

Examination

Policy

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Education & Skills
Funding Agency



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All policies can be found in the Policies Folder and the company Intranet

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1. 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 annually 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.

2. Roles and responsibilities overview

“The academy manager 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.”

- 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 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.
- Ensures *“that a teacher who teaches the subject being examined, or a senior member of teaching staff who has had overall responsibility for the candidate’s preparation for the examination, is not an invigilator during the examination or on-screen test;”*
- 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
- Ensures required internal appeals procedures are in place
- Ensures a disability policy for exams showing the centre’s compliance with relevant legislation is in place
- Ensures the centre has documented processes in place relating to access arrangements and reasonable adjustments

2.1 Centre Staff

- 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

2.2 Academy Manager

- 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](#)
- 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

2.3 Head of Quality

- Ensures Assessor staff undertake key tasks, as detailed in this policy, within the exams process
- (exam cycle) and meet internal deadlines.
- Ensures Assessor 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

2.4 Academy staff

- Undertake key tasks, as detailed in this policy, within the exams process and meet internal deadlines set.
- Keep updated with awarding body teacher-specific information to confirm effective delivery of qualifications
- Attend relevant awarding body training and update events

2.5 Invigilators

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

2.6 Reception staff

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

2.7 Site staff

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

2.8 Candidates

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

3. Access Arrangements

- 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 curriculum staff to gather evidence of **normal way of working** of an affected candidate
- Determines candidate eligibility for arrangements or adjustments that are centre-delegated
- 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
- 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*
- 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

4. Internal Assessment

4.1 Head of Quality

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

4.2 Academy Manager

- 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

5. Invigilation

5.1 Head of Quality

- Ensures relevant support is provided in recruiting, training and deploying a team of invigilators
- 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

6. Entries: roles and responsibilities

- Exam requests from assessor are 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 MIS system
- Informs assessor of subsequent deadlines for making changes to final entry information without charge
- Confirms with assessor exam 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

7. Pre-exams: roles and responsibilities**7.1 Access arrangements**

- 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

7.2 Briefing candidates

- 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

8. Dispatch of exam

- 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

8.1 Head of Quality

- 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
- 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

8.2 Candidates

- Authenticate their work as required by the awarding body

9. JCQ Inspection visit

9.1 Academy Manager

- Accompanies "the Inspector **throughout** the course of his or her centre visit, including inspection of the centre's secure storage facility." [ICE Introduction¹]
- Provides information to the Inspector on request regarding students with Access Arrangements

10. Seating and identifying candidates in exam rooms

10.1 Exams officer

- Ensures a procedure is in place to verify candidate identity
- Ensures invigilators are aware of the procedure
- Provides seating plans for exam rooms according to JCQ and awarding body requirements

10.2 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

11. Security of exam materials

- 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
- Follow the process to identify confidential materials delivered to the centre and ensure immediate delivery to exam secure storage
- Adhere to the recording system to track confidential materials taken from or returned to secure storage throughout the time the material is confidential

12. Candidate absence

- *See Candidate Absence Policy*

12.1 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

12.2 Candidates

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

13. Candidate behaviour

See *Irregularities and Malpractice* below.

14. Candidate belongings

See *Unauthorised materials* below.

15. Candidate late arrival**15.1 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

15.2 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

16. Conducting exams**16.1 Academy Manager**

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

17. Dispatch of exam scripts

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

18. Exam papers and materials

- Organises exam question papers and associated confidential resources in date order in secure storage
- 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
- 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

19. Irregularities and Malpractice**19.1 Head of Quality**

- Ensures any cases of suspected malpractice (by centre staff, candidates, invigilators) are investigated and reported to the awarding body as required
- Ensure that internal disciplinary procedures relating to candidate behaviour are instigated
- Actions any required follow-up and reports to awarding bodies as soon as practically possible after the exam has taken place

19.2 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)

20. Accessing results**20.1 Head of Quality**

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

- Accesses results from awarding bodies under restricted release of results, where this is provided by the awarding body
- Provides summaries of results for relevant centre staff on issue of results date marking and appeals which may affect the centre's internal appeals procedures during 2016/17)

21. Certificates

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

21.1 Candidates

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

22. Retention of records: roles and responsibilities

22.1 Exams officer

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