



## **UCP-EXM001 Higher Education Examination Policy**

### **1. INTRODUCTION**

- 1.1 The policy establishes principles, processes, and good practice in all aspects of the management of student exam assessment on Open University (OU) Programmes. Non-examination assessment is covered in the separate UCP-ASS001 Higher Education (Non-examination) Assessment Policy for Open University Programmes.
- 1.2 The intended audience for the policy is students, academic and support staff.

### **2. PURPOSE**

- 2.1 The purpose of this policy is to ensure the planning and management of exam assessments is conducted efficiently and in the best interest of candidates, and that OU awarding body procedures are always followed.

### **3. SCOPE**

- 3.1 This policy applies exclusively to all OU Higher Education undergraduate taught programmes offered by University Centre Peterborough (UCP).

### **4. RELATED DOCUMENTS**

- UCP-ASS001 Higher Education (Non-examination) Assessment Policy for Open University (OU) Programmes
- UCP-ASS006 Higher Education Extenuating Circumstance Procedure
- UCP-ASS002 Higher Education Security of Summative Assessment Policy
- UCP-EXM002 Higher Education Examination Contingency Policy
- UCP Invigilator Training Guide
- UCP-FIN01 Higher Education Tuition Fee and Refund Policy
- Regulations for validated award of the Open University

### **5. RESPONSIBILITIES**

- 5.1 **Academic Director:**
  - is responsible for contingency planning for exams administration.
  - is responsible for reviewing this policy annually with the Exams Manager and UCP Academic Officer.
- 5.2 **Academic Office Manager**
  - is responsible for maintaining this policy.
  - notifies the Exams Office of the UCP Examination period each academic year once the Academic Calendar for the year is agreed.
  - Ensures the examination spreadsheet is correctly populated and communicated with the Exams Office and that exam papers are ready for printing
  - Access arrangements are put in place.
  - enables reporting of assessment results to the Exam Board and Module Assessment Panel (MAP).

- arranges for dissemination of externally moderated exam results to students through ProPortal.

### 5.3 **The Exams Manager:**

- organises the recruitment, training, and monitoring of a team of casual invigilators responsible for the conduct of exams.
- managing the administration of formal exams for UCP.
- maintaining systems and processes to support the timely entry of candidates for exams, their security, conduct and dispatch.
- receives, checks and stores securely all exam papers and completed scripts and where necessary ensures that scripts are provided to the Module Leader.
- timetables exams and online tests, identifying and managing exam timetable clashes and access arrangement provision (this does not include in class tests which are managed by the Module Leader).

### 5.4 **Invigilators are responsible for:**

- ensuring exams are conducted in a fair and appropriate manner and all students are able to sit examinations in a suitable environment.
- being familiar with site fire and evacuation procedures.
- the efficient running of exams according to any validating body regulations.
- collection of exam papers/online test information from the Exams Office before the start of the exam.
- return of exam materials to the Exams Office at the end of the exam/online test.
- ensuring the security of exam papers and completed scripts while in their possession.

### 5.5 **Module Leaders are responsible for:**

- the safe and secure conduct and storage of exam assessments.
- production and internal moderation of assessment tasks.
- ensuring External Examiners have moderated the exam assessment.
- passing students information to the Academic Office for the required entry / registration of exams.
- identifying access arrangements for students and providing evidence to support requests.
- ensuring all necessary assessment processes are completed on time.
- accurate recording of marks, moderation processes and adherence to deadlines as set by the UCP Academic Office.

5.6 **Additional Learning Support** is responsible for assessing student Exam Access Arrangements.

5.7 **MIS** is responsible for managing student's registration on programmes and modules so that student's records are correct.

### 5.8 **Students are responsible for:**

- attending exams/online tests booked for them.
- understanding exam assessment.
- ensuring they conduct themselves according to the validating body's regulations and the UCP Student Charter.

## 6. RISK ANALYSIS

6.1 This policy is required to ensure that correct procedures are in place and are followed.

### **Analyse risks of non-adherence to this policy**

6.2 Failure to adhere to this policy could lead to academic failure of students, complaints and in extreme cases, legal action.

6.3 Exams paper receipt, marking, moderation and storage must be conducted according to UCP-ASS002 Higher Education Security of Summative Assessment Policy.

## 7. DATA PROTECTION

- 7.1 UCP complies with the provisions of the General Data Protection Regulation Data Protection Act, 2018. As such, applications and student data are treated as confidential by all staff involved in this process and is not divulged unnecessarily or inappropriately. However, the Act requires UCP to release certain information to UK authorities upon request to assist those authorities with the prevention and detection of fraud or other crimes. We will release the requested information on receipt of an appropriate request from UK authorities such as (but not limited to) the police, Home Office (for immigration and related matters), local authorities, and the Department for Work and Pensions. We may use anonymised data collected as part of an individual's exam assessments for the purpose of fulfilling statistical and reporting requirements.

## 8. DEFINITIONS

- 8.1 Exams are a method of assessment which is administered by the Exams Office under time constrained conditions. Exams are timetabled during the published examination weeks at the end of each teaching period.

## PROCEDURE

### PART 1: BEFORE AN EXAM

#### 9. Exam Entries

- 9.1 The Course Leader is responsible for notifying the Academic Office who will in turn notify the Exams Office of exams and the students to take those exams. The Exams Officer is responsible for checking exam access arrangements in place for students are accommodated.
- 9.2 Second attempt/referral decisions are made by members of the Exam Board and shared by Course Leaders with the Academic Office who forward them to the Exam Office.
- 9.3 Students enrolled at UCP may only take exams relating to the qualifications they are enrolled on.

#### 10. Timetabled Exams

- 10.1 Exams are held during the published exam periods. Timetables are agreed by HE Managers and notified to the Exams office.
- 10.2 Students are notified of the exam period at the start of each academic year through the UCP website <https://www.ucp.ac.uk/key-dates/>
- 10.3 The Exams Officer will book all exam rooms after liaison with other users and make the question papers, exam stationery and materials available for the invigilator.

#### 11. Reasonable Adjustments/ Access Arrangements for Exams

- 11.1 Arrangements may be needed for those students assessed to have a permanent or long-term disability or who suffer a temporary disability or disposition during the exam period. Any variation in the approved assessment methods for a module exam takes full account of:
- "reasonable adjustments" for the student, as determined by UCP Student Support and the Additional Learning Support department in accordance with the [IEG-EDI002 Special Educational Needs and Disabilities Policy](#) ([www.ucp.ac.uk/policies](http://www.ucp.ac.uk/policies))
  - the intended learning outcomes of the course and/or module for which the student is registered/enrolled.

- 11.2 Students are required to make early requests for adjusted arrangements by completing a Support Disclosure Form and responding to requests for evidence and meetings with the Support Team who liaise with the Additional Learning Support department.
- 11.3 Access arrangements will be processed by the Exams Officer on receipt of all necessary evidence from the Additional Learning Support department. The evidence for students access arrangements will be held by the Additional Learning Support department and made available for the purpose of any validating body inspection.

## **12. Invigilators**

- 12.1 Dedicated invigilators, outside of the course team, invigilate exams.
- 12.2 Invigilators are responsible for making sure exams run smoothly and according to this Exams Policy. They have full authority over admission to the exam room, permission for temporary absence and discipline in general.
- 12.4 Invigilators are responsible for ensuring that the correct access arrangements have been put in place for students. E.g. Laptops
- 12.5 The invigilator will start, conduct and end all exams in accordance with UCP Invigilators Training Guide.
- 12.6 An invigilator will give a student all the information they need, including announcements about the time left during the exam.

## **13. Exam Packs**

- 13.1 If there is any possibility that draft or final exam papers might have been seen by unauthorised people it will be necessary to reset the paper.
- 13.2 A master exam paper is emailed to the Exams Office by the UCP Academic Office under secure password.
- 13.3 The required number of exam papers are printed under supervision from the Exams Officer in the Print Room. These are taken straight after printing into the exam storage area by the Exams Officer.
- 13.4 In the secure exam's storage area, the Exams Officer puts the required number of exam papers, exam register, details of any reasonable adjustment requirements, answer books and any additional papers (e.g. graph paper) into an envelope. The details of the exam, including the date, start time, room number, number of candidates, invigilator's name and any reasonable adjustment requirements are displayed on the outside of the envelope which is then sealed.
- 13.5 The sealed exam envelope is stored in one of the four exams cabinets. The cabinets are kept locked and are located in the Exams Office storage area. This is secured by a safe lock.

## **14. Presentation of hand-written work**

- 14.1 If the exam requires a hand-written answer, unless reasonable adjustments are in place, students must write in blue or black pen (not pencil). UCP reserve the right to not mark a script that is illegible.
- 14.2 All rough work must be written in the answer book.
- 14.3 If work is crossed through in the answer book it will not be marked. If the student does not cross work out, the marker will consider it to be part of the answer and will mark it, even if it is rough work or an essay plan. Students will not be given marks for the same answer twice, even if it appears in both their plan and their answer.

## **PART 2: START OF AN EXAM**

### **15. Admitting Students into the Exam Room**

- 15.1 Students are responsible for presenting themselves outside the exam room at least 15 minutes before the examination is due to begin.
- 15.2 Students are allowed into the exam room by the invigilator 10 minutes prior to the published start time of the exam. This is to allow students to place bags at the front of the exam room, to be seated and put their proof of identification on the desk. In addition, invigilators must allow time for any authorised materials to be checked.
- 15.3 If a candidate arrives late, but within 30 minutes of the start time they can sit the exam. The invigilator will report the late arrival to the Exams Office. The candidate is not allowed any extra time to complete the exam.

## **16. Proof of Identity**

- 16.1 The invigilator will ask students to leave their proof of identity in a prominent place on the desk. Accepted forms of identification are:
- Student Id card (which has a photo).
  - Passport.
  - Photo Driving Licence.
- 16.2 Anyone without proof of identity will be required to make this known before the exam starts.

## **17. Exam Materials**

- 17.1 The rules about materials allowed in an exam must be followed. Materials are classed as either essential, optional or prohibited. Specific guidance to students about the material they are allowed in the exam is published in the Module Guides.
- 17.2 Essential items:
- A valid form of ID.
  - Pens with blue or black ink. You must use pens for all answers, except on computer marked exams.
- 17.3 Optional items:
- Highlighter pens.
  - Bags will have to be left, at students own risk, at the front of the exam room, where the invigilator tells you.
  - Drink which should be in a plain bottle with all labels removed.
- 17.4 Prohibited items
- Mobile phones, **watches**/smart watches, fitness trackers and any other communication or photographic equipment. This includes tablets, laptops and palmtop computers (unless the answers are to be typed into a computer), smart glasses, wearable communication devices, personal organisers, radio pagers, music players/iPods and electronic dictionaries.
  - E-readers. This includes a Kindle, and e-reader software on a device such as a tablet or mobile phone. If you are permitted to take module materials into your exam these must be as printed hard copy.
  - Thesauri, whether electronic or hard copy.
  - Correction fluids (such as Tipp-ex) or erasable pens.
  - E-cigarettes or any other kind of hand-held electronic nicotine delivery system.
  - Anything not listed as essential or optional on the exam paper.
- 17.5 If prohibited materials are taken into the exam the student will be subject to disciplinary action.

## **18. Use of a Calculator**

18.1 For some exams, students are permitted to use a calculator or other equipment. Where this is the case, it will be clearly written on the exam paper and communicated to students prior to the exam in the module guide. For modules where a calculator is permitted the calculator must not be manipulated, connected to the internet, have retrievable information stored, or have language translation.

18.2 The calculator must not be a feature of another device such as a mobile phone or a smart watch.

### **19. Open Book Exams**

19.1 For some exams, students are expected to have part of the module material, or other materials, with them. These are called 'open-book' exams. The permitted texts or materials are listed on the exam paper and students will be informed about them in module guides.

## **PART 3: DURING AN EXAM**

### **20. Conduct in an Exam**

20.1 Course teaching staff may be present at the start of the exam to assist with identification of candidates unable to provide photographic ID. In practical exams subject teachers/technicians may be on hand in case of any technical difficulties. They must leave the exam before the exam is officially started.

20.2 Students are subject to the authority of the invigilators and must act according to their instructions.

20.3 Students who need to leave the exam room temporarily must always remain supervised (see 22.1).

### **21. Leaving the Exam Early**

21.1 Without the special permission of the Invigilator no student may leave the exam room until 30 minutes of the exam period has elapsed, nor leave their desk during the last fifteen minutes of any exam period. In the case of one-hour exam, student must not leave the room until the exam ends. The answer book should be marked by the invigilator with the time when a student leaves if it is before the final 15 minutes.

### **22. Toilet Arrangements**

22.1 Students wishing to leave the examination room temporarily seek the prior permission of an invigilator in the exam room, the student must be supervised by the roving invigilator in the breakout space. Students are not allowed to take anything out of the room during the exam. If the invigilator suspects a student might have notes in their possession (e.g. if he or she is wearing a jacket with pockets), the student should be asked to empty their pockets or to confirm they do not have any notes. Invigilators should not search or have any physical contact with the student in this process. Toilets should be checked after each toilet break for written material which may benefit a student using the toilets during the exam.

22. The invigilator must note the toilet break time on students' scripts.

### **23. Fire Alarm**

23.1 The fire assembly point for each exam room is on display in the venue. In the event of an emergency all students should be instructed to stop writing, leave all papers, answer books and bags and silently leave the room. The invigilator should take the register with them and if practical close windows and doors.

23.2 Invigilators should keep students together and proceed to the fire assembly point as quickly as possible. It should be made clear to students that exam conditions will continue until they are told otherwise.

23.3 The Invigilator must ensure that all candidates have left the building safely.

#### **24. Illness and Rest Breaks**

24.1 If a student becomes ill during an exam and must leave the room as a result, the Invigilator should make a note on the script and record the time the student stopped writing. A student who becomes ill may leave the room for a short time then return to complete the paper, as long as they remain in the breakout space. Extra time cannot be given.

24.2 Breaks may be allowed for students who have access arrangements due to illness or additional learner support. If the student is allowed rest breaks, the allowed maximum time will be stated on the exam envelope and register. A single rest period can be taken at any time during the examination and can be of any length (subject to 5 minutes minimum) as long as the total rest time taken during the examination does not exceed the allowed maximum. They can remain seated or may exit the examination room, but MUST remain in the breakout area. In either case, they cannot continue writing or reading whilst taking a rest break or talk to any person other than the examination staff.

24.3 The Invigilator must keep a running total of the rest time, and therefore a note of the new exam finish time. The student must be informed of 30 minutes remaining before the latest new examination finish time. No rest period will be permitted after the 15-minute warning has been given.

#### **25. Suspected Irregularity or Misconduct**

25.1 A very high standard of conduct is expected in all exams. Any misconduct is a serious matter that can result in disciplinary action.

25.2 If an Invigilator suspects a student of misconduct the student will be removed from the room and informed of the nature of the suspected misconduct. If other students are still in the exam room they must not be left unattended. The roving invigilator can be asked to take over invigilation in the exam room. The Invigilator shall confiscate any illicit material which appears to be in the possession of the student and annotate the student's answer book to indicate the point at which the student was taken out of the exam room. The student will be permitted to return to the room and continue the exam.

25.3 The Invigilator must then complete an Assessment Irregularity Report (Appendix 1) and submit to the Exams Office along with any confiscated material after the exam.

#### **26. At the end of the Exam**

26.1 The exam paper must not be removed from the exam room by a student.

26.2 Students must stay seated and silent until all answer books and exam papers has been collected and checked by an invigilator. Students may not leave the exam venue without the prior permission of an invigilator.

### **PART 4: AFTER THE EXAM**

#### **27. Packing away the Exam Documents**

27.1 Exam papers are put into envelopes at the end of the exam. These are sealed and the invigilator signs across the envelope seal.

27.2 Any examination that has been done on a laptop, that will subsequently have a USB stick to store the work on, will need to be immediately handed to reception to print the work off. Invigilators must not leave until they are in receipt of the printed hard copies and the returned USB stick which goes back to the Exams Office.

- 27.3 Invigilators will return the examination pack, with completed scripts, documents and any other relevant material to the Exams Office within 20 minutes of the exam end time. The invigilator will ensure security of the documents at all times.
- 27.4 A copy of the exam paper with all the completed students' answer books and the register is sealed in an exam envelope and stored in the exam secure storage area by the Exams Officer. The desk card and anything with a student's name on is removed before it is sent for marking. This means the marker does not know which student's work they are marking.
- 27.5 Any surplus exam papers are shredded by the Exam's Officer.
- 27.6 The Module Leader/ Course Leader picks up the exam papers from the Exams Office and sign a sheet to confirm they have collected the papers. The exam answer books must be scanned and saved to the course file. After the quality of the scan is checked, the paper copies are shredded. When marking the tutor is responsible for maintaining the security of the exam answer books (paper and electronic versions).

## **28. Exam Extenuating Circumstances**

- 28.1 Should a candidate be unable to attend an exam or have to leave an exam because of illness, suffer bereavement or other trauma, or be otherwise disadvantaged or disturbed during an exam, then it is the candidate's responsibility to submit an Extenuating Circumstance claim through the UCP-ASS006 Higher Education Extenuating Circumstance Procedure [www.ucp.ac.uk/policies](http://www.ucp.ac.uk/policies)



## APPENDIX 1 ASSESSMENT IRREGULARITY REPORT- EXAMINATIONS

If a candidate behaves in such a way that invigilators suspect they are copying from or conferring with other candidates or being in possession of unauthorised material in the examination room the Invigilator should carry out the procedure overleaf and complete the following report.

Name of Student		Student No.	
Module Code		Students Course	
Venue			
Time of suspected irregularity			
Nature of allegation			
Action taken			
Invigilators name			
Invigilators Signature			

## **Types of cheating**

*The most common form of cheating is reference to notes prepared by students for the purpose. In the past notes have been located hidden among answer books or examination papers, attached to rulers, calculators and clothing and written in authorised books and on hands or other parts of the body. Paper handwritten notes may be tiny. You also need to be aware of the possibility of earphones and small recording devices being used. Students may also try to communicate with each other or one student may try to copy another's work.*

***If you suspect a student of cheating in an examination please follow the following procedure:***

**Ask the invigilator in the break out area to supervise the students remaining in the exam room.**

### **Approach the student to confirm the suspicion**

*Collect the student's answer book, material and notes and ask the student to accompany you out of the room. In cases where the student is suspected of referring to unauthorised material, confirm the existence of the material if necessary*

### **Remove the student from the examination room**

*Accompany the suspected candidate/s out of the hall as quietly and discretely as possible.*

### **Confiscate any notes. Inform the student of the nature of the allegation and consequences of the allegation**

*Once outside, inform the student of the nature of the suspicion and confiscate any written notes. If the notes are written on clothing or another personal item, and cannot be easily removed, the item should be confiscated if appropriate. If notes are written on the body of the student or on clothing which is inappropriate to confiscate, transcribe the content onto paper before instructing the student to remove or wash off the notes. Inform the student the matter will be referred to the Exams Manager and disciplinary action may follow.*

### **Allow the student to return to the examination room.**

*The candidate should be returned to the room as quickly as possible, no extra time will be added to the published finishing time to compensate. Annotate the student's script with the time of the allegation e.g. student temporarily removed from room due to suspected assessment irregularity, 3.30. Instruct the student to return to the hall and continue the examination.*

### **Complete the report overleaf with reference to the student's formal i.d. and attendance slip.**

*Confirm the student's ID and complete the form overleaf. Please include names of other invigilators who were witness to the incident. Evidence is needed in order to pursue a disciplinary case.*

### **Submit the report and any evidence to the Exams Manager after the examination.**

*Submit the report and evidence to the Exams Manager immediately following the examination. You may need to be contacted at a later date to confirm detail of the allegation.*