

# Exam Policy

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## Purpose of the policy

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

- all aspects of the centre '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]
- exam candidates understand the exams process and what is expected of them.

This policy is reviewed annually to ensure ways of working in the centre are accurately reflected and that exams and assessments are conducted to current JCQ (and awarding body) regulations, instructions and guidance.

This policy will be communicated to all relevant centre staff via the schools website and hard copy.

## 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 Manager/administrator."*

[GR 1]

### Head of centre

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

- 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
- Ensures the exams Manager/administrator (EM/A) 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 EM/A
- Ensures *“that a teacher who teaches the subject being examined, or a senior member of teaching staff who has had overall responsibility for the candidate’s preparation for the examination, is not an invigilator during the timetabled written examination or on- screen test...”*  
[ICE 6]
- Ensures security within the examination process is managed according to JCQ and awarding body regulations, guidance and instructions including
  - the location of the centre’s secure storage unit is in an area solely assigned to examinations
  - the relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk
  - that arrangements are in place to check that the correct question paper packets are opened by authorised members of centre staff
- Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place (that allows the HoC to act immediately in the event of an emergency or staff absence)

### **Exam contingency plan**

Please refer to the centre's separate Contingency Plan

***“It is the responsibility of the head of centre to ensure that his/her centre... has in place a written examination contingency plan which covers all aspects of examination administration. This will allow members of the senior leadership team to act immediately in the event of an emergency or staff absence. The examination contingency plan must be readily available for inspection purposes; (The examination contingency plan should also reinforce procedures in the event of the centre being unavailable for examinations owing to an unforeseen emergency.)***

[GR 5]

- Ensures required internal appeals procedures are in place

#### **Internal appeals procedures**

Please refer to the centre's separate Internal Appeals Procedure

*“The centre agrees to... have in place and be readily available for inspection purposes, a written internal appeals procedure relating to internal assessment decisions and to ensure that details of this procedure are communicated, made widely available and accessible to all candidates”*

[GR 5.8]

*“The centre agrees to... have readily available for inspection purposes and draw to the attention of candidates and their parents/carers, a written internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support a clerical check, a review of marking, a review of moderation or an appeal...”*

[GR 5.14]

- Ensures a disability policy for exams showing the centre’s compliance with relevant legislation is in place

**Disability policy:**

Please refer to the centre’s separate Disability Policy

*“The head of centre/senior leadership team agrees to... recognise its duties towards disabled candidates as defined under the terms of the Equality Act 2010†. This must include a duty to explore and provide access to suitable courses, submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates. A written disability policy setting out how the centre seeks to comply with the Equality Act 2010† and fully supporting disabled candidates must be available for inspection purposes. †for any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect [GR 5.4]*

- Ensures a *complaints and appeals procedure* covering general complaints regarding the centre’s delivery or administration of a qualification is in place

**Complaints and appeals procedure**

Please refer to the centre’s separate Internal Appeals Procedures

*“The centre agrees to... draw to the attention of candidates and their parents/carers their written complaints and appeals procedure which will cover general complaints regarding the centre’s delivery or administration of a qualification.” [GR 5.7]*

- Ensures the centre has a child protection/safeguarding policy in place, including

**Child protection/safeguarding policy**

Please refer to the centre’s separate Safeguarding Policy

*“It is the responsibility of the head of centre to ensure that his/her centre... has in place a written child protection/safeguarding policy, including Disclosure and Barring Service (DBS) clearance, which satisfies current legislative requirements...”[GR 5.3]*

- ▶ **Ensure the centre has a data protection policy in place:**

**Data protection policy**

Please refer to the centre’s separate Data Protection Policy

- Ensures the centre has documented processes in place relating to access arrangements and reasonable adjustments

### Access arrangements policy

Please refer to the centre's separate Access Arrangements Policy

*"...with its obligations in respect of identifying the need for, requesting and implementing access arrangement [GR 5.5]*

*"The head of centre/senior leadership team agree to... have a written process in place to not only check the qualification(s) of their specialist assessor(s) but that the assessment process is administered correctly;"*  
[GR 5.4]

- Ensures staff are only entered for qualifications through the centre as a last resort where entry through another centre is not available
- Ensures the appropriate steps are taken where a candidate being entered for exams is related to a member of centre staff

*"...informs the awarding bodies, before the associated entries are submitted, of any members of centre staff who are either sitting examinations and assessments or teaching and preparing members of their family for examinations and assessments. Awarding bodies should also be informed where children of exams office staff are being entered for examinations and assessments..."*

*The head of centre must ensure that during the examination series the member of centre staff is treated as per any other candidate entered for that examination, does not have access to examination materials and does not receive any preferential treatment.*

*If a candidate is entered for an awarding body's examinations at a centre where a relative is employed, the head of centre must ensure that during the examination series the candidate's relative does not have unaccompanied access to examination materials. For example, question papers, pre-release materials and answer scripts.*

*If the relative in question is the centre's examinations Manager/administrator, then appropriate arrangements must be made to ensure that another person is present for all of the administrative arrangements relating to the candidate's examinations. (For example, any application for special consideration must be authorised by a member of centre staff other than the candidate's relative.)" [GR 5.3]*

- 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

*“The examinations Manager/administrator 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.”[GR 1]*

### **Exams Manager/administrator**

- Understands the contents of annually updated JCQ publications including:
  - General regulations for approved centres*
  - Instructions for conducting examinations*
  - Suspected Malpractice in Examinations and Assessments*
  - Post-results services (PRS)*
- Is familiar with the contents of annually updated information from awarding bodies on administrative procedures, key tasks, key dates and deadlines
- Ensures key tasks are undertaken and key dates and deadlines met
- Recruits, trains and deploys a team of 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

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

- Are familiar with the contents, refer to and direct relevant centre staff to annually updated JCQ publications including:
  - General regulations for approved centres*
  - Instructions for conducting examinations*
  - Access Arrangements and Reasonable Adjustments*
  - Suspected Malpractice in Examinations and Assessments*
  - Instructions for conducting non-examination assessments* (and the instructions for conducting controlled assessment and coursework)

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

- Is familiar with the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:
  - Access Arrangements and Reasonable Adjustments*
- Leads on the access arrangements and reasonable adjustments process (referred to in this policy as ‘access arrangements’)
- If not the qualified access arrangements assessor, works with the person appointed, on all matters relating to assessing candidates and the administration of the assessment process
- Presents when requested by a JCQ Centre Inspector, evidence of the assessor’s qualification

### **Head of 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 EM/A 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 EM/A 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 EM/A in dealing with exam-related deliveries and dispatches with due regard to the security of confidential materials

### **Site staff**

- Support the EM/A in relevant matters relating to exam rooms and resources

### **Candidates**

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

### **The exam cycle**

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

- planning
- entries
- pre-exams
- exam time

- results and post-results

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

## **Planning: roles and responsibilities**

### **Information sharing**

#### **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 Manager/administrator**

- 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

### **Information gathering**

#### **Exams Manager/administrator**

- 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 [insert the titles these internal exams are referred to in the centre]

#### **Head of department**

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

### **Access arrangements**

#### **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

## SENC<sub>o</sub>

- 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 EM/A 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

### Word processor policy (exams)

Please refer to the centre's separate Word Processor Policy situated either on our H-Drive, Website or with the Examinations Manager/administrator

The 'normal way of working' for exam candidates, as directed by the head of centre, is that candidates handwrite their exams. An exception to this is where a candidate may have an approved access arrangement in place, for example the use of a scribe/speech recognition technology.

Awarding word processors

There are also exceptions where a candidate may be awarded the use of a word processor in exams where he/she has a firmly established need, it reflects the candidate's normal way of working and by not being awarded a word processor would be at a substantial disadvantage to other candidates.

Exceptions might include where a candidate has, for example:

- ▶ A learning difficulty which has a substantial and long term adverse effect on their ability to write legibly
- ▶ A medical condition
- ▶ A physical disability

- ▶ A sensory impairment
- ▶ Planning and organisational problems when writing by hand
- ▶ Poor handwriting

### **Allocating word processors**

Appropriate exam-compliant word processors will be allocated by the IT department in liaison with the SENCo and the exams Manager/administrator. In exceptional circumstances where the number of appropriate word processors may be insufficient for the cohort of candidates approved to use them in an exam session, the cohort will be split into two groups. One group will sit the exam earlier than or later than the published start time. The security of the exam will be maintained at all times and candidates will be supervised in line with section 2.11 of ICE.

In all cases where a word processor is used in a public exam a Form 4 must be completed.

- 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

### **Internal assessment and endorsements**

#### **Head of centre**

- 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
- Controlled assessment policy**

- 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)

#### **Non-examination assessment policy**

**Please refer to the centre's separate Non-Examination Assessment Policy**

*"The centre agrees to... have in place and be available for inspection purposes, a written policy with regard to the management of GCE and GCSE non-examination assessments; (For CCEA GCSE centres 5.8]"*

- 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 legacy GCSE qualifications (which contain elements of controlled assessment) 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 Manager/administrator**

- 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

### **Invigilation**

#### **Head of centre**

- Ensures relevant support is provided to the EM/A 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 Manager/administrator**

- 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 supervising access arrangement candidates understand their role (and the role of a facilitator who may be supporting a candidate) and the rules and regulations of the access arrangement(s)
- Ensures invigilators are made aware of the Equality Act 2010 and are trained in disability issues
- Collects evaluation of training to inform future events

## **Entries: roles and responsibilities Estimated**

### **entries**

#### **Exams Manager/administrator**

- 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 collection and submission procedure**

- Estimated entry requests including applicable centre data collection form sent to all HOD's with a deadline at least 3 weeks before awarding body deadline. Includes asking for – course codes, specification codes, entry numbers, specification title etc
- EM/A to check all data/courses/entries that come in and submit all required information to awarding body secure websites before issued deadline

#### **Head of department**

- Provides information requested by the EM/A to the internal deadline
- Informs the EM/A immediately of any subsequent changes to information

### **Final entries**

#### **Exams Manager/administrator**

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

- ▶ EM/A to import awarding body Basedata and create SIMS EDI marksheets based on subjects estimated entries information and hand to HOD's at least 3 to 4 weeks before external deadline
- ▶ HOD's liaise with teachers to denote final entries on applicable marksheets by internal deadline – checking candidate name, tier, specification title/code, certification codes, coursework/examination units etc
- ▶ EM/A to check all marksheets against specification/awarding body criteria to make sure all applicable certification, examination and coursework codes have been supplied in order to certificate a full award. EM/A then to manually input entry information given onto created SIMS EDI marksheets.
- ▶ EM/A to print off completed marksheets before submission and send them out to HOD's to check and sign off if correct
- ▶ On receipt of signature/confirmation from HOD's – EM/A will make any applicable changes and then EM/A will submit all entries to the applicable awarding bodies before the external deadline via the A2C provider

## Head of department

- Provides information requested by the EM/A to the internal deadline
- Informs the EM/A 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 EM/A and confirms information is correct

## Entry fees

- ▶ The centre will pay all normal examination fees on behalf of candidates. Late or amended entry fees may be charged to the subject areas concerned.
- ▶ Candidates or subject areas will not normally be charged for a change 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,
- ▶ London PT College will invoice parents/carers if a student misses an examination with no reason or fails to complete the required coursework rendering the examination void after the entry has been made. If a candidate is missing at the start of an examination London PT College will make every attempt to contact the candidate by telephone.
- ▶ Late entry or amendment fees are paid by departments.
- ▶ The EM/A will manage/oversee the examination budget and check how entry fees are collected/recharged including late, amendment or re-sit fees where this may be applicable in the centre.
- ▶ EM/A to sign off all invoices and correct fees charged against awarding body documentation and the SIMS examination module that calculates the exact examination cost based on entry submission

## **Late entries**

### **Exams Manager/administrator**

- 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 EM/A in relation to making final entries on time
  - meeting internal deadlines identified by the EM/A for making final entries

## **Candidate statements of entry**

### **Exams Manager/administrator**

- Provides candidates with statements of entry for checking

### **Teaching staff**

- Ensure candidates check statements of entry and return any relevant confirmation required to the EM/A

### **Candidates**

- Confirm entry information is correct or notify the EM/A of any discrepancies

## **Pre-exams: roles and responsibilities 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

## **Briefing candidates**

### **Exams Manager/administrator**

- Issues individual exam timetable information to candidates.
- ▶ 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
  - ▶ what equipment is/is not provided by the centre
  - ▶ food and drink in exam rooms
  - ▶ wrist watches in exam rooms
  - ▶ when and how results will be issued and the staff that will be available
  - ▶ the post-results services and how the centre deals with requests from candidates
  - ▶ when and how certificates will be issued

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

- Enquires about results may be requested by centre staff or candidates if there are reasonable grounds for believing there has been an error in marking.
- If a result is queried, the Examinations Manager/administrator, teaching staff and head of centre will investigate the feasibility of asking for a re-mark at the centre's expense.
- When the centre does not uphold an EAR, a candidate may apply to have an enquiry carried out. If a candidate requires this against the advice of subject staff, they will be charged.
- JCQ consent form to be read and signed by candidate.
- After the release of results, candidates may ask subject staff to request the return of papers within three days' scrutiny of the results.
- Centre staff may also request scripts for investigation or for teaching purposes. For the latter, the consent of candidates must be obtained.
- GCSE re-marks cannot be applied for once a script has been returned.
- Contact should be made to the EM/A if a candidate or indeed centre staff disagree with an outcome of an enquiry about a result. Further details will be obtained from the awarding body including the applicable fees. Please refer to the separate internal appeals policy available on either our H-Drive, Website or from the EM/A.

(Information should also be made available to private candidates)

*"The centre agrees to... have in place written procedures for how it will deal with candidates' access to scripts, enquiries about results and appeals to the awarding bodies and to ensure that details of these procedures are made widely available and accessible to all candidates.*

*Candidates must be made aware of the arrangements for post-results services before they sit any examinations and the accessibility of senior members of centre staff immediately after the publication of results...* [GR 5.14]

*"The centre agrees to... treat all candidates equally, including private candidates, throughout the examination process. This would also extend to post-results services and appeals."* [GR 5.6]

## Dispatch of exam scripts

### Exams Manager/administrator

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

## **Estimated grades**

### **Head of department**

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

### **Exams Manager/administrator**

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

## **Internal assessment 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 EM/A to the internal deadline
- ▶ Ensures teaching staff provide required samples of work for moderation and sample recordings for monitoring to the EM/A to the internal deadline

### **Exams Manager/administrator**

- ▶ 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

## **Invigilation**

### **Exams Manager/administrator**

- ▶ Provides an invigilation handbook and/or trains/updates invigilator annually
- ▶ 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 EM/A regarding facilitation and invigilation of access arrangement candidates

### **Invigilators**

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

## **JCQ inspection visit**

### **Exams Manager/administrator or Senior leader**

- ▶ Will accompany the Inspector throughout the visit

*“A senior member of staff or a member of the exams office must be available to accompany the Inspector throughout the course of his or her centre visit, including inspection of the centre’s secure storage facility.”[ICE Introduction]*

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

### **Exams Manager/administrator**

- Ensures a procedure is in place to verify candidate identity including private candidates

## Verifying candidate identity procedure

To verify a candidate's identity – personalised photographic ID cards will be present on each exam desk for each exam as per the examination seating plan. These are individually created for each student Invigilators plus all Senior leaders have access to this information electronically however this documentation including candidates photos are provided at the front of each exam room too as a duplicate of the candidate ID cards. This allows the invigilators to correlate who is who on each day

(Remember to include procedures for private, external or transferred candidates or those wearing religious clothing, such as a veil)

*“The centre agrees to... have in place written procedures to verify the identity of all candidates at the time of the examination or assessment...”* [GR 5.10]

*Invigilators must establish the identity of all candidates sitting examinations.*

*...A private, external or transferred candidate who is not known to the school or college must show photographic documentary evidence to prove that he/she is the same person who entered/registered for the examination/assessment, e.g. passport or photographic driving licence...*

*...In cases where it is impossible to identify a candidate due to the wearing of religious clothing, such as a veil, the candidate should be approached by a member of staff of the same gender and taken to a private room where they should be politely asked to remove the religious clothing for identification purposes. Centres must inform candidates in advance of this procedure and well before their first examination.*

*Once identification has been established, the candidate should replace, for example, their veil and proceed as normal to sit the examination.”* [ICE 9]

- Ensures invigilators are aware of the procedure
- Provides seating plans for exam rooms according to JCQ and awarding body requirements

### **Invigilators**

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

### **Security of exam materials**

#### **Exams Manager/administrator**

- Has a process in place to record confidential materials delivered to the centre and issued to authorised staff
- Has in place a recording system to track confidential materials taken from or returned to secure storage throughout the time the material is confidential
- Receives, checks and securely stores question papers and other exam materials according to JCQ and awarding body requirements

#### **Reception staff**

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

#### **Teaching staff**

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

### **Timetabling and rooming**

#### **Exams Manager/administrator**

- 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 EM/A 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 EM/A to ensure exam rooms are set up according to JCQ and awarding body requirements

### **Alternative site arrangements**

#### **Exams Manager/administrator**

- ▶ 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

### **Transferred candidate arrangements**

#### **Exams Manager/administrator**

- 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

### **Internal exams**

#### **Exams Manager/administrator**

- Prepares for the conduct of internal exams under external conditions
- Provides a centre exam timetable of subjects and rooms
- Provides seating plans for exam rooms
- Requests internal exam papers from teaching staff
- Arranges invigilation

### **SENCo**

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

### **Teaching staff**

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

## Exam time: roles and responsibilities

### Access arrangements

#### Exams Manager/administrator

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

### Candidate absence

#### Candidate absence policy

The Examinations Manager/administrator, alongside the attendance officer will attempt to contact any candidate who is not present at the start of an exam and deal with them in accordance with JCQ guidelines.

*“Advice: it is good practice for a centre to have a policy for late and absent candidates. Invigilators must be made aware of this policy.”*

14]

[ICE

### 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

### Candidates

- Are re-charged relevant entry fees for unauthorised absence from exams

### Candidate behaviour

See *Irregularities* below.

### Candidate belongings

See *Unauthorised materials* below.

### Candidate late arrival

#### Exams Manager/administrator

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

### Invigilators

- Are informed of the policy/process for dealing with late/very late arrival candidates through training

- Ensure that relevant information is recorded on the exam room incident log

## Conducting exams

### Head of centre

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

### Exams Manager/administrator

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

## Dispatch of exam scripts

### Exams Manager/administrator

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

## Exam papers and materials

### Exams Manager/administrator

- 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
- Where allowed by the awarding body, only releases exam papers and materials to teaching departments for teaching and learning purposes after the published finishing time of the exam, or until any clash candidates have completed the exam

## Exam rooms

### Head of centre

- ▶ Ensures that prior to exams commencing, revision or coaching sessions for candidates will not be held in the designated exam room(s)
- ▶ Ensures only authorised centre staff are present in exam rooms
- Ensures information relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates

### Food and drink in exam rooms

A bottle of water may be allowed in the examination room at the discretion of the EM/A. However, this is on the condition that any water brought into the examination room by the

candidate is free from packaging and all labels are removed from drink containers. The centre stipulates that the drink must be water only.

### **Exams Manager/administrator**

- 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

### **Emergency evacuation policy**

Please refer to the centre's separate Emergency Evacuation Policy

*"...You must have a written centre policy for dealing with an emergency evacuation of the examination room, which will be subject to inspection by the JCQ Centre Inspection Service."*

[\[ICE 18\]](#)

### **Site staff**

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

### **Invigilators**

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

### **Candidates**

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

### **Irregularities/Malpractice**

## Head of centre

- ▶ The head of centre has the authority to remove a candidate from the examination room, but should only do so if the candidate would disrupt others by remaining in the room
- 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
- Candidates will also be sanctioned according to the centre's internal Behaviour Policy (Policy available on the schools website and H-Drive)
- The head of centre will notify the appropriate awarding body at the earliest opportunity of all suspicions or actual incidents of malpractice. They will either complete Form JCQ/M1 (suspected candidate malpractice) or Form JCQ/M2a (suspected malpractice/maladministration involving centre staff).
- The head of centre will supervise personally, and as directed by the awarding body, all investigations resulting from an allegation of malpractice; and ensure that if it is necessary to delegate an investigation to a senior member of centre staff, the senior member of centre staff that is chosen is independent, and not connected to the department or candidate involved in the suspected malpractice.
- The head of centre will pass on to the individuals concerned, any warnings or notifications of penalties, and ensure their compliance with any requests made by the awarding body as a result of a malpractice case.
- Communications relating to the decisions taken by the awarding body in cases of malpractice will always be addressed to the head of centre, except when the head of centre or management is under investigation. When the head of centre or management is under investigation, communication will be with the Chair of Governors, Local Authority officials or other appropriate governance authorities, as deemed appropriate.
- Awarding bodies may communicate directly with members of centre staff who have been accused of malpractice if the circumstances warrant this, e.g. the staff member is no longer employed or engaged by the centre.
- Awarding bodies will only communicate directly with a candidate or the candidate's representative when either the candidate is a private candidate or the awarding body has chosen to communicate directly with the candidate due to the circumstances of the case. (For example, there is a contradiction in the evidence provided by the candidate and the centre, or the centre is suspected of non-compliance with the regulations.)
- In such cases the awarding body will advise the head of centre in writing that it proposes to deal directly with the candidate. A head of centre once advised by the awarding body should not ordinarily communicate further with the candidate.

## Senior leaders

- ▶ Ensure support is provided for the EM/A and invigilators when dealing with disruptive candidates in exam rooms

- ▶ Ensure that internal disciplinary procedures relating to candidate behaviour are instigated, when appropriate

### **Exams Manager/administrator**

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

### **Invigilators**

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

### **Special consideration**

#### **Exams Manager/administrator**

- Processes appropriate requests for special consideration to awarding bodies
- Gathers evidence which may need to be provided by other staff in centre or candidates
- Submits requests to awarding bodies to the external deadline

#### **Special consideration policy**

Please refer to the centre's separate Special Consideration Policy

### **Candidates**

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

### **Unauthorised materials**

#### **Arrangements for unauthorised materials taken into the exam room**

- ▶ The centre's published rules on acceptable dress and behaviour apply at all times.
- ▶ Candidates' personal belongings remain their own responsibility and the centre accepts no liability for their loss or damage.
- ▶ All candidate belongings are to be left in reception
- ▶ All Phones, Smartwatches, Ipods, MP3 players, headphones or any electronic devices are to be handed in to any invigilator SWITCHED OFF. These will be logged and stored safely until the exam has finished and students have been dismissed.
- ▶ All wrist watches must be removed and placed on the students exam desk, if brought into the exam room, prior to the examination starting

*"...any unauthorised items that have been taken into the examination room must be placed out of reach of the candidates (and not under their desks) before the examination starts. This would normally be at the front of the examination room or a similar arrangement that enables the invigilator to control access to the items.*

*...The invigilator, prior to the examination starting, must ensure that candidates have removed their wrist watches, placing them on their desks.*

*...A head of centre may, if he/she so wishes, prohibit candidates bringing a wrist watch into the examination room. Candidates would be required to leave their watches outside of the examination room."*

*[IC*

## **Invigilators**

- Are informed of the arrangements through training

## **Internal exams**

### **Exams Manager/administrator**

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

### **Invigilators**

- Conduct internal exams as briefed by the EM/A

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

### **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 Manager/administrator**

- Works with senior leaders to ensure procedures for managing the main summer results day(s) (a results day programme) are in place

#### **Results day programme**

- A results day programme will always be issued in candidate's examination booklets that are sent home with their final summer examination timetable, as well as situated on the examination noticeboard and via letters sent out to all parents after the examinations have finished.

## Site staff

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

## Accessing results

### Exams Manager/administrator

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

## Post-results services

### Head of centre

- ▶ Ensures 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
- ▶ 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 Manager/administrator

- 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, enquiries about results and appeals procedures*)
- Publishes internal deadlines for requesting the services to ensure the external deadlines can be effectively met
- Provides a process to record requests for services and collect candidate informed consent (*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

## Analysis of results

### Head of Centre/Data Manager

- Provides analysis of results to appropriate centre staff
- Provides results information to external organisations where required
- Undertakes the *secondary school and college (key stage 4/16-18) performance tables September checking exercise*

## Certificates

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

### Issue of certificates procedure

- Certificates are presented in person to the candidate at an Awards Presentation Evening held at the centre approx. November time. Save the date reminders will be issued with results and official invites will be sent September time

## Candidates

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

### Retention of certificates policy

- Replacement certificates are only issued by direct application to the relevant board and if available, the candidate pays the costs incurred.
- **The centre will retain certificates for three years.**

### Review: roles and responsibilities

#### Exams Manager/administrator

- 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 EM/A to produce a plan to action any required improvements identified in the review

### Retention of records: roles and responsibilities Exams

#### Manager/administrator

- Keeps records as required by JCQ and awarding bodies for the required period
- Keeps records as required by the centre's records management policy
- ▶ Provides an exam archiving policy that identifies information held, retention period and method of disposal.