Name of Policy	Examinations Policy		

Purposes	To detail the policies and procedures for Examinations at Macclesfield College.		

Responsibility of / Job Title	Head of Exams		

Equality Assessment By Whom	Head of Exams	Date	04/2023

Version	1	Date of next review (month & year)	04/2024

		Date
Approved by	SMT	18th May 2023
	Corporation	n/a

Related policies or procedures or parent policy if applicable	Conflict of Interest Policy Complaints Policy Academic Appeals Procedure Assessment Policy Date Protection Policy Health and Safety Policy Lockdown Policy Examinations Contingency Plan Exam Access Arrangements Policy Additional Learning Support Policy Equality, Diversity and Inclusion Policy Child Protection and Adults at Risk Policy Safeguarding Policy Whistleblowing Policy
Groups/bodies consulted in the development of the policy	JCQ The Exams Office
To be published on College website	Yes
To be published on Student Hub	Yes

1. Purpose of this Policy

The centre is committed to ensuring that the exams management and administration process is run effectively and efficiently and in compliance with the published JCQ regulations and awarding body requirements.

This exam policy will ensure that:

- all aspects of the centre's exam process is documented, supporting the exams contingency plan, and other relevant exams-related policies, procedures and plans are signposted too
- 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 according to JCQ and awarding body regulations, guidance and instructions, thus maintaining the integrity and security of the exam/assessment system at all times
- 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. The Exams Cycle

The exams management and administration process that needs to be undertaken for each exam series is referred to as the exam cycle and relevant tasks required within this are grouped into the following stages:

1. Planning
2. Entries
3. Pre-exams
4. Exam time
5. Results and post-results

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

3. Planning

The roles and responsibilities for the Planning phase of the exam cycle are detailed below.

3.1.   Head of Exams

- Understands and directs relevant exam staff to annually updated JCQ publications.
- Ensures that relevant members of staff respond promptly to actions raised by the JCQ Centre Inspection Service.
- Ensures that the centre promptly reports any incidents to the relevant awarding body/bodies which might compromise any aspect of assessment delivery.
- Ensures the SEO and ALS Lead are fully supported in effectively implementing access arrangements and reasonable adjustments.
- Ensures relevant support is provided to the SEO in recruiting, training and deploying a team of invigilators.

- Ensures that the Exams Officer(s) and Exam Invigilators are line managed and actively supported by someone who has a good working knowledge of the examination system.
- Ensures the centre has appropriate accommodation to support the size of the cohorts being taught including appropriate accommodation for candidates requiring access arrangements and/or practical assessments.
- Has in place a written escalation process should the Head of Exams, or SLT with oversight of examination administration, be absent. The Escalation Process can be found in Appendix A.
- Ensures all mandatory exams policies and procedures are in place.
- Ensures the National Centre Number Register annual update is responded to by the end of October each year.

3.2. Senior Exams Officer (SEO)

- Understands and signposts relevant centre staff to JCQ publications and awarding body documentation relating to the exams process that have been updated.
- Makes candidates aware of the JCQ Information for candidates.
- As the centre administrator, manages and approves relevant access rights for centre staff to access awarding body secure portals.
- Undertakes an annual information gathering exercise in preparation for each new academic year.
- Trains and deploys a team of internal/external invigilators; and keeps a record of the content of training provided.
- Ensures the EOs and the ALS Lead receive appropriate training and support.
- Is familiar with the contents of annually updated information from awarding bodies on administrative procedures, key tasks, key dates and deadlines.
- 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.
- Ensures the exams information management system is kept up-to-date and maintained.
- Completes / submits the National Centre Number Register annual update by the end of October each year.
- Ensures any irregularities relating to the production of work by candidates are investigated and dealt with.
- Supports the Head of Exams in ensuring that awarding bodies are informed (where required) of any conflict of interest declared by members of centre staff.
- Supports the Head of Exams to avoid, investigate and report and incidents of Malpractice/Maladministration.
- Co-operates with the JCQ Centre Inspection Service, an awarding body or a regulatory authority when subject to an inspection, an investigation or an unannounced visit, and takes all reasonable steps to comply with all requests for information or documentation made by an awarding body or regulatory authority as soon as is practical.
- Is aware of the escalation process should the Head of Exams, or SLT with oversight of examination administration, be absent. The Escalation Process can be found in Appendix A.
- Ensures that the Exams Invigilators are actively supported by EOs who have a good working knowledge of the examination system.

3.3. Exams Officer (EO)

- Understands the contents of annually updated JCQ publications.
  - Is familiar with the contents of annually updated information from awarding bodies on administrative procedures, key tasks, key dates and deadlines.

- Supports the SEO on making sure key tasks are undertaken and key dates and deadlines met.

3.4. Additional Learning Support Lead (ALS Lead)

- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ Access Arrangements and Reasonable Adjustments (AA).
- Oversees the assessment of candidates to identify access arrangements / reasonable adjustments requirements.
- If not the qualified access arrangements assessor, works with the person appointed, on all matters relating to assessing candidates and ensures the correct procedures are followed.
- Presents when requested by a JCQ Centre Inspector, evidence of the assessor's qualification.
- Leads on the access arrangements and reasonable adjustments process.
- 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.
- Regularly reviews and updates the College's Exam Access Arrangements Policy.
- Keeps a file for each candidate for JCQ inspection purposes containing all the required documentation.
- Liaises with the Exams team 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) and keeps a record of the content of training provided to facilitators.
- Ensures criteria for access arrangements granted within the centre is clear, meets JCQ regulations and best meets the needs of individual candidates and remaining candidates in main exam rooms.

3.5. Curriculum Leads (CLs)

- Respond (or ensure teaching staff respond) to requests from the SEO on information gathering.
- Meet the internal deadlines for the return of information.
- Inform the SEO of any changes to information in a timely manner minimising the risk of late or other penalty fees being incurred by an awarding body.
- Note the internal deadlines in the annual exams plan and directs teaching staff to meet these.
- Support the ALS Lead in determining and implementing appropriate access arrangements/reasonable adjustments.
- 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 teaching staff undertake key tasks and meet internal deadlines set by the SEO and ALS Lead.
- Ensure teaching staff keep themselves updated with awarding body subject and teacher-specific information to confirm effective delivery of qualifications.
- Ensure teaching staff attend relevant awarding body training and update events.
- Ensure appropriate internal moderation, standardisation and verification processes are in place.

3.6. Senior Leaders

- Familiar with the contents, refer to and direct relevant centre staff to annually updated JCQ publications.
- Ensuring the College has a suitable Head of Exams and ALS Lead.

3.7. Teaching Staff

- Support the ALS Leads in determining and implementing appropriate access arrangements/reasonable adjustments
- Undertake key tasks within the exams process and meet internal deadlines set by the ALS and Exams departments.
- Keep updated with awarding body subject and teacher-specific information to confirm effective delivery of qualifications.
- Attend relevant awarding body training and update events.
- Ensure candidates are aware of JCQ and awarding body information for candidates.

3.8. Invigilators

- Attend/undertake training, annual updates, briefing and review sessions as required.
- Provide information as requested on their availability to invigilate.

4. Entries

4.1. Head of Exams

- Ensure the SEO has access to CLs to gather information required for exam entries.

4.2. Senior Exams Officer

- Requests, Informs and Confirms with CLs the deadlines and confirmations for exam entry.
- Provides CLs with statements of entry for checking.
- Has clear entry procedures in place to minimise the risk of late entries.
- Observes each awarding body's terms and conditions for the entry and withdrawal.
- Ensures that teaching staff, in accordance with awarding bodies' instructions, return all subject-specific forms by the required deadlines.

4.3. Exams Officers

- Support the SEO in the Exam Entries stage of the exam cycle.

4.4. Curriculum Leads

- Provide entry information requested by the SEO to the internal deadline.
- Check entry information provided by the SEO and confirm information is correct.
- Inform the SEO immediately of any subsequent changes to entry information.

4.5. Teaching Staff

- Ensure candidates check statements of entry and return any relevant confirmation required to the SEO.

4.6.   Candidates

- Confirm entry information is correct or notify the Exams department of any discrepancies.

5. Pre-exams

5.1.   Senior Exams Officer

- Issues individual exam timetable, relevant JCQ information, relevant awarding body information and centre exam information to candidates.
- Submits estimated grade information to awarding bodies to meet the external deadline.
- Submits marks, endorsement grades and samples to awarding bodies/moderators/monitors to meet the external deadline.
- Provides an annually reviewed/updated invigilator handbook to invigilators, trains new invigilators on the current regulations on appointment and updates experienced invigilators on an annual basis of any regulation changes and any changes to centre-specific processes.
- Deploys invigilators effectively to exam rooms throughout an exam series.
- Allocates invigilators to exam rooms according to the required ratios.
- Liaises with the ALS Lead regarding the facilitation and invigilation of access arrangement candidates.
- Ensures a procedure is in place to verify the identity of all candidates – Refer to Appendix C – and ensures invigilators are aware of the procedure.
- Provides seating plans for exam rooms according to JCQ and awarding body requirements (and ensures candidates with access arrangements are identified on the seating plan and invigilators are informed of those candidates with access arrangements and made aware of the access arrangement(s) awarded).
- Confirms appropriate arrangements are in place to ensure that confidential materials are only handed over to those authorised by the SEO.
- Ensures access to the secure room is restricted and approved by the those approved by the SEO are accompanied by a keyholder at all times. There must be between two and six keyholders only, each of whom must fully understand their responsibilities as a key holder to the secure storage facility.
- Has a process in place to demonstrate the receipt, secure movement and secure storage of confidential exam materials within the centre.
- Ensures a log is kept at the initial point of delivery recording confidential materials received and signed for by authorised staff within the centre and that appropriate arrangements are in place for confidential materials to be immediately transferred to the secure storage facility until they can be removed from the dispatch packaging and checked in the secure room before being returned to the secure storage facility in timetable order.
- Ensures the secure storage facility contains only current and live confidential material (ensuring that past examination question papers, internal tests and mock examinations are not kept in the centre's secure storage facility).
- Ensures that examination stationery, e.g. answer booklets and formula booklets are stored in the secure room.
- Ensures the integrity and security of any electronic question paper is maintained during the downloading, printing and collating process.
- Produces a master centre exam timetable for each exam series.
- Identifies and resolves candidate exam timetable 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 ALS Lead regarding rooming of access arrangement candidates.
- 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.
- Arranges invigilation.
- Takes all reasonable steps to maintain the integrity of the examinations/assessments, including the security of all assessment materials.

5.2.   Exams Officers

- Support the SEO in the Exam Entries stage of the exam cycle.

5.3.   Curriculum Lead

- Ensure teaching staff provide information required to the SEO by the deadlines.

5.4.   ALS Lead

- Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access to exams/assessments for candidates.
- 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 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.
- Where relevant, ensures the necessary and appropriate steps are undertaken to gather an appropriate picture of need and demonstrate normal way of working for a candidate and that the candidate is assessed by the centre's appointed assessor.
- Will meet with the JCQ inspector when requested to provide documentary evidence regarding access arrangement candidates and address any questions the inspector may raise.
- Ensures that information is readily available for inspection at the venue where the candidate is taking the exam(s).
- Liaises with relevant staff to make appropriate arrangements for access arrangement candidates.

5.5.   Invigilators
- Provide information as requested on their availability to invigilate throughout an exam series.
- Follow the procedure for verifying candidate identity provided by the SEO
- Seat candidates in exam rooms as instructed on the seating plan.

5.6.   Teaching Staff
- Support the ALS lead in implementing appropriate access arrangements for candidates.
- Assess and authenticate candidates' work.
- Adhere to the process to record the secure movement of confidential materials taken from or returned to secure storage throughout the time the material is confidential.
- Provide exam papers and materials as required to the SEO.

5.7.   Learner Experience
- Support the Exams department in the receipt and dispatch of confidential exam materials and follow the requirements for maintaining the integrity and confidentiality of the exam materials.

5.8.   Estates
- Liaise with the SEO to ensure exam rooms are set up according to JCQ and awarding body requirements.

6. Exam time

6.1.   Head of Exams
- Ensures venues used for conducting exams meet the requirements of JCQ and awarding bodies.
- Ensures that internal tests, mock exams, revision or coaching sessions are not conducted in a room 'designated' as an exam room.
- Ensures only approved centre staff (who have not taught the subject being examined) are present in exam rooms to perform permitted tasks.
- Ensures the centre's policy relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates – Refer to Appendix E.
- Ensures the centre's policy on candidates leaving the exam room temporarily is clearly communicated to candidates – Refer to Appendix F.
- Ensures (as required by an awarding body) any cases of alleged, suspected or actual incidents of malpractice or maladministration before, during or after examinations/assessments (by centre staff, candidates, invigilators) are investigated and reported to the awarding body **immediately**, by completing the appropriate documentation – refer to Appendix H.

6.2.   Senior Exams Officer
- Provides cover sheets for access arrangement candidates' scripts where required for particular arrangements.
- Has a process in place to deal with emergency/temporary access arrangements as they arise at the time of exams.
- Adheres to the Candidate Absence policy – Refer to Appendix D.
- 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.
- Ensures that candidates who arrive very late for an exam are reported to the awarding body.
- Warns late candidates that their script may not be accepted by the awarding body.
- Dispatches scripts as instructed by JCQ and awarding bodies.
- Keeps appropriate records to track dispatch.
- Organises exam question papers and associated confidential resources in date order in the secure storage facility.
- Attaches erratum notices received to relevant sealed question paper packets.
- Collates attendance registers and examiner details in date order.
- Regularly checks mail or email inbox for updates from awarding bodies.
- In order to avoid potential breaches of security, ensures care is taken to ensure the correct question paper packets are opened by ensuring a member of centre staff, additional to the person removing the papers from secure storage, e.g. an invigilator, checks the day, date, time, subject, unit/component and tier of entry, if appropriate, immediately before a question paper packet is opened.

- Ensures this additional/second check is recorded.
- 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 timetable clash candidates have completed the exam.
- Ensures exam rooms are set up and conducted 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 (including the arrangements in place for any transferred candidates and access arrangement candidates).
- Ensures sole invigilators have an Exams Walkie Talkie radio as appropriate means of summoning assistance.
- Ensures invigilators understand they must be vigilant and remain aware of incidents or emerging situations, looking out for malpractice or candidates who may be in distress, recording any incidents or issues on the exam room incident log.
- Ensures invigilators understand how to deal with candidates who may need to leave the exam room temporarily and how this should be recorded on the exam room incident log.
- 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.
- 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.
- Gathers special consideration evidence which may need to be provided by other staff in centre or candidates – refer to Appendix I.
- Submits special consideration requests to awarding bodies to the external deadline.
- Briefs invigilators on conducting internal exams.
- Returns candidate scripts to teaching staff for marking where appropriate.
- Ensures the appropriate arrangements for candidates with learning difficulties and disabilities provided by the ALS team are in place during Exams.

6.3. Senior Leaders
- Ensure a documented emergency evacuation procedure for exam rooms is in place – refer to Appendix G.
- Ensure arrangements are in place for a candidate with a disability who may need assistance if an exam room is evacuated

6.4. 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.
- Are informed of the policy/process for dealing with late/very late arrival candidates through training – refer to the Late Arrival Policy in Appendix D.
- Are informed of the unauthorised items in Exam room arrangements through training.
- Ensure that relevant information is recorded on the exam room incident log.
- Conduct exams in every exam room according to JCQ Instructions for conducting examinations and/or awarding body requirements and as instructed by the centre in training/update and briefing sessions.
- 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 or

needing to leave the exam room temporarily, disruption or disturbance in the exam room, emergency).

6.5. Curriculum Leads
- Provide signed evidence to support eligible applications for special consideration
- Ensure support is provided for the SEO and invigilators when dealing with disruptive candidates in exam rooms.
- Ensure that internal disciplinary procedures relating to candidate behaviour are instigated, when appropriate.

6.6. Estates
- Ensure exam rooms are available and set up as requested by the SEO.
- 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.

6.7. Candidates
- Are re-charged relevant entry fees for unauthorised absence from exams where appropriate.
- Provide appropriate evidence to support special consideration applications, where required.

7. Results and post-results

7.1. Head of Exams
- Identify centre staff who will be involved in results day(s) and their role.
- Ensures results are kept entirely confidential and restricted to key members of staff until the official dates and times of release of results to candidates.
- Ensures an **internal appeals procedure** is available where candidates disagree with any centre decision not to support a clerical re-check, a review of marking, a review of moderation or an appeal.

7.2. Senior Exams Officer
- Works with senior leaders to ensure procedures for managing the results day(s) are in place.
- Understands that it is not permitted to withhold provisional results from candidates under any circumstances.
- Informs candidates in advance of when and how results will be released to them for each exam series.
- 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.
- Understands that if the centre has concerns about one of its component/subject cohorts, then requests for reviews of marking should be submitted for all candidates believed to be affected (candidate consent is required as marks and subject grades may be lowered, confirmed or raised).
- Provides information to candidates and staff on the services provided by awarding bodies and the fees charged.
- 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 to collect candidate informed consent (**after** the publication of results) and fees where relevant.
- Submits requests to awarding bodies to meet the external deadline for the particular service.
- Tracks requests to conclusion and informs candidates and relevant centre staff of outcomes.
- Updates centre results information, where applicable.

7.3.   Curriculum Leads
- 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 after the retention period or disposed of according to the requirements.
- Ensure senior members of staff are accessible to candidates immediately after the publication of results so that results may be discussed and decisions made on the submission of any requests for post-results services and ensure candidates are informed of the periods during which centre staff will be available so that they may plan accordingly.

7.4.   Teaching Staff
- Meet internal deadlines to request the services and gain relevant candidate informed consent.

7.5.   Estates
- Ensure the centre is open and accessible to centre staff and candidates, as required for the collection of results.

7.6.   Reporting
- Provides analysis of results to appropriate centre staff.

7.7.   Candidates
- Meet internal deadlines to request the services.
- Provide informed consent and fees, where relevant.
- May arrange for certificates to be collected on their behalf by providing the Exams department with written or email permission/authorisation; authorised persons must provide ID evidence on collection of certificates – refer to Appendix J.

8. Exams Review

8.1.   Head of Exams
- Provides SMT 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 an exams review.

8.2.   Senior Leaders
- Work with the Head of Exams to produce a plan to action any required improvements identified in the review.

9. Retention of Records

9.1.   Senior Exams Officer

- Keeps records as required by JCQ and awarding bodies for the required period.
- Keeps records as required by the College Data Retention Policy.
- Provides an exams archiving policy that identifies information held, retention period and method of disposal.

Appendix A: Escalation Process

If the Director of MIS and Head of Exams is unavailable a member of the Senior Management Team will be allocated to oversee the Exams department.

If the Head of Exams is unavailable, The Senior Exams Officer reports to the Director of MIS.

If the Senior Exams Officer is unavailable the Exams Officer(s) report to the Head of Exams.

If the Exam Officer(s) are unavailable the requests are sent to the Senior Exams Officer directly and either MIS Officers or the Head of Exams will support the Senior Exams Officer with the workload as required.

If External Exams Invigilators are unavailable or absent, Internal Exams Invigilators are called upon.

Appendix B: Exams Lockdown Procedures

B.1.   Before an examination

If a lockdown is required as candidates are entering/waiting to enter the exam room, the following procedure will be employed:

Exam Invigilators will:

- Instruct all students to enter the exams room and hide out of view of the door and windows
- secure the room in line with the College Lockdown
- lock all windows and close any/all curtains/blinds
- switch off all lights
- lock all doors and/or use door wedges, tables, or any other furniture, to barricade the entrance to the examination room
- collect the attendance register
- instruct candidates to remain silent
- where safe/possible, communicate (via mobile phone/walkie talkie) the situation to the Senior Exams Officer (ensuring that all mobile phones/walkie talkies are on 'silent' mode)
- Where safe/possible, not leave the examination question papers unattended/out of sight

Senior Exams Officer will:

- make informed decisions on alerting parents/carers, awarding bodies and emergency services.
- Ensure the Exam Invigilators are made aware when the lockdown is over or when it is safe to evacuate.

B.2.   During an examination

If a lockdown is required during the exam/when candidates are in the exam room, the following procedure will be employed:

Exam Invigilators will:

- secure the room in line with the College Lockdown Policy
- lock all windows and close any/all curtains/blinds
- switch off all lights
- lock all doors and/or use door wedges, tables, or any other furniture, to barricade the entrance to the examination room
- tell candidates to stop writing immediately and close their answer booklets
- collect the attendance register
- make a note of time when the examination was suspended
- instruct candidates to remain silent, leave all examination materials on their desks and hide out of view of the door and windows
- where safe/possible, communicate (via mobile phone/walkie talkie) the situation to the exams officer (ensuring that all mobile phones/walkie talkies are on 'silent' mode)
- where safe/possible, not leave the examination question papers and candidates' scripts unattended/out of sight

Senior Exams Officer will:
- make informed decisions on alerting parents/carers, awarding bodies and emergency services.
- Where safe/possible, the exams officer will collate the information from all exam rooms and forward this to the Senior Exams Officer immediately
- Ensure the Exam Invigilators are made aware when the lockdown is over or when it is safe to evacuate.

B.3.   Leaving the examination

If a lockdown is required after the exam/as candidates are leaving the exam room, the following procedure will be employed:

Exam Invigilators will:
- stop dismissing candidates from the exam room
- instruct candidates who have left the room to re-enter the exam room
- instruct candidates to remain silent and hide out of view of the door and windows
- secure the room in line with the College Lockdown Policy
- lock all windows and close any/all curtains/blinds
- switch off all lights
- lock all doors and/or use door wedges, tables, or any other furniture, to barricade the entrance to the examination room
- collect the attendance register
- where safe/possible, communicate (via mobile phone/walkie talkie) the situation to the Senior Exams Officer (ensuring that all mobile phones/walkie talkies are on silent and non-vibrate mode)
- where safe/possible, not leave the examination question papers and candidates' scripts unattended/out of sight
- Where safe/possible, the exams officer will collate the information from all exam rooms and forward this to the Senior Exams Officer immediately

B.4.   Ending a lockdown

The lockdown will be ended by:

- the identification/authorisation of Emergency Service officers, SMT or Senior Exams Officer entering the exam room.
- Exam Invigilators will undertake a head count/register and confirm attendance with the Senior Exams Officer
- Where applicable and if advised to do so by the Senior Exams Officer, and following JCQ guidelines, if there is sufficient time remaining, candidates may restart their examination.

Exam Invigilators will then:

- ask candidates to return to their desks, remind them they are under formal exam conditions and allow a settling down period
- allow candidates the full working time remaining to do their examination
- recalculate the revised finish time(s)
- tell the candidates to open their answer booklets and re-start their exam
- amend the revised finish time(s) on display to candidates

- note how long the lockdown lasted on the exam room incident log (to later inform a report to the awarding body/bodies and where relevant, any centre-wide lockdown recording form/log)

Senior Exams Officer will:

- provide a report of the incident for the awarding body/bodies (through application of the special consideration process or as advised by the awarding body/bodies)
- safely/securely store all collected exam papers and materials pending awarding body advice/guidance
- Where applicable/possible/available, Senior Exams Officer will:
  - discuss any alternative exam sittings with the awarding body/bodies
  - offer, arrange and provide support services to staff and candidates
  - At the earliest opportunity, Senior Exams Officer will prepare a communication to parents/carers advising them of events (including relevant actions and outcomes)
  - Communications about the lockdown will be provided via a centre text/email/newsletter and information uploaded to the College website.

Appendix C: Candidate Identification Procedure
This procedure confirms how candidates must be identified. It is the responsibility of the invigilator to establish the identity of all candidates sitting examinations.
C.1.   Roles and responsibilities
- **Head of Exams:** Ensures this procedure is kept up-to-date.
- **Senior Exams Officer:** Understands and upholds the procedure.
- **Invigilators:** Ensures candidates are checked and verified with the identification methods outlined in this policy.
- **Candidates (or parents/carers):** Ensure they have the identification methods outlined in this procedure on them for the exam and present them to the invigilators.

C.2.   Candidate Identification Methods
Photographic ID:
- Student ID badge, passport, driving licence, photo buss pass, or any other official pass with their photography are acceptable forms of ID.
- Possession of valid ID should be checked as students enter the exam room, where they are instructed to place this visibly on the top corner of their desk.
- Students with face veils that inhibit identification should be asked by member of staff of the same gender to go with them to a private room, where identification can take place, before returning to the exam room.
- Senior members or staff, such as Assistant Principals or Curriculum Leads, who have been authorised by the Head of Exams may be present at the beginning of the exam to assist with the identification of candidates.
- Students identified as per points 3 or 4 should be indicated on the Student identification record.

No Photographic ID:
- Students can be verified by Invigilation staff on the MIS system by viewing their photo on the MIS system.
- Students can be verified by the photo included on printed candidate card on each table.
- Students must go to library to obtain a new ID badge to use as their identification for the exam.

Do not turn students away; if a student refuses to obtain alternative ID, inform the Exams team who will speak to the student.

Appendix D: Candidate Late Arrival and Absence Policy

Candidates will be permitted entrance to the exam room up to 30 minutes after the start time of the examination, and only if no other candidate has already left the exam room. After this time, a candidate is considered very late and their entrance to the exam will be at the discretion of the Exams Officer and Senior Leaders. If admitted to the exam, the Exams Officer will report the late arrival in the usual way to the relevant Awarding Body. The Candidate must be advised that this is the procedure and that their exam paper may not be accepted by the Awarding Body for marking.

D.1.   Absences

A candidate will be considered absent from an examination if they are not present on completion of the attendance list once the candidates are seated and the examination has started. Once a candidate is identified as absent from an examination, the following action will be taken:

- The Exams Officer will inform the candidates subject tutor and they will be responsible for contacting the candidate immediately as to their whereabouts and as far as possible arrangements made to ensure their immediate arrival

If a candidate fails to sit an examination, the following action is taken:

- A confirmed candidate absence is clearly recorded on the attendance register which is sent to the examiner/marker

At Macclesfield College if a candidate is absent from a timetabled written examination for an acceptable reason, the candidate may be eligible for special consideration. Refer to Section 2.3 of this policy.

D.2.   Roles and Responsibilities

It is the responsibility of the following member(s) of staff to deal with candidate absence once it has been identified:

Curriculum Leads will:

- It is the responsibility of the tutors and Curriculum Leads to deal with candidates who are persistently absent from examinations.
- Tutors and Curriculum Leads will be informed of absentees and will investigate if appropriate.

Exams Officers will:

- Prepare examination invigilation boxes before each exam.
- Be on-call (radio) to cover any issues that occur within the exam.
- Cover breaks for candidates if required.
- Check attendance in the main exam rooms and with the support of Student Services contact absentees if required.
- Ensure invigilators are aware and students have access to appropriate access arrangements.

Learner Support Leads will:

- Check the attendance of candidates in the exam rooms designated to access arrangements.

Invigilators will:

- Be informed of the process for dealing with absent candidates through training.
- Ensure that absent candidates are clearly indicated on the attendance register.

Candidates will:

- Be re-charged any relevant entry fees for unauthorised absence from examinations if required.

Appendix E: Food & Drink Policy

This policy confirms that Macclesfield College reserves the right to exercise discretion whether to allow food and drink in the examination room, and confirms: the correct procedures are followed regarding food and drink in the examination room appropriate arrangements are in place for the management of food and drink in the examination room.

E.1.   Food and drink in the examination room

- Food and drink is allowed in the examination room at the discretion of the Senior Exams Officer (ICE 18.2)
- Any food and drink brought into the examination room whether by the candidate or the centre must be free from packaging, transparent packaging and all labels are removed from drink containers (ICE 18.2)

Candidates are allowed to bring food into an examination if agreed in advance with the ALS and Exams team, typically this tends to be for learners with a medical condition, such as diabetes.

E.2.   Roles and Responsibilities

Head of Exams:

- Report to the awarding body immediately all cases of suspected or actual malpractice in connection with the examination (ICE 24.3).

Senior Exams Officer will:

- Through briefings, ensure candidates are aware of the regulations, and centre-specific arrangements, relating to food and drink in the examination room
- Ensure invigilators are trained and aware of the regulations/centre-specific arrangements relating to food and drink in the examination room
- Escalate any issue or breach of centre-specific arrangements to the relevant senior leader for the application of internal sanction(s)
- Escalate any breach of JCQ regulations immediately to the head of centre (a breach of the regulations constitutes suspected or actual malpractice)

Invigilators will:

- Be vigilant in the examination room and remain aware of incidents or emerging situations, looking out for malpractice (ICE 20.2)
- Record what has happened, and actions taken on the exam room incident log in relation to any breach of regulations/centre-specific arrangements regarding food and drink in the examination room.

Appendix F: Leaving the Examination Room Policy

The purpose of this policy is to confirm that candidates leaving the examination room at Macclesfield College is managed in line with JCQ regulations.

This policy confirms the correct procedures are followed in relation to candidates leaving the examination room.

Macclesfield College reserves the right to exercise discretion whether to allow extra time to compensate candidates for their temporary absence from the examination room.

F.1.   Arrangements for leaving the examination room

- For examinations that last one hour or more, candidates must stay under centre supervision until 10.00am for a morning examination or 2.30pm for an afternoon examination, i.e. one hour after the awarding body's published starting time for that examination. (ICE 23.1)
- For examinations that last less than one hour, candidates must be supervised and question papers must be kept in secure storage until the published finishing time of the examination. (ICE 23.2)
- Candidates who are allowed to leave the examination room temporarily must be accompanied by a member of centre staff. This must not be the candidate's subject teacher or a subject expert for the examination in question. Those candidates may be allowed extra time at the discretion of the centre to compensate for their temporary absence. (ICE 23.3)
- Candidates who have finished the examination and have been allowed to leave the examination room early must hand in their script, question paper and any other material before they leave the examination room. Those candidates must not be allowed back into the room. (ICE 23.4)
- At the end of the examination, candidates must hand in their script, question paper and any other material before they leave the examination room. (ICE 23.5)

The following arrangements are applied at Macclesfield College:

- Candidates who are allowed to leave the examination room temporarily may be allowed extra time to compensate for their temporary absence. (ICE 23.3)
  If a candidate has taken ill during an examination and misses time due to this illness, as a centre we may allow the candidate additional time. This would all be noted in the examination logs and an incident would be submitted to the Awarding Body at the end of the examination.

F.2.   Roles and responsibilities

Senior Exams Officers will:

- Through training, ensure invigilators are aware how candidates who may be allowed to leave the examination room temporarily should be managed and recorded.

Invigilators will:

- Ensure a candidate who may be allowed to leave the examination room temporarily is accompanied by a member of centre staff who is not the candidate's subject teacher or a subject expert for the examination in question (ICE 23.3)
- Record instances on the exam room incident log of candidates who may be allowed to leave the examination room temporarily because they may be feeling unwell or require a toilet break (ICE 20.2)
- Ensure candidates who have finished the examination and have been allowed to leave the examination room early hand in their script, question paper and any other material before they leave the examination room. Ensure those candidates are not allowed back into the room (ICE 23.4)
- At the end of the examination, ensure candidates hand in their script, question paper and any other material before they leave the examination room (ICE 23.5)

Appendix G: Emergency Evacuation

This policy details how Macclesfield College deals with an emergency evacuation of the exam room(s) by defining staff roles and responsibilities and confirming the emergency evacuation procedure.

G.1.   When is an emergency evacuation required?
An emergency evacuation is required where it is unsafe for candidates to remain in the exam room. This might include a fire in the exam room, the fire alarm sounding to warn of fire, bomb alert or other serious threat.
In exceptional situations, where candidates might be severely disadvantaged or distressed by remaining in the exam room, the emergency evacuation procedure may also need to be followed. This might include situations where there is severe disruption in the exam room, serious illness of a candidate or invigilator or similarly serious incidents.
As each incident may be different, advice will be sought from the relevant awarding body as soon as it is safe to do so, particularly where the centre is concerned about the security of the examination(s). (ICE 25.4)
Where candidates are unable to return to the building to complete the examination, the relevant awarding body will be contacted immediately for advice. The awarding bodies have procedures in place to ensure that candidates are not disadvantaged where they are unable to complete the examination due to circumstances beyond their control. (ICE 24.5)

G.2.   Roles and responsibilities

Head of Exams:
- Ensures the emergency evacuation policy for exams is fit for purpose and complies with relevant health and safety regulation
- Ensures any instructions from relevant local or national agencies are referenced and followed where applicable, including information from the National Counter Terrorism Security Office on the Procedures for handling bomb threats: https://www.gov.uk/government/publications/bomb-threats-guidance/procedures-for-handling-bomb-threats
- Where safe to do so, ensures candidates are given the opportunity to sit exams for their published duration

Head of Estates:
- Where responsible for the centre-wide emergency evacuation procedure, ensures all staff and appointed fire marshals are aware of the policy and procedures to be followed when an emergency evacuation of an exam room is required
- Ensures appropriate arrangements are in place for the emergency evacuation of a disabled candidate (PEEP) from an exam room where different procedures or assistance may need to be provided for the candidate

Senior Exams Officer:
- Ensures invigilators are trained in emergency evacuation procedures and how an incident and actions taken must be recorded
- Ensures candidates are briefed prior to exams taking place, on what will happen in the event of an emergency in the exam room
- Provides an exam room incident log in each exam room
- Briefs invigilators prior to each exam where different procedures or assistance may need to be provided for a disabled candidate
- Ensures appropriate follow-up is undertaken after an emergency evacuation reporting the incident to the awarding body and the actions taken through the *special consideration* process where applicable (in cases where a group of candidates have been disadvantaged by a particular event)

Invigilators:

- By attending training and/or update sessions, ensure they understand what to do in the event of an emergency in the exam room
- Follow the actions required in the emergency evacuation procedure issued to them for every exam room
- Confirm with the exams officer, where different procedures or assistance may need to be provided for a disabled candidate they are invigilating
- Record details on the exam room incident log to support follow-up reporting to the awarding body by the exams officer (see below).

G.3.   Recording details
As soon as practically possible and safe to do so, details should be recorded. Details must include:

- the actual time of the start of the interruption
- the actions taken
- the actual time the exam(s) resumed
- the actual finishing time(s) of the resumed exam(s)

Further details could include:
- report on candidate behaviour throughout the interruption/evacuation
- a judgement on the impact on candidates after the interruption/evacuation

G.4. Emergency Evacuation Procedure

Invigilators are trained in this procedure and understand the actions they must take in the event of a fire alarm or other emergency that leads to an evacuation of the exam room.

Emergency evacuation procedure
Actions to be taken (as detailed in current JCQ Instructions for conducting examinations section 25, **Emergencies**)
Stop the candidates from writing
Collect the attendance register (in order to ensure all candidates are present)
Evacuate the examination room in line with the instructions given by the appropriate authority
Advise candidates to leave all question papers and scripts in the examination room Candidates must be advised to close their answer booklet
Ensure candidates leave the room in silence
Ensure the candidates are supervised as closely as possible while they are out of the examination room to make sure there is no discussion about the examination
Make a note of the time of the interruption and how long it lasted
Allow the candidates the remainder of the working time set for the examination once it resumes
If there are only a few candidates, consider the possibility of taking the candidates (with question papers and scripts) to another place to finish the examination
Make a full report of the incident and of the action taken, and send to the relevant awarding body
Additional centre-specific actions to be taken
Apply for Special Consideration if needed.
Follow the instructions of the Fire Drill which are displayed in each individual room.
Follow the instructions of the Fire Marshalls.
Do not re-enter the building until you are instructed by the Lead Fire Marshall.
In the event of evacuation go to the rear car park but keep separate from the rest of the College.
In the event of the Exam Room being on Fire evacuate the room immediately. Follow the instructions of the Fire Drill which are displayed in each individual room. The invigilator to collect the exam papers in but only if there's time and they are not putting themselves or the students at risk. If the papers are left in the room the Exam Board must be contacted as soon as possible.

Appendix H: Exams Malpractice and Maladministration Policy

H.1.   What is Malpractice and Maladministration?

'Malpractice' and 'Maladministration' are related concepts, the common theme of which is that they involve a failure to follow the rules of an examination or assessment. This policy and procedure uses the word 'malpractice' to cover both 'malpractice' and 'maladministration' and it means any act, default or practice which is:

• a breach of the Regulations.
• a breach of awarding body requirements regarding how a qualification should be delivered.
• a failure to follow established procedures in relation to a qualification

which:
• gives rise to prejudice to candidates
• compromises public confidence in qualifications
• compromises, attempts to compromise or may compromise the process of assessment, the integrity of any qualification or the validity of a result or certificate
• damages the authority, reputation or credibility of any awarding body or centre or any officer, employee or agent of any awarding body or centre

For the purposes of this document, suspected malpractice means all alleged or suspected incidents of malpractice

H.2.   Purpose of the policy

The purpose of this policy is to confirm how Macclesfield College manages malpractice under normal delivery arrangements in accordance with the regulations.

In accordance with the regulations Macclesfield College will:

• Take all reasonable steps to prevent the occurrence of any malpractice (which includes maladministration) before, during and after examinations have taken place (GR 5.11)
• Inform the awarding body immediately of any alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, by completing the appropriate documentation (GR 5.11)
• As required by an awarding body, gather evidence of any instances of alleged or suspected malpractice (which includes maladministration) in accordance with the JCQ publication **Suspected malpractice - Policies and procedures** and provide such information and advice as the awarding body may reasonably require (GR 5.11)

H.3.   Candidate malpractice

'Candidate malpractice' means malpractice by a candidate in connection with any examination or assessment, including the preparation and authentication of any controlled assessments, coursework or non-examination assessments, the presentation of any practical work, the compilation of portfolios of assessment evidence and the writing of any examination paper.

H.4.   Centre staff malpractice

'Centre staff malpractice' means malpractice committed by:

- a member of staff, contractor (whether employed under a contract of employment or a contract for services) or a volunteer at a centre; or
- an individual appointed in another capacity by a centre such as an invigilator, a Communication Professional, a Language Modifier, a practical assistant, a prompter, a reader or a scribe

H.5. Preventing malpractice

Macclesfield College has in place:

- robust processes to prevent and identify malpractice, as outlined in section 3.3 of the JCQ publication Suspected Malpractice: Policies and Procedures (SMPP 4.3)

H.6. Identification and reporting of malpractice

The Head of Exams will notify the appropriate awarding body immediately of all alleged, suspected or actual incidents of malpractice, using the appropriate forms, and will conduct any investigation and gathering of information in accordance with the requirements of the JCQ publication Suspected Malpractice: Policies and Procedures (SMPP4.1.3)

Form JCQ/M1 will be used to notify an awarding body of an incident of candidate malpractice. Form JCQ/M2 will be used to notify an awarding body of an incident of suspected staff malpractice/maladministration (SMPP 4.4, 4.6)

Malpractice by a candidate discovered in a controlled assessment, coursework or non-examination assessment component prior to the candidate signing the declaration of authentication need not be reported to the awarding body but will be dealt with in accordance with the centre's internal procedures. The only exception to this is where the awarding body's confidential assessment material has potentially been breached. The breach will be reported to the awarding body immediately (SMPP 4.5)

If, in the view of the investigator, there is sufficient evidence to implicate an individual in malpractice, that individual (a candidate or a member of staff) will be informed of the rights of accused individuals (SMPP 5.32)

Once the information gathering has concluded, the head of centre (or other appointed information-gatherer) will submit a written report summarising the case to the relevant awarding body, accompanied by the information obtained during the course of their enquiries (SMPP 5.34)

Form JCQ/M1 will be used when reporting candidate cases; for centre staff, form JCQ/M3 will be used (SMPP 5.36)

The awarding body will decide on the basis of the report, and any supporting documentation, whether there is evidence of malpractice and if any further investigation is required. The head of centre will be informed accordingly (SMPP 5.39)

H.7. Communicating malpractice decisions

Once a decision has been made, it will be communicated in writing to the head of centre as soon as possible. The head of centre will communicate the decision to the individuals concerned and pass on details of any sanctions and action in cases where this is indicated. The head of centre will also inform the individuals if they have the right to appeal (SMPP 11.1)

H.8.   Appeals against decisions made in cases of malpractice

- Macclesfield College will: Provide the individual with information on the process for submitting an appeal, where relevant
- Refer to further information and follow the process provided in the JCQ publication A guide to the awarding bodies' appeals processes.

Appendix I: Special Consideration Policy

I.1.   Special Consideration

Special consideration is given to a candidate who has temporarily experienced illness, injury or some other event outside of their control **at the time of the assessment**. It is applied when the issue or event has had, or is reasonably likely to have had, a material effect on a candidate's ability to take an assessment or demonstrate his or her normal level of attainment in an assessment.

Special consideration can go some way to assist a candidate affected by a potentially wide range of difficulties, emotional or physical, which may influence performance in their examinations. It cannot remove the difficulty faced by the candidate. This means that there will be some situations where candidates should not be entered for an examination. This is because only minor adjustments can be made to the mark awarded. To make larger adjustments would jeopardize the standard of the examination. (JCQ's **A guide to the special consideration process**, section 1). This publication is further referred to in this policy as SC.

The purpose of this section of the policy is to identify roles and responsibilities in the special consideration process and confirms that Macclesfield College will submit any applications for special consideration where candidates meet the published criteria. (JCQ's General Regulations for Approved Centres, section 5.9)

I.2.   Roles and responsibilities

Head of Exams:
Is familiar with the contents, refers to and directs relevant centre staff to the annually updated JCQ publication SC.
* Ensures that, where relevant and in eligible situations, applications for special consideration will be submitted to awarding bodies by the Senior Exams Officer

Senior Exams Officer:
* Understands the criteria as detailed in SC to determine where candidates will/will not be eligible for special consideration.
* Ensures that, where relevant and in eligible situations, applications for special consideration will be submitted to awarding bodies.

Curriculum Leads, Teaching Staff and ALS Leads:
* Provide any appropriate evidence or information that may be required to determine a candidate's eligibility for special consideration.

Candidates (and Parents/Carers):
* Provide any medical or other evidence that may be required to determine eligibility for special consideration.

I.3.   Eligibility for special consideration
I.3.1.   Applying for special consideration
Where eligible, special consideration will be applied for at the time of the assessment where candidates have been fully prepared and have covered the whole course but performance in the examination, or in the production of coursework or non-examination assessment, is materially affected by adverse circumstances beyond their control. (SC, section 2).

For candidates who are present for the assessment, but disadvantaged, Macclesfield College must be satisfied that there has been a material detrimental effect on candidate

examination performance or in the production of coursework or non-examination assessment. (SC, section 3)

Examples:

1. Where a candidate may arrive for an exam and is clearly unwell, extremely distressed and/or may have sustained an injury that requires emergency access arrangements to be put in place:

   - the candidate will be kept comfortable and under centre supervision from the required time while appropriate arrangements are put in place for the candidate to take the exam in the best possible conditions
   - a judgement will be made on how the candidate's situation or disposition affected performance in the exam
   - where appropriate and where eligible, special consideration will be applied for

2. Where candidates may be affected by a major disturbance in the exam room (emergency evacuation etc.), special consideration will be applied for on behalf of all candidates.

3. Where a candidate may be affected by a minor disturbance in the exam room caused by another candidate (momentary bad behaviour, mobile phone ringing etc.), special consideration cannot be applied for.

If a candidate is absent from a timetabled component/unit for acceptable reasons, and the centre can support this, special consideration will be applied for if the exam missed is in the terminal series and the minimum requirements for enhanced grading in cases of acceptable absence can be met. For unitised examinations taken in an examination series prior to certification, candidates must be re-entered for any missed units at the next assessment opportunity. Unless there are difficulties arising, e.g. group performances which cannot be repeated, special consideration will not be awarded. (SC, section 4).

Where other issues or problems affect a candidate or a group of candidates, special consideration will be explored in SC 5 and applied for where eligible. This might include, for example:

- other certification
- coursework/non-examination assessment extensions
- shortfall in work (coursework/non-examination assessment)
- lost or damaged work (non-examination assessment components)
- candidates taking an incorrect or defective question paper
- candidates undertaking the wrong controlled assessment or non-examination assessment assignment

Where a candidate may be eligible for special consideration (a post assessment adjustment) in a vocational qualification, the centre will follow SC 7 and awarding body guidance to determine if, when and how an adjustment can be applied for.

I.3.2. Processing applications for special consideration

Head of Exams:

- Ensures that all eligible applications will be supported by signed evidence produced by a member of the senior leadership team

Senior Exams Officer:

- Understands that special consideration must be applied for at the time of the assessment
- Understands that special consideration cannot be applied in a cumulative fashion and that where a candidate may be affected by different indispositions, special consideration should only be applied for the most serious indisposition
- Ensures applications will be processed as required by the awarding bodies
- Keeps evidence to support all applications on file until after the publication of results and provides the signed evidence provided by a member of the senior leadership team to support an application where this may be requested by an awarding body
- Meets the required deadline(s) for submitting applications

Curriculum Leads, Teaching Staff and ALS Lead:

- Provide any appropriate evidence or information that may be required to support a candidate's application for special consideration.

Candidates (and Parents/Carers):

- Will be asked to provide any required medical or other evidence that may be required to support an application for special consideration.
- Will be informed that all cases must be dealt with by the centre.

I.3.3. Submitting applications for special consideration

Where a candidate or group of candidates is/are eligible for special consideration, applications will be submitted to the relevant awarding body following the published processes in SC.
Evidence to support all applications will be kept on file until after the publication of results.

I.3.4. Late applications

If, after the publication of results for a particular exam series, a claim is made that special consideration was not applied for at the time of an assessment where a candidate was eligible, the claimant will be informed that late applications will only be accepted by an awarding body in the most exceptional circumstances and where a member of the senior leadership team is able to produce evidence to support a late application.

If a claim is made after the completion of a review of results, the claimant will be informed that an application for special consideration cannot be submitted.

Appendix J: Certificate Issue Procedure and Retention Policy

J.1.   Certificate Procedure
This procedure outlines the examination certificate process for each category of certification.

J.2.   Roles and responsibilities
- **Head of Exams:** Ensures this procedure is kept up-to-date.
- **Senior Exams Officer:** Understands and upholds the procedure.
- **Exams Officers:** Follow the procedure.

J.3.   General Certificates

1	• Complete, achieve and update grade on ProSolution
2	• In the Exams tab on the enrolment change Certificate Sent Method to "E-mailed and Texted" and update the Cert Sent and Received fields to today's date
3	• File in Customer Services filing cabinet
4	• Each September, move any certificates from Reception with an issue date of more than 12 months old **(not Apps)** to the archive drawer in the Exams Office.
5	• Each September, securely destroy any certificates in the archive drawer more than 24 months old and keep a record on the Disposed Certificate Log

J.4.   Maxim Apprentice Certificates

1	• Complete, Achieve and update Grade on ProSolution using Complete Enrolment Wizard
2	• In the Exams tab on the enrolment change Certificate Sent Method to "Maxim" and update the Cert Sent and Received fields to today's date.
3	• Take original certificate to Maxim
4	• Once App has completed their qual, Maxim will notify learner and file in Learner Exp filing cabinet. The certs will be clearly labelled as Maxim.
5	• App certificates are to remain in the filing cabinet and Maxim will be responsible for archiving uncollected certificates

J.5.   Unit Credit Certificates

1	• File the unit certificate in the Exams Office until learner has achieved full qual - then follow the steps against "General Certificates"

J.6.   Completed, Failed or Withdrawn Certificates

1	• If learner has completed and failed or withdrawn and has received a unit credit, or been transferred and claimed on a lower qual which does not match their registration then leave ProSol record as it is
2	• In the Exams tab on the enrolment change Certificate Sent Method to "E-mailed and Texted" and update the Cert Sent and Received fields to today's date. Add a note against the student detail record to confirm which cert has been received.
3	• File in Customer Services filing cabinet
4	• Each September, move any certificates from Reception with an issue date of more than 12 months old (**not Apps**) to the archive drawer in the Exams Office.
5	• Each September, securely destroy any certificates in the archive drawer more than 24 months old and keep a record on the Diposed Certificate Log

Appendix K: Externally Set Controlled Assessments

This section of the policy provides support, guidance and define responsibilities to curriculum areas and managed for externally set controlled assessments.

Externally set controlled assessments which can be either internally or externally marked.

Externally set controlled assessments can apply to most qualifications, including the following:

- Functional Skills Entry Level
- Cache
- BTEC Set Tasks

Depending on the level of control defined within the specification, controlled assessments may take place:

- Within a normal timetabled lesson or other defined session under supervised / invigilated conditions
- Within a window defined by the Awarding Body but scheduled by the Centre under supervised / invigilated conditions

K.1.   Roles and Responsibilities

Exams Department:

- Distribute JCQ '*Information for Candidates*' to all candidates at the start of each academic year
- Where confidential materials are directly received by the exams office, to be responsible for receipt, safe storage and safe transmission, whether in digital, electronic or hard copy format
- Liaise with teaching staff to set schedules for controlled assessments in line with awarding body windows where applicable and to room and staff sessions where required
- Be responsible for securely storing all controlled assessment materials between sessions where applicable

ALS Department:

- Ensure access arrangements have been applied for
- Work with teaching staff to ensure requirements for support are met

K.2.   Managing Controlled Assessments

Any confidential materials received from awarding bodies relating to controlled assessments will be kept securely by the Exams Office until required.

Teaching staff will be issued with the current JCQ document *Instructions for conducting non-examination assessments* and any relevant Awarding Body regulations at the start of the academic year.

Candidates will be provided with a copy of the JCQ document *Information for candidates – non-examination assessments* at the start of the academic year.

Tasks for non-examination assessments will be set in accordance with awarding body specifications and guidelines; care will be taken, particularly with regard to the different requirements for legacy and new specifications, to ensure the correct task is selected and given to candidates.

Tasks will be carried out as detailed in awarding body specifications and guidelines and in accordance with the instructions contained in the JCQ document *Instructions for conducting non-examination assessments.* Candidates will be made aware of their responsibility to comply with the regulations for non-examination assessments as outlined in the JCQ document *Information for candidates – non-examination assessments;* particularly in relation to referencing sources, setting out references and plagiarism.

Candidates will sign a declaration confirming that the work they submit for final assessment is their own unaided work and teachers will sign a declaration of authentication.

If internally marked Candidates' work for assessment will be stored securely within the centre. If externally marked Candidates work will be submitted to the awarding body in accordance with the guidelines set out by the awarding body.

Appendix L: Exams Archiving Policy

The purpose of this policy is to:
- identify exams-related information/records held by the exams office
- identify the retention period
- determine the action required at the end of the retention period and the method of disposal
- inform or supplement the centre-wide records management policy/data retention policy

L.1.   Data Categories

- Access arrangements information
- Alternative site arrangements
- Attendance register copies
    - Attendance Registers, Seating Plans and Exam Logs
    - Retention information/period: Records are kept in accordance with Section 12 of the JCQ ICE booklet.
    - Action at the end of retention period (method of disposal): At the end of the retention period, documents are archived and then sent off site as confidential waste and shredded.
- Awarding body exams administration information
- Candidates' scripts Record(s)
- Candidates' work Record(s)
- Centre consortium arrangements for centre assessed work
- Certificates
    - Candidate certificates issued by awarding bodies
    - Retention information/period: Certificates are kept for 12 months from the date of issue.
    - Action at the end of retention period (method of disposal): Uncollected certificates are securely destroyed and a log kept digitally.
- Certificate destruction information
    - A digital log is kept of destroyed certificates.
    - Retention information/period: A digital log of all destroyed certificates is kept.
- Certificate issue information
    - Record(s) description: A record of certificates issued.
    - Retention information/period: Once certificates are received by the centre, the learner is updated by text/email via the MIS system to notify them. Once the certificate is collected by the learner a collection date is added to the MIS system as confirmation.
    - Action at the end of retention period (method of disposal):
- Confidential materials: initial point of delivery logs
    - Record(s) description: Point of entry logs, second eyes checks, etc.
    - Retention information/period: Paperwork is retained
    - Action at the end of retention period (method of disposal):
- Confidential materials: receipt, secure movement and secure storage logs
- Conflicts of interest records
- Dispatch logs
- Entry information
- Exam question papers
- Exam room checklists
- Exam room incident logs
- Exam stationery
- Examiner reports

- Finance information
- Invigilation arrangements
- Invigilator and facilitator training records
- Moderator reports
- Moderation return logs
- Overnight supervision information
- Post-results services: confirmation of candidate consent information
- Post-results services: request/outcome information
- Post-results services: tracking logs
- Private candidate information
- Proof of postage - candidates' work
- Resolving timetable clashes
- Results information
- Seating plans
- Special consideration information
- Suspected malpractice reports/outcomes
- Transferred candidate arrangements
- Very late arrival reports/outcomes
- Any other records/documentation/materials