

# Exam Policy December 2017

## Biannual review

Person Responsible:

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Reviewed by SLT:

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Approved by Students & Standards

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Ratified by Full Governing Body:

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**Tupton Hall School**

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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 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 emailed to all centre staff and published on the school website.

## 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]

### 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 manager 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 Exams officer
- 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
- 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
- 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

## Exams Officer

The **examinations officer** 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."

[GR 1\]](#)

- Understands the contents of annually updated JCQ publications including:
  - [General regulations for approved centres](#)
  - [Instructions for conducting examinations](#)
  - [Suspected Malpractice in Examinations and Assessments](#)
  - [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; appoints invigilators, as required

## 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)

## Special educational needs co-ordinator (SENCo)

- 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 faculty (HoF)/Subject teacher

- 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 SENCo

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

### **Site staff**

- Support the Exams officer in relevant matters relating to exam rooms and resources

### **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 produced JCQ publications including [GR](#), [ICE](#), [AA](#), [SMEA](#) and [NEA](#) and awarding body documentation relating to the exams process that has been updated
- Signposts relevant centre staff to JCQ information that should be provided to candidates
- As the centre administrator, approves relevant access rights for centre staff to access awarding body secure extranet sites

### **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

- Researches awarding body guidance to identify administrative processes, key tasks, key dates and deadlines for all relevant qualifications
- Produces an annual exams plan of key tasks and key dates to ensure all external deadlines can be effectively met; informs key centre staff of internal deadlines
- Collects information to enable preparation for and conduct of internal exams.

### **Head of faculty/Subject teacher**

- Responds (or ensures teaching staff respond) to requests from the Exams officer on information gathering.
- Meets the internal deadline for the return of information
- Informs the exams officer 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**

#### **SENDCo**

- 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
- Assisted by the Exams officer applies for **approval** through *Access arrangements online* (AAO), where required or through the awarding body where qualifications sit outside the scope of AAO
- Keeps relevant paperwork and evidence on file for JCQ inspection purposes
- Employs good practice in relation to the Equality Act 2010
- Liaises with the Exams officer 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
- 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 faculty, Teaching staff**

- Support the SENDCo 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
- Ensures a **non-examination assessment policy** is in place for new GCE and GCSE qualifications
- 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 faculty/Subject teacher

- 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 Entry Level or Project qualifications follow JCQ [Instructions for conducting coursework](#) and the specification provided by the awarding body
- Ensures teaching staff delivering new 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 manager

- 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 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 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 and are trained in disability issues.
- Collects evaluation of training to inform future events

## **Entries: roles and responsibilities**

### **Estimated entries**

#### **Exams Officer**

- Requests estimated or early entry information, where this may be required by awarding bodies, from HoFs/Subject teachers in a timely manner to ensure awarding body external deadlines for submission can be met.

#### **Head of faculty/Subject teacher**

- Provides information requested by the Exams officer to the internal deadline
- Informs the Exams Officer immediately of any subsequent changes to information

### **Final entries**

#### **Exams officer**

- Requests final entry information from HoFs/Subject teachers in a timely manner to ensure awarding body external deadlines for submission can be met
- Informs HoFs/Subject teacher of subsequent deadlines for making changes to final entry information without charge
- Confirms with HoFs/Subject teacher 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

#### **Head of faculty/Subject teacher**

- Provides information requested by the Exams officer to the internal deadline
- Informs the Exams officer immediately, or at the very least prior to the deadlines, of any subsequent changes to final entry information, which includes
  - changes to candidate personal details
  - amendments to existing entries
  - withdrawals of existing entries
- Checks final entry submission information provided by the Exams officer and confirms information is correct

### **Entry fees**

The centre pays any initial registration fees and exam entry fees.

Candidates must pay the fee for an enquiry about a result (EAR) should the centre not agree to make the enquiry and the candidate insists on pursuing it.

Re-marks or Access to Scripts will be paid centrally where agreed but may be charged to the faculty or the candidate must make the payment when the request is made.



## **Late entries**

### **Exams officer**

- Has clear entry procedures in place to minimise the risk of late entries

### **Head of faculty/Subject teacher**

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

## **Pre-exams: roles and responsibilities**

### **Access arrangements**

#### **SENDCo**

- 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 or where to find them on the school website
- Where relevant, 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

### **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 faculty/Subject teacher**

- Where required, ensures teaching staff provide estimated grade information to the Exams officer 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 internally assessed marks or request a review of the centre's marking of an assessment (when a centre is required to make reviews available)

### **SENDCo**

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

### **Teaching staff**

- Support the SENDCo in implementing appropriate access arrangements for candidates undertaking internal assessments
- Ensure candidates are informed of internal assessment decisions prior to marks being submitted to awarding bodies

### **Head of faculty/Subject teacher**

- Ensures teaching staff provide marks for internally assessed components of qualifications to the EM to the internal deadline
- Ensures teaching staff authenticate candidates' work to the awarding body requirements
- Ensures teaching staff provide required samples of work for moderation to the EM to the internal deadline

### **Exams officer**

- Submits marks and samples to awarding bodies/moderators to meet the external deadline
- Keeps a record to track what has been sent
- 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 or briefs invigilators accordingly
- Deploys invigilators effectively to exam rooms throughout an exam series
- Allocates invigilators to exam rooms according to the required ratios

- Liaises with the SENCo regarding the facilitation and invigilation of access arrangement candidates

## **SENDCo**

- Liaises with the Exams officer 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]

## **Seating and identifying candidates in exam rooms**

### **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

### **Invigilators**

- Follow the procedure for verifying candidate identity provided by the Exams officer
- Seat candidates in exam rooms as instructed by the Exams officer/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 record confidential materials delivered to the centre and issued to authorised staff

### **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**

### **MIS team**

- 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 SENDCo regarding rooming of access arrangement candidates
- Publishes room change information for all staff

### **SENDCo**

- Liaises with the Exams officer 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/Business manager**

- Liaise with the Exams officer to ensure exam rooms are set up according to JCQ and awarding body requirements

## **Internal 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

### **SENDCo**

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

### **Teaching staff**

- Provide exam papers and materials to the Exams officer in a timely manner and not less than 3 days prior to the scheduled exam(s)
- Support the SENDCo in making appropriate arrangements for access arrangement candidates

## **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**

#### **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
- Inform Student Services/Attendance Clerk and Subject Teacher/Head of Year of absent candidates

#### **Student Services/Attendance Clerk**

- Contact student/parent regarding examination absence
- Pass on reply to Head of Year/Exams Officer

#### **Head of Year**

- Informs student/parent of any exam charges that will be payable due to non-attendance

#### **Finance officer**

- Invoices raised and posted to the relevant students/parents for fees payable due to non-attendance

### **Candidate late arrival**

#### **Exams officer**

- Ensures that candidates who arrive very late for an exam are reported to the awarding body as soon as practically possible after the exam has taken place
- Warns candidates that 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

### **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
- Compiles 'day folders' in a timely manner for relevant examination material, attendance registers, seating plans, etc
- Records examiner details in exam season folder
- 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 published finishing time of the exam, or until any clash candidates have completed the exam

## **Exam rooms**

### **Head of centre**

- Ensures only approved centre staff are present in exam rooms
- Ensures information relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates

### **Exams officer**

- Ensures exam rooms are set up as required in the regulations
- 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

### **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

### **Site staff**

- Ensure exam rooms are available and set up as requested by the Exams officer
- 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

### **Irregularities**

#### **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 Exams officer 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**

- 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 by the external deadline

#### **Candidates**

- Provide appropriate evidence to support special consideration requests, where required, prior to the deadlines

#### **Invigilators**

- Are informed of the arrangements through training

## **Internal exams**

### **Exams manager**

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

### **Invigilators**

- Conduct internal exams as briefed by the Exams officer

## **Results and post-results: roles and responsibilities**

### **Internal assessment**

#### **Head of faculty/Subject teacher**

- 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

#### **Site staff/Business manager**

- 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
- Accesses results from awarding bodies under restricted release of results, where this is provided by the awarding body
- Resolves any missing or incomplete results with awarding bodies
- Issues statements of results to candidates 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)



## **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 outcome
- Updates centre results information, 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**

### **Exams officer**

- 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. Certificates will be presented to candidates at an Awards Evening in the autumn term.

### **Candidates**

- May arrange for certificates to be collected on their behalf by providing the Exams officer with written or email permission/authorisation; authorised persons must provide ID evidence on collection of certificates
- School is only obliged to retain certificates for a period of one year after issue

## **Review: roles and responsibilities**

### **Exams officer**

- Provides SLT 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
- Collects and evaluates feedback from staff, candidates and invigilators to inform review

### **Senior leaders**

- Work with the Exams officer 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

Keeps records as required by the centre's records management policy

# Appendix 1: Exam Contingency Plan Policy October 2017



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## Contents

Purpose of the plan

Causes of potential disruption to the exam process

1. Exam officer extended absence at key points in the exam process (cycle)
2. SENCo extended absence at key points in the exam cycle
3. Teaching staff extended absence at key points in the exam cycle
4. Invigilators - lack of appropriately trained invigilators or invigilator absence
5. Exam rooms - lack of appropriate rooms or main venues unavailable at short notice
6. Failure of IT systems
7. Disruption of teaching time – centre closed for an extended period
8. Centre unable to open as normal during the exams period
9. Candidates unable to take examinations because of a crisis – centre remains open
10. Exam Papers not arrived in time / Students issued with wrong exam papers
11. Disruption to the transportation of completed examination scripts
12. Assessment evidence is not available to be marked
13. Centre unable to distribute results as normal

## Purpose of the plan

This plan examines potential risks and issues that could cause disruption to the management and administration of the exam process at Tupton Hall School. By outlining actions/procedures to be followed in case of disruption it is intended to mitigate the impact these disruptions have on our exam process.

Alongside internal processes, this plan is informed by information contained in the *Joint contingency plan for the examination system in England, Wales and Northern Ireland* where it is stated that “Centres should prepare plans for any disruption to examinations as part of their general emergency planning. It is important to ensure that relevant centre staff are familiar with the plan.

## Causes of potential disruption to the exam process

### 1. Exam officer extended absence at key points in the exam process (cycle)

#### Criteria for implementation of the plan

Key tasks required in the management and administration of the exam cycle not undertaken including:

- *Planning*
- annual data collection exercise not undertaken to collate information on qualifications and awarding body specifications being delivered
- annual exams plan not produced identifying essential key tasks, key dates and deadlines
- sufficient invigilators not recruited and trained
  
- *Entries*
- awarding bodies not being informed of early/estimated entries which prompts release of early information required by teaching staff
- candidates not being entered with awarding bodies for external exams/assessment
- awarding body entry deadlines missed or late or other penalty fees being incurred
  
- *Pre-exams*
- candidates not briefed on exam timetables and awarding body information for candidates
- exam timetabling, rooming allocation; and invigilation schedules not prepared
- exam/assessment materials and candidates' work not stored under required secure conditions
- internal assessment marks and samples of candidates' work not submitted to awarding bodies/external moderators
  
- *Exam time*
- exams/assessments not taken under the conditions prescribed by awarding bodies
- required reports/requests not submitted to awarding bodies during exam/assessment periods e.g. very late arrival, suspected malpractice, special consideration
- candidates' scripts not dispatched as required to awarding bodies
  
- *Results and post-results*
- access to examination results affecting the distribution of results to candidates
- the facilitation of the post-results services
  
- **Centre actions:**
- SLT to nominate a 'deputy' to cover the role / task. This would usually be the Exams Assistant. Extra help could be called on from the Lead Invigilator, currently **Julie Preston**.
- Extra Hours should be allocated to the deputy to ensure there are sufficient hours to cover the work required.

Relief staff to be given access to secure storage procedures, including key codes for the doors, usernames and passwords for the staff network and exams websites

Always report long term absence to the Exam Boards and the MIS team so they are aware of the situation. They are quite often prepared to help and can be flexible with deadlines etc. in these circumstances.

## 2. SENCo extended absence at key points in the exam cycle

### Criteria for implementation of the plan

Key tasks required in the management and administration of the access arrangements process within the exam cycle not undertaken including:

- *Planning*
- candidates not tested/assessed to identify potential access arrangement requirements □  
evidence of need and evidence to support normal way of working not collated
- *Pre-exams*
- approval for access arrangements not applied for to the awarding body
- modified paper requirements not identified in a timely manner to enable ordering to meet external deadline
- staff providing support to access arrangement candidates not allocated and trained
- *Exam time*
- access arrangement candidate support not arranged for exam rooms
- **Centre actions:**
- SLT to nominate a 'deputy' to cover the role / task.
- SLT to appoint qualified assessor to test candidates in place of the SENDCo.
- Approval from exam boards and exam arrangements could be passed to the Exams Office – with sufficient warning and planning time.
- SENDCO to arrange student support during all exams.

## 3. Teaching staff extended absence at key points in the exam cycle

### Criteria for implementation of the plan

Key tasks not undertaken including:

- *Early/estimated entry information not provided to the exams officer on time; resulting in pre-release information not being received*
- *Final entry information not provided to the exams officer on time; resulting in:*
- *candidates not being entered for exams/assessments or being entered late*
- *late or other penalty fees being charged by awarding bodies*
- *Internal assessment marks and candidates' work not provided to meet submission deadlines*

#### **Centre actions:**

- HOF's/ HOD's should take responsibility for any missing entries, coursework marks and any assessment marks in the absence of a member of teaching staff.
- Entries must be made on time to meet deadlines and avoid late fees. Amendments can always be made at a later date to confirm final entries.

#### 4. Invigilators - lack of appropriately trained invigilators or invigilator absence

##### Criteria for implementation of the plan

- *Failure to recruit and train sufficient invigilators to conduct exams*
- *Invigilator shortage on peak exam days*
- *Invigilator absence on the day of an exam*

##### **Centre actions:**

- First check availability of other invigilators who said they were available for that slot.
- Check 'freed staff' to see if there is anyone else available who has not been used from that teaching period. ( Summer season - Daily staff timetables will be in the red Summer Timetable file)
- Check with cover to see if they have any free staff.
- See if it is possible to amalgamate any of the access arrangement rooms to release an invigilator. As a last resort, call upon HOF/Learning Leaders or SLT to invigilate.

#### 5. Exam rooms - lack of appropriate rooms or main venues unavailable at short notice

##### Criteria for implementation of the plan

- *Exams officer unable to identify sufficient/appropriate rooms during exams timetable planning*
- *Insufficient rooms available on peak exam days*
- *Main exam venues unavailable due to an expected incident at exam time*

##### **Centre actions:**

- A Clear rooming plan for exams should be determined at the beginning of the Academic year.

***Rooming is sorted through MIS team and shared with all staff.***

- Room bookings must be made early enough in advance to ensure there are sufficient rooms for exam students.
- If there is an emergency on the day, the free room calendar must be checked first and moves made accordingly.
- If all students are in exams at any one time, then the rooms used by that Year group in that period, should be free and can be booked for exams.
- If no possibility of any free rooms, refer to SLT for advice.

#### 6. Failure of IT systems

##### Criteria for implementation of the plan

- *MIS system failure at final entry deadline*
- *MIS system failure during exams preparation*
- *MIS system failure at results release time*

##### **Centre actions:**

- All Exam entries should be made well in advance of the deadline to avoid this issue in the first place. If the entries are left to the last minute and there is an IT failure, firstly ring the relevant exam boards to explain (They may give you an extension, but get that in writing).
- Try to access SIMS through another computer i.e. from home, or another SIMS users.
- Check that the IT team are aware of the exam results days to ensure smooth running of downloads.

## 7. Disruption of teaching time – centre closed for an extended period

### Criteria for implementation of the plan

- Centre closed or candidates are unable to attend for an extended period during normal teaching or study supported time, interrupting the provision of normal teaching and learning.

### **Centre actions:**

- Where there is disruption to teaching time and students miss teaching and learning, it remains the responsibility of centre to prepare students, as usual, for examinations.
- In the case of modular courses, Tupton Hall School may advise candidates to sit examinations in an alternative series.
- Centre should have plans in place to facilitate alternative methods of learning.

## 8. Centre unable to open as normal during the exams period

### Criteria for implementation of the plan

- Centre unable to open as normal for scheduled examinations

*\*In the event that the head of centre decides the centre cannot be opened for scheduled examinations, the relevant awarding body must be informed as soon as possible. Awarding bodies will be able to offer advice regarding the alternative arrangements for conducting examinations that may be available and the options for candidates who have not been able to take scheduled examinations.*

### **Centre actions:**

- Centre to open for examinations and examination candidates only, if possible.
- Centre to use alternative venues in agreement with relevant awarding organisations (e.g. share facilities with other centres or use other public building, if possible)
- Centre may offer candidates an opportunity to sit any examinations missed at the next available series.
- Centre to apply to awarding organisations for special consideration for candidates where they have met the minimum requirements.

## 9. Candidates unable to take examinations because of a crisis – centre remains open

### Criteria for implementation of the plan

- Candidates are unable to attend the examination centre to take examinations as normal

### **Centre actions:**

- Centre to liaise with candidates to identify whether the examination can be sat at an alternative venue in agreement with the relevant awarding organisations.
- Centre to offer candidates an opportunity to sit any examinations missed at the next available series.
- Centre to apply to awarding organisations for special consideration for candidates where they have met the minimum requirements. Candidates are only eligible for special consideration if they have been fully prepared and have covered the whole course but are affected by adverse circumstances beyond their control. If a candidate chooses not to sit an examination for other reasons they should be aware that special consideration rules will **not** apply.



## 10. Exam Papers not arrived in time / Students issued with wrong exam papers.

### Criteria for implementation of the plan

- Candidates are unable to sit exam due to wrong paper being delivered.
- Examination papers not delivered to school on time.

### Centre actions:

- Centre will check all exam papers upon arrival in school and will alert the appropriate Awarding Bodies of any discrepancies.
- If this happens on the day of the exam, contact the Exam Boards immediately. Awarding organisations to provide centres with electronic access to examination papers via a secure external network.

Awarding organisations to fax examination papers to centres if electronic transfer is not possible. Candidates to be supervised and kept under exam conditions until copies of the exam paper are available.

Candidates to sit the exam at a later start time on the timetabled exam day, wherever possible. The Examinations Officer would need to ensure that copies are received, made and stored under secure conditions.

## 11. Disruption to the transportation of completed examination scripts

### Criteria for implementation of the plan

- Delay in normal collection arrangements for completed examination scripts

### Centre actions:

- In the first instance centres to seek advice from awarding organisations and normal collection agency regarding collection. Tupton Hall School should **not** make their own arrangements for transportation without approval from awarding organisations.
- Centre must ensure secure storage of completed examination papers until collection. All exams scripts must be stored in the secure Exams Office. If this is not accessible, then in the safe in the Main Front Office.

## 12. Assessment evidence is not available to be marked

### Criteria for implementation of the plan

- Large scale damage to or destruction of completed examination scripts/assessment evidence before it can be marked

### Centre actions:

- Notify Awarding Bodies immediately.
- Awarding organisations to generate candidate marks for affected assessments based on other appropriate evidence of candidate achievement as defined by the awarding organisations
- Candidates to retake affected assessment at subsequent assessment window.

### 13. Centre unable to distribute results as normal

Criteria for implementation of the plan

- Centre is unable to access or manage the distribution of results to candidates, or to facilitate post results services

**Centre actions:**

- Centre to notify Awarding Bodies
- Centre to make arrangements to access its results at an alternative site (Possible to access from home)
- Centre to make arrangements to coordinate access to post results services from an alternative site
- Centre to share facilities with other centres if this is possible.

## Appendix 2:

# Word Processor (for Examinations) Policy October 2017



**Tupton Hall School**  
Aspire • Learn • Achieve

## **Contents**

Introduction

Principles for using a word processor

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## Introduction

This policy on the use of word processors in examinations and assessments is reviewed and updated annually, early in the autumn term, on the publication of updated JCQ regulations and guidance contained in the publications [Access Arrangements and Reasonable Adjustments](#) and [Instructions for conducting examinations](#).

References to 'AA' relate to JCQ *Access Arrangements and Reasonable Adjustments* and ICE to JCQ *Instructions for conducting examinations*.

## Principles for using a word processor

Tupton Hall School complies with AA section 4 regulations as follows:

### (AA 4.2.1)

- Candidates with access to word processors are allowed to do so in order to remove barriers for disabled candidates which prevent them from being placed at a substantial disadvantage as a consequence of persistent and significant difficulties.
- The use of word processors is only permitted whilst ensuring that the integrity of the assessment is maintained, at the same time as providing access to assessments for a disabled candidate.

### (AA 4.2.2)

The use of a word processor is not granted where it will compromise the assessment objectives of the specification in question.

### (AA 4.2.3)

Candidates may not require the use of a word processor in each specification. As subjects and their methods of assessments may vary, leading to different demands of our candidates, the need for the use of a word processor is considered on a subject-by-subject basis.

### (AA 4.2.4)

- The use of a word processor is agreed/processed at the start of the course. Candidates are subsequently aware that they will have the use of a word processor for examinations and controlled assessments/coursework.
- Candidates are aware that they will have the use of a word processor for examinations and controlled assessments/coursework.

### (AA 4.2.5)

- The use of a word processor for candidates is only granted if it reflects the support given to the candidate as their 'normal way of working', which is defined as support:
  - in the classroom; or
  - working in small groups for reading and/or writing; or
  - literacy support lessons; or
  - literacy intervention strategies; and/or
  - in internal school tests and mock examinations

## The use of a word processor

Tupton Hall School complies with AA section 5 as follows:

### (AA 5.8.1)

- Provides a word processor with the spelling and grammar check facility/predictive text disabled (switched off).
- Only grants the use of a word processor to a candidate where it is their normal way of working (see 4.2.5 above) within the centre.
- Only grants the use of a word processor to a candidate if it is appropriate to their needs (for example, the quality of language significantly improves as a result of using a word processor due to problems with planning and organisation when writing by hand).

### (AA 5.8.2)

- Provides access to word processors to candidates in controlled assessments or coursework components as standard practice unless prohibited by the specification.

### (AA 5.8.3)

- Allows candidates to use a word processor in an examination to type certain questions, i.e. those requiring extended writing, and handwrite shorter answers.
- Are also aware that examinations which have a significant amount of writing, as well as those that place a greater demand on the need to organise thought and plan extended answers, are those where candidates will frequently need to type. Examinations which require more simplistic answers are often easier to handwrite within the answer booklet. The candidate avoids the difficulty of visually tracking between the question paper and screen.

### (AA 5.8.4)

- In all cases, ensures that a word processor cover sheet (Form 4) is completed and attached to each candidate's typed script.
- Ensures in Functional Skills English (Reading and Writing components) the use of a word processor with the spell check facility switched on is permitted for all candidates.
- Does not simply grant the use of a word processor to a candidate because he/she prefers to type rather than write or can work faster on a keyboard, or because he/she uses a laptop at home.

## Word processors and their programmes

Tupton Hall School complies with ICE 8.8 instructions by ensuring:

- word processors are used as a type-writer, not as a database, although standard formatting software is acceptable
- word processors have been cleared of any previously stored data, as must any portable storage medium used
- an unauthorised memory stick is not permitted for use by a candidate
- where required, candidates are provided with a memory stick, which has been cleared of any previously stored data, by a nominated member of centre staff
- word processors are in good working order at the time of the examination

- word processors are accommodated in such a way that other candidates are not disturbed and cannot read the screen
- where a candidate using a word processor is accommodated separately, a separate invigilator is used
- word processors are either connected to a printer so that a script can be printed off, or have the facility to print from a portable storage medium
- documents are printed after the examination is over
- candidates are present to verify that the work printed is their own
- word processed scripts are attached to any answer booklet which contains some of the answers
- word processors are used to produce scripts under secure conditions, and if they are not then the centre is aware that they may be refused by the awarding body
- word processors are not used to perform skills which are being assessed
- word processors are not connected to an intranet or any other means of communication.
- candidates are not given access to other applications such as a calculator (where prohibited in the examination), spreadsheets etc. when using a word processor
- graphic packages or computer aided design software is not included on a word processor unless permission has been given to use these
- predictive text software or an automatic spelling and grammar check is disabled unless the candidate has been permitted a scribe or is using voice recognition technology (the script must have a scribe cover sheet attached), or the awarding body's specification permits the use of automatic spell checking
- voice recognition technology is not included on word processors unless the candidate has permission to use a scribe or relevant software
- word processors are not used on the candidate's behalf by a third party unless the candidate has permission to use a scribe

### **Laptops, Tablets and Word Processors**

Tupton Hall School further complies with ICE 8.8 instructions by ensuring:

- tablets used during examinations/assessments are designed to run for a long period of time once fully charged and are 'free-standing'
- the battery capacity of all laptops and/or tablets is checked before the candidate's examination(s) with the battery sufficiently charged for the entire duration of the examination
- candidates with fully charged laptops or tablets are given the opportunity to be seated within the main examination hall without the need for separate invigilation and power points
- candidates are reminded that their centre number, candidate number and the unit/component code must appear on each page as a header or footer
- candidates using Notepad or Wordpad software (which do not allow for the insertion of a header or footer) are instructed to handwrite their details as a header or footer once they have finished the examination and printed off their typed script; candidates are also supervised to ensure that they are solely performing this task and not re-reading their answers or amending their work in any way each page is appropriately numbered.
- candidates are instructed to use a minimum 12pt font and double spacing
- invigilators remind candidates to save their work at regular intervals
- it is possible to set up 'autosave' onto each laptop/tablet

- candidates granted the use of a word processor are present at the end of the examination when their script is printed off so they can verify that the work printed off is their own.

### **Accommodating word processors in examinations**

The use of word processors are internally accommodated in the following manner:

- Word processors are used by candidates in appropriate examination venues including the Enhanced Learning Rooms

Invigilation arrangements relating to the use of word processors include the following:

Invigilation arrangements are in place to monitor the use of word processors.

Other arrangements relating to the use of word processors includes:

Each candidate is assigned their own laptop and memory stick for the duration of the examination period and this laptop is secured when not in use by



## Appendix 3:

# EMERGENCY EVACUATION PROCEDURE DURING EXTERNAL EXAMINATIONS



Tupton Hall School

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# **EMERGENCY EVACUATION PROCEDURE**

## **DURING EXTERNAL EXAMINATIONS**

**The invigilator should stop the examination if the bell rings and immediately switch the walkie talkie on and await instructions. You will be informed by a member of the SLT/Interserve, via the radio/walkie talkie, whether you are in immediate danger.**

**ONE of the following procedures should then be carried out:**

### **IF THE CANDIDATES ARE IN IMMEDIATE /OBVIOUS DANGER**

1. Note the length of time elapsed since the examination(s) began and the actual time the examination was stopped (please use the examination clock.) This should be written on a piece of paper and left in the examination room. All scripts, examination papers, bags and belongings should be left in the examination room.
2. Evacuate the examination room, in silence ensuring (as far as possible) that the candidates are supervised, separate from the other pupils in the school. It is important that the students do not talk to one another.
3. Take the candidates to the main assembly area – astro turf pitches.  
Gym and Sports Hall – Invigilators should take groups of no more than 30 students at a time out of the fire doors at the back of the room. The students should be escorted, via the separate small gate at the rear of the P.E. block, to the astro turf assembly area in silence. Each invigilator is responsible for their own group of students. This includes taking a register of their group of students once assembled on the astro turf. The Lead Invigilator will be in charge of ensuring everyone is accounted for and collecting/taking the roll call registers.  
Sixth Form Classrooms - Invigilators should take students in silence via the nearest exit to the staff car park, ensuring each group is kept separate.
4. Using the walkie talkie or mobile phone, inform the Examinations Officer of your whereabouts. A member of staff will be sent to you with further instructions.

### **IF THE CANDIDATES ARE NOT IN IMMEDIATE DANGER**

1. Please note the length of time elapsed since the examination(s) began and tell the candidates to stop writing. Note the actual time the examination was stopped (please use the examination clock) this should be written on the invigilation log.
2. DO NOT evacuate the examination room.
3. Maintain silence in the examination room.
4. Please wait for further instructions from the Examinations Officer or member of school staff.

### **RESTARTING THE EXAMINATION**

1. Tell the candidates to rule off the answer paper or answer book at the point when the examination was halted.
2. Restart the examination(s) allowing for the whole of the remaining time for the examination(s).
3. Re-write the new finishing time on the Invigilation Log/Seating Plan and return to the Examinations Officer with the papers at the end of the examination(s).
4. The Examination Board(s) will be supplied with details of the disturbance by the Examinations Officer.