

# Exams policy

## 2018/19

This policy is reviewed annually to ensure compliance with current regulations

Approved/reviewed by	
Hannah Parry	
Date of next review	November 2019

### Key staff involved in the exams policy

<b>Role</b>	<b>Name(s)</b>
Head of centre	<b>Geoff Cherrill</b>
Exams officer line manager (Senior Leader)	<b>Geoff Cherrill</b>
Exams officer	<b>Hannah Parry</b>
Other SLT member(s)	<b>Melonie Searle</b>
	<b>Shirley Levy</b>

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## Purpose of the policy

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

- ▶ all aspects of the centre's exam process is documented, **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.

All relevant staff will receive a copy of the Examinations Policy and a meeting will be held with all staff to go through this procedure.

Students will be informed via their teacher, about the expectations of them when conducting examinations.

## 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/assessments at all times.*

*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.”*

### 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)

- ▶ 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/](http://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

*"All heads of centres will be required to confirm, on an annual basis, that they are both aware of and adhering to the latest version of these regulations. This confirmation is managed as part of the National Centre Number Register (NCNR) annual update (see section 5.3, page 14).*

*A head of centre cannot delegate this responsibility to a member of the senior leadership team or the examinations officer.*

*A signed copy of the head of centre's declaration for the academic year 2018/19 must be held on file, available for inspection, as it will be an integral part of the centre inspection. An electronic version of the head of centre's declaration, with an electronic signature, is permissible.*

*See appendix*

*Failure to respond to the NCNR annual update will result in your centre status being suspended, your centre not being able to submit examination entries and not receiving or being able to access question papers. Ultimately awarding bodies could withdraw their approval of your centre."*

- ▶ Ensures the exams officer (EO) receives appropriate support from relevant centre staff and enables the EO to attend appropriate training and other events in order to facilitate the effective delivery of exams and assessments within the centre (as example, EO networking events and relevant events offered by awarding bodies, MIS providers and other external providers)
- ▶ Ensures a named member of staff acts as the Special Educational Needs Co-ordinator (SENCo)
- ▶ Ensures centre staff are supported and appropriately trained to undertake key tasks within the exams process
- ▶ Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the EO
- ▶ Ensures *"that a teacher who teaches the subject being examined, or a senior member of teaching staff who has had overall responsibility for the candidates preparation for the examination, is not an invigilator during the timetabled written examination or on-screen test..."*
- ▶ *Teachers may be present during examinations to support the learners due to extensive knowledge of the pupil's need and ability. ( Unless specified by the examination centre that this is in place to support learners due to their level of understanding.)*
- ▶ 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: Office staff to hand examination materials to H. Parry.
  - access to the secure room and secure storage facility is restricted to the authorised 2-4 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
- ▶ 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 head of centre to act immediately in the event of an emergency or staff absence)

### Exam contingency plan

See appendix.

*“It is the responsibility of the head of centre to ensure that his centre...has in place a written examination contingency plan which covers all aspects of examination administration. This will allow members of the senior leadership team to act immediately in the event of an emergency or staff absence. The examination contingency plan must be available for inspection purposes;*

*(The examination contingency plan should also reinforce procedures in the event of the centre being unavailable for examinations or on results day owing to an unforeseen emergency.)”* [GR 5]

- ▶ 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 centre has in place and is readily available for inspection purposes, a written internal appeals procedure relating to internal assessment decisions and to ensure that details of this procedure are communicated, made widely available and accessible to all candidates...The centre must inform candidates of their centre assessed marks. A candidate is allowed to request a review of the centre’s marking before marks are submitted to the awarding body.”*

*Internal Appeals procedure, see appendix and examination officer’s policy folder.*

*“Winchelsea has available for inspection purposes and will draw to the attention of candidates and their parents/carers, a written internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support a clerical check, a review of marking, a review of moderation or an appeal...”* [GR 5.13]



- ▶ Ensures Winchelsea has a disability policy in place demonstrating the centre's compliance with relevant legislation and details the processes followed in respect of identifying the need for, requesting and implementing access arrangements.

### Disability policy

*"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).*

*Winchelsea has confirmed its readiness to adhere to these regulations when first approved as a centre (see Section 3, page 4)*

*"The head of centre and examinations officer recognise their duties towards disabled candidates as defined under the terms of the Equality Act 2010. This must include a duty to explore and provide access to suitable courses, submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates; for any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect...*

*The centre complies with the obligation to identify the need for, request and implement access arrangement in accordance with all student EHC Plans.*

- ▶ 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 centre will draw to the attention of candidates and their parents/carers their written complaints and appeals procedure which will cover general complaints regarding the centre's delivery or administration of a qualification."*

*See appendix and Examination Officer's Folder.*

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

### Child protection/safeguarding policy

**Child protection and safeguarding (including DBS information) policies can be found on our website under the policy area.**

**Overtyping here the location of the centre's policy which satisfies current legislative requirements and includes information relating to Disclosure and Barring Service (DBS) clearance (this centre-wide policy should include information where this relates to the exam process for example external invigilators etc.)**

*"It is the responsibility of Geoff Cherrill to ensure that Winchelsea Centre has in place a written child protection/safeguarding policy, including Disclosure and Barring Service (DBS) clearance, which satisfies current legislative requirements."*

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

### Data protection policy

See appendix and Exam Officer's folder. (this centre-wide policy should include information where this relates to the exam process and GDPR)

Consideration is also given to the sharing of candidates results and other exams related information with third parties (including parents/carers).

*“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](http://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](http://www.gov.uk/guidance/school-reports-on-pupil-performance-guide-for-headteachers)

### **Publication of exam results**

Refer to ICO (Information Commissioner’s Office) [Education and Families](#) information and the document [Publishing exam results](#).

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

## **Access arrangements policy**

See appendix and Exam Officer’s file.

*“The head of centre/senior leadership team have a written process in place to not only check the qualification(s) of their assessor(s) but that the correct procedures are followed as per Chapter 7 of the JCQ publication Access Arrangements and Reasonable Adjustments...”* [GR 5.4]

- ▶ Ensures staff are only entered for qualifications through the centre as a last resort where the member of centre staff is unable to find another centre.
  - ▶ Ensures the relevant awarding bodies are informed of any declaration/conflict of interest where a candidate is being taught, prepared, entered or sitting exams where a relevant member of centre staff has a personal connection to the candidate.

- ▶ 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:
  - [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
- ▶ Supports the head of centre in ensuring that awarding bodies are informed of any declaration/conflict of interest involving candidates and relevant members of centre staff 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:
  - [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)
- ▶ Leads on the access arrangements and reasonable adjustments process (referred to in this policy as 'access arrangements')
- ▶ Work with the teacher 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

### **Teaching staff**

- ▶ Undertake key tasks, as detailed in this policy, within the exams process and meet internal deadlines set by the EO
- ▶ 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 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](#) 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

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

### **Teacher**

- ▶ Responds 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 effective implementation of access arrangements and reasonable adjustments.
- ▶ Liaises with teaching staff to gather evidence of **normal way of working** of an affected candidate
- ▶ Determines candidate eligibility for arrangements or adjustments that are centre-delegated
- ▶ Gathers signed **data protection notices** from candidates where required
- ▶ Applies for **approval** through *Access arrangements online* (AAO) via the Centre Admin Portal (CAP), where required or through the awarding body where qualifications sit outside the scope of AAO
- ▶ Keeps relevant paperwork and evidence on file for JCQ inspection purposes

- ▶ Employs good practice in relation to the Equality Act 2010
- ▶ Liaises with the EO regarding exam time arrangements for access arrangement candidates
- ▶ Ensures staff appointed to facilitate access arrangements for candidates are appropriately trained and understand the rules of the particular arrangement(s) and keeps a record of the content of training provided to facilitators for the required period
- ▶ Provides and annually reviews a centre policy on the **use of word processors** in exams and assessments

### Word processor policy (exams)

Overtyping here the location of the centre's policy (and the statement which details the criteria the centre uses to award and allocate word processors for exams [provision for this statement has been included in *The Exams Office's Word processor policy template* Appendix 1]) or alternatively include as an appendix at the end of this document...

*"It is strongly recommended that a centre has a policy on the use of word processors which it can articulate to parents/carers. Principally, that a word processor cannot simply be granted to a candidate because he/she now wants to type rather than write in examinations or can work faster on a keyboard, or because he/she uses a laptop at home.*

*The use of a word processor must reflect the candidate's normal way of working within the centre. For example, where the curriculum is delivered electronically and the centre provides word processors to all candidates...*

*...A member of the centre's senior leadership team must produce a statement for inspection purposes which details the criteria the centre uses to award and allocate word processors for examinations."*

[AA 5.8]

- ▶ 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

Overtyping here the location of the centre's criteria (or policy) or alternatively include as an appendix at the end of this document.

[See AA 5.16 plus centre-determined criteria]

*"...For example, in the case of separate invigilation, the candidate's difficulties are established within the centre (see Chapter 4, paragraph 4.1.4, page 16) and known to the class teacher and SLT.*

*Separate invigilation reflects the candidate's normal way of working in internal school tests and mock examinations as a consequence of a long term medical condition or long term social, mental or emotional needs."*

[AA 5.16]

### Senior Leaders and Teaching staff

- ▶ Determine and implement appropriate access arrangements as written in the student's EHC Plan.
- ▶ 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)

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

- ▶ 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
- ▶ Ensures teaching staff delivering Entry Level or Project qualifications follow JCQ [Instructions for conducting coursework](#) and the specification provided by the awarding body
- ▶ Ensures teaching staff delivering Examination 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

### **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 a training event for new invigilators on the instructions for conducting exams and an annual update event for the existing invigilation team so that they are aware of any changes.
- ▶ 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, in a timely manner to ensure awarding body external deadlines for submission can be met

#### **Estimated entries collection and submission procedure**

Examination Officer liaise's with teacher as to the appropriate qualification and level and then submits entry for the qualification.

- ▶ 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

#### **Teacher**

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

### **Final entries**

#### **Exams officer**

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



- ▶ Informs teachers of subsequent deadlines for making changes to final entry information without charge
- ▶ Confirms with teacher's 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**

Through Liaison with class teacher final entries are agreed by February and the EO submits this information to the relevant awarding bodies.

#### **Class teacher**

- ▶ 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**

The examinations officer has overview of the exam budget to make sure that all students have access to the appropriate exams. All entry fees are paid for by 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 examinations budget.
  
- ▶ Minimises the risk of late entries by
  - meeting internal deadlines identified by the EO for making final entries

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

Students will re-sit Functional Skills examinations as and when deemed appropriate.

#### **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/teaching staff**

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

## **Pre-exams: roles and responsibilities**

### **Access arrangements**

#### **EXAMS Officer**

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

### **Briefing candidates**

#### **Exams 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:
  - arriving late for an exam
  - absence or illness during exams
  - what equipment is/is not provided by the centre
  - food and drink in exam rooms
  - wrist watches in exam rooms
  - when and how results will be issued and the staff that will be available
  - the post-results services and how the centre deals with requests from candidates

- when and how certificates will be issued

### **Access to scripts, reviews of results and appeals procedures**

See appendix

As a suggestion **only**, procedures might detail how candidates are informed (before they sit their exams) of

- when, where and with whom they will have the opportunity to discuss their results
- the post-results services that will be made available to them by awarding bodies
- how they request a service
- the deadlines that have to be met
- the fees that will be charged
- how they are informed of the outcome of their request
- the internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support a review of results or an appeal

*“The centre has in place written procedures for how it will deal with candidates’ requests for access to scripts, clerical checks, reviews of marking, reviews of moderation and appeals to the awarding bodies. Details of these procedures are made widely available and accessible to all candidates. Candidates must be made aware of the arrangements for post-results services before they sit any examinations and the accessibility of senior members of centre staff immediately after the publication of results...”* [GR 5.13]

*“The centre treats all candidates equally throughout the examination process. This would also extend to post-results services and appeals.”* [GR 5.6]

*“Senior members of centre staff must be accessible to candidates immediately after the publication of results so that results may be discussed and decisions made on the submission of enquiries. Candidates must be informed of the periods during which centre staff will be available so that they may plan accordingly*

### **Dispatch of exam scripts**

#### **Exams officer**

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

### **Estimated grades**

#### **Teacher**

- ▶ 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

### **Examination Officer**

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

### **Teaching staff**

- ▶ Support the implementation of 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

### **Assistant Headteacher**

- ▶ 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
- ▶ Organises the facilitation and invigilation of access arrangement candidates

### **Invigilators**

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

### **JCQ inspection visit**

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

- ▶ Will accompany the Inspector throughout the visit

*“It is the responsibility of the head of centre to ensure that his centre....allows all venues used for examinations and assessments, paperwork and secure storage facilities to be open to inspection. (JCQ Centre Inspectors will identify themselves with a photo ID card.) The Inspector must be accompanied throughout his/her tour of the premises, including inspection of the centre’s secure storage facility”* [ICE 5]

#### **Senior leader**

- ▶ Will meet with the inspector when requested to provide documentary evidence regarding access arrangement candidates and address any questions, the inspector may raise

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

#### **Exams officer**

- ▶ Verifying candidate identity procedure

*The centre has in place written procedures to verify the identity of all candidates at the time of the examination or assessment.*

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

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

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

- ▶ Ensures invigilators are aware of the procedure
- ▶ Provides seating plans for exam rooms according to JCQ and awarding body requirements.
- ▶ All candidates require access arrangements

#### **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**

- ▶ 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 placed in the secure storage facility
- ▶ Ensures the secure storage facility contains only current and live confidential material (including live confidential exam stationery provided by the awarding body for the use of candidates in their assessment)

### **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 placing in 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 in rare and exceptional circumstances and as a last resort)
- ▶ Identifies exam rooms and specialist equipment requirements
- ▶ Allocates invigilators to exam rooms (or where supervising candidates due to 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

#### **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 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

### **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)

### **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

#### **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

### **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**

Students missing an examination due to absence will be given another opportunity to sit the examination at a later, agreed date. Students will be given a different examination to sit, to prevent any transfer of information between students.

Parents will contact the school to advise that their son/daughter are absent and why.

### **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

### **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**

Overtyping here the centre's policy/process on how candidate late/very late arrival to exams is dealt with and who is responsible for ensuring the policy/process is followed. It would be useful to have this in your exam policy so all involved are clear on the process to be followed in case of candidate late/very late arrival. For example, are they allowed into the exam room and given the opportunity to sit the examination for its published duration, who accompanies them, what instructions are they given by whom; etc.? How are persistent late arrivals to exams dealt with etc.?

*"A candidate who arrives after the start of the examination may be allowed to enter the examination room and sit the examination. This is entirely at the discretion of the centre..."*



*A candidate who arrives after the start of the examination should be allowed the full time for the examination, depending on the centre's organisational arrangements and provided that adequate supervision arrangements are in place...*

[ICE 21]

## **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 day, date, time, subject, unit/component and tier of entry if appropriate, immediately before a question paper packet is opened
- ▶ 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

## **Exam rooms**

### **Head of centre**

- ▶ Ensures that on the day of the exam, relevant internal tests, mock exams, revision or coaching sessions for the exam candidates will not be held in the designated exam room(s)
- ▶ 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

## Food and drink in exam rooms

Overtyping here the centre's policy on food and drink in exam rooms.

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

[ICE 18]

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

### Senior leaders

- ▶ Ensure a documented emergency evacuation procedure for exam rooms is in place
- ▶ Ensure arrangements are in place for a candidate with a disability who may need assistance if an exam room is evacuated

## Emergency evacuation policy

See appendix and examination officer's folder

<https://www.gov.uk/government/publications/bomb-threats-guidance/procedures-for-handling-bomb-threats> ...

### Site staff

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

### Invigilators

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

### Candidates

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

## **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**

Students deemed as requiring extra support or a different environment will be given a suitable working space away from others during the exam

The head of centre/ examination officer 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 invigilators when dealing with disruptive candidates in exam rooms
- ▶ Ensure that internal disciplinary procedures relating to candidate behaviour are instigated, when appropriate

### **Exams officer**

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

### **Invigilators**

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

## **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**

Overtyping here the location of the centre's policy or alternatively include as an appendix at the end of this document. There is no current JCQ regulation for centres to have a special consideration policy in place, though it might be good practice to bring all aspects of the process together as a central point of reference.

## Candidates

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

## Unauthorised materials

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

Overtyping here the centre's arrangements for how unauthorised materials taken into the exam room and candidate personal belongings not allowed at exam desks are dealt with (where they are stored etc.).

*"...In the examination room candidates must not have access to items other than those stated in the instructions on the question paper, the stationery list or the specification for that subject...*

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

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

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

[ICE 18]

## 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

#### Head of department

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

### Managing results day(s)

#### Senior leaders

- ▶ Identify centre staff who will be involved in the main summer results day(s) and their role

- ▶ Ensures senior members of staff are accessible to candidates after the publication of results so that results may be discussed and decisions made on the submission of 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**

You may wish to include here the arrangements that are put in place for the main summer results day(s) to explain how, when and where results are issued, what other information is issued, who does what etc. or alternatively include as an appendix at the end of this document.

(You may also need to signpost here to other sections of this policy, for example [Data protection policy](#) and [Access to scripts, reviews of results and appeals procedures](#))

#### **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 check, a review of marking, a review of moderation or an appeal
- ▶ Understands that in the event of an awarding body initiating an *extended review of marking*, candidates' marks and subject grades may be lowered, confirmed or raised

##### **Exams 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
- ▶ 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**

#### **[insert title]**

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

### **Certificates**

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

#### **Issue of certificates procedure**

Overtyping here the centre's procedure on how certificates are issued to candidates and who manages this etc. Detail the records kept of certificates that have been issued (to support this detail refer to the requirements in [GR 5.14](#)).

### **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

Overtyping here the centre's policy for dealing with unclaimed or uncollected certificates and who manages this. Detail the required records kept of certificates that may be destroyed (to support this detail refer to the requirements in [GR 5.14](#)).

## 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

Overtyping here the location of the centre's policy or alternatively include as an appendix at the end of this document.

## Appendices

Include any documentation or information here that you have made reference to in the policy that has been provided as an appendix. Number each appendix and start each one on a new page. If no appendices are provided – delete this page. (**Remember** adding or deleting headings from the policy template affects the table of contents which will need updating)