam rooms and resources
- Support the EO in dealing with exam related deliveries with due regard to the security of confidential deliveries

Candidates
Where applicable in this policy, the term ‘candidates’ refers to candidates and/or their parents/carers.

The exam cycle
The exams management and administration process that needs to be undertaken for each exam series is often referred to as the exam cycle and relevant tasks required within this grouped into the following stages:
- planning
- entries
- pre-exams
- exam time
- results and post-results

This policy identifies roles and responsibilities of centre staff within this cycle.

Planning: roles and responsibilities

Information sharing

Exams officer
- Signposts relevant centre staff to annually updated JCQ publications including GR, ICE, AA, SMEA and NEA (and the instructions for conducting controlled assessment and coursework), and awarding body documentation relating to the exams process that has been updated
- As the centre administrator, approves relevant access rights for centre staff to access awarding body secure extranet sites
- Produces an annual examination & assessment guide of key dates, deadlines, and relevant information to be made available to students and parents
- Produces an annual exam plan of key tasks and key dates to ensure all external deadlines can be effectively met; informs key centre staff of internal deadlines
Information gathering

Exams officer

- Undertakes an annual information gathering exercise in preparation for each new academic year to ensure data about all qualifications being delivered is up to date and correct
- Collates all information gathered into one central point of reference (the staff portal)
- Researches awarding body guidance to identify administrative processes, key tasks, key dates and deadlines for all relevant qualifications
- Collects information on internal exams to enable preparation for and conduct of progression exams (with effect from the academic year 2017/18)

Head of department

- Responds (or ensures teaching staff respond) to requests from the EO on information gathering
- Meets the internal deadline for the return of information
- Informs the EO of any changes to information in a timely manner minimising the risk of late or other penalty fees being incurred by an awarding body
- Notes the internal deadlines in the annual exams plan and directs teaching staff to meet these

Access arrangements

Learning Support Manager

- Assesses candidates (or works with the appointed access arrangements assessor) to identify access arrangements requirements
- Gathers evidence to support the need for access arrangements for a candidate
- Liaises with teaching staff to gather evidence of normal way of working of an affected candidate
- Determines candidate eligibility for arrangements or adjustments that are centre-delegated
- Gathers signed data protection notices from candidates where required
- Applies for approval through Access arrangements online (AAO), where required
- Keeps relevant paperwork and evidence on file for JCQ inspection purposes
- Employs good practice in relation to the Equality Act 2010
- Liaises with the EO regarding exam time arrangements for access arrangement candidates
- Ensures staff appointed to facilitate access arrangements for candidates are appropriately trained and understand the rules of the particular arrangement(s)
- Provides and annually reviews a centre policy on the use of word processors in exams and assessments (with effect from the academic year 2017/18)
- Ensures criteria for candidates granted separate invigilation within the centre is clear, meets JCQ regulations and best meets the needs of individual candidates and remaining candidates in main exam rooms

Senior Leaders, Head of department, Teaching staff

- Support the LSM in identifying and implementing appropriate access arrangements

Internal assessment

Head of centre

- Ensures an internal appeals procedure is in place for a candidate (or parent/carer) to appeal against an internally assessed marks (see Roles and responsibilities overview)
- Ensures a policy for the management of controlled assessment is in place for legacy GCSE qualifications, identifying staff responsibilities and examining potential risks
Controlled assessment policy

The college controlled assessment policy is available electronically via the staff portal under General Admin/College Policies and changes following review will be highlighted to all relevant staff via email.

“The centre agrees to...have in place, and be available for inspection purposes, a written policy with regard to the management of GCSE controlled assessments” [GR5]

- Ensures a non-examination assessment policy is in place for new GCE and GCSE qualifications

Non-examination assessment policy

The college NEA policy is available electronically via the staff portal under General Admin/College Policies and changes following review will be highlighted to all relevant staff via email

NEEDS WRITING SEC

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 with respect to non-examination assessments
- manage risks associated with non-examination assessments

[NEA – The basic principles, page 4]

- Ensures irregularities are investigated and any cases of suspected malpractice reported to the awarding body, as required

Senior leaders

- Ensure teaching staff have the necessary and appropriate knowledge, understanding, skills, and training to set tasks, conduct task taking, and to assess, mark and authenticate candidates’ work
- Ensure appropriate internal moderation, standardisation and verification processes are in place

Head of department

- Ensures teaching staff delivering legacy GCSE qualifications follow JCQ Instructions for conducting controlled assessments and the specification provided by the awarding body
- Ensures teaching staff delivering legacy GCE unitised AS and A-level qualifications and Project qualifications follow JCQ Instructions for conducting coursework and the specification provided by the awarding body
- Ensures teaching staff delivering new GCE & GCSE specifications follow JCQ Instructions for conducting non-examination assessments and the specification provided by the awarding body
- For other qualifications, ensures teaching staff follow appropriate instructions issued by the awarding body

Teaching staff

- Ensure appropriate instructions for conducting internal assessment are followed
- Ensure candidates are aware of JCQ and awarding body information for candidates on producing work that is internally assessed

Exams officer

- Identifies relevant key dates and administrative processes that need to be followed in relation to internal assessment
Invigilation

Head of centre
- Ensures relevant support is provided to the EO in recruiting, training and deploying a team of external invigilators
- Determines if additional invigilators will be deployed in practical exams in addition to the subject teacher

Exams officer
- Recruits additional invigilators where required to effectively cover all exam periods/series throughout the academic year
- Provides an annual training event for new invigilators and an update event for existing invigilators on the conduct of exams
- Ensures invigilators supervising access arrangement candidates understand their role (and the role of a facilitator who may be supporting a candidate) and the rules and regulations of the access arrangement(s)
- Ensures invigilators are made aware of the Equality Act 2010 in relation to their role

Entries: roles and responsibilities

Estimated entries

Exam officer
- Requests estimated or early entry information, where this may be required by awarding bodies, from MIS Manager in a timely manner to ensure awarding body external deadlines for submission can be met

Estimated entries collection and submission procedure

Estimated entry information is collated from the college MIS database using the registration figures for each subject following enrolment and re-enrolment, and submitted online using the awarding bodies' secure sites.

MIS Manager
- Provides information requested by the EO to the internal deadline
- Informs the EO immediately of any substantial subsequent changes to information

Final entries

Exam officer
- Requests final entry information from HoDs in a timely manner to ensure awarding body external deadlines for submission can be met
- Inputs the relevant entry data for each subject into the college MIS system
- Informs HoDs of subsequent deadlines for making changes to final entry information without charge
- Confirms with HoDs final entry information that has been submitted to awarding bodies
- Ensures as far as possible that entry processes minimise the risk of entries or registrations being missed, reducing the potential for late or other penalty fees being charged by awarding bodies
Final entries collection and submission procedure

HoDs are provided with a checklist specifying the awarding body, subject, level, and entry code(s) and asked to confirm entries by signing and returning the checklist to the EO. Entries are submitted via EDI file through the college MIS system using A2C.

Head of department

- Provides information requested by the EO to the internal deadline
- Informs the EO immediately, or at the very least prior to the deadlines, of any subsequent changes to final entry information
- Checks final entry submission information provided by the EO and confirms information is correct

Entry fees

Entry fees are payable from the exam budget, all invoices signed off by the EO. Departments are charged late or higher late fees incurred for entries made after the deadline. Resit fees are paid by students via wisepay, an online payment system, refunded only if withdrawn by the published deadline.

Late entries

Exams officer

- Has clear entry procedures in place to minimise the risk of late entries
- Charges any late or other penalty fees to departmental budgets

Head of department

- Minimises the risk of late entries by
  - following procedures identified by the EO in relation to making final entries on time
  - meeting internal deadlines identified by the EO for making final entries

Re-sit entries

Students register for individual resits and pay the appropriate fee via wisepay, a college online payment system, within a specified timeframe. Resit registrations and payments are not accepted beyond the published internal deadline.

Private/External candidates

The college does not accept private or external candidates for examination entry.

Transfer of credit

“Arrangements for GCE AS candidates transferring between specifications or awarding bodies midway through a unitised GCE A-level course (having completed and certificated a GCE AS award)”

Exams officer

- Provides information to relevant centre staff/candidates on transferring credit for GCE AS qualifications
- Meets the awarding body deadline for requesting transfer of credit
Admissions manager

- Identify affected candidates to the EO

Candidate statements of entry

Exams officer

- Provides candidates with personal online examination timetables as statements of entry for checking

Teaching staff

- Ensure candidates check personal examination timetables and communicate any relevant issues arising to the EO

Candidates

- Notify the EO of any discrepancies or omissions on their personal examination timetable

Pre-exams: roles and responsibilities

Access arrangements

Learning Support Manager

- Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access for candidates where they are disabled within the meaning of the Equality Act (unless a temporary emergency arrangement is required at the time of an exam)
- Ensures a candidate is involved in any decisions about arrangements, adjustments and/or adaptations that may be put in place for him/her
- Ensures exam information (JCQ information for candidates information, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it
- Allocates appropriately trained centre staff to facilitate access arrangements for candidates in exams and assessments

Briefing candidates

Exams officer

- Issues individual exam timetable information to candidates
- Issues relevant JCQ information for candidates documents
- Issues relevant awarding body information to candidates
- Issues centre exam information to candidates including information on:
  - exam clashes
  - arriving late for an exam
  - absence or illness during exams
  - what equipment is/is not provided by the centre
  - food and drink in exam rooms
  - when and how results will be issued and the staff that will be available
  - the post-results services and how the centre deals with requests from candidates
  - when and how certificates will be issued
Access to scripts, enquiries about results and appeals procedures

An annually updated Examination & Assessment Guide (Esher College) is issued to all students electronically during the autumn term of the current academic year. Parents/carers are emailed a link to the same document, as it appears on the college portal and external college website. The guide covers key dates and all relevant information regarding external assessment and examinations, including the availability of and access to, results, post results services, and certificates.

“The centre agrees to… have in place written procedures for how it will deal with candidates’ access to scripts, enquiries about results and appeals to the awarding bodies and to ensure that details of these procedures are made widely available and accessible to all candidates. Candidates must be made aware of the arrangements for post-results services before they sit any examinations and the accessibility of senior members of centre staff immediately after the publication of results;”

Dispatch of exam scripts

Exams officer

- Identifies and confirms arrangements for the dispatch of candidate exam scripts with the DfE ‘yellow label service’ or the awarding body where qualifications sit outside the scope of the service

Estimated grades

Head of department

- Ensures teaching staff provide estimated grade information to the EO by the internal deadline (where this still may be required by the awarding body)

Exams officer

- Submits estimated grade information to awarding bodies to meet the external deadline (where this may still be required by the awarding body)
- Keeps a record to track what has been sent

Internal assessment

Head of centre

- Ensures procedures are in place for candidates to appeal against the internal assessment process – an appeal may only be made against the assessment process and not against the mark to be submitted to the awarding body

Learning support manager

- Liaises with teaching staff to implement appropriate access arrangements for candidates undertaking internal assessments

Teaching staff

- Support the Learning Support Manager in implementing appropriate access arrangements for candidates undertaking internal assessments

Head of department

- Ensures submission of marks to the awarding body for internally assessed components of qualifications by the published deadline, ensuring compliance with internal procedures as communicated by the EO
Ensures teaching staff authenticate candidates' work to the awarding body requirements
Ensures teaching staff provide required samples of work for moderation by the internal deadline

**Exams officer**
- Keeps a record of submitted marks for each subject
- Keeps a record to track when marks have been submitted and work sent to awarding bodies/moderators
- Distributes to departments moderated work returned to the centre
- Ensures teaching staff are aware of the requirements in terms of retention and subsequent disposal of candidates' work

**Candidates**
- Authenticate their work as required by the awarding body

**Invigilation**

**Exams officer**
- Provides an invigilation handbook and briefs invigilators accordingly
- Deploys invigilators effectively to exam rooms throughout an exam series (including the provision of a roving invigilator to check the rooms where a candidate and invigilator are accommodated on a 1:1 basis)
- Allocates invigilators to exam rooms according to the required ratios
- Liaises with the Learning support manager regarding the facilitation and invigilation of access arrangement candidates

**Learning Support Manager**
- Liaises with the EO regarding facilitation and invigilation of access arrangement candidates

**Invigilators**
- Provide information as requested on their availability to invigilate throughout an exam series

**JCQ inspection visit**

**Exams officer** or **Senior leader**
- Accompanies “the Inspector **throughout** the course of his or her centre visit, including inspection of the centre’s secure storage facility.” [ICE Introduction]

**Learning support manager**
- Provides information to the Inspector on request regarding students with Access Arrangements

**Seating and identifying candidates in exam rooms**

**Exams officer**
- Ensures a procedure is in place to verify candidate identity

**Verifying candidate identity procedure**

Individual exam cards populated with a student’s ID number, photograph, exam entry details, and access arrangements if appropriate, are used in accordance with seating plans in every exam venue. Staff are able to refer to these for identification purposes and cross check information with the college database and exam database to resolve queries.
• Ensures invigilators are aware of the procedure
• Provides seating plans for exam rooms according to JCQ and awarding body requirements

Invigilators
• Follow the procedure for verifying candidate identity provided by the EO
• Seat candidates in exam rooms as instructed by the EO/on the seating plan

Security of exam materials

Exams officer
• Has a process in place to record confidential materials delivered to the centre and issued to authorised staff
• Has in place a recording system to track confidential materials taken from or returned to secure storage throughout the time the material is confidential
• Receives, checks and securely stores question papers and other exam materials according to JCQ and awarding body requirements

Reception staff
• Follow the process to identify confidential materials delivered to the centre and ensure immediate delivery to exam secure storage

Teaching staff
• Adhere to the recording system to track confidential materials taken from or returned to secure storage throughout the time the material is confidential

Timetabling and rooming

Exams officer
• Produces a master centre exam timetable for each exam series
• Identifies and resolves candidate exam clashes
• Identifies exam rooms and specialist equipment requirements
• Allocates invigilators to exam rooms according to required ratios
• Liaises with site staff to ensure exam rooms are set up according to JCQ and awarding body requirements
• Liaises with the Learning support manager regarding rooming of access arrangement candidates

Learning support manager
• Liaises with the EO regarding rooming of access arrangement candidates
• Liaises with other relevant centre staff to ensure appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams

Site staff
• Liaise with the EO to ensure exam rooms are set up according to JCQ and awarding body requirements
Transferred candidate arrangements

Exams officer

- Liaises with the host or entering centre, as required
- Processes requests to the awarding body deadline
- Where relevant (for an internal candidate) informs the candidate of the arrangements that have been made for their transferred candidate arrangements

Internal exams

Formal internal assessment is allowed for at the beginning of the spring term. This is not compulsory for every subject. These assessments are conducted within class during a three-day block timetable, organised by senior management.

Learning Support manager

- Liaises with teaching staff to make appropriate arrangements for access arrangement candidates

Teaching staff

- Provide exam papers and materials
- Support the Learning support manager in making appropriate arrangements for access arrangement candidates
- Mark and standardise completed exam papers within subject departments, submitting results for Progress Review data

(Starting in the academic year 2017/18, an additional period of formal internal assessment will take place in the summer term for all subjects, in the absence of AS level exams, known as progression exams.)

Exams officer

- Prepares for the conduct of internal exams under external conditions
- Provides a centre exam timetable of subjects and rooms
- Provides seating plans for exam rooms
- Requests internal exam papers from teaching staff
- Arranges invigilation

Learning Support manager

- Liaises with teaching staff to make appropriate arrangements for access arrangement candidates

Teaching staff

- Provide exam papers and materials to the EO in accordance with internally set deadlines
- Support the Learning support manager in making appropriate arrangements for access arrangement candidates
- Mark and standardise completed exam papers within subject departments, submitting results for Progression Review data
Exam time: roles and responsibilities

Access arrangements

Exams officer

- Provides cover sheets for access arrangement candidates’ scripts where required for particular arrangements
- Has a process in place to deal with emergency access arrangements as they arise at the time of exams
  - applies for approval through AAO where required or through the awarding body where qualifications sit outside the scope of AAO

Candidate absence

Candidate absence policy

Students and their parents/carers are advised of the procedures to follow for candidates absent for examinations via the Examination & Assessment Guide referred to earlier in this policy. Teachers/staff taking attendance registers in exam venues are responsible for following up absentees as a matter of urgency, using contact information available on the college database, and reporting back the outcome to the EO.

“Advice: it is good practice for a centre to have a policy for late and absent candidates. Invigilators must be made aware of this policy.”

Invigilators

- Are informed of the policy/process for dealing with absent candidates through training
- Ensure that confirmed absent candidates are clearly marked as such on the attendance register and seating plan

Candidates

- Are informed of the policy/process if absent from an exam and follow it accordingly, seeking advice from the EO when appropriate

Candidate behaviour

See Irregularities and Malpractice below.

Candidate belongings

See Unauthorised materials below.

Candidate late arrival

Exams officer

- Ensures that candidates who arrive very late for an exam, according to the JCQ definition and timeframe, are reported to the awarding body as soon as practicably possible after the exam has taken place
- Warns candidates that in these circumstances their work may not be accepted by the awarding body
Invigilators

- Are informed of the policy/process for dealing with late/very late arrival candidates through training
- Ensure that relevant information is recorded on the exam room incident log

**Candidate late arrival policy**

| Students and their parents/carers are advised of the procedures to follow for late arrival to examinations via the Examination & Assessment Guide referred to earlier in this policy. Within JCQ guidelines and using his/her own professional discretion, the EO may offer an opportunity to latecomers to sit the exam, including whether to offer the full exam time. If the exam has started latecomers are instructed to report to main Reception, collected by the EO and accompanied to the exam venue. All examination instructions are given to the student outside the exam venue and an invigilator supervises the start of their exam once inside the venue. Latecomers will receive an email from the EO via the college database, copied to parents/carers, recording their lateness and advising against repeat. The recording of persistent lateness will be escalated to senior management for response and appropriate sanction according to college disciplinary procedures.

“*Advice:* it is good practice for a centre to have a policy for late and absent candidates.
*Invigilators must* be made aware of this policy.

*Advice:* Centres should have their own internal procedures for dealing with candidates who persistently arrive late for examinations.
*The exams officer may need to liaise with a senior member of staff who has pastoral responsibilities.*” [ICE14]

**Conducting exams**

**Head of centre**

- Ensures venues used for conducting exams meet the requirements of JCQ and awarding bodies

**Exams officer**

- Ensures exams are conducted according to JCQ and awarding body instructions
- Uses an *exam day checklist* to ensure each exam session is fully prepared for, unplanned events can be dealt with and associated follow-up is completed

**Dispatch of exam scripts**

**Exams officer**

- Dispatches scripts as instructed by JCQ and awarding bodies
- Keeps appropriate records to track dispatch

**Exam papers and materials**

**Exams officer**

- Organises exam question papers and associated confidential resources in date order in secure storage
- Attaches erratum notices received to relevant exam question paper packets
- Collates attendance registers and examiner details in date order
- Regularly checks mail or inbox for updates from awarding bodies
- In order to avoid potential breaches of security, ensures prior to question paper packets being opened that another member of staff or an invigilator checks the time, date and paper details

Exams policy template 2016/17<sup>Hyperlinks provided in this document were correct as at October 2016</sup>
• Where allowed by the awarding body, only releases exam papers and materials to teaching departments for teaching and learning purposes after the exam has been completed and all scripts parcelled up for collection

Exam rooms

Exams officer

• Ensures exam rooms are set up as required in the regulations
• Ensures only approved centre staff are present in exam rooms
• Provides invigilators with appropriate resources to effectively conduct exams
• Briefs invigilators on exams to be conducted on a session by session basis
• Ensures sole invigilators have an appropriate means of summoning assistance
• Ensures invigilators understand how to deal with candidates who may need to leave the exam room temporarily
• Provides authorised exam materials which candidates are not expected to provide themselves
• Ensures invigilators and candidates are aware of the emergency evacuation procedure
• Ensures invigilators are aware of arrangements in place for a candidate with a disability who may need assistance if an exam room is evacuated
• Ensures information relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates

Food and drink in exam rooms

Students are advised, via the Examination & Assessment Guide referred to earlier in this policy, that bottled water is allowed into an exam room as long as the label is removed to comply with JCQ regulations. Items of food are not allowed in an exam room unless for medical reasons, and in such cases permission must be sought from the EO in advance of the exam season.

“Food and drink may be allowed in the examination room at the discretion of the head of centre. However, this is on the condition that any food brought into the examination room by the candidate is free from packaging and all labels are removed from drink containers.”

Senior leaders

• Ensure a documented emergency evacuation procedure for exam rooms is in place
• Ensure arrangements are in place for a candidate with a disability who may need assistance if an exam room is evacuated

Emergency evacuation policy

The college emergency evacuation procedure is contained within the Emergency/Disaster Management Strategy document located electronically on the staff portal under General Admin. Emergency evacuation procedures for students and staff involved in examinations is provided in an appendix to that document. It is also contained in the invigilator handbook and made available in every exam venue.

“...You must have a written centre policy for dealing with an emergency evacuation of the examination room, which will be subject to inspection by the JCQ Centre Inspection Service.”
Site staff
- Ensure exam rooms are available and set up as requested by the EO
- Ensure grounds or centre maintenance work does not disturb exam candidates in exam rooms
- Ensure fire alarm testing does not take place during exam sessions

Invigilators
- Conduct exams in every exam room as instructed in training/update events and briefing sessions

Candidates
- Are required to remain in the exam room for the full duration of the exam and in accordance with JCQ regulations and centre regulations

Irregularities and Malpractice

Head of centre
- Ensures any cases of suspected malpractice (by centre staff, candidates, invigilators) are investigated and reported to the awarding body as required

Senior leaders
- Ensure support is provided for the EO and invigilators when dealing with disruptive candidates in exam rooms
- Ensure that internal disciplinary procedures relating to candidate behaviour are instigated, when appropriate

Exams officer
- Provides an exam room incident log in all exam rooms for recording any incidents or irregularities
- Actions any required follow-up and reports to awarding bodies as soon as practically possible after the exam has taken place

Invigilators
- Record any incidents or irregularities on the exam room incident log (for example, late/very late arrival, candidate or centre staff suspected malpractice, candidate illness, disruption or disturbance in the exam room, emergency evacuation)

Special consideration

Exams officer
- Advises candidates and centre staff on the eligibility of special consideration and its application
- Processes appropriate requests for special consideration to awarding bodies
- Gathers evidence which may need to be provided by other staff in centre or candidates
- Submits requests to awarding bodies

Candidates
- Provide appropriate evidence to support special consideration requests, where required

Unauthorised materials

Arrangements for unauthorised materials taken into the exam room

No unauthorised materials are allowed in the exam rooms. A supervised, lockable bag store is used for candidates to leave bags, coats, and other belongings whilst they sit their examinations. Candidates are asked to empty their pockets of keys, change, and other loose items, and place...
them under their desks – this does not include papers, mobile phones or other electronic devices as these are locked in the bag store before entering the venue.

“…any unauthorised items that have been taken into the examination room must be placed out of reach of the candidates (and not under their desks) before the examination starts. This would normally be at the front of the examination room or a similar arrangement that enables the invigilator to control access to the items.”

“Advice: You may wish to ask candidates to place their watches on their desk in sight of the invigilator prior to the examination commencing.”

Invigilators
- Are informed of the arrangements through training

Internal exams

Exams officer
- Briefs invigilators on conducting internal exams
- Returns candidate scripts to teaching staff for marking

Invigilators
- Conduct internal exams as briefed by the EO

Results and post-results: roles and responsibilities

Internal assessment

Head of department
- Ensures teaching staff keep candidates' work, whether part of the moderation sample or not, secure and for the required period stated by JCQ and awarding bodies
- Ensures work is returned to candidates or disposed of according to the requirements

Managing results day(s)

Senior leaders
- Identify centre staff who will be involved in the main summer results day(s) and their role
- Ensures senior members of staff are accessible to candidates after the publication of results

Exams officer
- Works with senior leaders to ensure procedures for managing the main summer results day(s) (a results day programme) are in place

Results day programme

Results are issued to students electronically via the college portal and downloaded into their personal account. Students who have left college early and no longer have access to the portal have their results posted to them first class, to arrive on results day. Senior staff and Progression Guidance are available at published times to see students as necessary, and exam office staff are available to answer results queries and advise on post results services.

“Senior members of centre staff must be accessible to candidates immediately after the publication of results so that results may be discussed and decisions made on the submission of enquiries. Candidates must be informed of the periods during which centre staff will be available so that they may plan accordingly.”

Exams policy template 2016/17

Hyperlinks provided in this document were correct as at October 2016
Site staff

- Ensure the centre is open and accessible to centre staff and candidates, as required

Accessing results

Exams officer

- Informs candidates in advance of when and how results will be released to them
- Resolves any missing or incomplete results with awarding bodies

MIS manager

- Accesses results from awarding bodies under restricted release of results, where this is provided by the awarding body
- Issues electronic results to candidates via the portal on issue of results date
- Provides summaries of results for relevant centre staff on issue of results date

Post-results services

Head of centre

- Ensures internal appeals procedures are available where candidates disagree with a centre decision
  - not to support an enquiry about results
  - not to appeal against the outcome of an enquiry about results
(Ofqual has announced a series of changes to reviews of marking and appeals which may affect the centre’s internal appeals procedures during 2016/17)

Exams officer

- Provides information to candidates and staff on the services provided by awarding bodies and the fees charged (see also above Briefing candidates and Access to scripts, enquiries about results and appeals procedures)
- Publishes internal deadlines for requesting the services to ensure the external deadlines can be effectively met
- Provides a process to record requests for services and collect candidate informed consent and fees where relevant
- Submits requests to awarding bodies to meet the external deadline
- Tracks requests to conclusion and informs candidates and relevant centre staff of outcomes
- Updates centre results information, in conjunction with MIS, where applicable

Teaching staff

- Meet internal deadlines to request the services and gain relevant candidate informed consent
- Identify the budget to which fees should be charged

Candidates

- Meet internal deadlines to request the services
- Provide informed consent and fees, where relevant
Analysis of results

MIS manager

- Provides analysis of results to appropriate centre staff
- Provides results information to external organisations where required
- Undertakes the secondary school and college (key stage 4/16-18) performance tables September checking exercise

Certificates

Certificates are provided to centres by awarding bodies after results have been confirmed.

Issue of certificates procedure

The exam office manages the issue of certificates procedure. For students moving into their second year the certificates from their first year are distributed within college on a collection day, when students are able to collect and sign for their certificates. Any not collected are held in secure storage until the following year. For students who have left, certificates are sent by Recorded Delivery to the address last registered on the college database.

Candidates

- May arrange for certificates to be collected on their behalf by providing the EO with written or email permission/authorisation; authorised persons must provide ID evidence on collection of certificates

Retention of certificates policy

The exam office manages the retention of certificates. Certificates are kept in secure storage for two years and then may be shredded. Contact with students for whom the college has retained certificates is attempted several times before the disposal of certificates.

Review: roles and responsibilities

Exams officer

- Provides the senior staff member with responsibility for exams with an overview of the exam year, highlighting what went well and what could be developed/improved in terms of exams management and administrative processes within the stages of the exam cycle during line management meetings
- Collects and evaluates feedback from learning support staff, and invigilators to inform review

Senior leaders

- Work with the EO to produce a plan to action any required improvements identified in the review

Retention of records: roles and responsibilities

Exams officer

- Keeps records as required by JCQ and awarding bodies for the required period
Appendices

Appendix 1. Disability Policy (Exams)