Exams policy

2021/22

This policy is reviewed annually to ensure compliance with current regulations

Approved/reviewed by	
P Wheatley	
Date of next review	September 2022

Key staff involved in the exams policy

Role	Name(s)
Head of centre	**Fraser Turnbull**
Exams officer line manager (Senior Leader)	**P Wheatley**
Exams officer	**C Crabtree**
SENCo	**A Purvis**
SLT member(s)	**P Wheatley, S Maher, S Tumelty, H Davison, D Crosland, L Wood**

Key staff involved in the exams policy

Contents

Purpose of the policy

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

This exam policy will ensure that:

- all aspects of the centre's exam process is documented, supporting the exams contingency plan, and other relevant exams-related policies, procedures and plans are signposted to
- the workforce is well informed and supported
- all centre staff involved in the exams process clearly understand their roles and responsibilities
- all exams and assessments are conducted according to JCQ and awarding body regulations, guidance and instructions, thus maintaining the integrity and security of the exam/assessment system at all times
- exam candidates understand the exams process and what is expected of them

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

This policy will be communicated to all relevant centre staff by email before the external exam entries are made.

Roles and responsibilities overview

> The head of centre is the individual who is accountable to the awarding bodies for ensuring that the centre is compliant with the published JCQ regulations and awarding body requirements in order to ensure the security and integrity of the examinations/assessment.
>
> The examinations officer is the person appointed by the head of centre to act on behalf of, and be the main point of contact for, the centre in matters relating to the general administration of awarding body examinations and assessments.
>
> The head of centre may not appoint themselves as the examinations officer. A head of centre and an examinations officer are two distinct and separate roles. [GR 2]

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 coursework)
    - A guide to the special consideration process (SC)
- Ensures the centre has appropriate accommodation to support the size of the cohorts being taught including appropriate accommodation for candidates requiring access arrangements for exams and assessments
- Takes responsibility for responding to the National Centre Number Register annual update (administered on behalf of the JCQ member awarding bodies by OCR ocr.org.uk/administration/stage-1-preparation/ncn-annual-update/) by the end of October each year confirming they are both aware of and adhering to the latest version of the JCQ regulations and signs and returns the head of centre's declaration which is then kept on file for inspection purposes

Head of centre declaration

- Enables the relevant senior leader(s), the examinations officer and the SENCo to receive appropriate training and support in order to facilitate the effective delivery of examinations and assessments within the centre, and ensure compliance with the published JCQ regulations
- Appoints a SENCo who will determine appropriate arrangements for candidates with learning difficulties and disabilities
- Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the EO
- Makes sure that a teacher who teaches the subject being examined, or a senior member of teaching staff who has had overall responsibility for the subject department and/or preparing the candidates for the examination, is not an invigilator during the timetabled written examination or on-screen test
- Ensures confidentiality and security within the examination process is compliant with and managed according to JCQ and awarding body regulations, guidance and instructions including
  - o the location of the centre's secure storage facility in a secure room solely assigned to examinations for the purpose of administering secure examination materials
  - o appropriate arrangements are in place to ensure that confidential materials are only delivered to authorised members of centre staff
  - o access to the secure room and secure storage facility is restricted to the authorised 2-4 keyholders
  - o the relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk
  - o that arrangements are in place to check that the correct question paper packets are opened by authorised members of centre staff
- Through taking an ethical approach and working proactively to avoid malpractice among students and staff takes all reasonable steps to prevent the occurrence of any malpractice/maladministration before, during the course of and after examinations have taken place
- Ensures irregularities are investigated and informs the awarding bodies of any cases of alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, are reported to the awarding body immediately
- Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place (that allow the senior leadership team to act immediately in the event of an emergency or staff absence)

Exam contingency plan

The exam contingency plan can be found on the school website in the policies area.

- Ensures required internal appeals procedures are in place and drawn to the attention of candidates and (where relevant) their parents/carers

Internal appeals procedures

The Internal appeals policy can be found on the school website in the Exam Information area.

- Ensures the centre's disability 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

Disability policy

> The disability policy can be found on the school website in the policies area.

- Ensures a complaints and appeals procedure covering general complaints regarding the centre's delivery or administration of a qualification is in place and drawn to the attention of candidates and their parents/carers

Complaints and appeals procedure

> The complaints and appeals procedure can be found on the school website in the policies area.

- Ensures the centre has a child protection/safeguarding policy in place, including Disclosure and Barring Service (DBS) clearance, which satisfies current legislative requirements

Safeguarding policy

> The safeguarding policy can be found on the school website in the policies area.

- Ensures the centre has a data protection policy in place that complies with General Data Protection Regulation and Data Protection Act 2018 regulations

Data protection policy

> The data protection policy can be found on the school website in the policies area.

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

Access arrangements policy

> The access arrangements policy can be found on the school website in the policies area.

- 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 has 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)

- o 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
- 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 and applications
- Ensures members of centre staff do **not** advise parents/candidates to contact awarding bodies/JCQ directly nor provide them with addresses/email addresses of awarding body examining/assessment or JCQ personnel

Exams officer

- Understands the contents of annually updated JCQ publications including:
  - o [General Regulations for Approved Centres](#)
  - o [Instructions for Conducting Examinations](#)
  - o [Suspected Malpractice in Examinations and Assessments](#)
  - o [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; as required and keeps a record of the content of training provided to invigilators for the required period
- Works with the SENCo to ensure invigilators supervising access arrangement candidates and those acting as a facilitator supporting access arrangement candidates fully understand the respective role and what is and what is not permissible in the exam room
- Supports the head of centre in ensuring that awarding bodies are informed of any Conflict of Interest declared by members of centre staff and in maintaining records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected before the published deadline for entries
- Briefs other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials on the requirements for maintaining the integrity and confidentiality of the exam materials

Senior leaders (SLT)

- Are familiar with the contents, refer to and direct relevant centre staff to annually updated JCQ publications including:
  - o [General Regulations for Approved Centres](#)
  - o [Instructions for Conducting Examinations](#)
  - o [Access Arrangements and Reasonable Adjustments](#)
  - o [Suspected Malpractice in Examinations and Assessments](#)
  - o [Instructions for conducting non-examination assessments](#) (and the instructions for conducting coursework)
  - o [A guide to the special consideration process](#)

Special educational needs co-ordinator (SENCo)

- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:
  - o [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 ensures the correct procedures are followed

- 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 subject and 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 subject and teacher-specific information to confirm effective delivery of qualifications
- Attend relevant awarding body training and update events

Invigilators
- Attend/undertake 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 the receipt and dispatch of confidential exam materials and follow the requirements for maintaining the integrity and confidentiality of the exam 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.

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, NEA (and the instructions for conducting coursework) and SC

Exams officer

- Signposts relevant centre staff to JCQ publications and awarding body documentation relating to the exams process that have 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 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 exams

Faculty Leader

- 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

Access arrangements

Head of centre

- Ensures there is appropriate accommodation for candidates requiring access arrangements in the centre for all examinations and assessments
- Ensures a written process is in place to not only check the qualification(s) of the appointed assessor(s) but that the correct procedures are followed as per Chapter 7 of the JCQ publication Access Arrangements and Reasonable Adjustments
- Ensures the SENCo is fully supported in effectively implementing access arrangements and reasonable adjustments once approved

SENCo

- Assesses candidates (or works with the appropriately qualified assessor as appointed by the head of centre) 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 **Personal data consent, Privacy Notice (AAO) and Data Protection confirmation** forms (candidate personal data consent form) from candidates where required
- Applies for **approval** through **Access arrangements online** (AAO) via the **Centre Admin Portal** (CAP), where required or through the awarding body where qualifications sit outside the scope of AAO

- Keeps a file for each candidate for JCQ inspection purposes containing all the required documentation (if any documentation is kept electronically, in the event of IT failure at the time of an inspection is able to access this documentation in an alternative format)
- 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 content of training provided to facilitators for the required period
- Works with the EO to ensure invigilators and those acting as a facilitator fully understand the respective role and what is and what is not permissible in the exam room
- Provides and annually reviews a centre policy on the **use of word processors** in exams and assessments

Word processor policy (exams)

> The word processor policy can be found on the school website in the examination policies area.

- 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

Separate invigilation within the centre policy

> Separate invigilation will follow the JCQ guidelines and will only be offered if the candidate has a specific need, identified by the SENCo, or is entitled to a scribe and/or reader and this is the candidate's normal way of working.

Senior Leaders, Head of department, Teaching staff

- Support the SENCo in determining and implementing appropriate access arrangements
- 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

- Provides fully qualified teachers to mark non-examination assessments
- Ensures an **internal appeals procedure** relating to internal assessment decisions is in place for a candidate to appeal against and request a review of the centre's marking (see Roles and responsibilities overview)
- Ensures a **non-examination assessment policy** is in place for 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

> The Non-examination policy can be found on the school website in the policies area.

- Ensures any irregularities relating to the production of work by candidates are investigated and dealt with internally if discovered prior to a candidate signing the authentication statement (where required) or reported to the awarding body if a candidate has signed the authentication statement

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

Faculty Leader

- Ensures teaching staff delivering any remaining legacy GCE unitised AS and A-level qualifications (which include elements of coursework), AQA Applied General qualifications, OCR Cambridge Nationals, Entry Level Certificate or Project qualifications follow JCQ Instructions for conducting coursework and the specification provided by the awarding body
- Ensures teaching staff delivering 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 (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

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, that such persons are competent and fully trained, understanding what is and what is not permissible (and not taking on its own an assurance from a recruitment agency, that this is the case)
- Determines if additional invigilators will be deployed in timed Art exams in addition to the subject teacher to ensure the supervision of candidates is maintained at all times

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 training for new invigilators on the instructions for conducting exams and an annual update for the existing invigilation team so that they are aware of any changes in a new academic year before they are allocated to invigilate an exam

- 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 briefed on the access arrangement candidates in their exam room (and that these candidates are identified on the seating plan) and confirms invigilators understand what is and what is not permissible
- Collects evaluation of training to inform future events

Entries: roles and responsibilities

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 collection and submission procedure

> Class numbers for subjects needing an estimated entry are drawn from SIMS and then the numbers are uploaded to the relevant section of the exam boards website.

- Makes candidates aware of the JCQ *Information for candidates – Privacy Notice* at the start of a vocational qualification or when entries are being processed for a general qualification

Faculty Leader

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

Final entries

Exams officer

- Requests final entry information from Faculty Leaders and Programme Leaders in a timely manner to ensure awarding body external deadlines for submission can be met
- Informs Faculty Leaders and Programme Leaders of subsequent deadlines for making changes to final entry information without charge
- Confirms with Faculty Leaders and Programme Leaders 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

> Candidate details and numbers are extracted from SIMS using marksheets which are then sent to Faculty Leaders for checking and approval. These are returned to the exams officer who will then make any amendments. The marksheets are passed to the deputy head in charge of entries for KS4 subjects and to the head of Sixth Form for KS5 subjects for final checking and approval. Once that is complete the exams officer submits the EDI file to the awarding body through secure data transfer A2C.

Faculty Leader

- 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

Entry fees

> Overtype here information on how the exam budget is managed and how entry fees are collected/recharged including late, amendment or re-sit fees where this may be applicable in the centre.

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

Faculty Leader

- 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

Re-sit entries

> Resit entries are made by extracting class information from SIMS in marksheet form. The marksheets are sent to faculties for checking, returned to the exams officer who then sends them to the Head of Sixth Form for final checking before entries are made to the exam boards through EDI files

Private candidates

> Private candidates are invoiced for the entry fee before entry is made. There may be additional costs, such as additional invigilation, which will be agreed by the SENCo and invoiced for at the point of entry. Once payment has been received the private candidate's entry is recorded in SIMS and then an entry EDI file is sent to the exam board.

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

Pre-exams: roles and responsibilities

Access arrangements

SENCo

- Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access to exams/assessments 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
- 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 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 local disruption to exams
- 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 timetable 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
- 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)

Access to scripts, reviews of results and appeals procedures

Candidates are informed through assemblies about the opportunity to discuss whether it is appropriate to apply for a review of marking or access their script following the receipt of their results on results day. A form to request a review of marking and access to script, which has details about fees, how to pay and deadlines, is included with the candidate's results. The candidate must complete the form, make payment for the service required and hand the form to the exams officer who will submit the request to the exam board. The exams officer will email the candidate to let them know that their request has been fulfilled as soon as they have heard from the exam board.

> If a candidate wishes to appeal against a decision not to support a request for a review of marking, then they should follow the appeals procedure by submitting a request in writing to the head of centre who will acknowledge the appeal within 7 days. The head of centre will liaise with the relevant bodies to ensure that a thorough investigation is carried out and will inform the candidate of their findings in writing.

Dispatch of exam scripts

Exams officer

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

Estimated grades

Faculty Leader

- 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

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

Faculty Leader

- 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

Invigilation

Exams officer

- Provides an annually reviewed/updated invigilator handbook to invigilators, trains new invigilators on appointment and updates experienced invigilators annually
- Deploys invigilators effectively to exam rooms throughout an exam series (including the provision of a roving invigilator where a candidate and invigilator [acting as a practical assistant, reader or scribe] are accommodated on a 1:1 basis to enter the room at regular intervals in order to observe the conducting of the exam, ensuring all relevant rules are being adhered to and supporting the practical assistant/reader and/or scribe in maintaining the integrity of the exam)
- Allocates invigilators to exam rooms (or where supervising candidates due to a timetable clash) 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

JCQ Centre Inspections

Exams officer or **Senior leader**

- Will accompany the Inspector throughout a visit

SENCo or relevant **Senior leader** (in the absence of the 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)

Seating and identifying candidates in exam rooms

Exams officer

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

  Verifying candidate identity procedure

  > Senior Leadership, with no teaching responsibility for the subject, will check the identity of internal candidates entering the exam hall and when seated.

> Private and transferred candidate's will be asked to bring photo proof of identity with them to the exam. This will be checked upon arrival at the school and before being escorted to the exam room.
>
> Where a candidate is unable to be identified because of religious clothing, they will be taken to a separate room with a member of senior leadership of the same sex and politely asked to remove the religious clothing in order that identification can take place. They will then be escorted back to the exam room to sit the exam.
>
> Where candidates are entitled to exam access arrangements the invigilators will be informed in advance of the exam and will have written confirmation attached to the exam register.

- Ensures invigilators are aware of the procedure
- Provides seating plans for exam rooms according to JCQ and awarding body requirements (and ensures candidates with access arrangements are identified on the seating plan)

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

Security of exam materials

Exams officer

- Confirms appropriate arrangements are in place to ensure that confidential materials are only delivered to those authorised by the head of centre.
- 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
- 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)

Reception staff

- Follow the process to log confidential materials delivered to/received by the centre to the point materials are issued to authorised staff for transferal to the secure storage facility

Teaching staff

- Adhere to the process to record the secure movement of confidential materials taken from or returned to secure storage throughout the time the material is confidential

Timetabling and rooming

Exams officer

- Produces a master centre exam timetable for each exam series

- Identifies and resolves candidate exam timetable clashes according to the regulations (only applying overnight supervision arrangements as a last resort, once all other options have been exhausted and according to the centre's policy)

Overnight supervision arrangements policy

> Overnight supervision arrangements will only be applied as a last resort when all other options have been explored. Where overnight supervision is applied the candidate will sit their examination the following morning (including Saturday if the clashes are on a Friday) as candidates cannot take exams on a day earlier than the scheduled examination. The candidate will not have access to anyone or anything that could give them an unfair advantage when taking the examination. The candidate will not have access to a phone (both mobile and landline), email, internet, social media, television, radio or any people who have knowledge of the examination. Parents or carers must sign a declaration stating that they will ensure that the candidate has no access to these forms of communication, will escort them from and to school so that there is no possible accidental contact with candidates who have seen the paper.

- Identifies exam rooms and specialist equipment requirements
- Allocates invigilators to exam rooms (or where supervising candidates due to an exam timetable clash) 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

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 to timescale by submitting a JCQ *Alternative Site arrangement* notification through CAP (or through the awarding body where a qualification may sit outside the scope of CAP) 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 officer

- Liaises with the host or entering centre, as required
- Processes requests for *Transferred Candidate arrangements* through CAP to the awarding body deadline (or through the awarding body where a qualification may sit outside the scope of CAP)
- Where relevant (for an internal candidate) informs the candidate of the arrangements that have been made for their transferred candidate arrangements

Internal exams

Exams officer

- 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
- Liaises with SENCo to make appropriate arrangements for access arrangement candidates

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 EO and SENCo in making appropriate arrangements for access arrangement candidates

Exam time: roles and responsibilities

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

Candidate absence

Candidate absence policy

> If a candidate is absent for an examination, the head of year will contact the student before 9:30 am to find out the reason for the absence. If the candidate is well enough to sit the examination in school they will be brought in to school by a family member who will ensure that they have no contact with anyone who may have had access to the paper, mobile or landline phone, internet or social media. In the event that the candidate has no-one to bring them in a member of school staff will collect them and transport them to the examination.
>
> If the candidate is too ill to sit the examination in school the candidate will supply medical evidence to the EO, within a week of the examination, stating that they were too ill to sit the examination and the reasons why. The EO will apply to the awarding body for special consideration or the absence provided that the criteria for special consideration are met and medical evidence has been supplied.

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 officer

- Ensures that candidates who arrive very late for an exam (10:00 am for morning examination and 2:30 pm for afternoon examinations) are reported to the awarding body by submitting a *report on candidate admitted very late to examination room* through CAP to timescale
- Warns candidates that their script 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

Candidate late arrival policy

> Candidates who arrive very late for an examination will be given the opportunity to sit the examination.
> The EO will be informed so that they can make a decision on where is best for the candidate to sit their exam so that there is as little disruption to other candidates.
> The candidate will be escorted by a member of staff to the exam room and will be informed before sitting the examination that the awarding body may not accept their script due to their lateness.
> The candidate will be given the full amount of time allowed for the examination.
> The EO will complete the report on candidate admitted very late to examination room through CAP.
> The script will be returned to the EO, packaged up and sent with the other examination scripts to the exam board.

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

Dispatch of exam scripts

Exams officer

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

Exam papers and materials

Exams officer

- Organises exam question papers and associated confidential resources in date order in the secure storage facility
- Attaches erratum notices received to relevant exam question paper packets
- Collates attendance registers and examiner details in date order
- Regularly checks mail or email inbox for updates from awarding bodies
- In order to avoid potential breaches of security, ensures prior to question paper packets being opened that another member of staff or an invigilator checks the day, date, time, subject, unit/component and tier of entry if appropriate, immediately before a question paper packet is opened
- Ensures this additional/second check (which takes place in the secure room if a question paper packet has to be split or in the designated exam room if not) is recorded
- Where allowed by the awarding body, only releases exam papers and materials to teaching departments for teaching and learning purposes after the last afternoon examination has been completed and scripts are securely packaged and ready for despatch.

Exam rooms

Head of centre

- Ensures that internal tests, mock exams, revision or coaching sessions are not conducted in a room 'designated' as an exam room at that time
- Ensures that when a room is 'designated' as an exam room it is not used for any purpose other than conducting external exams
- Ensures only authorised centre staff are present in exam rooms
- Ensures the centre's policy relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates
- Ensures the centre's policy on candidates leaving the exam room temporarily is clearly communicated to candidates

Food and drink in exam rooms policy

> Only water in a clear bottle with no writing on is allowed in the exam room.
>
> No food is allowed in exam rooms unless it is for medical reasons and has previously been agreed with the EO.

Policy on candidates leaving the exam room temporarily

> Any candidate who needs to leave the exam room must have the permission of the invigilator and a record of the candidate's name, exam number, seat and the reason for leaving the exam room must be recorded on the exam room 'Incident Log' by the invigilator. The candidate must be supervised by an invigilator from the time that they leave the exam room to when they return to the exam room.
> Candidates should ensure that they go to the toilet before and exam so that they won't need to go during the examination.
> If a candidate needs to go to the toilet during an examination they must ask an invigilator and are only allowed to leave the exam room if they have the permission of the invigilator.
> No additional time will be given to candidates who leave the exam room to go to the toilet except in exceptional circumstances.
> Where a candidate leaves the exam room for other reasons additional time to compensate for the time lost may be added at the discretion of the invigilator.

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 and access arrangement candidates)
- Ensures sole invigilators have an appropriate means of summoning assistance (if this is a mobile phone, instructs the invigilator that this must be on silent mode)
- Ensures invigilators understand they must be vigilant and remain aware of incidents or emerging situations, looking out for malpractice or candidates who may be in distress, recording any incidents or issues on the exam room incident log
- Ensures invigilators understand how to deal with candidates who may need to leave the exam room temporarily and how this should be recorded on the exam room incident log
- Provides authorised exam materials which candidates are not expected to provide themselves
- Ensures invigilators and candidates are aware of the emergency evacuation procedure
- Ensures invigilators are aware of arrangements in place for a candidate with a disability who may need assistance if an exam room is evacuated

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

> The Emergency Evacuation procedure can be found on the school website in the policies area.

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 according to JCQ *Instructions for conducting examinations* and/or awarding body requirements and as instructed by the centre in training/update and briefing sessions

Candidates

- Are required to follow the instructions given to them in exam rooms by authorised centre staff and invigilators
- Are required to remain in the exam room for the full duration of the exam

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 in exam rooms procedure

Where a candidate is being disruptive, the invigilator will warn the candidate that he/she may be removed from the examination room.

The candidate will also be warned that the awarding body will be informed and may decide to penalise them, which could include disqualification.

The invigilator will record what has happened including the candidates name, exam number, seat number and details of the disruption.

If the disruption continues the invigilator will inform the EO.

The head of centre has the authority to ask a senior member of staff to remove a candidate from the examination room, but will only do so if the candidate will disrupt others by remaining in the room

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

Malpractice

See *Irregularities* above.

Special consideration

Exams officer

- 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

Special consideration will only be applied for if there is evidence of a significant problem at the time of the exam.

Candidates must supply medical evidence to the EO if the problem is of a medical nature and must be aware that only a new condition or flare up of a long term condition will be eligible for special consideration.

Candidates

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

Unauthorised materials

Arrangements for unauthorised materials taken into the exam room

All unauthorised materials must be left in candidates bags stored away from the exams desks.

> Any unauthorised exam materials found on candidates during the examination will be retained by the invigilator who will inform the EO who in turn will inform the HOC.

Invigilators

- Are informed of the arrangements through training

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

Results and post-results: roles and responsibilities

Internal assessment

Faculty Leader

- 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 any requests for post-results services, 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

Results day programme

> Results are issued as per the dates set by JCQ for the issue of A Level and GCSE results.
>
> Candidates are invited to collect their results from school from 9:00 am and are informed that if they are unable to collect their results in person they must make alternative arrangements with the EO.
>
> If candidates send someone else in to collect their results that person must bring a note signed by the candidate naming them as the person they give permission to collect their results. They must also bring ID with them so that staff can be sure the results are being issued to the correct person.

Site staff

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

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

Exams officer

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

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 re-check, a review of marking, a review of moderation or an appeal
- Understands that if the centre has concerns about one of its component/subject cohorts, then requests for reviews of marking should be submitted for all candidates believed to be affected (candidate consent is required as marks and subject grades may be lowered, confirmed or raised)

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, 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 to collect candidate informed consent (**after** the publication of results) and fees where relevant
- Submits requests to awarding bodies to meet the external deadline for the particular service
- Tracks requests to conclusion and informs candidates and relevant centre staff of outcomes
- Updates centre results information, where applicable

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

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 *June and September checking exercise*

Certificates

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

Issue of certificates procedure

The exams officer notifies candidates of when the certificates will be available for collection via the exam results pack provided on results day. The exams officer will ensure that on collection of the certificates the identity of the candidate is confirmed, by checking their ID, and that the candidate signs for the certificates before the certificates are issued. The record of certificates issued is kept for a minimum of 5 years.

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

Unclaimed certificates will be retained by Whickham school for a period of 5 years after which they will be confidentially destroyed.

Exams review: roles and responsibilities

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 an exams review

Senior leaders

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

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
- Provides an exams archiving policy that identifies information held, retention period and method of disposal

Exams archiving policy

The exams archiving policy can be found in the examination policies section of the school website.

Appendix 1

JCQ
CIC

AQA   CCEA   OCR   Pearson   WJEC

National Centre Number Head of Centre Declaration 2020/21

Failure to complete this declaration will result in your centre status being suspended, preventing the submission of entries, and could lead to awarding bodies withdrawing their approval of your centre, as outlined in section 1 of the JCQ General Regulations.

As Head of Centre, I confirm:

1. I understand I am accountable to the awarding bodies for ensuring that the centre is compliant with the published JCQ regulations and awarding body requirements in order to ensure the security and integrity of the examinations/assessments at all times. **(JCQ General Regulations 2.3)**

2. I am fully compliant with **5.1** to **5.3** of the JCQ General Regulations, which outline key requirements relevant to my role.

3. I understand the approval of my centre by an awarding body signals the start of a contractual relationship, which is governed by the contract between the awarding body and the centre, these regulations and any other documents published by the JCQ, the awarding bodies or the regulators. **(JCQ General Regulations 3.1)**

4. I am aware of the Terms of Business of the awarding bodies with which my centre is approved and my staff and I are continuing to meet our obligations as defined in their approval process.

5. My staff and I are conducting examinations and assessments in accordance with the latest version of the JCQ General Regulations and, where relevant, the following JCQ publications when conducting examinations and assessments:
   - Access Arrangements and Reasonable Adjustments
   - Instructions for conducting coursework
   - Instructions for conducting examinations **(ICE)**
   - Instructions for conducting non-examination assessments
   - Suspected Malpractice in Examinations and Assessments – Policies and Procedures

   (JCQ General Regulations 1.4)

6. For the subjects being delivered by my centre, my staff and I are meeting our obligations as laid down by the specifications and associated instructions and guidelines issued by the awarding bodies.

7. If responsibility for the line management of the examinations officer and/or the SENCo in my centre has been delegated to a Deputy Head or other member of my senior leadership team, I have provided their details in the online Head of Centre declaration.

1

8. I will notify the National Centre Number Team (ncn@ocr.org.uk) if there is a change in Exams Officer in my centre during the coming academic year. **(General Regulations 2.4, 5.3 R)**

9. I will ensure that the relevant senior leader(s), the exams officer and the SENCo receive appropriate training and support to fulfil their role so that the integrity of examinations and assessments is maintained **(General Regulations 5.3c and Conditions of Recognition C2.3(g))**

These regulations and guidelines have been established to ensure the integrity and security of the examination/assessment system is maintained at all times and is not brought into disrepute. Therefore the JCQ reserves the right to inspect the application of the arrangements covered by this declaration **(General Regulations 5.3W)**

Name of Head of Centre (please print in block capitals)	Signature F Turnbull	Date 30/09/2020
Name of senior leadership team member with delegated responsibility for running of exams (please print in block capitals)	Signature P Wheatley	Date 30/09/2020