

## Examinations

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## **1 Policy Statement**

Ewell Castle School (“the Centre”) is committed to ensuring that the exams management and administration process is run effectively and efficiently. This 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, via email, hard copies, teams and file sharing

This Policy will be communicated to all relevant Centre candidates via email and hard copies

## **2 Roles and Responsibilities**

### **Head of Centre**

The ‘head of centre’ is the most senior operational officer in the organisation.

The Principal of Ewell Castle School is the Head of Centre

It is the responsibility of the head of centre to ensure that all staff comply with the instructions in this booklet. For details about specific head of centre responsibilities, see sections 1, 8, 11, 12, 13, 16, 24, Appendix 1, section 6 and Appendix 8. (ICE Introduction)

The Head of Centre understands the contents, refers to and directs relevant Centre staff to annually updated JCQ publications including:

- General Regulations for Approved Centres (“General Regulations”)
- Instructions for Conducting Examinations (“ICE”)
- Access Arrangements and Reasonable Adjustments (AA)
- Suspected Malpractice - Policies and Procedures (SM)
- Instructions for conducting non-examination assessments (NEA) (and the instructions for conducting coursework)

The Head of Centre:

- 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 confirming, on an annual basis, that they are aware of and adhering to the latest version of the JCQ’s regulations by responding to the head of centre’s declaration which 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

#### Recruitment, selection and training of staff

- 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
- Enables the relevant senior leader(s), the examinations officer (EO) and the ALS lead/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 (as example, Exams Officer networking events and relevant events offered by awarding bodies, MIS providers and other external providers)
- Appoints an ALS lead/SENCo who will determine appropriate arrangements for candidates with learning difficulties and disabilities

#### Internal governance arrangements

In the event of the Head of Centre and/or SLT with exam responsibilities absence Appendix 1 illustrates the escalation process. There are other combinations of absences not illustrated, however this clearly shows the deputising sequence a member of SLT would assume, in the event of an absence or a combination of absences for a prolonged period.

- Ensures written processes are in place (a) to check the qualification(s) of the Centre's specialist assessor(s) for access arrangements and (b) that the assessment process is administered correctly
- 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 Exams Officer
- 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 onscreen test
- Ensures confidentiality and security within the examination process is compliant with and managed as per 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 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
- Has in place a member of the senior leadership team who will provide support and guidance to the examinations officer and ensure that the integrity and security of examinations and assessments is maintained throughout an examination series

- Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the EO
- Makes sure that a teacher, a tutor or a senior member of centre staff who teaches the subject being examined, is not an invigilator during an examination

#### Delivery of qualifications

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

#### Public liability

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

#### Security of assessment materials

Takes all reasonable steps to maintain the integrity of the examinations/assessments, including the security of all assessment materials, by ensuring:

- 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 handed over to authorised members of centre staff
- access to the secure room and secure storage facility is restricted to the authorised two to six keyholders (ensuring only persons authorised by the head of centre and the exams officer are allowed access to the centre's secure storage facility as one of the two to six key holders)
- the relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk
- that arrangements are in place to check that the correct question paper packets are opened by authorised members of centre staff
- Makes arrangements to receive, check and store question papers and examination material safely and securely at all times and for as long as required in accordance with the current JCQ publication Instructions for conducting examinations
- Makes arrangements to receive and issue material received from the awarding bodies to staff and candidates, and notify them of any advice and instructions relevant to the examinations and assessments
- Allows candidates access to relevant pre-release materials on, or as soon as possible after, the date specified by the awarding bodies
- Obtains written approval from the relevant awarding body before permitting a third party to deliver any part of a qualification including assessments
- Through taking an ethical approach and working proactively to avoid malpractice among students and staff takes all reasonable steps to prevent the occurrence of any malpractice/maladministration before, during the course of and after examinations have taken place
- Ensures irregularities are investigated and informs the awarding bodies of any cases of alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, are reported to the awarding body immediately

- Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place (that allow the senior leadership team to act immediately in the event of an emergency or staff absence) - **see Exam Contingency Plan**
- Ensures required internal appeals procedures are in place and drawn to the attention of candidates and (where relevant) their parents/guardians – see Internal Appeals Procedure
- 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 – **see Examinations Equalities Disability Policy**
- 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/guardians – see Complaints and Appeals Policy
- Ensures the Centre has a child protection/safeguarding policy in place, including Disclosure and Barring Service (DBS) clearance, which satisfies current legislative requirements – see Child Protection/Safeguarding Policy
- 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**
- Ensures the Centre has documented processes in place relating to access arrangements and reasonable adjustments – see Access Arrangements Policy and Word Processors in Examinations Policy.

Conflicts of interest - also see **Conflicts of Interest Policy**

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

- 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

#### Centre inspections

- Co-operates with the JCQ Centre Inspection Service, an awarding body or a regulatory authority when subject to an inspection, an investigation or an unannounced visit, and takes all reasonable steps to comply with all requests for information or documentation made by an awarding body or regulatory authority as soon as is practical
- Allows all venues used for examinations and assessments, paperwork and secure storage facilities to be open to inspection
- Understands the JCQ Centre Inspector will identify him/herself with a photo ID card and must be accompanied throughout his/her tour of the premises, including inspection of the centre's secure storage facility

#### Exams Officer

The Exams Officer:

- Understands the contents of annually updated JCQ publications
  - General Regulations for Approved Centres
  - Instructions for Conducting Examinations
  - Suspected Malpractice - Policies and Procedures
  - Post-results services (PRS)
  - A guide to the special consideration process
- 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
- Trains and deploys a team of internal invigilators and recruits, trains and deploys a team of external exam facilitators (scribes/readers/invigilators) 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 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 School Leadership Team (SSLT) 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 - Policies and Procedures
- Instructions for conducting non-examination assessments (and the instructions for conducting coursework)
- A guide to the special consideration process

#### **Special Educational Needs Co-ordinator (SENCo):**

- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:
  - 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 specialist assessor, will work with the person appointed, on all matters relating to assessing candidates and ensures the correct procedures are followed
- Presents when requested by a JCQ inspector, evidence of the specialist assessor’s or assessors’ qualification(s)

#### **Senior Leaders/Heads of Department (HoDs):**

- Ensure Teaching Staff undertake key tasks, as detailed in this Policy, within the exams process (exam cycle) and meet internal deadlines set by the Exams Officer and 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

#### **Teaching Staff:**

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

#### **Invigilators/Exams Facilitators:**

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

#### **Reception Staff:**

- Support the Exams Officer 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 Exams Officer 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 or guardians.

### **3 The Examination 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 Examinations Policy identifies the roles and responsibilities of Centre staff within this cycle.

### 3.1 Planning

#### Information Sharing

##### Head of Centre:

- Directs relevant Centre staff to the annually updated JCQ publications, including: [GR](#), [ICE](#), [AA](#), [SM](#), [NEA](#) (and the instructions for conducting coursework) and [SC](#)
- 

##### Exams Officer:

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

#### Information Gathering

##### Exams Officer:

- Undertakes an annual information gathering exercise in preparation for each new academic year to ensure data about all qualifications being delivered is up to date and correct
- Collates all data into one central point of reference
- Researches awarding body guidance to identify administrative processes, key tasks, key dates and deadlines for all qualifications
- Produce an annual exams plan of key tasks and key dates to ensure all external deadlines can be effectively met; inform HoDs of internal deadlines
- Collect information on internal exams to enable preparation for and conduct of GCSE and A Level mock exams.

##### Senior Leaders/HoDs:

- Respond (or ensure Teaching Staff respond) to requests from the Exams Officer on information gathering
- Meet the internal deadline for the return of information
- Inform the Exams Officer of any changes to information in a timely manner minimising the risk of late or other penalty fees being incurred by an awarding body
- Familiarise themselves and their staff with the annual exams plan of internal deadlines.

#### 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 in accordance with Chapter 7 of the JCQ publication *Access Arrangements and Reasonable Adjustments*
- the SENCo is fully supported in effectively implementing access arrangements and reasonable adjustments once approved

Deputy Head of the Senior School (DHoSS) will

- carry out regular formal meetings with the SENCo to check that the assessment process is administered correctly
- review individual cases for reasonableness and, in exceptional cases, after referral from the Exams Officer.

#### SENCo:

- Assesses affected 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 (from candidates where required)
- With the Exams Officer, 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 evidence on file for JCQ inspection purposes (if documentation is stored electronically, an e-folder must be created for each individual candidate. The candidate's e-folder must hold each of the required documents for inspection)
- Employs good practice in relation to the Equality Act 2010
- Liaises with the Exams Officer regarding exam time arrangements for access arrangement candidates
- 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
- Ensures criteria for candidates allowed **separate invigilation within the Centre** is clear and meets the requirements of JCQ access arrangements - **see Access Arrangements Policy**
- Provides and annually reviews a centre policy on the **use of word processors** in exams and assessments (see Word Processor Policy).

#### Exams Officer:

- Ensures, in conjunction with the SENCo, that staff appointed to facilitate access arrangements for candidates are appropriately trained and understand the rules of the particular access arrangement(s) and keeps a record of the training provided to facilitators for the required period
- Provides and, in conjunction with the SENCo and SSLT, annually reviews a Centre policy on the **use of word processors** in exams and assessments

SSLT, HoDs and Teaching Staff will support the SENCo in determining and implementing appropriate access arrangements.

### **Internal Assessment and Endorsements**

#### Head of Centre:

- Ensures arrangements are in place to co-ordinate and standardise all marking of centre- assessed components and ensures that candidates' centre-assessed work is produced, authenticated and marked, or assessed and quality assured in accordance with the awarding bodies' instructions (including where relevant, private candidates)
- Ensures that teaching staff, in accordance with awarding bodies' instructions, return all subject-specific forms by the required date
- Provides full qualified teachers to mark non-examination assessments

- Ensures an **internal appeals procedure** relating to internal assessment decisions is in place for a candidate to appeal against and request a review of the Centre's marking (see Roles and Responsibilities Overview)
- Ensures a **non-examination assessment policy** is in place for GCE and GCSE qualifications which include components of non-examination assessment
- 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 Leadership Team:

- Ensure Teaching Staff have the necessary and appropriate knowledge, understanding, skills, and training to set, conduct, mark and authenticate candidates' work (including, where relevant, private candidates)
- Ensure appropriate internal moderation, standardisation and verification processes are in place
- Ensure teaching staff delivering AQA Applied General qualifications, OCR Cambridge Nationals, Entry Level Certificate or Project qualifications (and CCEA GCE unitised AS and A-level qualifications WJEC GCE legacy AS and A-level Health & Social Care) follow JCQ Instructions for conducting coursework and the specification provided by the awarding body
- Ensure Teaching Staff delivering GCE and GCSE specifications (which include components of non-examination assessment) follow JCQ *Instructions for conducting non-examination assessments* and the specification provided by the awarding body
- For other qualifications, ensure Teaching Staff follow appropriate instructions issued by the awarding body
- Ensure 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

#### Teaching Staff:

- Ensure appropriate instructions for conducting internal assessment are followed
- Ensure candidates are aware of JCQ or 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 Exams Officer in recruiting, training and deploying a team of exam facilitators and training a team of invigilators.
- Ensures, if contracting supply staff to act as invigilators or to facilitate an access arrangement, that such persons are competent and fully trained, understanding what is and what is not permissible (and not taking on its own an assurance from a recruitment agency, that this is the case)

- Determines if additional invigilators will be deployed in timed Art exams in addition to the subject teacher to ensure the supervision of candidates is maintained at all times

#### Exams Officer:

Recruits (with support from HR) 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 made aware of the access arrangement(s) awarded (ensuring 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

### **3.2 Entries**

#### **Estimated Entries**

##### Exams Officer

- Requests estimated or early entry information, where this may be required by awarding bodies, from HoDs in a timely manner to ensure awarding body external deadlines for submission can be met.

##### Senior Leaders:

- Provide information requested by the Exams Officer to the internal deadline
- Inform the Exams Officer immediately of any subsequent changes to information

#### **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
- Ensures as far as possible that entry processes minimise the risk of entries or registrations being missed and reduce 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
- 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

##### Senior Leaders:

- Provide information requested by the Exams Officer to the internal deadline
- Inform the Exams Officer immediately, or at the very least prior to the deadlines, of any subsequent changes to final entry information, which includes:
  - amendments to existing entries

- withdrawals of existing entries
- if requested by the Exams Officer, check final entry submission information using the Centre's information system iSAMS and confirm information is correct.

### **Entry Fees**

All exam fees (plus a 5% administration fee) are invoiced to the parents or guardians of internal candidates. Late entry or amendment fees are also invoiced to the parents or guardians of the candidate unless the late entry or amendment is required because of an act or omission of a member of Centre staff.

### **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 or to parents/guardians as appropriate.

#### Senior Leaders:

- Minimise the risk of late entries by
  - following procedures identified by the Exams Officer in relation to making final entries on time
  - meeting internal deadlines identified by the Exams Officer for making final entries.

### **Re-Sit Entries**

Candidates are entered for English Language and Mathematics GCSE retakes in the November exam series, as appropriate, in consultation with HoDs and candidates and their parents/guardians.

### **Private Candidates**

It is not the normal policy of the Centre to accept private candidates unless a candidate has an existing connection with Ewell Castle School. In the first instance, potential private candidates should contact the Exams Officer for further information.

### **Candidate Statements of Entry**

#### The Exams Officer:

- Will provide candidates with statements of entry for checking.

#### Teaching Staff:

- Will ensure candidates check statements of entry and return any relevant confirmation required to the Exams Officer.

#### Candidates:

- Will confirm entry information is correct or notify the Exams Officer of any discrepancies.

## **3.3 Pre-Exams**

### **Access Arrangements**

#### SENCo:

- Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access to exams/assessments for candidates where they are disabled within the meaning of the Equality Act (unless a temporary emergency arrangement is required at the time of an exam)

- Ensures a candidate is involved in any decisions about arrangements, adjustments and/or adaptations that may be put in place for him/her
- Ensures exam information (JCQ information for candidates information, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it
- In conjunction with the Exams Officer, 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 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 which will include information on:
  - exam timetable clashes
  - arriving late for an exam
  - absence or illness during exams
  - food and drink in exam rooms
  - wrist watches in exam rooms
  - what equipment is/is not provided by the Centre
  - when results and certificates will be issued
  - the post-results services and how the Centre will deal with candidates' access to scripts, reviews of results and appeals to the awarding bodies
  - when and how certificates will be issued.

### **Dispatch of Exam Scripts**

#### Exams Officer:

- will identify and confirm arrangements for the dispatch of exam scripts with the DfE "yellow label service" or the awarding body where qualifications sit outside the scope of the service

### **Estimated Grades**

#### HoDs/Teaching Staff:

- Provide estimated grade information to the Exams Officer to the internal deadline (Cambridge Assessment International Exams only)

#### Exams Officer:

- Submits estimated grade information to awarding bodies to meet the external deadline and keeps a record to track what has been sent.

### **Internal Assessment and Endorsements**

#### Head of Centre:

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

#### SENCo:

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

#### Teaching Staff:

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

#### HoDs/ Senior Leaders will ensure Teaching Staff will:

- assess and authenticate candidates' work as per awarding body requirements
- assess endorsed components according to awarding body requirements
- provide marks for internally assessed components and grades for endorsements of qualifications to the Exams Officer to the internal deadline
- provide required samples of work for moderation to the Exams Officer to the internal deadline

#### Exams Officer:

- Submits marks, endorsement grades and samples to awarding bodies/moderators to meet the external deadline
- Keep a record to track what has been sent
- Logs moderated samples returned to the Centre
- Makes Teaching Staff aware of the guidelines in terms of retention and subsequent disposal of candidates' work.

#### Candidates:

- Will authenticate their work as required by the awarding body.

### **Invigilation**

#### Exams Officer:

- Provides an annually reviewed/updated invigilation handbook and/or trains/updates invigilators annually
- Liaises with the SENCo regarding the facilitation and invigilation of access arrangement candidates

#### Exams Officer and SSLT:

- Deploy invigilators effectively to exam rooms throughout an exam series
- Provide a roving invigilator, where a candidate and invigilator acting as a 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 reader and/or scribe in maintaining the integrity of the exam
- Allocate invigilators to exam rooms as per the required ratios (or where supervising candidates due to a timetable variation)

#### Exams Officer and SENCo:

- Liaise regarding facilitation and invigilation of access arrangement candidates

### **JCQ Inspection Visit**

#### Exams Officer (or SSLT in the absence of the Exams Officer):

- will accompany the Inspector throughout the visit

#### SENCo (or SSLT (in the absence of the SENCo):

- Will meet with the inspector when requested to provide documentary evidence regarding access arrangement candidates and address any questions, the inspector may raise
- Ensures that information is readily available for inspection at the venue where the candidate is taking the exam(s)

## **Seating and Identifying Candidates in Exam Rooms**

### Exams Officer:

- Ensures a procedure is in place to verify candidate identity including private candidates
- 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 and invigilators are informed of those candidates with access arrangements and made aware of the access arrangement(s) awarded)

### Invigilators:

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

## **Security of Exam Materials**

### Exams Officer:

Confirms appropriate arrangements are in place to ensure that confidential materials are only handed over to those authorised by the head of centre

- Ensures only persons authorised by the head of centre and the exams officer are allowed access to the centre's secure storage facility as one of the two to six key holders
- Ensures a log is kept at the initial point of delivery recording confidential materials received and signed for by authorised staff within the centre and that appropriate arrangements are in place for confidential materials to be immediately transferred to the secure storage facility until they can be removed from the dispatch packaging and checked in the secure room before being returned to the secure storage facility in timetable order
- Ensures the secure storage facility contains only current and live confidential material (ensuring that past examination question papers, internal tests and mock examinations are not kept in the centre's secure storage facility)
- Ensures that examination stationery, e.g. answer booklets and formula booklets are stored in the secure room (attempting to store this material in the secure storage facility, when sufficient space allows)
- Ensures the integrity and security of any electronic question paper is maintained during the downloading, printing and collating process (ensuring printing is carried out in an area that can be controlled to prevent unauthorised personnel accessing live assessment materials and ensuring only authorised members of centre staff have access to electronic question papers)

### Reception Staff:

- Follow the process to 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 as a last resort, once all other options have been exhausted and according to the centre's policy - see Overnight Supervision Policy)
- Identifies exam rooms and specialist equipment requirements
- Identifies invigilator to exam room ratios

- Liaises with site staff to ensure exam rooms are set up as per JCQ and awarding body requirements
- Liaises with the SENCo regarding rooming of access arrangement candidates.

SSLT:

- Allocates invigilators to exam rooms as identified by the Exams Officer (or where supervising candidates due to a timetable variation).

SENCo:

- Liaises with the Exams Officer regarding rooming of access arrangement candidates

Site Staff:

- Liaise with the Exams Officer to ensure exam rooms are set up as per JCQ and awarding body requirements

### **Alternative Site Arrangements**

Exams Officer:

- Ensures question papers are 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

### **Internal Exams (Mocks)**

Exams Officer:

- Prepares for the conduct of internal mock 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

SSLT:

- Arranges invigilation

SENCo:

- Liaises with Teaching Staff to make appropriate arrangements for access arrangement candidates
- Allocates Centre staff to facilitate access arrangements for candidates in exams and assessments as required

Teaching Staff:

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

## **3.4 Exam Time**

### **Access Arrangements**

Exams Officer:

- Provides cover sheets for access arrangement candidates' scripts where required for particular access 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

## **Seating and Identifying Candidates in Exam Rooms**

### Exams Officer:

- Checks the identity of all private candidates prior to them sitting any exams within the Centre.
- Produces Centre photo ID desk cards for all private candidates
- Ensures that invigilators are aware of this procedure
- Provides seating plans for exam rooms as per JCQ and awarding body requirements

### Invigilators will, prior to the start of every exam:

- Seat candidates in exam rooms as instructed by the Exams Officer/in the seating plan
- If they are not familiar with any candidate who is a student at the Centre, confirm that candidate's identity with another invigilator or member of Centre staff or by referring to the photo log available in the main examination rooms
- Check the identity of any private candidate against his/her Centre photo ID card
- Refer any concerns to the Exams Officer.

**Late Arrival** - see Candidate Late Arrival Policy

### Candidates:

- Contact the school as soon as possible if they are or believe they may arrive late for an exam
- Report to the School Reception on arrival at school

### Exams Officer:

- Checks if a missing candidate has telephoned the school and, if not, try to contact the candidate
- Escorts late arrivals to the exam room
- Will, if a candidate arrives more than one hour after the published start time of an exam or after the end of the exam if it is shorter than one hour (very late arrival),:
  - make a report to the awarding body through CAP
  - warn the candidate that the awarding body may not accept his/her work
  - allow the candidate the full time of their exam.

### Invigilators:

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

## **Candidate Absence**

### Candidates:

- Contact the school as soon as possible if they are or believe they may be unable to attend an exam
- Provide a medical certificate or other evidence to the Exams Officer within seven days of the missed exam(s)

### Exams Officer:

- Liaises with the candidate regarding the nature of the absence and expected absence period
- Notifies the candidate's form tutor, head of year or subject teacher of the absence, as appropriate, so that further support can be provided if necessary
- Applies for special consideration of the missed exam(s) within the deadline of the relevant awarding body(ies) provided that
  - the minimum requirements of Section 4.3 of the JCQ's Guide to the Special Consideration Process (or other awarding body regulations) have been met; and
  - an appropriate medical certificate or other evidence has been received by the Exams Officer.

#### 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/seating plan.

#### **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 as per JCQ and awarding body instructions.

#### **Dispatch of Exam Scripts**

##### Exams Officer:

- Despatches 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
- collate 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 care is taken to ensure the correct question paper packets are opened by ensuring a member of centre staff, additional to the person removing the papers from secure storage, e.g. 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 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

#### **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
- 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 approved centre staff (who have not taught the subject being examined) are present in exam rooms to perform permitted tasks
- Ensures the centre's policy relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates
- Ensures the centre's policy on candidates leaving the exam room temporarily is clearly communicated to candidates - **see Leaving the Exam Room Policy**

##### Exams Officer:

- Ensures exam rooms are set up and conducted as required by JCQ and awarding bodies
- Provides invigilators with appropriate resources to conduct exams effectively

- Briefs invigilators on exams to be conducted on a session-by-session basis (including arrangements for access arrangement candidates)
  - Ensures sole invigilators have an appropriate means of summoning assistance (if this is a mobile phone, instructs the invigilator that this must be on silent mode)
- Ensures invigilators understand 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
- 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
- Provides authorised exam materials which candidates are not expected to provide themselves
  - Ensure 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

#### SSLT:

- Ensures a documented emergency evacuation procedure is in place – see **Emergency Evacuation Policy**
- Ensure arrangements are in place for a candidate with a disability who may need assistance if an exam room is evacuated

#### Site Staff:

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

#### Invigilators:

- Conduct exams in every exam room according to JCQ Instructions for conducting examinations and/or awarding body requirements and as instructed by the centre in training/update and briefing sessions

#### Candidates:

- Are required to remain in the exam room for the full duration of the exam (excluding periods of extra time)

### **Food and Drink in Exam Rooms**

Exams Officer notifies candidates that:

- no foods (including sweets and chewing gum) are allowed in the examination room (with the exception of candidates with a medical condition).
- bottled water in sports cap bottles may be taken in to the exam room on condition that bottles are clear (uncoloured) plastic and free of any labels or marking. No other drinks are permitted.

### **Irregularities and Malpractice**

#### Head of Centre:

- Ensures (as required by an awarding body) any cases of alleged, suspected or actual incidents of malpractice or maladministration before, during or after examinations/assessments (by centre staff, candidates, invigilators or facilitators) are investigated and reported to the awarding body **immediately**, by completing the appropriate documentation.

#### SSLT:

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

#### Exams Officer:

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

#### Invigilators:

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

**Managing Behaviour** - see Managing Behaviour Policy

**Special Consideration** - see Special Consideration Policy

Senior leaders

- Provide signed evidence to support eligible applications for special consideration

#### Exams Officer:

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

#### Candidates:

- Provide appropriate evidence to support special consideration applications, where required.

#### **Unauthorised items**

Invigilators:

- Before the beginning of each exam, advise candidates to check for unauthorised materials or devices on their person
- Ensure that all such material or devices are removed and placed on the invigilator's desk or similar suitable place.

#### **Internal Exams (Mocks)**

Exams Officer:

- Briefs invigilators on conducting internal exams
- Returns scripts to Teaching Staff for marking.

Invigilators:

- Conduct internal exams as briefed by the Exams Officer

### **3.5 Results and Post-Results**

#### **Internal Assessment**

HoD:

- Ensure 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 Days**

SSLT:

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

- Ensure 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 ensure candidates are informed of the periods during which Centre staff will be available so that they may plan accordingly

### **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
- 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 publication of results
- Provides summaries of results for relevant Centre staff on publication of results.

### **Post-Results Services**

#### Head of Centre:

- Ensures an Internal Appeals Policy is available where candidates disagree with any centre decision not to support 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 by the Centre
- 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's informed consent (**after** publication of results) and fees where relevant
- Submits requests to awarding bodies to meet the external deadline
- Tracks requests to conclusion and inform candidates and relevant Centre staff of outcomes
- Update Centre results information, where applicable.

#### Teaching Staff:

- Meet internal deadlines to request the services and gain relevant candidate informed consent.

#### Candidates:

- Meet internal deadlines to request the services
- Provide informed consent and fees.

### **Analysis of Results**

Following the publication of results, the Exams Officer (in role as Data Manager):

- Provides analysis of results to appropriate Centre staff
- Provides results information to external organisations where required
- Undertakes the Key Stage 4/16-18 Performance Tables September checking exercise.

### **Certificates**

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

Current students will be presented with their certificates during an Assembly early in November.

#### Former students:

- Collect their certificates in person; or

- Arrange for certificates to be collected on their behalf by providing the Exams Officer with written permission/authorisation; authorised persons must provide ID evidence on collection of certificates; or
- Request that certificates be posted to themselves by Signed for post at the candidate's own risk and expense.

### **Retention of Certificates**

#### Exams Officer:

- Retains certificates in the Centre for a maximum of five years after the exam series after which period they will be shredded.

### **3.6 Retention of Records**

#### Exams Officer:

- Keeps records as required by JCQ and awarding bodies for the required period
- Keeps records as required by the Centre's **Retention of Information Policy**
- Provides an exams archiving policy that identifies information held, retention period and method of disposal

## **4 Review and Development**

### **4.1 Procedure**

This Policy will be 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 and will be approved by the Senior Management Team.

### **4.2 Links with other Policies**

This policy should be read in conjunction with the following documents:

- Examination Contingency Plan
- Examinations - Access Arrangements Policy
- Examinations – Disability Policy
- Examinations – Emergency Evacuation Policy
- GCE and GCSE Non-Examination Assessments Policy
- Emergency Evacuation Policy
- Exam Contingency Plan
- Exams – Internal Appeals Policy
- Retention of Information Policy
- Word Processors in Examinations Policy
- Examinations - Candidate Late Arrival
- Examinations - Leaving the exam room Policy
- Examinations - Managing Behaviour Policy
- Examinations - Overnight Supervision Arrangements Policy
- Examinations - Conflicts of Interest Policy

### **Appendix 1**

Examinations Escalation Process