



## EXAMINATIONS POLICY

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### 1. PURPOSE

The centre is committed to ensuring that the exams management and administration process is run effectively and efficiently. This exam policy will ensure that:

- all aspects of the centre's exam process is documented and other relevant exams-related policies, procedures and plans are signposted
- the workforce is well informed and supported
- all centre staff involved in the exams process clearly understand their roles and responsibilities
- all exams and assessments are conducted in accordance with JCQ and awarding body regulations, guidance and instructions, thus ensuring that

➤ *"... the integrity and security of the examination/assessment system is maintained at all times and is not brought into disrepute."* [JCQ General Regulations for Approved Centres (GR) 1]

- all 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. It will be kept centrally in a shared area on the network.

### 2. PRACTICE

#### 2.1 Roles and responsibilities overview

*"The head of centre is responsible to the awarding bodies for making sure all examinations/assessments are conducted according to awarding body and JCQ instructions, and the qualification specifications issued by the awarding bodies.*

*The head of centre may not appoint themselves as the examinations officer."*

[GR 1]

## Head of centre

The 'head of centre' is the most senior operational officer in the organisation. This may be the headteacher of a school, the principal of a college, the Chief Executive Officer of an Academy Trust or the Managing Director of a company or training provider. It is the responsibility of the head of centre to ensure that all staff comply with the instructions in this booklet.

- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:
  - *General regulations for approved centres (GR)*
  - *Instructions for conducting examinations (ICE)*
  - *Access Arrangements and Reasonable Adjustments (AA)*
  - *Suspected Malpractice in Examinations and Assessments (SMEA)*
  - *Instructions for conducting non-examination assessments (NEA) (and the instructions for conducting controlled assessment and coursework)*

## National Centre Number Registration

- Ensures the National Centre Number Register Annual Update (administered on behalf of the JCQ member awarding bodies by OCR) is responded to by the end of October confirming they are both aware of and adhering to the latest version of the JCQ regulations and instructions for conducting examinations and approves the Head of Centre formal declaration
- Understands that this responsibility cannot be delegated to a member of the senior leadership team or the examinations officer, and acknowledges that failure to respond to the NCNR annual update, and/or the head of centre's declaration, will result in:
  - the centre status being suspended
  - the centre not being able to submit examination entries
  - the centre not receiving or being able to access question papers

## Recruitment, Selection and Training of Staff

- Ensures the centre has appropriate accommodation to support the size of the cohorts being taught
- Retains a workforce of an appropriate size and competence, including sufficient managerial and other resource, to undertake the delivery of the qualification as required by an awarding body. This includes taking reasonable steps to ensure occupational competence where this is required for the assessment of specific qualifications
- Provides fully qualified teachers to mark non-examination assessments, and/or fully qualified assessors for the verification of centre-assessed components.
- Ensures the exams officer (EO) attends appropriate training events offered by awarding bodies, MIS providers and other external providers to enable the exam process to be effectively managed and administered
- Ensures a named member of staff acts as the Special Educational Needs Co-ordinator (SENCo)
- Ensures centre staff are supported and appropriately trained to undertake key tasks within the exams process
- Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the EO
- Ensures *"that a teacher who teaches the subject being examined, or a senior member of teaching staff who has had overall responsibility for the candidates preparation for the examination, is not an invigilator during the timetabled written examination or on-screen test..."*  
[ICE 6]

- Ensures members of centre staff do not forward e-mails and letters from awarding body or JCQ personnel without prior consent to third parties or upload such correspondence onto social media sites such as Facebook
- Ensures members of centre staff do not advise parents/candidates to contact awarding bodies/JCQ directly
- Ensures staff are only entered for qualifications through the centre as a last resort where entry through another centre is not available

### **Internal Governance Arrangements**

- Has in place a written escalation process should the head of centre, or a member of the senior leadership team with oversight of examination administration, be absent:  
If the Head of Centre or Member of SLT with oversight of examinations (Assistant Headteacher for Data and Exams) the responsibility falls to the Deputy Headteacher (Curriculum or Safeguarding).
- Has in place a member of the senior leadership team who will provide support and guidance to the examinations officer and ensure that the integrity and security of examinations and assessments is maintained throughout an examination series

### **Delivery of Qualifications**

- Delivers qualifications, as required by the awarding body, in accordance with relevant equality legislation. This includes but is not limited to ensuring that qualifications are made available to all candidates capable of undertaking them and seeking reasonable adjustments for disabled candidates

### **Public Liability**

- Complies with local health and safety rules which are in place and that the centre is adequately covered for public liability claims

### **Security of Assessment Materials**

- Ensures security within the examination process is managed according to JCQ and awarding body regulations, guidance and instructions including
  - the location of the centre's secure storage unit is in an area solely assigned to examinations
  - access to the secure room and secure storage facility is restricted to the authorised two to six keyholders (ensuring only persons authorised by the head of centre and the exams officer are allowed access to the centre's secure storage facility as one of the two to six key holders)
  - the relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk
  - appropriate arrangements are in place to ensure that confidential materials are only handed over to authorised members of centre staff
  - that arrangements are in place to check that the correct question paper packets are opened by authorised members of centre staff
  - Makes arrangements to receive, check and store question papers and examination material safely and securely at all times and for as long as required in accordance with the current JCQ publication Instructions for conducting examinations
  - Makes arrangements to receive and issue material received from the awarding bodies to staff and candidates, and notify them of any advice and instructions relevant to the examinations and assessments

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- Allows candidates access to relevant pre-release materials on, or as soon as possible after, the date specified by the awarding bodies
- Obtains written approval from the relevant awarding body before permitting a third party to deliver any part of a qualification including assessments

### **Policies**

- Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place (that allows the Head of Centre to act immediately in the event of an emergency or staff absence). Exam Contingency Policy.
- Ensures required internal appeals procedures are in place and drawn to the attention of candidates and (where relevant) their parents/carers
- Ensures the centre's equalities policy demonstrating the centre's compliance with relevant legislation is in place and details the processes followed in respect of identifying the need for, requesting and implementing access arrangements
- Ensures the centre has a child protection/safeguarding policy in place, including Disclosure and Barring Service (DBS) clearance, which satisfies current legislative requirements
- Ensures the centre has a data protection policy in place that complies with General Data Protection Regulation and Data Protection Act 2018 regulations
- Ensures the centre has documented processes in place relating to access arrangements and reasonable adjustments
- Ensures that all relevant associated policies are in place.

### **Conflict of Interest**

- Ensures the relevant awarding bodies are informed of any Conflict of Interest where
  - a member of centre staff is taking a qualification at the centre which includes internally assessed components/units (taking at the centre as a last resort where unable to find an alternative centre)
  - a candidate is being taught and prepared for a qualification which includes internally assessed components/units by a member of centre staff with a personal connection to the candidate
- Maintains records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected by the above, and where
  - a member of exams office staff have a personal connection to a candidate being entered for exams and assessments at the centre or at another centre
  - a member of centre staff is taking a qualification at the centre which does not include internally assessed components/units (taking at the centre as a last resort where unable to find an alternative centre)
  - a member of centre staff is taking a qualification at another centre
- Ensures other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials are briefed on the requirements for maintaining the integrity and confidentiality of the exam materials

### **Centre Inspections**

- 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
- Allows all venues used for examinations and assessments, paperwork and secure storage facilities to be open to inspection

- Understands the JCQ Centre Inspector will identify him/herself with a photo ID card and must be accompanied throughout his/her tour of the premises, including inspection of the centre's secure storage facility

*“The examinations officer or quality assurance co-ordinator is the person appointed by a head of centre to act on behalf of the centre in matters relating to the administration of awarding body examinations and assessments.”*

### **Exams officer**

- Understands the contents of annually updated JCQ publications including:
  - *General regulations for approved centres*
  - *Instructions for conducting examinations*
  - *Suspected Malpractice in Examinations and Assessments*
  - *Post-results services (PRS)*
- Completes/submits the National Centre Number Register annual update (administered on behalf of the JCQ member awarding bodies by OCR <https://ocr.org.uk/administration/ncn-annual-update/>) by the end of October each year
- Is familiar with the contents of annually updated information from awarding bodies on administrative procedures, key tasks, key dates and deadlines
- Ensures key tasks are undertaken and key dates and deadlines met
- Recruits, trains and deploys a team of internal/external invigilators; appoints lead invigilators, as required and keeps a record of the training provided to invigilators for the required period
- Ensures awarding bodies are notified before the associated entries are submitted, where a candidate is being taught and prepared for examinations and assessments by a relative or where a relative of exams office staff is being entered for examinations and assessments
- Keeps records as required by JCQ and awarding bodies for the required period
- Keeps records as required by the centre's records management policy

### **Senior leaders (SLT)**

- Are familiar with the contents, refer to and direct relevant centre staff to annually updated JCQ publications including:
  - *General regulations for approved centres*
  - *Instructions for conducting examinations*
  - *Access Arrangements and Reasonable Adjustments*
  - *Suspected Malpractice in Examinations and Assessments*
  - *Instructions for conducting non-examination assessments* (and the instructions for conducting controlled assessment and coursework)
- Ensure teaching staff undertake key tasks, as detailed in this policy, within the exams process (exam cycle) and meet internal deadlines set by the EO and ALS lead/SENCo
- 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

### **Special educational needs co-ordinator (SENCo)**

- Is familiar with the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:
  - *Access Arrangements and Reasonable Adjustments*

- Leads on the access arrangements and reasonable adjustments process (referred to in this policy as 'access arrangements')
- If not the qualified access arrangements assessor, works with the person appointed, on all matters relating to assessing candidates and the administration of the assessment process
- Presents when requested by a JCQ Centre Inspector, evidence of the assessor's qualification

### **Head of department (HoD)**

- Ensures teaching staff undertake key tasks, as detailed in this policy, within the exams process (exam cycle) and meet internal deadlines set by the EO and SENCo
- Ensures teaching staff keep themselves updated with awarding body teacher-specific information to confirm effective delivery of qualifications
- Ensures teaching staff attend relevant awarding body training and update events

### **Teaching staff**

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

### **Invigilators**

- Attend training, update, briefing and review sessions as required
- Provide information as requested on their availability to invigilate
- Sign a confidentiality and security agreement and confirm whether they have any current maladministration/malpractice sanctions applied to them

### **Reception staff**

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

### **Site staff**

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

### **Candidates**

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

## **2.2 The exam cycle**

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

- planning
- entries
- pre-exams
- exam time
- results and post-results

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

## 2.3 Information sharing

### Head of centre

- Directs relevant centre staff to annually updated JCQ publications including GR, ICE, AA, SMEA and NEA (and the instructions for conducting controlled assessment and coursework)

### Exams officer

- Signposts relevant centre staff to JCQ publications and awarding body documentation relating to the exams process that has been updated
- Signposts relevant centre staff to JCQ information that should be provided to candidates
- As the centre administrator, approves relevant access rights for centre staff to access awarding body secure extranet sites

## 2.4 Information gathering

### Exams officer

- Undertakes an annual information gathering exercise in preparation for each new academic year to ensure data about all qualifications being delivered is up to date and correct
- Collates all information gathered into one central point of reference
- Researches awarding body guidance to identify administrative processes, key tasks, key dates and deadlines for all relevant qualifications
- Produces an annual exams plan of key tasks and key dates to ensure all external deadlines can be effectively met; informs key centre staff of internal deadlines
- Collects information on internal exams to enable preparation for and conduct of mock examinations/formal assessments.

### Senior leaders

- Respond (or ensure teaching staff respond) to requests from the EO on information gathering
- Meet the internal deadline for the return of information
- Inform the EO 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

### Head of department

- Responds (or ensures teaching staff respond) to requests from the EO on information gathering
- Meets the internal deadline for the return of information
- Informs the EO of any changes to information in a timely manner minimising the risk of late or other penalty fees being incurred by an awarding body
- Notes the internal deadlines in the annual exams plan and directs teaching staff to meet these

## 2.5 Access arrangements

### Head of centre

- Ensures there is appropriate accommodation for candidates requiring access arrangements in the centre
- Ensures a written process is in place to not only check the qualification(s) of their assessor(s) but that the assessment process is administered correctly
- Ensures the SENCo is fully supported in effectively implementing access arrangements and reasonable adjustments once approved

### SENCo

- Assesses candidates (or works with the appointed access arrangements assessor) to identify access arrangements requirements
- Gathers evidence to support the need for access arrangements for a candidate
- Liaises with teaching staff to gather evidence of normal way of working of an affected candidate
- Determines candidate eligibility for arrangements or adjustments that are centre-delegated
- Gathers signed data protection notices from candidates where required
- Applies for approval through *Access arrangements online (AAO)*, where required or through the awarding body where qualifications sit outside the scope of AAO
- Keeps relevant paperwork and evidence on file for JCQ inspection purposes
- Employs good practice in relation to the Equality Act 2010
- Liaises with the EO 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 training provided to facilitators for the required period
- Provides and annually reviews a centre policy on the use of word processors in exams and assessments
- Ensures that there is a word processor policy in place and implemented.
- Ensures criteria for candidates granted separate invigilation within the centre is clear, meets JCQ regulations and best meets the needs of individual candidates and remaining candidates in main exam rooms

### Senior Leaders, Head of department, Teaching staff

- Support the SENCo in identifying and implementing appropriate access arrangements
- Senior leaders provide a statement for inspection purposes which details the criteria the centre uses to award and allocate word processors for examinations

## 2.6 Internal assessment and endorsements

### Head of centre

- Ensures arrangements are in place to co-ordinate and standardise all marking of centre-assessed components and ensures that candidates' centre-assessed work is produced, authenticated and marked, or assessed and quality assured in accordance with the awarding bodies' instructions (including where relevant, private candidates)
- Ensures that teaching staff, in accordance with awarding bodies' instructions, return all subject-specific forms by the required date
- Ensures an internal appeals procedure relating to internal assessment decisions is in place for a candidate (or parent/carer) to appeal against and request a review of the centre's marking (see Roles and responsibilities overview)

- Ensures a policy for the management of controlled assessment is in place for legacy GCSE qualifications still being delivered which include elements of controlled assessment
- Ensures there is a controlled assessment policy in place and implemented.
- Ensures a non-examination assessment policy is in place for new GCE and GCSE qualifications which include components of non-examination assessment (For CCEA GCSE centres this would be a controlled assessment policy)
- Ensures there is a non-examination assessment policy in place and implemented.
- Ensures irregularities are investigated and any cases of suspected malpractice reported to the awarding body, as required
- Senior leaders
- Ensure teaching staff have the necessary and appropriate knowledge, understanding, skills, and training to set tasks, conduct task taking, and to assess, mark and authenticate candidates' work (including where relevant, private candidates)
- Ensure appropriate internal moderation, standardisation and verification processes are in place

### Head of department

- Ensures teaching staff delivering AQA Applied General qualifications, OCR Cambridge Nationals, Entry Level Certificate or Project qualifications (and CCEA GCE unitised AS and A-level qualifications WJEC GCE legacy AS and A-level Health & Social Care) follow JCQ *Instructions for conducting controlled assessments* and the specification provided by the awarding body
- Ensures teaching staff delivering legacy GCE unitised AS and A-level qualifications and (which include elements of coursework) Entry Level or Project qualifications follow JCQ *Instructions for conducting coursework* and the specification provided by the awarding body
- Ensures teaching staff delivering new GCE & GCSE specifications (which include components of non-examination assessment) follow JCQ *Instructions for conducting non-examination assessments* and the specification provided by the awarding body
- For other qualifications, ensures teaching staff follow appropriate instructions issued by the awarding body
- Ensures teaching staff inform candidates of their centre assessed marks as a candidate may request a review of the centre's marking before marks are submitted to the awarding body

### Teaching staff

- Ensure appropriate instructions for conducting internal assessment are followed
- Ensure candidates are aware of JCQ and awarding body information for candidates on producing work that is internally assessed (controlled assessments, coursework, non-examination assessments, social media) prior to assessments taking place
- Ensure candidates are informed of their centre assessed marks as a candidate may request a review of the centre's marking before marks are submitted to the awarding body

### Exams officer

- Identifies relevant key dates and administrative processes that need to be followed in relation to internal assessment
- Signposts teaching staff to relevant JCQ *information for candidates* documents that are annually updated

## 2.7 Invigilation

### Head of centre

- Ensures relevant support is provided to the EO in recruiting, training and deploying a team of invigilators
- Ensures, if contracting supply staff to act as invigilators or to facilitate an access arrangement, that such persons are competent and fully trained, understanding what is and what is not permissible
- Determines if additional invigilators will be deployed in timed Art exams in addition to the subject teacher

### Exams officer

- Recruits additional invigilators where required to effectively cover all exam periods/series' throughout the academic year
- Collects information on new recruits to identify if they have invigilated previously and if any current maladministration/malpractice sanctions are applied to them
- Provides an annual training event for new invigilators and an update event for invigilators on the conduct of exams
- Ensures invigilators are briefed on the access arrangement candidates in their exam room and made aware of the access arrangement(s) awarded (ensuring these candidates are identified on the seating plan) and confirms invigilators understand what is and what is not permissible.
- Ensures invigilators supervising access arrangement candidates understand their role (and the role of a facilitator who may be supporting a candidate) and the rules and regulations of the access arrangement(s)
- Collects evaluation of training to inform future events

## 2.8 Entries: roles and responsibilities

### 2.8.1 Estimated entries

#### Exams officer

- Requests estimated or early entry information, where this may be required by awarding bodies, from HoDs in a timely manner to ensure awarding body external deadlines for submission can be met
- Estimated entries are collected via Microsoft forms in September/October and collated in time for estimated entry deadlines.
- Estimated entries are collected by head of departments and are gathered from subject teachers and entry codes are gathered from the specification of each subject. Entries are submitted via awarding bodies websites.

#### Head of department

- Provides information requested by the EO to the internal deadline
- Informs the EO immediately of any subsequent changes to information

### 2.8.2 Final entries

#### Exams officer

- Requests final entry information from HoDs in a timely manner to ensure awarding body external deadlines for submission can be met

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- Informs HoDs of subsequent deadlines for making changes to final entry information without charge
- Confirms with HoDs final entry information that has been submitted to awarding bodies
- Ensures as far as possible that entry processes minimise the risk of entries or registrations being missed reducing the potential for late or other penalty fees being charged by awarding bodies
- Final entries are collated by signed entry lists, checked by heads of department.
- Final entries are submitted to awarding bodies using A2C.
- Observes each awarding body's terms and conditions for the entry and withdrawal of candidates for their examinations and assessments

#### **Head of department**

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

#### **2.8.3 Entry fees**

##### **Exams officer**

- Exam entry fees are paid from the Exams budget which is managed by the Exams Officer.
- Amendment fees/Late entry fees are charged back to department budgets, as these are discouraged and appropriate administrative procedures are in place such as triple checking entry lists and signing, before entries are made in order to avoid such fees.

#### **2.8.4 Late entries**

##### **Exams officer**

- Has clear entry procedures in place to minimise the risk of late entries
- Charges any late or other penalty fees to departmental budgets

#### **Head of department**

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

#### **2.8.5 Re-sit entries**

##### **Exams officer**

- Resits are managed adhoc, English and Maths GCSE resits are only for candidates who wish to pay for it themselves. A Level resits are also available on an adhoc basis, agreed by SLT.

#### **2.8.6 Candidate statements of entry**

##### **Exams officer**

- Provides candidates with statements of entry for checking

## Teaching staff

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

## Candidates

- Confirm entry information is correct or notify the EO of any discrepancies

## 2.9 Pre-exams: roles and responsibilities

### 2.9.1 Access arrangements

#### SENCo

- Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access for candidates where they are disabled within the meaning of the Equality Act (unless a temporary emergency arrangement is required at the time of an exam)
- Ensures a candidate is involved in any decisions about arrangements, adjustments and /or adaptations that may be put in place for him/her
- Ensures exam information (JCQ information for candidates information, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it
- Allocates appropriately trained centre staff to facilitate access arrangements for candidates in exams and assessments (ensuring that the facilitator appointed meets JCQ requirements and fully understands the rule of the particular access arrangement)
- 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 private candidate (including distance learners and home educated candidates) and that the candidate is assessed by the centre's appointed assessor

### 2.9.2 Briefing candidates

#### Exams officer

- Issues individual exam timetable information to candidates and informs candidates of any contingency day awarding bodies may identify in the event of national or significant local disruption to exams.
- Provides candidates with a candidate handbook.
- Prior to exams issues relevant JCQ information for candidates documents
- Where relevant, issues relevant awarding body information to candidates
- Issues centre exam information to candidates including information on:
  - exam clashes
  - arriving late for an exam
  - absence or illness during exams
  - behaviour expectations
  - what equipment is/is not provided by the centre
  - food and drink in exam rooms
  - wrist watches in exam rooms
  - unauthorised materials e.g. mobile phones and where they should be stored during exams.
  - when and how results will be issued and the staff that will be available
  - the post-results services and how the centre deals with requests from candidates
  - when and how certificates will be issued

## **Access to scripts, enquiries about results and appeals procedures**

- Students receive Review of Results information via the Candidate Handbook.
- A Review of Results information sheet is provided to all students on results day, this details the following:
  - how they request a service
  - when they will be informed of
    - the services that will be made available by the awarding bodies
    - the deadlines that have to be met
    - the fees that will be charged
  - how they are informed of the outcome of their request
  - the internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support a review of results or an appeal

### **2.9.3 Dispatch of exam scripts**

#### **Exams officer**

- Identifies and confirms arrangements for the dispatch of candidate exam scripts with the DfE 'yellow label service' or the awarding body where qualifications sit outside the scope of the service

### **2.9.4 Estimated grades**

#### **Head of department**

- Ensures teaching staff provide estimated grade information to the EO by the internal deadline (where this still may be required by the awarding body)

#### **Exams officer**

- Submits estimated grade information to awarding bodies to meet the external deadline (where this may still be required by the awarding body)
- Keeps a record to track what has been sent

### **2.9.5 Internal assessment and endorsements**

#### **Head of centre**

- Ensures procedures are in place for candidates to appeal internal assessment decisions and make requests for reviews of marking

#### **SENCo**

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

#### **Teaching staff**

- Support the SENCo in implementing appropriate access arrangements for candidates undertaking internal assessments and practical endorsements
- Assess and authenticate candidates' work
- Assess endorsed components
- Ensure candidates are informed of centre assessed marks prior to marks being submitted to awarding bodies

### **Head of department**

- Ensures teaching staff assess and authenticate candidates' work to the awarding body requirements
- Ensures teaching staff assess endorsed components according to awarding body requirements
- Ensures teaching staff provide marks for internally assessed components and grades for endorsements of qualifications to the EO to the internal deadline
- Ensures teaching staff provide required samples of work for moderation and sample recordings for monitoring to the EO to the internal deadline

### **Exams officer**

- Submits marks, endorsement grades and samples to awarding bodies/moderators/monitors to meet the external deadline
- Keeps a record to track what has been sent
- Logs moderated samples returned to the centre
- Ensures teaching staff are aware of the requirements in terms of retention and subsequent disposal of candidates' work

### **Candidates**

- Authenticate their work as required by the awarding body

## **2.9.6 Invigilation**

### **Exams officer**

- Provides an annually reviewed/updated invigilator handbook to invigilators, trains new invigilators on appointment and updates experienced invigilators on any regulation changes
- Deploys invigilators effectively to exam rooms throughout an exam series (including the provision of a roving invigilator to regularly enter and observe the rooms where a candidate and invigilator [acting as a practical assistant, reader or scribe] are accommodated on a 1:1 basis)
- Allocates invigilators to exam rooms (or where supervising candidates due to a timetable variation) according to the required ratios
- Liaises with the SENCo regarding the facilitation and invigilation of access arrangement candidates

### **SEnCo**

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

### **Invigilators**

- Provide information as requested on their availability to invigilate throughout an exam series

## **2.10 JCQ inspection visit**

### **Exams officer or Senior leader**

- Will accompany the Inspector throughout the visit

### **SEnCo**

- Will meet with the 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)

## 2.11 Seating and identifying candidates in exam rooms

### Exams officer

- Ensures a procedure is in place to verify candidate identity including private candidates:  
**Procedure for identifying candidates:**  
Candidates are gathered in a central room (other than the exam room) by heads of houses and are firstly identified there. As they enter the examination room a member of SLT identifies students again.  
  
Private candidates are asked to bring in photo ID and are checked at reception and before they come into the examination room – confirming their DOB with their timetable.
- Ensures invigilators are aware of the procedure
- Provides seating plans for exam rooms according to JCQ and awarding body requirements and invigilators are informed of those candidates with access arrangements and made aware of the access arrangement(s) awarded)

### Invigilators

- Follow the procedure for verifying candidate identity provided by the EO
- Seat candidates in exam rooms as instructed by the EO/on the seating plan

## 2.12 Security of exam materials

### Exams officer

- Has a process in place to record confidential materials delivered to the centre and issued to authorised staff
- Ensures only persons authorised by the head of centre and the exams officer are allowed access to the centre's secure storage facility as one of the two to six key holders
- 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 (attempting to store this material in the secure storage facility, when sufficient space allows)
- Ensures the integrity and security of any electronic question paper is maintained during the downloading, printing and collating process (ensuring printing is carried out in an area that can be controlled to prevent unauthorised personnel accessing live assessment materials and ensuring only authorised members of centre staff have access to electronic question papers)

### **Reception staff**

- Follow the process to record confidential materials delivered to the centre and issued to authorised staff

### **Teaching staff**

- Adhere to the recording system to track confidential materials taken from or returned to secure storage throughout the time the material is confidential

## **2.13 Timetabling and rooming**

### **Exams officer**

- Produces a master centre exam timetable for each exam series
- Identifies and resolves candidate exam clashes (only applying overnight supervision arrangements in rare and exceptional circumstances and as a last resort)
- Identifies exam rooms and specialist equipment requirements
- Allocates invigilators to exam rooms (or where supervising candidates due to a timetable variation) 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 SENCo regarding rooming of access arrangement candidates

### **SENCo**

- Liaises with the EO regarding rooming of access arrangement candidates
- Liaises with other relevant centre staff to ensure appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams

### **Site staff**

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

## **2.14 Alternative site arrangements**

### **Exams officer**

- Ensures question papers will only be taken to an alternative site where the published criteria for an alternative site arrangement has been met
- Will inform the JCQ Centre Inspection Service using the JCQ *Alternative Site* form of any alternative sites that will be used to conduct timetabled examination components of the qualifications listed in the JCQ regulations

## **2.15 Transferred candidate arrangements**

### **Exams officer**

- Liaises with the host or entering centre, as required
- Processes requests to the awarding body deadline
- Where relevant (for an internal candidate) informs the candidate of the arrangements that have been made for their transferred candidate arrangements

## **2.16 Internal exams**

### **Exams officer**

- Prepares for the conduct of internal exams under external conditions

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- Provides a centre exam timetable of subjects and rooms
- Provides seating plans for exam rooms
- Requests internal exam papers from teaching staff
- Arranges invigilation

#### **SENCo**

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

#### **Teaching staff**

- Provide exam papers and materials to the EO
- Support the SENCo in making appropriate arrangements for access arrangement candidates

## **2.17 Exam time: roles and responsibilities**

### **2.17.1 Access arrangements**

#### **Exams officer**

- Provides cover sheets for access arrangement candidates' scripts where required for particular arrangements
- Has a process in place to deal with emergency access arrangements as they arise at the time of exams
  - applies for approval through AAO where required or through the awarding body where qualifications sit outside the scope of AAO

### **2.17.2 Candidate absence**

#### **Exams Officer**

- Candidates are made aware via Candidate Handbook and assemblies of what to do if they are likely to be late or absent for an exam.
- Absent students are identified by using the seating plan and attendance register.
- Exams Officer confers with Line Manager over known absences. Office staff contact home to ascertain reason for absence. School supports where appropriate to facilitate students attending the exam.

#### **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.

### **2.17.3 Candidate late arrival**

#### **Candidate late arrival procedure before 10am or 2:30pm:**

Candidates who arrive late are to be held in reception until a member of SLT or EO can see the candidate. The wellbeing of the candidate is assessed and the candidate is ensured to remain calm and also under supervision as soon as they enter the centre. Once a candidate is prepared to enter the exam room, they are read the start of the examination script (JCQ regulations) and escorted into the correct exam room by SLT or EO. SLT or EO will make the invigilators aware of the late candidate and the start and finish time will be published on the board/given to the student directly to ensure they are aware of their timings.

#### **Candidate very late arrival procedure after 10am or 2:30pm:**

Candidates who arrive late are to be held in reception until a member of SLT or EO can see the candidate. The wellbeing of the candidate is assessed and the candidate is ensured to remain calm and also under supervision as soon as they enter the centre. Once a candidate is prepared to enter the exam room, they are read the start of the examination script (JCQ

regulations), they are made aware that as they have arrived so late that the awarding body will be made aware and may make the judgement to not accept their script. They are then escorted into the correct exam room by SLT or EO. SLT or EO will make the invigilators aware of the late candidate and the start and finish time will be published on the board/given to the student directly to ensure they are aware of their timings.

#### **Exams officer**

- Ensures that candidates who arrive very late for an exam are reported to the awarding body as soon as practically possible after the exam has taken place
- Warns candidates that their work may not be accepted by the awarding body

#### **Invigilators**

- Are informed of the policy/process for dealing with late/very late arrival candidates through training
- Ensure that relevant information is recorded on the exam room incident log

### **2.17.4 Conducting exams**

#### **Head of centre**

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

#### **Exams officer**

- Ensures exams are conducted according to JCQ and awarding body instructions
- Uses an *exam day checklist* to ensure each exam session is fully prepared for, unplanned events can be dealt with and associated follow-up is completed

### **2.17.5 Dispatch of exam scripts**

#### **Exams officer**

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

### **2.17.6 Exam papers and materials**

#### **Exams officer**

- Organises exam question papers and associated confidential resources in date order in secure storage
- Attaches erratum notices received to relevant exam question paper packets
- Collates attendance registers and examiner details in date order
- Regularly checks mail or inbox for updates from awarding bodies
- In order to avoid potential breaches of security, ensures prior to question paper packets being opened that another member of staff or an invigilator checks the time, date and paper details
- 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 clash candidates have completed the exam

## **2.17.7 Exam rooms**

### **Head of centre**

- Ensures that prior to exams commencing, internal tests, mock exams, revision or coaching sessions for candidates will not be held in the designated exam room(s)
- Ensures only approved centre staff (who have not taught the subject being examined) are present in exam rooms to perform permitted tasks.
- Ensures information relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates

### **Food and drink in exam rooms procedure:**

Food and drink are not to be brought into the examination room, except for water in a clear plastic bottle.

For exceptional circumstances food may be brought into the exam room if a medical condition states, for example a diabetic requiring sweets/sugary foods in case of a drop in blood sugar levels. This food is to be brought to the EO or invigilator before the examination begins and should be taken out of the original packet and put in a clear plastic packet.

*“Food and drink may be allowed in the examination room at the discretion of the head of centre. However, this is on the condition that any food brought into the examination room by the candidate is free from packaging and all labels are removed from drink containers.”*

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### **Exams officer**

- 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)
- Ensures sole invigilators have an appropriate means of summoning assistance
- Ensures invigilators understand how to deal with candidates who may need to leave the exam room temporarily
- Provides authorised exam materials which candidates are not expected to provide themselves
- Ensures invigilators and candidates are aware of the emergency evacuation procedure
- Ensures invigilators are aware of arrangements in place for a candidate with a disability who may need assistance if an exam room is evacuated

### **Senior leaders**

- Ensure a documented emergency evacuation procedure for exam rooms is in place
- Ensure arrangements are in place for a candidate with a disability who may need assistance if an exam room is evacuated
- Ensures an emergency evacuation policy is in place and implemented in the case of emergencies.

### **Site staff**

- Ensure exam rooms are available and set up as requested by the EO
- Ensure grounds or centre maintenance work does not disturb exam candidates in exam rooms
- Ensure fire alarm testing does not take place during exam sessions

### **Invigilators**

- Conduct exams in every exam room as instructed in training/update events and briefing sessions

### **Candidates**

- Are required to remain in the exam room for the full duration of the exam

## **2.17.8 Irregularities**

### **Head of centre**

- Ensures 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

### **Managing behaviour:**

Head of centre has the authority to remove a candidate from the examination room, but will only do so if the candidate is disrupting remaining candidates in the room and an initial warning has been given, in accordance to ICE regulations. The candidate must also be warned that the awarding body will be informed and may decide to penalise them, which could include disqualification. The invigilator must record what has happened in the incident log.

### **Senior leaders**

- Ensure support is provided for the EO and invigilators when dealing with disruptive candidates in exam rooms
- Ensure that internal disciplinary procedures relating to candidate behaviour are instigated, when appropriate

### **Exams officer**

- Provides an exam room incident log in all exam rooms for recording any incidents or irregularities
- Actions any required follow-up and reports to awarding bodies as soon as practically possible after the exam has taken place

### **Invigilators**

- Record any incidents or irregularities on the exam room incident log (for example, late/very late arrival, candidate or centre staff suspected malpractice, candidate illness, disruption or disturbance in the exam room, emergency evacuation)

## **2.19 Special consideration**

### **Senior leaders**

- Provide signed evidence to support eligible applications for special consideration

### **Exams officer**

- Processes eligible applications for special consideration to awarding bodies
- Gathers evidence which may need to be provided by other staff in centre or candidates
- Submits requests to awarding bodies to the external deadline
- Ensures a special consideration policy is in place and implemented.

### **Candidates**

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

## **2.20 Unauthorised materials**

Arrangements for unauthorised materials taken into the exam room are to be confiscated and placed on the invigilator desk at the front of the exam room, out of the reach of any candidates and are to be collected at the end of the exam after being spoken to by EO or SLT member.

### **Invigilators**

- Are informed of the arrangements through annual training

## 2.21 Internal exams

### Exams officer

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

### Invigilators

- Conduct internal exams as briefed by the EO

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

### 2.22.1 Internal assessment

#### Head of department

- Ensures teaching staff keep candidates' work, whether part of the moderation sample or not, secure and for the required period stated by JCQ and awarding bodies
- Ensures work is returned to candidates or disposed of according to the requirements

### 2.22.2 Managing results day(s)

#### Senior leaders

- Identify centre staff who will be involved in the main summer results day(s) and their role
- Ensures senior members of staff are accessible to candidates after the publication of results so that results may be discussed and decisions made on the submission of enquiries and ensures candidates are informed of the periods during which centre staff will be available so that they may plan accordingly

#### Exams officer

- Works with senior leaders to ensure procedures for managing the main summer results day(s) (a results day programme) are in place
- Ensures all candidates are aware of post results and enquiries before they sit any examinations as stated by JCQ regulations. Post results information leaflets are enclosed in results slip envelopes along with results on results day. Senior leadership members are available on stated days during the results period in order to discuss and gain advice. Post results information is also published on the school website for all candidates and parents to view.

#### Site staff

- Ensure the centre is open and accessible to centre staff and candidates, as required

### 2.22.3 Accessing results

#### Head of centre

- 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
- Understands that it is not permitted to withhold provisional results from candidates under any circumstances

#### Exams officer

- Informs candidates in advance of when and how results will be released to them
- Accesses results from awarding bodies under restricted release of results, where this is provided by the awarding body
- Resolves any missing or incomplete results with awarding bodies
- Issues statements of results to candidates on issue of results date
- Provides summaries of results for relevant centre staff on issue of results date

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## 2.22.4 Post-results services

### Head of centre

- Ensures an internal appeals procedure is available where candidates disagree with any centre decision not to support a clerical check, a review of marking, a review of moderation or an appeal.
- Ensures that senior members of centre staff are available immediately after the publication of results
- Understands that in the event of an awarding body initiating an *extended review of marking*, candidates' marks and subject grades may be lowered, confirmed or raised

### Exams officer

- Provides information to candidates (including private candidates) and staff on the services provided by awarding bodies and the fees charged (see also above *Briefing candidates* and *Access to scripts, reviews of results and appeals procedures*)
- Publishes internal deadlines for requesting the services to ensure the external deadlines can be effectively met
- Provides a process to record requests for services and collect candidate informed consent (after the publication of results) and fees where relevant
- Submits requests to awarding bodies to meet the external deadline
- Tracks requests to conclusion and informs candidates and relevant centre staff of outcomes
- Updates centre results information, where applicable

### Teaching staff

- Meet internal deadlines to request the services and gain relevant candidate informed consent
- Identify the budget to which fees should be charged

### Candidates

- Meet internal deadlines to request the services
- Provide informed consent and fees, where relevant

## 2.22.5 Certificates

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

### Issue of certificates procedure:

Certificates are collated and issued to students during a certificate ceremony. GCSE usually falls in November and GCE in December. Students sign in and this is proof of certificate collection. Those students who are unable to attend can collect their certificates from the school reception after the ceremonies. Details kept are the student name and signature and date of collection.

### Candidates

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

### Retention of certificates policy:

Certificates that are unclaimed/uncollected are destroyed after 12 months of issuing.

Information stated on certificates that are destroyed: Student Name, Date of Birth, Subject and Grade Awarded.

### **2.22.6 Retention of records: roles and responsibilities**

#### **Exams officer**

- Keeps records as required by JCQ and awarding bodies for the required period
- Keeps records as required by the centre's records management policy

### **3. MONITORING AND EVALUATION**

#### Exams officer

- Provides SLT with an overview of the exam year, highlighting what went well and what could be developed/improved in terms of exams management and administrative processes within the stages of the exam cycle
- Collects and evaluates feedback from staff, candidates and invigilators to inform review

#### Senior leaders

- Work with the EO to produce a plan to action any required improvements identified in the review

### **4. OTHER RELEVANT POLICES AND DOCUMENTS**

- Exam contingency policy
- Internal appeals procedures
- Equality policy (exams)
- Complaints and appeals procedure
- Child protection/safeguarding policy
- Data protection policy – GDPR
- Access arrangements policy
- Word processor policy (exams)
- Controlled assessment policy
- Non-examination assessment policy
- Emergency evacuation policy
- Special Consideration Policy