



Ravens Wood School
(Part of the Impact Multi Academy Trust)

Policy Document

Policy Name	Examinations Policy
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SLT Responsible:	Deputy Headteacher - Mr M Snell
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Examinations Policy

1. Purpose of the policy

The centre is committed to ensuring that the exams/assessments 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
- ✓ 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. This policy will be published on the school website to be accessible to all relevant centre staff, candidates and their parents/carers.

2. Roles and responsibilities overview

The head of centre is the individual who is accountable to the awarding bodies for ensuring that the centre is always compliant with both the published JCQ regulations and awarding body requirements to ensure the security and integrity of the examinations/assessments. Where an allegation of malpractice is made against a head of centre, the responsibilities set out in this document as applying to the head of centre shall be read as applying to such other person nominated to gather information by the relevant awarding body, such as the Chair of Governors <http://www.jcq.org.uk/exams-office/malpractice>

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 must not normally appoint themselves as the examinations officer. A head of centre and an examinations officer are two distinct and separate roles."

The head of centre and/or examinations officer may operate across more than one centre. In such cases the head of centre must ensure there is suitable support in place, so they can meet their obligations across all centres for which they are responsible. The head of centre must ensure that these arrangements are covered by their examination contingency plan. (GR, section 2)

Head of centre responsibilities

(GR 1)

Heads of centre must ensure that senior leadership teams and exam office personnel familiarise themselves with the entire contents of the current [General Regulations for Approved Centres](#) (GR) booklet. In particular, heads of centre must familiarise themselves with paragraphs 5.1, 5.3 and 5.4.

Heads of centre must ensure that relevant members of staff respond promptly to actions raised by the JCQ Centre Inspection Service. Failure to do so could result in the centre not receiving or being able to access question papers and other confidential assessment materials. Ultimately, awarding bodies could withdraw approval of the centre.

Heads of centre must ensure that relevant members of staff respond promptly to requests for information from awarding bodies relating to the administration and conducting of examinations/assessments.

(ICE Introduction) **It is the responsibility of the head of centre to ensure that all staff comply with the instructions in the [Instructions for conducting examinations](#) document.** Failure to do so may constitute malpractice as defined in the JCQ document [Suspected Malpractice: Policies and Procedures, 1 September 2024 to 31 August 2025](#).

(GR 5.1)

The head of centre must ensure:

- compliance with the published JCQ regulations and awarding body requirements to deliver the qualification(s)
- appropriate controls are in place which ensure accurate data is submitted to the awarding bodies by the required deadlines, e.g. entries, internally assessed marks
- all reasonable steps are taken to respond promptly to requests for information or documentation made by an awarding body or regulatory authority

Head of Centre

- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ documents including:

[General regulations for approved centres](#)

(GR)

[Instructions for conducting examinations](#)

(ICE)

[Access Arrangements and Reasonable Adjustments](#) (AARA)

[Suspected Malpractice – Policies and Procedures](#) (SMPP)

[Instructions for conducting coursework](#) (ICC)

[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.

Ensures that relevant members of staff respond promptly to actions raised by the JCQ Centre Inspection Service, understanding that failure to do so could result in the same penalties as listed in the previous bullet point
Ensures that the centre promptly reports any incidents to the relevant awarding body/bodies which might compromise any aspect of assessment delivery such as a cyber-attack

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 emails and letters from awarding body or JCQ personnel without prior consent to third parties or upload such correspondence onto social media sites and applications (including third party applications)

Ensures members of centre staff do not advise parents/candidates to contact awarding bodies/JCQ directly nor provide them with the names, addresses/email addresses of awarding body examining/assessment personnel or JCQ personnel

Resilience and contingency arrangements

([GR 3.16-19](#))

The centre must ensure they are familiar with the regulators' guidance on ensuring resilience in the qualifications system. Centres should consider putting in place a process for gathering evidence of candidate performance in line with the published guidance.

The centre must have an up to date written contingency plan.

The contingency plan must cover all aspects of examination/assessment administration and delivery. Senior leaders must have robust contingency arrangements in place that will minimise the risk to examination/assessment administration and delivery and any adverse impact on candidates.

The plan must cover the following scenarios:

- the head of centre, relevant senior leader(s) with oversight of examination and assessment administration, SENCo/ALNCo, examinations officer or any other key staff essential to the examination process being absent at a critical stage of the examination cycle
- the potential impact of other events such as flooding which could lead to all or parts of the centre becoming unavailable
- potential issues with the centre's IT systems.

As part of their contingency plan centres must identify an alternative site if examinations cannot be conducted at the registered address. Larger centres may require more than one potential alternative site or different sites for different Year Groups.

The centre must have at least one senior member of staff (senior designated contact) who is available to manage emergency requests from awarding bodies that are results related during the summer holidays. However, a number of contacts can be provided to reduce the risk of this falling on one individual throughout the summer holidays.

The centre must ensure that candidates' work is backed-up and should consider the contingency of candidates' work being backed-up on two separate devices, including one off-site back-up. Centres must implement appropriate security arrangements which protect candidates' work in the event of IT system corruption and cyber-attacks.

Cyber security

([GR 3.20-21](#))

The head of centre must ensure there are procedures in place to maintain the security of user accounts by:

- providing training for authorised staff on the importance of creating strong unique passwords and keeping all account details secret
 - providing training for staff on awareness of all types of social engineering/ phishing attempts
 - enabling additional security settings wherever possible
 - updating any passwords that may have been exposed
 - setting up secure account recovery options
 - reviewing and managing connected applications
 - monitoring accounts and regularly reviewing account access, including removing access when no longer required
 - ensuring authorised members of staff securely access awarding bodies' online systems in line with awarding body regulations regarding cyber security and the JCQ document *Guidance for centres on cyber security*
- Authorised staff will have access, where necessary, to a device which complies with awarding bodies' multi-

factor authentication (MFA) requirements.

- reporting any actual or suspected compromise of an awarding body's online systems immediately to the relevant awarding body

3. Recruitment, selection and training of staff

It is the responsibility of the **head of centre** to ensure that the centre:

Recruitment, selection, training and support

(GR 5.3)

- Retains a workforce of an appropriate size and competence, including sufficient managerial and other resource, to undertake the delivery of the qualification as required by an awarding body. This includes taking reasonable steps to ensure occupational competence where this is required for the assessment of specific qualifications
- Provides fully qualified teachers to mark non-examination assessments, and/or fully qualified assessors for the verification of centre-assessed components

Ensures that teaching staff do not use artificial intelligence (AI) as the sole means of marking candidates' work

Ensures that the examinations officer understands relevant awarding body and JCQ documentation and has sufficient time to perform their role

Ensures that any member(s) of the senior leadership team who are responsible for examination administration familiarise themselves with relevant awarding body and JCQ documentation (This will ensure the examinations officer and the SENCo are supported as well as ensuring effective centre decision making in line with the published regulations)

Ensures that teachers understand the relevant awarding body and JCQ documentation for the qualifications they are delivering to ensure they are delivered in line with the relevant regulations

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/or disabilities.

Ensures that the SENCo has sufficient time to both manage the access arrangements process within the centre and familiarise him/herself with the JCQ publication *Access Arrangements and Reasonable Adjustments*

Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the EO

Ensures *"that a teacher who teaches the subject being examined, or a senior member of teaching staff who has had overall responsibility for the subject department and candidates preparation 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

- 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
- appropriate arrangements are in place to ensure that confidential materials are only delivered to authorised members of centre staff
- access to the secure room and secure storage facility is restricted to the authorised two to six keyholders

- 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 the centre has documented processes in place relating to access arrangements and reasonable adjustments
 - 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 (which includes 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)

External and internal governance arrangements

(GR 5.3)

- Has in place a written escalation process should the head of centre, or a member of the senior leadership team with oversight of examination and assessment administration, be absent

Escalation Process

- Has in place a member of the senior leadership team who has a good working knowledge of the examination system, will provide effective line management support and supervision of the examinations officer to ensure that the integrity and security of examinations and assessments is maintained throughout an examination series
- Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the EO
- Can confirm to an awarding body the external governance arrangements so that the awarding body has confidence in the integrity of centre activities such as the delivery of qualifications and the conducting of examinations and assessments

Delivery of qualifications

(GR 5.3)

- Delivers qualifications, as required by the awarding body and in accordance with relevant equality legislation. This includes but is not limited to ensuring that qualifications are made available to all candidates capable of undertaking them and seeking and implementing reasonable adjustments for disabled candidates
- Enables candidates to receive sufficient and up to date practical experience, or relevant training where required by the subject concerned

Public liability

(GR 5.3)

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

Security of assessment materials

(GR 5.3)

- Takes all reasonable steps to maintain the integrity of the examinations/assessments, including the security of all assessment materials, by ensuring:
 - the security of all assessment materials
 - that assessment materials supplied to the centre by the awarding body, including pre-release materials and set assignments, and information about their contents are only shared with appropriate centre staff and candidates and are not shared outside the centre

- reporting immediately to the awarding body/bodies any potential or actual breach of examination or assessment materials
- Makes arrangements to:
 - receive, check and store question papers and examination material safely and securely at all times and for as long as required in accordance with the current JCQ document *Instructions for conducting examinations*
 - access, download, print (where appropriate) and store electronic assessment materials safely and securely at all times in accordance with section 4 of the current JCQ document *Instructions for conducting examinations*
 - receive and issue material received from the awarding bodies to staff and candidates, and notify them of any advice and instructions relevant to the examinations and assessments
- Provides candidates access to relevant pre-release materials on, or as soon as possible after, the date specified by the awarding bodies

Exam contingency plan

The Exam Contingency Plan is available to view on the staff drive and in the Policy Folder held in the Exams Office.

a written internal appeals procedure which must cover at least appeals regarding internal assessment decisions, access to post-result services and appeals, and centre decisions relating to access arrangements and special consideration. This is drawn to the attention of candidates and (where relevant) their parents/carers

Whistleblowing Policy (Exams)

The Whistleblowing Policy for Exams is available on the School website, the staff drive and in the Policy Folder held in the Exams Office.

Internal appeals procedures

The Centre Internal Appeals Procedure is available on the School website, the staff drive and in the Policy Folder held in the Exams Office.

✓ 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

Equalities policy

The Equalities Policy is available on the School website, the staff drive and in the Policy Folder held in the Exams Office.

Complaints and appeals procedure

The Complaints and Appeals procedure is available on the School website, the staff drive and in the Policy Folder held in the Exams Office.

- ✓ 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

Child protection/safeguarding policy

The Child protection/safe guarding policy is available on the School website and on the staff drive.

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

Data protection policy

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

The Data Protection policy is available on the School website and on the staff drive

“The General Regulations cover...obligations arising from current data protection, equality and freedom of information legislation. However, the general regulations are not intended to be relied upon to ensure compliance with the legislation (Section 6).

A centre will have confirmed its readiness to adhere to these regulations when first approved as a centre (see Section 3, page 4).”

[GR 1.2]

“The centre will...ensure that all candidate data where required by the awarding body has been supplied to the awarding bodies within the terms of the General Data Protection Regulation, the Data Protection Act 2018 and the Freedom of Information Act 2000, and that candidates have been properly informed that this data has been transferred to the awarding bodies (see section 6, page 23, for more information)...” [GR 5.8]

Legislation on sharing information

Under the principles of the General Data Protection Regulations 2018 and the Data Protection Act 2018, children and young adults can assume control over their personal information and restrict access to it from the age of 13.

This suggests that candidate consent should be sought to share results or other exams-related information with a third party.

However other legislation and guidance may need to be taken into account regarding sharing information with parents, as example information from the DfE for schools regarding parental responsibility and school reports on pupil performance:

- ▶ Understanding and dealing with issues relating to parental responsibility www.gov.uk/government/publications/dealing-with-issues-relating-to-parental-responsibility/understanding-and-dealing-with-issues-relating-to-parental-responsibility
- ▶ School reports on pupil performance www.gov.uk/guidance/school-reports-on-pupil-performance-guide-for-headteachers

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

4. Publication of exam results

Refer to ICO (Information Commissioner's Office) Education and Families information and the document Publishing exam results.

Conflict of Interest

- Ensures the relevant awarding bodies are informed of any **Conflict of Interest** where
 - a member of centre staff is taking a qualification at the centre which includes internally assessed components/units (taking at the centre as a last resort where unable to find an alternative centre)
 - a candidate is being taught and prepared for a qualification which includes internally assessed components/units by a member of centre staff with a personal connection to the candidate
- Maintains records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected by the above, and where
 - a member of exams office staff have a personal connection to a candidate being entered for exams and assessments at the centre or at another centre
 - a member of centre staff is taking a qualification at the centre which does not include internally assessed components/units (taking at the centre as a last resort where unable to find an alternative centre)
 - a member of centre staff is taking a qualification at another centreRecords will include details of the measures taken to mitigate any potential risk to the integrity of the qualifications affected.

National Centre Number Register

- Provides contact details and an address to which all correspondence in connection with the administration of examinations and assessments can be directed which must be the registered address of the centre
([GR 5.3](#))
- Provides contact details as follows:
 - a physical address to which all examination and assessment materials will be despatched – this must be the registered address of the centre
 - a landline telephone number – this must be the number of the main office/ switchboard of the centre
 - a contact email address for communications – this must be the email address of the person or team responsible for the administration of examinations (Personal email addresses such as 'Yahoo', 'Hotmail' and 'Gmail' are not acceptable)
Note: Except for WJEC, if this is a shared email account it must not be used to access awarding body secure websites
 - the name of the head of centre and their email address
 - senior designated contact details (this might include a personal mobile number and/or email address) (These must be the contact details of someone who can be reached in an emergency if the centre is closed over the summer and who can mobilise resources to respond to the issue)
- Responds to the National Centre Number Register annual update by the end of October every year
 - informs the National Centre Number Register Team immediately (email address – ncn@ocr.org.uk) if any changes occur after the National Centre Number Register annual update has taken place (This must be on centre headed stationery which can be sent as an email attachment including the signature of the head of centre)
 - informs the National Centre Number Register Team (email address – ncn@ocr.org.uk) of any changes to relevant contact details no later than 6 weeks prior to moving to a new address or re-locating of the secure storage facility (This must be on centre headed stationery which can be sent as an email attachment)
 - informs the National Centre Number Register Team immediately of any other changes in circumstances that could affect the centre's status
 - responds, by completing the Head of Centre Declaration, to the National Centre Number Register request for confirmation that they are aware of and adhering to the latest versions of the JCQ regulations, and does so no later than the end of October every year
 - responds to any other reasonable requests made by the National Centre Number Register Team
- Ensures the National Centre Number Register annual update is responded to by the end of October

- Takes responsibility for confirming, on an annual basis, that they are both aware of and adhering to the latest version of the JCQ's regulations. This confirmation is managed as part of the National Centre Number Register (NCNR) annual update
- Understands that this responsibility cannot be delegated to a member of the senior leadership team or the examinations officer, and acknowledges that failure to respond to the NCNR annual update, and/or the head of centre's declaration, will result in:
 - the centre status being suspended
 - the centre not being able to submit examination entries
 - the centre not receiving or being able to access question papers and ultimately, awarding bodies could withdraw their approval of the centre

Exams officer

- Understands the contents of annually updated JCQ publications including: General regulations for approved centres
Instructions for conducting examinations
Suspected Malpractice in Examinations and Assessments
Post-results services (PRS)
- 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 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
 - Confirms the details or informs the awarding bodies of any changes to the centre's contact details through the National Centre Number Register
 - Informs the National Centre Number Register Team **immediately** (e-mail address – **ncn@ocr.org.uk** if any changes occur after the National Centre Number Register annual update has taken place
 - (Where it may be applicable) Informs the National Centre Number Register Team no later than 6 weeks prior to moving to a new address or a re-location of the secure storage facility
 - Informs the National Centre Number Register Team immediately of any other changes in circumstances that could affect the centre's status

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 coursework)
 - A guide to the special consideration process

Ensure teaching staff undertake key tasks, as detailed in this policy, within the exams process (exam cycle) and meet internal deadlines set by the EO and ALS lead/SENCo

Ensure teaching staff keep themselves updated with awarding body subject and teacher-specific information to confirm effective delivery of qualifications

Ensure teaching staff attend relevant awarding body training and update events

Special educational needs co-ordinator (SENCo)

- Understands 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 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 (on the current regulations), annual 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.

5. 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.

6. 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 coursework)

Exams officer

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

7. 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 PPEs

Head of department

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

8. Access arrangements

Head of centre

The head of centre/senior leadership team will:

- appoint a SENCo, or an equivalent member of staff, who will coordinate the access arrangements process within the centre and determine appropriate arrangements for candidates with learning difficulties and disabilities, candidates for whom English is an additional language, as well as those with a temporary illness or temporary injury
- ensure that learners have the correct information and advice on their selected qualification(s) in an accessible format and that the qualification(s) meet their needs (The recruitment process must include the centre assessing

each potential learner and making justifiable and professional judgements about the learner's potential to complete the examinations/assessments successfully and achieve the qualification(s). The centre's assessment must identify, where appropriate, the support that will be made available to the learner to facilitate access to examinations/assessments)

- recognise its duties towards disabled candidates, including private candidates, ensuring compliance with all aspects of the Equality Act 2010[†], particularly Section 20 (7) (This must include a duty to explore and provide access to suitable courses, through the access arrangements process submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates. Where the centre is under a duty to make a reasonable adjustment, the centre must not charge a disabled candidate any additional fee in relation to the adjustment or aid)
†for any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect
 - ensure that the SENCo undertakes the necessary and appropriate steps to gather a picture of need and demonstrate normal way of working for a private candidate such as a distance learner or a home educated student (The centre, where required, must lead on the assessment process. The candidate must be assessed by the centre's appointed assessor. In some instances, depending on their needs, the candidate may have to be assessed away from the centre, for example at home. The centre must comply with the obligation to identify the need for, request and implement access arrangements)
 - ensure that where a candidate with a learning difficulty requires an assessment of their needs, they are assessed by an appropriately qualified assessor as appointed by the head of centre (Evidence of the assessor's qualification(s) must be obtained before they assess candidates and held on file for inspection)
- Ensures there is appropriate accommodation for candidates requiring access arrangements in the centre for all examinations and assessments
 - Ensures the SENCo is fully supported in effectively implementing access arrangements and reasonable adjustments once approved
 - 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
 - Assessments are carried out by an assessor(s) appointed by the Head of Centre. The assessor(s) is (are) appropriately qualified as required by JCQ regulations in **AA, section 7.3**.

The qualification(s) of the current assessor(s)

The current assessor holds the OCR Level 7 Diploma in Assessing and Teaching Learners with Specific Learning Difficulties (Dyslexia)

Appointment of assessors of candidates with learning difficulties

At the point an assessor is engaged/employed in the centre, evidence of the assessor's qualification is obtained and checked against the current requirements in **AA**. This process is carried out prior to the assessor undertaking any assessment of a candidate.

Checking the qualification(s) of the assessor(s)

Evidence of the assessor's qualification(s) is obtained at the point of engagement/employment and prior to the assessor undertaking any assessment of a candidate.

Evidence of the assessor's qualification(s) is held on file for inspection purposes

Reporting the appointment of the assessor(s)

Evidence of the assessor(s) qualifications is copied and kept in the access arrangements file in the SENCo office and the Exams Office.

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 and the statement which details the criteria the centre uses to award and allocate word processors for exams is available on the staff drive and the Policy Folder held in the Exams Office

- 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

The centre's criteria on separate invigilation within the centre is available from SENCo or SEN department.

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

Personal data

(GR 6.6, 6.8)

It is the responsibility of centres to inform candidates of the processing that the centre undertakes. For example, that the centre will provide relevant personal data including name, date of birth, gender to the awarding bodies for the purpose of examining and awarding qualifications.

Materials which are submitted by candidates for assessment may include any form of written work, audio and visual

materials, computer programmes and data (“Student Materials”). Awarding bodies may use the Student Materials to evaluate candidates’ performance in the relevant assessment. They may also use the Student Materials for other purposes as outlined in their privacy policies and in accordance with their terms. Candidates should be directed to the relevant awarding body’s privacy notice if they require further information about how their Student Materials may be used by the awarding body.

Where a centre or third party is in possession of any Student Materials for the purposes of candidate assessment, the Student Materials will be held on behalf of the awarding body.

9. Internal assessment and endorsements

Head of centre

- Provides 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
- Ensures a **non-examination assessment policy** is in place for GCE and GCSE qualifications which include components of non-examination assessment

Controlled assessments, coursework and non-examination assessments

([GR 5.7](#))

- Ensures that where candidates are taking non-examination assessments, teaching staff check that the tasks and approach being taken are appropriate and in line with ethical standards and the centre’s safeguarding responsibilities
- Ensures awarding bodies are notified of a consortium of centres with joint teaching arrangements for qualifications (This will allow the candidates for each specification to be treated as a single group for the moderation of centre- assessed work. This is only required if two or more member centres will be entering candidates for work that is centre-assessed)
- Ensures only current assessment materials/tasks are used to assess candidates’ knowledge and skills (in cases where the awarding body provides such material)
- Before submitting marks to the awarding body ensures candidates are informed of their centre assessed marks and allows a candidate to request a review of the centre’s marking
- Ensures that all associated administrative tasks are completed in an accurate and timely manner, e.g. marks are correctly calculated, recorded and submitted by the published date (It is the responsibility of the centre to carefully check the marks it is submitting to an awarding body)
- Ensures submission of centre-assessed marks and moderation samples, if required by the awarding body, by the published date (It is the responsibility of the centre to ensure that moderators receive the correct samples of work to review)
- Ensures a written internal appeals procedure relating to internal assessment decisions is in place and ensures that details of this procedure are communicated, made widely available and accessible to all candidates
- Ensures a written policy regarding the management of non-examination assessments, including controlled assessments and coursework is in place
- Ensures that candidates’ work is backed-up and considers the contingency of candidates’ work being backed-up on two separate devices, including one off-site back-up (Implementing appropriate security arrangements which protect candidates’ work in the event of IT system corruption and cyber-attacks)

Non-examination assessment policy

The Non-examination assessment policy is available on the staff drive and the Policy Folder held in the Exams Office

- 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

Head of Department

- Ensures teaching staff delivering any remaining legacy GCE unitised AS and A-level qualifications (which include elements of coursework) a 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
- Ensure teaching staff delivering qualifications which include (wholly or in part) units of coursework follow JCQ [Instructions for conducting coursework](#) 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

10. 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
 - 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
- Ensures that, wherever possible a teacher, a teaching assistant, a tutor or a senior member of centre staff who teaches the subject being examined or a Learning Support Assistant who has supported one or more candidates is not an invigilator during the examination

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

11. Entries: roles and responsibilities

Entries: roles and responsibilities

Head of centre

- Ensures the centre's obligations as detailed in the regulations are met. (With reference to [GR 5.4 Entries](#))

Estimated entries

Exams officer

- Requests estimated or early entry information, where this may be required by awarding bodies, from senior leaders (or relevant roles) in a timely manner to ensure awarding body external deadlines for submission can be met

Estimated entries collection and submission procedure

Estimated entries are collected from HoDs at the start of the academic year using an 'Estimated Entry Form' and submitted to the awarding bodies via their secure sites.

Head of department

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

12. Final entries

Exams officer

- Requests final entry information from HoDs in a timely manner to ensure awarding body external deadlines for submission can be met
- 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
Submits registrations, examination entries and certification claims by the deadline(s) and complies with the requirements of the specification including any terminal rules which need to be met at the point of certification
- 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
Observes each awarding body's terms and conditions for the entry and withdrawal of candidates for their examinations and assessments, and observes any regulatory requirements for the qualification

13. Final entries collection and submission procedure

Final Entries are collected from HoDs on mark sheets. The entries are submitted to the awarding bodies via the Bromcom submission process.

Head of department

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

14. Entry fees

All initial registration and entry examination fees are paid by the examinations department

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

Reimbursement will be sought from candidates who fail to sit an examination or meet the necessary non-examination assessment requirements without a valid reason

15. Late entries

Exams officer

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

Head of department

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

16. Transfer of GCE AS credit

Exams officer

- ✓ Provides information to relevant centre staff/candidates on transferring credit for a GCE AS award between specifications and/or awarding bodies
- ✓ Meets the awarding body deadline for requesting transfer of credit

Teaching staff

- ✓ Identify any affected candidates to the EO prior to the internal deadline set by the EO

17. 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

18. Pre-exams: roles and responsibilities

Head of centre

Ensures the centre's obligations as detailed in the regulations are met. (With reference to [GR 5.8 Candidate information](#))

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 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

19. 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 documents (coursework, non-examination assessments, on-screen tests, social media and written examinations) and awarding body privacy notices
- 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
 - 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, reviews of results and appeals procedures

Prior to the start of their exams, candidates will be issued with an Examination Guidance Booklet which notifies them of the Post Result Services that are available.

On Results Day, the candidates will receive Post Result Enquiry forms detailing fees and deadlines for PRS. Teaching staff will be on hand to advise on results and reviews of results.

20. 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

21. Estimated grades

Head of department

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

Exams officer

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

22. Internal assessment and endorsements

Head of centre

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

SENCo

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

Teaching staff

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

Head of department

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

Exams officer

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

Candidates

- Authenticate their work as required by the awarding body

23. BTEC: Recognition of prior learning and process

LIVs can apply learners for Recognition of Prior Learning (RPL) to internally assessed parts of the BTEC qualifications. The use of recognition to prior learning is optional. Learners cannot apply for RPL for external assessments, set exams or set assignments

Definition

Recognition of prior learning: using a learner's evidence of earlier learning and achievement towards part of a qualification. An assessor reviews whether the evidence is enough to show that a learner has met the assessment requirements for their current qualification. Learners must show their thorough knowledge, understanding or skills they already have, they do not need to repeat the course or complete extra assessment activity.

If there is evidence of their prior learning required by a qualification, the evidence must be valid, current, reliable, authentic and sufficient.

Applications for RPL must be carried out by the EO, LIV and QN to consider making the decisions about RPL.

Our Centre will may and check that the learner's previous certificated achievement meets the current qualifications assessment criteria. We will keep a record of the mapping to confirm with Pearson that it is valid. No extra assessment will be needed if a learner's previously achieved certificate or qualification meets the requirements of a whole unit (including units with TAGS and QTAGS).

LIVs are to safely store clearly documented processes for RPL and to share this with the EO. All RPL documentations will record clearly where learner outcomes have been met.

Processes

Before enrolling the learner, sixth form team are to liaise with QN. QN are to discuss with learners the option of using RPL to claim units for some of their past learning or experience.

Once learner officially starts to gather their evidence, then Centre will register learner.

Before monitoring activity begins, LIVs are to share with SVs/External Examiners if LIVs have applied RPL

LIVs are to provide feedback to learner's post assessment and claim certificates once the quality assurance processes have been successfully completed.

If a learner wants to appeal then they need to follow our appeal policy.

Helpful links:

btec-policies-and-procedures.pdf (pearson.com)

24. Invigilation

Exams officer

- Provides an annually reviewed/updated invigilator handbook to existing invigilators, trains new invigilators on appointment and current regulation updates for 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

25. JCQ inspection visit

Exams officer or **Senior leader** will accompany the Inspector throughout a visit

“The JCQ Centre Inspection Service will visit centres throughout the year to check on compliance. Centres must be permanently staffed between 8.30am and 3.30pm during term time. A senior member of staff, or a member of the exams office, must be available until such time that all afternoon examinations have been completed and examination scripts have been despatched or placed in the centre’s secure storage facility for despatch the next working day. Centres must co-operate with any visit from an Inspector. 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. Authorised Inspectors will present and identify themselves to the centre by means of an identity card.”

[ICE Introduction]

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)

26. 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 leaders will establish the identity of all candidates sitting examinations as they enter the exam room. A transferred candidate who is not known to the school must show photographic documentary evidence to prove that he/she is the same person who is 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 will be approached by a member of staff of the same gender and taken to a private room where they will be politely asked to remove the religious clothing for identification purposes. Once identification has been established, the candidate will replace, for example, their veil and proceed as normal to sit the examination.

- 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

27. 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 in accordance with the current JCQ publication *Instructions for conducting examinations*

- ✓ 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.
- ✓ There are between two and six keyholders only, each of whom must fully understand their responsibilities as a key holder to the secure storage facility
 - ✓ Access to the secure room **must** be restricted to two to six key holders, one of whom **must** be the exams officer. The two to six key holders **must** be permanent members of staff or members of staff who have a formal contract of employment and are subject to standard HR policies and procedures...
- ✓
- ✓ Appropriate arrangements are in place to ensure that confidential materials are only handed over to authorised members of centre staff
- ✓ 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)
- ✓ 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 any person involved in administering, teaching or completing examinations/assessments is advised that where malpractice is suspected, or alleged, personal data about them will be provided to the awarding body (or bodies) whose examinations/assessments are involved. Personal data about them may also be shared with other awarding bodies, the qualifications regulator or professional bodies in accordance with the JCQ publication Suspected malpractice – Policies and procedures
- ✓ 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 the secure storage facility contains only current and live confidential material placed in the secure storage facility
- ✓ Ensures that examination stationery, e.g. answer booklets and formula booklets are stored in the secure room (attempting to store this material in the secure storage facility, when sufficient space allows)
 - appropriate arrangements are in place for handling secure electronic materials
 - that when it is permitted to remove question paper packets from secure storage, and to avoid potential breaches of security, arrangements are in place to carefully check and record that the correct question paper packets are opened(If it is ever subsequently identified following this check that the wrong question paper packet has been opened, it will be resealed and the incident reported to the relevant awarding body's Malpractice Investigation Team immediately)

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

28. 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)

- 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

29. 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
 - appropriate arrangements are in place for handling secure electronic materials
 - the relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk
 - that when it is permitted to remove question paper packets from secure storage, and to avoid potential breaches of security, arrangements are in place to carefully check and record that the correct question paper packets are opened
(If it is ever subsequently identified following this check that the wrong question paper packet has been opened, it will be resealed and the incident reported to the relevant awarding body's Malpractice Investigation Team immediately)

30. Centre consortium arrangements

Exams officer

- Processes applications for *Centre Consortium arrangements* through CAP to the awarding body deadline (or through the awarding body where a qualification may sit outside the scope of CAP)

Head of department

- Informs the EO of any joint teaching arrangements in place and where the centre is acting as the consortium co-ordinator

31. 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

32. Internal exams/assessments

Exams officer

- ✓ Prepares for the conduct of internal exams/assessments 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 EO
- ✓ Support the SENCo in making appropriate arrangements for access arrangement candidates

33. Exam time: roles and responsibilities

Head of centre

- Ensures the centre's obligations as detailed in the regulations are met. (With reference to GR 5.9 **Conducting examinations and assessments**)

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

34. Candidate absence

Candidate absence policy

As soon as absent candidates are identified, a member of centre staff (head of year, head of sixth form, EO or a member of SLT) contacts home trying to establish the cause of absence

Where possible every effort is being made to get the absent candidate into an examination

A member of SLT contacts home of persistent absentees

Relevant entry fees are charged to candidates for any unauthorised absence from examinations

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

35. 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 are reported to the awarding body through CAP to timescale
- 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

Candidate late arrival policy

Where possible, a late candidate is met by EO/invigilator/SLT member outside the examination room making sure the candidate is calm and ready to enter the examination room. All necessary instructions are given outside the room. If candidate enters the room by himself/herself, he/she is met by an invigilator and shown to his/her seating place. Then all the necessary instructions are given in the room. Staff check that the candidate does not have any unauthorised items on their person. The late candidate is given the full time for the examination noting his/her separate start/finish time. The incident is recorded in the examination room incident log. The very late candidate is warned that his/her script might not be accepted by the awarding body. A member of SLT is informed about the candidates who persistently arrive late for examinations.

36. 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

37. 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 published finishing time of the exam, or until any timetable clash candidates have completed the exam

38. 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 (during the formal examination period).
- 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 candidate

39. Food and drink in exam rooms

No food is allowed in the examination rooms except where it is needed for a documented medical condition. In this case of any food brought into the examination room by the candidate should be free from packaging. Only water in clear bottles with all labels removed will be permitted.

Candidates leaving the room temporarily

Candidates who are allowed to leave the examination room temporarily **will** be accompanied by an invigilator or a member of centre staff. This **will not be** the candidate's subject teacher or a subject expert for the examination in question. Candidates will be permitted extra time to compensate for their temporary absence only if they have a recognised need for rest breaks or they are feeling unwell. Regular toilet breaks will not be compensated.

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/radio, 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

40. Emergency evacuation procedure

The Emergency evacuation procedure is on display in all examination rooms. It is also available on the staff drive and the Policy Folder held in the Exams Office

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 in training/update events 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

41. 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

42. Managing behaviour

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.

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)

43. Malpractice

- 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 and after assessments have taken place
- Ensures any person involved in administering, teaching or completing examinations/assessments is advised that where malpractice is suspected, or alleged, personal data about them will be provided to the awarding body (or bodies) whose examinations/assessments are involved. Personal data about them may also be shared with other awarding bodies, the qualifications regulator or professional bodies in accordance with the JCQ publication *Suspected Malpractice – Policies and Procedures*
- Ensures irregularities are investigated and informs the awarding bodies immediately of any alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, by completing the appropriate documentation
- As required by an awarding body, ensures evidence of any instances of alleged or suspected malpractice (which includes maladministration) is gathered in accordance with the JCQ publication *Suspected Malpractice - Policies and Procedures* and provides such information and advice as the awarding body may reasonably require

Also 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

Candidates

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

44. Unauthorised materials

Arrangements for unauthorised materials taken into the exam room

Unauthorised material and personal belongings are collected by administration staff before the candidates enter the examination rooms. Mobile phones, watches and other electronic valuables are stored in locked cabinets. Coats and bags are stored in containers. All candidates are instructed by the invigilators to check they have no notes on their person or written on body parts (eg. Hands)

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

45. 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

46. 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

Site staff

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

47. 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

48. 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 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

49. Analysis of results

Deputy Head

- 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*

50. Certificates

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

Issue of certificates procedure

Students on roll are informed by their tutors and Head of Year to collect their certificates from the Exams Office. Leavers are informed by email when certificates are available and are asked to call the school for an appointment to collect.

Candidates

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

Retention of certificates policy

Certificates are retained for six years after this period they are securely disposed of.

51. 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

52. 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

53. Appendix 1

Escalation Process

- In the absence of the Head of Centre,(MGL) the member of SLT responsible for Exams (MSN) will deputise with assistance from the Head of Centre of one of our MAT partner schools if necessary.
- In the absence of MSN, MGL will deputise as appropriate.
- In the absence of both the aforementioned staff, the Deputy Headteacher (CLP) will deputise, with assistance from the Head of Centre or one of our MAT partner school if necessary.