



UTC Plymouth

Examinations & Qualifications Policy

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The policy purpose

The purpose of this exam policy is:

- to ensure the planning and management of exams is conducted efficiently and in the best interest of candidates
- to ensure the operation of an efficient exams system with clear guidelines for all relevant staff.

It is the responsibility of everyone involved in the centre's exam processes to read, understand and implement this policy.

The exam policy will be reviewed annually.

The exam policy will be reviewed by the Head of Centre, Senior Leadership Team (SLT) and the Exams Officer.

Exam/Qualification Responsibilities

The Head of Centre:

- has overall responsibility for the College as an exam centre
- advises on appeals and re-marks
- is responsible for reporting all suspicions or actual incidents of malpractice

The Exams Officer:

- manages the administration of public and internal exams
- advises the senior leadership team, subject and class tutors and other relevant support staff on annual exam timetables and application procedures as set by the various awarding bodies
- oversees the production and distribution to staff and candidates of the annual calendar for all exams in which candidates will be involved and communicates regularly with staff concerning imminent deadlines and events
- ensures that candidates and their parents are informed of and understand those aspects of the exam timetable that will affect them
- consults with teaching staff to ensure that necessary coursework is completed on time and in accordance with JCQ guidelines
- provides and confirms detailed data on estimated entries
- receives, checks and stores securely all exam papers and completed scripts
- administers access arrangements and makes applications for special consideration
- identifies and manages exam timetable clashes
- accounts for income and expenditures relating to all exam costs/charges
- line manages and organises the recruitment, training and monitoring of a team of exams invigilators responsible for the conduct of exams
- submits candidates' coursework/CA/ISA marks, tracks despatch and stores returned coursework and any other material required by the appropriate awarding bodies correctly and on schedule
- arranges for dissemination of exam results and certificates to candidates and forwards any appeals/re-mark requests
- maintains systems and processes to support the timely entry of candidates for their exams.

Directors of Faculty/Subject Heads are responsible for:

- notifying the Exams Officer of any changes of syllabus/award organisation that the department is now entering candidates for

- guidance and pastoral oversight of candidates who are unsure about exam entries or amendments to entries
- involvement in post-results procedures
- accurate completion of coursework CA mark sheets and declaration sheets
- accurate completion of entry and all other mark sheets and adherence to deadlines as set by the exams officer.

Teachers are responsible for:

- notifying the SENCo of potential access arrangement requirements
- submission of candidate names to Directors of Faculty/Subject Heads for entries

The SENCo is responsible for:

- identification and testing of candidates, requirements for access arrangements
- the provision of additional support – with spelling, reading, mathematics, dyslexia or essential skills, hearing impairment, English for speakers of other languages, IT equipment – to help candidates achieve their course aims.

Invigilators are responsible for:

- maintaining exam conditions and logging and reporting any potential malpractice that occurs during an exam
- collection of exam papers and other material from the exams office before the start of the exam
- collection of all exam papers in the correct order at the end of the exam and their return to the exams office.

Candidates are responsible for:

- understanding and following the exams rules and regulations as provided by the Exams Officer
- arriving on time and with the basic equipment to take their exams
- understanding coursework/CA/ISA regulations and signing a declaration that authenticates the work as their own

Administration Assistants are responsible for:

- aiding the Exams Officer when necessary in the general day-to-day administration of the qualification and examinations cycle

ICT Technicians are responsible for:

- providing logins to Teachers for candidates taking controlled assessments, and ensuring that user settings abide by the regulations set out by the JCQ
- providing logins to the Exams Officer for candidates using a word processor as an Access Arrangement and/or for on-demand tests, and ensuring that user settings abide by the regulations set out by the JCQ

The Lead IV is responsible for:

- ensuring there is an assessment and verification plan for their BTEC programmes which is fit for purpose and meets Edexcel's requirements
- overseeing assessment outcomes and signing off assessment and internal verification of the BTEC programmes
- reading and understanding the BTEC Quality Assurance Handbook each year and ensuring that assessors and verifiers have access to it

- understanding the units and being directly involved with the delivery of the BTEC programmes
- co-ordinating across departments, assessors and other internal verifiers for the BTEC programmes within their programmes subject area
- ensure that records of assessment and samples are retained for use with Standards Verification if necessary
- registering OSCA with Edexcel each year

Qualifications Offered

The qualifications offered at this centre are decided by the Head of Centre and Senior Leadership team, with input from the Directors of Faculty/Subject Heads and the Employers supporting the College.

The qualifications currently offered at the College are GCSE, GCE, BTEC Level 2 and Level 3 and Functional Skills.

If there have been changes of specification from the previous year, the Exams Office must be informed by 31st September.

Decisions on whether a candidate should be entered for a particular subject will be taken in consultation with the candidates, parents/carers, SENCo and teaching staff.

Where the specification allows, external or private entries may be made through the College.

Exam Series

Internal exams and assessments may be scheduled throughout the school year so long as the Exams Officer is informed with at least 2 weeks' notice.

General qualification (GCE & GCSE) exams can take place in November and June. Vocational qualifications and Functional Skills exams may take place throughout the year so long as the Exams Officer is notified with at least 4 weeks' notice. Controlled assessments may be scheduled throughout the school year by departments

The Head of Centre and Directors of Faculty/Subject Heads decide which exam series' are used by the College.

On-demand assessment can be scheduled only in windows agreed between the Exams Officer and the SLT

Timetable

Once confirmed, the Exams Officer will circulate the exam timetable to candidates and staff, and keep a copy on display outside the Examination Hall and in the Ground Floor Learning Hub.

Two copies of the student's Individual Exam Timetable will be sent home and may be reprinted by the Exams Officer and Administration staff on request.

Entries

Candidates are selected for their exam/qualification entries by subject teachers.

Candidates or parents/carers can request a subject entry, change of level or withdrawal.

The centre will accept external or private entries.

Entry deadlines are circulated to heads of department via email, briefing meeting, and intranet.

Late entries are authorised by Head of Centre and Vice Principal/Assistant Vice Principal.

Re-sit decisions will be made in consultation with candidates, subject teachers, and Directors of Faculty.

All entries are to be made on forms provided by the Exams Officer and by the deadlines set by the Exams Officer.

Completed entry forms must be approved by a member of SLT before entries are made via the MIS system and A2C.

Teachers/DoFs will be sent lists of entered students as confirmation once the Exams Officer has made the entries.

Candidates will have copies of Statements of Entry/Exam Timetables sent home so that they are aware of when they are expected to attend exams.

Post Results Services

The Centre will ensure that centre staff and candidates are fully aware of the Post Results Services process prior to examinations being sat.

Candidate must read, complete and sign the appropriate form to consent to any Enquiries about Results before an application is made.

The Exams Officer is responsible for processing and submitting applications before the deadlines given by the Awarding Bodies.

Where the Centre wishes to apply for Post Results Services for a Candidate or group of Candidates, costs will be met by the Centre. Consent must be obtained from the Candidate(s) in the usual manner, except in the case of a post-results review of moderation.

The Candidate has the final decision as to whether an application is made in all cases, with the exception of a post-results review of moderation which the Centre may make without Candidate consent. All costs must be met by the Candidate where they are making the application without the instigation/support of the Centre.

The published Enquiries about Results services are the only mechanism by which concerns about results will be addressed in the first instance.

If doubts remain about the accuracy of results following an Enquiry about Results process, the Head of Centre may make an appeal by following the procedure laid out in the JCQ "A Guide to the Awarding Bodies' Appeals Processes" booklet.

Candidates are not able to make an appeal directly to the Awarding Body, and must make representations to the Head of Centre to apply on their behalf. The final decision as to whether an appeal is made lies with the Head of Centre.

Appeals must be made within two calendar weeks of receiving the outcome of the Enquiry about Results.

Exam and Qualification Fees

Candidates or departments will not be charged for changes of tier, withdrawals made by the proper procedures or alterations arising from administrative processes, provided these are made within the time allowed by the awarding bodies.

Exam fees are initially paid by the centre, however the centre reserves the right to request payment from candidates in the instance of exam non-attendance without good reason. Candidates will not be charged in the instance of non-attendance where a special consideration application is made e.g. illness, injury, bereavement etc.

Late entry or amendment fees are paid by the departments, centre and candidates.

Fee reimbursements are not sought from candidates who fail without good reason to complete the requirements of a public exam where the governing body or local authority originally paid/agreed to pay the fee.

Re-sit fees are not paid by the centre, except in exceptional circumstances which will be decided on an ad-hoc basis on consultation between candidates, parent/carers, subject teachers and Directors of Faculty.

Post-results services may be requested and paid for by the candidate, or may be requested and paid for by the centre with the candidate's consent.

Disability Discrimination Act

All exam centre staff must ensure that they meet the disability provisions under the Disability Discrimination Act 1995 (DDA), extended in 2005, and the Disability Equality Duty (DED), introduced in 2006.

The DDA introduced measures aimed at eliminating the discrimination often faced by disabled people. The main provisions of the Act give protection to disabled people in the areas of employment and education.

A person has a disability for the purposes of the DDA if s/he has a physical or mental impairment that has a substantial and long-term adverse effect on her/his ability to carry out normal day-to-day activities.

The centre will meet the requirements of the DDA by ensuring that the exams centre is accessible and improving candidate experience. This is the responsibility of the Head of Centre, Directors of Faculty/Subject Heads, Exams Officer and SENCo.

Access Arrangements & Reasonable Adjustments

The SENCo will provide the Exams Officer with details of students who require Access Arrangements, and provide the evidence to be kept on file.

The Exams Officer will make the applications online to the Award Organisations, and update a spreadsheet of candidates and their Access Arrangement entitlement which will be accessible to teaching staff.

Subject Heads and subject teachers should utilise the information provided by the Exams Officer and SENCo when planning controlled assessments/mock exams to ensure the candidates get the arrangements they require through the Support Base staff.

A candidate's Access Arrangements requirement is determined by the SENCo, doctor, pastoral teacher and/or educational psychologist/specialist teacher, and must meet a set criteria of need for which evidence will be gathered and kept on file.

Making Access Arrangements for candidates to take exams/controlled assessments is the responsibility of both the SENCo and Exams Officer.

Rooming for Access Arrangement candidates will be arranged by the Exams Officer with input from the SENCo.

Invigilation and support for Access Arrangement candidates will be organised by the Exams Officer and the SENCo.

The Exams Officer will apply for post-examination adjustment (Special Consideration) where the candidate has been effected by temporary illness, injury or other indisposition at the time of the assessment. The Centre may be asked by an Awarding Body to provide evidence in support of an application.

Candidates will be eligible for Special Consideration if they have been fully prepared and have covered the whole course but performance in the examination, or in the production of controlled assessment/coursework, is materially affected by adverse circumstances beyond their control.

The Centre and Awarding Body will not enter into discussion with candidates or their parents as to how much Special Consideration should be applied.

The Head of Centre may appeal against an Access Arrangements or Special Consideration decision, by following the procedure laid out in the JCQ "A Guide to the Awarding Bodies' Appeals Processes" booklet.

Candidates are not able to make an appeal directly to the Awarding Body, and must make representations to the Head of Centre to apply on their behalf. The final decision as to whether an appeal is made lies with the Head of Centre.

Appeals must be made within two calendar weeks of receiving the original decision letter (this time frame does not make allowance for any period that the centre is closed for holidays).

Contingency Planning

The purpose of the Contingency plan is to ensure that there is a consistent and effective response in the event of major disruption to the Examination system within the College.

The overall outcome of the plan is to ensure that the interests of candidates are safeguarded while maintaining the integrity of the examination system and qualification standards.

There are three specific outcomes the plan seeks to achieve:

- delivering assessments to published timetables
- delivering results to published timetables
- complying with regulatory requirements in relation to assessment, marking and standards

This plan would be triggered in the case of severe weather, widespread illness, fires, logistical problems or system failures.

Disruption of Teaching Time – UTC is closed for an extended period

This Centre would:-

- Communicate with parents, carers and students about the potential for disruption to teaching time and would share the plans to address this
- have contingency plans in place to facilitate alternative methods of learning, alternative venues or both
- priority is to be given to candidates who will be facing examinations shortly
- advise candidates, where appropriate, to sit examinations in the next available series

This would enable students to continue to be taught either through an alternative method of learning or at an alternative site and enable examination candidates to be able to sit their qualification.

Disruption of Examinations in the event of a fire at the Centre

This Centre would:-

- communicate with relevant awarding organisations to make them aware of the issue
- liaise with parents, carers and candidates to identify whether the examination can be sat at an alternative venue in agreement with the relevant awarding organisations.
- offer candidates an opportunity to sit any missed examinations at the next available series
- apply for special consideration for candidates where they have met the minimum requirements

This would enable candidates to take their examinations in an alternative venue.

If a fire destroys or damages completed examination papers or assessment evidence, this Centre would apply to the awarding organisations for a grade based on prior assessments and appropriate evidence of candidate's achievements.

Disruption of Examinations due to widespread illness

In the event that a large number of candidates are unable to take examinations due to a sickness bug this Centre would:-

- communicate with relevant awarding organisations to make them aware of the issue
- liaise with parents, carers and candidates to identify whether the examination can be sat at an alternative venue in agreement with the relevant awarding organisations.
- offer candidates an opportunity to sit any missed examinations at the next available series
- apply for special consideration for candidates where they have met the minimum requirements

This would enable candidates to be able to sit examinations with minimum disruption or additional stress.

UTC is closed for an extended period and is unable to distribute results as normal

This Centre would:-

- contact awarding organisations about alternative options
- make arrangements to access results at an alternative site
- share facilities with other Centres
- communicate with parents, carers and students about the potential change of venue to issue results

This would enable candidates to be able to receive their results in a timely way.

Managing Invigilators

Teaching staff, support staff and external staff are used to invigilate internal and external exams.

Recruitment of invigilators is the responsibility of the Head of Centre, HR and the Exams Officer.

Securing the necessary Disclosure and Barring Service (DBS) clearance for new invigilators is the responsibility of HR and the Exams Officer.

Fees for securing the DBS reports are paid by the centre.

Invigilators are timetabled, trained and briefed by the Exams Officer.

Malpractice & Maladministration

Suspected malpractice is defined as any attempt by students to gain an unfair advantage in assessments and may include though not be limited to:

- Plagiarism – Plagiarism is using other’s ideas and words without clearly acknowledging the source of that information.
- Falsifying or fabricating data – Falsification or fabrication of data consists of the misrepresentation of the results of experimental work or the presentation of fictitious results.
- Collusion – Collusion involves two or more students working together, without the prior authorisation of the subject teacher, to produce the same piece of work, and then attempting to present this as entirely their own work.
- Copying – Copying is when one student copies work from another student, with or without the knowledge of the first student.
- Bribery or attempted bribery – Bribery is the paying, offering or attempted exchange of an inducement for information or material intended to advantage the recipient in an assessment.
- Personation – Personation involves one person undertaking an assessment on behalf of another. This may involve the purchase of assessment material or downloading it from a website and then attempting to present this as entirely their own work.
- Any other wilful deception in any element of an assessment.

A student who aids and abets a fellow student to commit suspected malpractice shall be deemed to have committed suspected malpractice and will be dealt with accordingly.

When a case of suspected malpractice has been identified the College will immediately conduct an investigation as per JCQ or BCS procedures and inform the Awarding Body of the outcome of that investigation. The Awarding Body will then decide on the appropriate action and will inform the Exams Officer of the outcome, who will in turn, relay this to the candidate.

The Head of Centre may appeal against the finding of malpractice and/or the sanction imposed on the Centre and/or Candidate(s), by following the procedure laid out in the JCQ “A Guide to the Awarding Bodies’ Appeals Processes” booklet.

Candidates are not able to make an appeal directly to the Awarding Body, and must make representations to the Head of Centre to apply on their behalf. The final decision as to whether an appeal is made lies with the Head of Centre.

Appeals must be made within two calendar weeks of receiving the malpractice decision.

Exam Days

The Exams Officer will notify all staff and candidates of rooms to be used for exams, including dates and times.

The Exams Officer will prepare the exam question papers, exam stationary, materials and paperwork for each room into a container for collection by the Invigilator.

The Premises Manager is responsible for setting up the allocated rooms on notification of the Exams Officer.

Lead invigilators will start all exams in accordance with JCQ guidelines.

Subject teaching staff may not be the solo invigilator of any exams in their own subject, and if acting as a supporting invigilator of such an exam, they must not advise on which questions or sections are to be attempted by the candidates.

Exam papers should not be accessed by anyone other than Invigilators and exams office staff during an exam, and must not be removed from the exam room before the end of the session.

Papers will be distributed to Directors of Faculty/Subject Heads at the end of the exam session.

Candidates

The centre's usual rules on acceptable dress, conduct and use of mobile phones and other electronic devices apply at all times.

Candidates' personal belongings remain their own responsibility and the centre accepts no liability for their loss or damage.

Disruptive candidates are dealt with in accordance with JCQ guidelines.

Candidates are expected to stay for the full exam duration at the discretion of the Exams Officer or Lead Invigilator.

Candidates with extra time as an Access Arrangement do not have to take their whole allowance at the discretion of the Exams Officer or Lead Invigilator.

UTC PLYMOUTH POLICIES

VERSION CONTROL SHEET

POLICY NAME: Exam and Qualification Policy

Policy Prepared by: Gemma Agar

Document date	Filename	Mtg submitted	Summary of changes required
December 2014		Principal	New Policy
January 2016	T:\Information\Policies\UTC59	Principal	Contingency Plan and Malpractice /Misadministration sections included
February 2016	T:\Information\Policies\UTC59	Principal	Post Results Services section added Expanded on appeals procedures

Annex A

UTC Policy on Internally Assessed Examination Components

1. General Framework

- i. In accordance with the Code of Practice for external qualifications produced by the Joint Council for General Qualifications, UTC Plymouth is committed to ensuring that:
 - Internal assessments are conducted by staff who have appropriate knowledge, understanding and skills;
 - Assessment evidence provided by candidates has been produced and authenticated according to the subject specification;
 - The necessary internal standardisation of candidates' marks is carried out as directed by the Awarding Body;
 - Staff responsible for internal standardisation attend appropriate training sessions;
 - All staff involved in teaching a subject in one year group will be involved in the moderation of internally assessed examination components for that subject and year group;
 - The number of samples or work used for moderation purposes will be in accordance with instructions issued by the appropriate Awarding Body in its Subject Specifications.
- ii. All candidates should be able to gain access to:
 - The marks awarded to them for an internal assessment and, if known, the moderated marks given by the Awarding Body;
 - Any correspondence with the Awarding Body relating to their internally assessed work;
 - Information, if available at the time of appeal, as to whether their work was sampled by the Awarding Body;
 - Relevant Awarding Body procedures for the conduct of internal assessments.

2. Procedure for Appeals relating to Internal Assessments

- i. The grounds for appeal relate only to procedures, the setting, production and marking of internally assessed work.
 - The appeal must come in the form of a written request from the parents(s) or guardian to the Principal, setting out the grounds for the appeal.
 - The appeal should be made within two weeks of the closing date for the submission of coursework marks to the examination board for that particular examination series.
 - The Principal will appoint a panel consisting of herself (as "Head of Centre"), and the Vice Principal and/or the Exams & MIS Supervisor.
 - The Panel will examine the evidence for the procedures used in the assessment and decide upon their appropriateness and that they have been properly adhered to, as required by the Awarding Body concerned.
 - The Panel's findings will be formally reported back to the parent(s) or guardian.
 - Records of the request for appeal and of the panel's evidence and deliberations will be kept by the Principal's office. An Awarding Body might wish to examine this evidence at a future date.

3. Staff Malpractice & Misadministration Procedure

- i. Investigations into allegations will be coordinated by the Exams Officer (Gemma Agar) or the Head of Centre (Polly Lovell) who will ensure the initial investigation is carried out within ten working days. The person responsible for coordinating the investigation will depend on the qualification being investigated. The investigation will involve establishing the full facts and circumstances of any alleged malpractice. It should not be assumed that because an allegation has been made, it is true. Where appropriate, the staff member

concerned and any potential witnesses will be interviewed and their version of events recorded on paper.

The member of staff will be:

- Informed in writing of the allegation made against him or her
- Informed what evidence there is to support the allegation
- Informed of the possible consequences, should malpractice be proven
- Given the opportunity to consider their response to the allegations
- Given the opportunity to submit a written statement
- Given the opportunity to seek advice (as necessary) and to provide a supplementary statement (if required)
- Informed of the applicable appeals procedure, should a decision be made against him/her
- Informed of the possibility that information relating to a serious case of malpractice will be shared with the relevant awarding body and may be shared with other awarding bodies, the regulators Ofqual, the police and/or professional bodies including the GTC.

ii. **Staff Malpractice Sanctions**

Where a member of staff is found guilty of malpractice, UTC Plymouth may impose the following sanctions:

1. **Written Warning:** Issue the member of staff with a written warning stating that if the offence is repeated within a set period of time, further specified sanctions will be applied
2. **Training:** Require the member of staff, as a condition of future involvement in both internal and external assessments to undertake specific training or mentoring, within a particular period of time, including a review process at the end of the training
3. **Special Conditions:** Impose special conditions on the future involvement in assessments by the member of staff
4. **Suspension:** Bar the member of staff from all involvement in the administration of assessments for a set period of time
5. **Dismissal:** Should the degree of malpractice be deemed gross professional misconduct, the member of staff could face dismissal from his/her post.

iii. **Appeals**

The member of staff may appeal against sanctions imposed on them. Appeals will be conducted in line with the organisation's Appeals Policy.

Annex B

UTC Plymouth - Exams Risk Management Log

Date risk raised	Exams cycle section	Risk	When could this happen?	Mitigation	Action	Action by whom	Action by when	Open/Closed	Risk reviewed	Date closed
12/01/2016	Planning	Invigilator numbers may be low for the upcoming exams series.	Summer 2016	Ensure there are reserve invigilators who will provide cover in case of a shortfall.	<ol style="list-style-type: none"> 1. Conduct a review of available staff and their availability for the exams. 2. Use provisional timetable and estimated entry information to determine invigilator numbers required. 3. Identify where invigilators may be short. 4. Use Teaching timetable to determine availability of staff 	Senior leader with responsibility for exams and assessment and Exams officer	Review of invigilation requirements and invigilation timetable to be in place one month before Summer Series starts	Closed		01/04/2016
12/01/2016	Exams Day	Exams Officer on sick leave absence during exams period.	Summer 2016	Contingency plan in place to delegate tasks to other members of admin staff	<ol style="list-style-type: none"> 1. Agree with members of admin staff to pick up responsibilities. 2. Document in a contingency plan. 3. Add to centre's exams policy. 4. Circulate and ensure it is easily accessible. 5. Calendar of exams tasks and key dates drawn up and available in staff room. 	Senior leader with responsibility for exams and assessment.	Contingency plan to be published before the end of term.	Open		

Annex C

Roles and Responsibilities

Role	Person Responsible
<ul style="list-style-type: none">• Head of centre / Principal	Polly Lovell
<ul style="list-style-type: none">• Vice Principal	No one in post currently
<ul style="list-style-type: none">• Directors of faculty	Alastair Bridge, Kerry Eldershaw, Helen Johnston
<ul style="list-style-type: none">• Heads of Department	Pete Bragg, Sarah Bridge, Jon Williams, Halley Higgs
<ul style="list-style-type: none">• Senior Leadership Team	Alastair Bridge, Kerry Eldershaw, Helen Johnston
<ul style="list-style-type: none">• Exams Officer	Gemma Agar
<ul style="list-style-type: none">• SENCO	Polly Lovell