



Exams policy 2018-19

Lead Person:

Director of Studies

Governing Body Committee:

Admissions

Required by:

JCQ

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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 exam process are documented and other relevant exams-related policies, procedures and plans are signposted
- the workforce is well informed and supported
- all centre staff involved in the exams process clearly understand their roles and responsibilities
- all exams and assessments are conducted in accordance with JCQ and awarding body regulations, guidance and instructions
- 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.

It is the responsibility of everyone involved in the centre's exam processes to read, understand and implement this policy. The policy is published on the schools website.

Roles and responsibilities overview

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
- Takes responsibility for responding to the National Centre Number Register Annual Update (administered on behalf of the JCQ member awarding bodies by OCR) and responds by the end of October 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 kept on file by the exams officer for inspection purposes.
- Ensures a named member of staff acts as the Special Educational Needs Co-ordinator (SENCo)
- Ensures the exams officer (EO) attends appropriate training events offered by awarding bodies, MIS providers and other external providers to enable the exam process to be effectively managed and administered
- Ensures 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 examination or on-screen test**
- Ensures confidentiality and security within the examination process is compliant with and managed according to JCQ and awarding body regulations, guidance and instructions including
 - the location of the centre's secure storage facility in a secure room solely assigned to examinations
 - appropriate arrangements are in place to ensure that confidential materials are only delivered to authorised members of centre staff
 - the relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk
 - access to the secure room and storage facility is restricted to the authorised 2-4 keyholders
 - that arrangements are in place to check that the correct question paper packets are opened by authorised members of centre staff
- Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place
- 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 a *complaints and appeals procedure* covering general complaints regarding the centre's delivery or administration of a qualification is in place (Complaints Policy can be found on school website)
- 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 Policy can be found on the school website)
- 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 can be found on the school website)
- Ensures required internal appeals procedures are in place and drawn to the attention of candidates and (where relevant) their parents/carers
- Ensures a disability policy for exams showing 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
- Ensures the centre has documented processes in place relating to access arrangements and reasonable adjustments
- Ensures staff are only entered for qualifications through the centre where entry through another centre is not available
- 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
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- Ensures members of centre staff do not forward e-mails and letters from awarding body or JCQ personnel without prior consent to third parties or upload such correspondence onto social media sites such as Facebook
- Ensures members of centre staff do not advise parents/candidates to contact awarding bodies/JCQ directly 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)
- Supports the Head of Centre with their roles and responsibilities
- 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)

Special educational needs co-ordinator (SENCo)

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

Head of department (HoD)

- Ensures teaching staff undertake key tasks, as detailed in this policy, within the exams process (exam cycle) and meet internal deadlines set by the EO and SENCo
- Ensures teaching staff keep themselves updated with awarding body teacher-specific information to confirm effective delivery of qualifications
- Ensures teaching staff attend relevant awarding body training and update events

Teaching staff

- Undertake key tasks, as detailed in this policy, within the exams process and meet internal deadlines set by the EO and SENCo
- Keep updated with awarding body 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

- 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]

Head of department

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

Access arrangements

- **Head of centre**
- Ensures there is appropriate accommodation for candidates requiring access arrangements in the centre

- Ensures a written process is in place to not only check the qualification(s) of their assessor(s) but that the assessment process is administered correctly
- Ensures the SENCo is fully supported in effectively implementing access arrangements and reasonable adjustments once approved

SENCo

- Assesses candidates (or works with the appointed access arrangements assessor) to identify access arrangements requirements
- Gathers **evidence** to support the need for access arrangements for a candidate
- Liaises with teaching staff to gather evidence of **normal way of working** of an affected candidate
- Determines candidate eligibility for arrangements or adjustments that are centre-delegated
- Gathers signed **data protection notices** from candidates where required
- Applies for **approval** through *Access arrangements online* (AAO) via the Centre Admin Portal, 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 a record is kept of the training provided
- Provides and annually reviews a centre policy on the use of word processors in exams and assessments
- 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
 - A decision where an exam candidate may be approved separate invigilation within the centre will be based on whether the candidate:
 - has a substantial and long-term impairment which has an adverse effect; and
 - the candidate's normal way of working within the centre

Senior Leaders, Head of department, Teaching staff

- Support the SENCo in determining and implementing appropriate access arrangements

Internal assessment and endorsements

Head of centre

- Ensures an **internal appeals procedure** relating to internal assessment decisions is in place for a candidate (or parent/carer) to appeal against and request a review of the centre's marking
- Provides fully qualified teachers to mark non-examination assessments
- Ensures a **non-examination assessment policy** is in place for GCE and GCSE qualifications
- 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
- Ensure appropriate internal moderation, standardisation and verification processes are in place

Head of department

- Ensures teaching staff delivering legacy GCE unitised AS and A-level qualifications and Entry Level or Project qualifications follow JCQ *Instructions for conducting coursework* and the specification provided by the awarding body
- Ensures teaching staff delivering GCE & GCSE specifications 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
- 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
- Determines if additional invigilators will be deployed in practical exams in addition to the subject teacher to ensure the supervision of candidates is maintained at all times

Exams officer

- Recruits additional invigilators where required to effectively cover all exam periods/series throughout the academic year
- Collects information on new recruits to identify if they have invigilated previously and if any current maladministration/malpractice sanctions are applied to them
- Provides 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 made aware of the Equality Act 2010 and are trained in disability issues
- Ensures invigilators are briefed on the access arrangement candidates in their exam room (and that these candidates are identified on the seating plan) and confirms invigilators understand what is and what is not permissible
- Collects evaluation of training to inform future events

Entries: roles and responsibilities

Estimated entries

Exams officer

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

Head of department

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

Final entries

Head of Centre

- Makes final decision on entries made by the centre

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 reducing the potential for late or other penalty fees being charged by awarding bodies

Head of department

- Provides information requested by the EO to the internal deadline
- Informs the EO immediately in writing 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

- GCSE and A level initial registration and entry examination fees are paid by the exams department.
- Late entry or amendment fees are paid by the relevant department.
- Candidates or departments will not be charged for changes of tier, withdrawals made by the proper procedures or alterations arising from administrative processes, provided these are made within the time allowed by the awarding bodies.
- Reimbursement will be sought from candidates who fail to sit an examination or meet the necessary coursework/ controlled assessment requirements without a valid reason.

Students wishing to sit exams in a subject they are not taught in at the school will need to apply to the director of studies evidencing their study of the subject and exam preparation. Students will need to pay the exam fees and invigilation costs. There is a minimum charge of £55 for GCSEs and £105 for A levels. Centre entries will always take precedence and the head of centre has the final decision on these exam entries.Late entries

Exams officer

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

Head of department

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

Non Curriculum Entries

- Candidates wishing to sit exams in a subject they are not taught at school will need to apply to the director of studies evidencing their study of the subject and exam preparation.
- Entries for curriculum subjects will always take precedence and the head of centre has the final decision on all exam entries.
- Candidates will need to pay the exam fees and invigilation costs. There is a **minimum** charge of £55 for GCSEs and £105 for A levels. Final costs will be notified to candidates by the EO.
- Entries will only be made where the head of centre has given approval and the candidate has paid the fee in full.

Private candidates

- The Centre does not accept private candidates

Transfer of credit

Exams officer

- Provides information to relevant centre staff/candidates on transferring credit for GCE AS qualifications

- Meets the awarding body deadline for requesting transfer of credit

Teaching staff

- Identify affected candidates to the EO

Candidate statements of entry

Exams officer

- Provides candidates with statements of entry for checking

Teaching staff

- Ensure candidates check statements of entry and return any relevant confirmation required to the EO

Candidates

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

Pre-exams: roles and responsibilities

Access arrangements

SENCo

- Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access for candidates where they are disabled within the meaning of the Equality Act (unless a temporary emergency arrangement is required at the time of an exam)
- Ensures a candidate is involved in any decisions about arrangements, adjustments and /or adaptations that may be put in place for him/her
- Ensures exam information (JCQ information for candidates' information, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it
- Allocates appropriately trained centre staff to facilitate access arrangements for candidates in exams and assessments

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
- Prior to exams brief candidates about Enquiries about Results
- Where relevant, issues relevant awarding body information to candidates
- Issues centre exam information to candidates including information on:
 - exam clashes
 - arriving late for an exam
 - absence or illness during exams
 - what equipment is/is not provided by the centre

- food and drink in exam rooms
- wrist watches in exam rooms
- when and how results will be issued and the staff that will be available
- the post-results services and how the centre deals with requests from candidates
- when and how certificates will be issued

Access to scripts, reviews of results and appeals procedures

- Reviews of results process and the access to script service is explained to candidates in their exam briefings before the start of the public examination series.
- Further guidance on the reviews of results process is available in the centre on results days.
- Teaching staff will be available for candidates to consult about post results services
- Post result request forms with up to date costings will be available on results day and prior to that on the school website.
- The Internal Appeals Policy is on the school website and candidates are guided to this in their exam briefing and again on results days

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

Internal assessments and endorsements

Head of centre

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

SENCo

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

Teaching staff

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

Head of department

- Ensures teaching staff assess and authenticate candidates' work to the awarding body requirements
- Ensures teaching staff assess endorsed components according to awarding body requirements

- Ensures teaching staff provide marks for internally assessed components and grades for endorsements of qualifications to the EO to the internal deadline
- Ensures teaching staff provide required samples of work for moderation and sample recordings for monitoring to the EO to the internal deadline

Exams officer

- Submits marks, endorsement grades and samples to awarding bodies/moderators to meet the external deadline
- Keeps a record to track what has been sent
- Logs moderated work 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 according to the required ratios
- Liaises with the SENCo regarding the facilitation and invigilation of access arrangement candidates

SEnCo

- Liaises with the EO regarding facilitation and invigilation of access arrangement candidates

Invigilators

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

JCQ inspection visit

Exams officer or Senior leader

- Accompanies the Inspector **throughout** the course of his or her centre visit, including inspection of the centre's secure storage facility.

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

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

JCQ Access Arrangement inspection visit

SENCo or Senior leader

- Is available to the Inspector for the duration of their visit

Seating and identifying candidates in exam rooms

Exams officer

- Ensures a procedure is in place to verify candidate identity including private candidates
 - Verifying candidate identity procedure**
 - Senior members of centre staff authorised by the head of Centre will be present at the start of the examination to assist with the identification of candidates as required
 - ID cards with name and candidate number placed on individual candidates' desk
 - Each exam room will contain a Progresso report that includes photographs of all students in YR11 along with their names, dates of birth and registration group.
 - Invigilators will consult this report
 - Yr 12 and Yr 13 will have their school ID badges that can be checked
 - Candidates who wear religious clothing that cover their faces will be briefed on ID procedure prior to the exams
 - A female member of school staff will ID female candidates wearing a veil in a private room
- Ensures invigilators are aware of the procedure
- Provides seating plans for exam rooms according to JCQ and awarding body requirements (and ensures candidates with access arrangements are identified on the seating plan)

Invigilators

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

Security of exam materials

- **Exams officer**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 recording system to track 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 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 according to required ratios
- Liaises with site staff to ensure exam rooms are set up according to JCQ and awarding body requirements
- Liaises with the SENCo regarding rooming of access arrangement candidates

SEnCo

- Liaises with the EO regarding rooming of access arrangement candidates
- Liaises with other relevant centre staff to ensure appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams

Site staff

- Liaise with the EO to ensure exam rooms are set up according to JCQ and awarding body requirements

Alternative site arrangements

Exams officer

- Ensures question papers will only be taken to an alternative site where the published criteria for an alternative site arrangement has been met
- Will inform the JCQ Centre Inspection Service by submitting a JCQ Alternative Site arrangement notification through CAP (or through the awarding body where a qualification may sit outside the scope of CAP) of any alternative sites that will be used to conduct timetabled examination components of the qualifications listed in the JCQ regulations

Transferred candidate arrangements

Exams officer

- Liaises with the host or entering centre, as required
- Processes requests to the awarding body deadline through 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

- All candidates are told to contact the exams office if they are going to be absent from any exam
- A list of absent candidates will be provided to the Exams Officer by the lead invigilator at the start of the exam
- Exams officer, reception staff or sixth form administrator will attempt to contact any absent candidates with all contact details held on Progresso
- Messages where possible will be left for the candidate and parents will be informed
- The Head of Department will be informed of those candidates absent

Candidate late arrival

- All late candidates must see the exams officer prior to being admitted to the exam room
- Any candidate who arrives within one hour of the awarding body's published start time will be allowed to sit the paper and be given the full time
- Candidates who are very late, those arriving an hour after the published start time, will be allowed to sit the paper but should be made aware the board may not accept the script
- The parent or carer of a very late candidate must make themselves available to the exams officer to provide a statement for JCQ with regards to security of the candidate
- Very late candidates must see the exams officer at the end of the exam to complete a statement as required by JCQ

- The exams officer will ensure candidates who arrive very late for an exam are reported to the awarding body through CAP to timescale
- Candidates who arrive after the exam has ended will not be allowed to sit the exam

Invigilators

- Are informed of the policy/process for dealing with absent candidates through training
- Ensure that confirmed absent candidates are clearly marked as such on the attendance register and seating plan

Candidates

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

Exams officer

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

Invigilators

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

Conducting exams

Head of centre

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

Exams 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 secure storage
- Attaches erratum notices received to relevant exam question paper packets
- Collates attendance registers and examiner details in date order

- Regularly checks mail or inbox for updates from awarding bodies
-
- In order to avoid potential breaches of security, ensures prior to question paper packets being opened that another member of staff or an invigilator checks day, date, time, subject, unit/component and tier of entry if appropriate, immediately before a question paper packet is opened. EO and other member of staff will sign a check record to this effect.
- Where allowed by the awarding body, only releases exam papers and materials to teaching departments for teaching and learning purposes after the published finishing time of the exam, or until any clash candidates have completed the exam

Exam rooms

Head of centre

- Ensures only authorised centre staff are present in exam rooms
-
- 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)

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 information about access arrangements
- Ensures sole invigilators have an appropriate means of summoning assistance
- Ensures invigilators understand how to deal with candidates who arrive late or 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
- Ensures information relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates
 - Candidates are permitted to take a bottle of water into the exam room. This bottle must have a sports cap, be transparent, have no labels and no writing
 - Food is permitted for those candidates who have medical needs. Permission must be sought from the exams officer

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

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 as required **immediately**, by completing the appropriate documentation

Senior leaders

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

Exams officer

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

Invigilators

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

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 see Appendix 1 for procedure

Candidates

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

Unauthorised materials

- Candidates are reminded about authorised materials prior to entering the exam room
- Candidates must hand unauthorised materials immediately to invigilators
 - Notes, analogue watches, calculators and lids will be placed at the front of the exam room
 - Mobiles, digital watches any other electronic device will be placed in an exam wallet and the candidate be given the wallet number
 - The exam wallets will be taken into the exam office and not left in the exam room

Invigilators

- Are informed of the arrangements through training

Internal exams

Internal exams are scheduled throughout the academic year and are published on the school calendar

Heads of Department

- Provide examination papers with details of equipment required
- Provide instruction on where to send completed scripts

Exams officer

- Briefs invigilators on conducting internal exams for Years 10,11,12 and 13
- Runs these exams under external exam conditions
- Publishes internal exam timetables on the school website
- 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 days

Senior leaders

- Identify centre staff who will be involved in the main summer results days and their role
- Ensures senior members of staff are accessible to candidates after the publication of results so that results may be discussed and decisions made on the submission of enquiries and ensures candidates are informed of the periods during which centre staff will be available so that they may plan accordingly

Exams officer

- Works with senior leaders to ensure procedures for managing the main summer results day are in place

Site staff

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

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 issue of results date
- Sends results to those students who did not collect them
- Ensures results are only released to third parties with candidates written permission and appropriate ID checks
- Provides summaries of results for relevant centre staff on issue of results date

Post-results services

Head of centre

- Ensures **internal appeals procedures** are available where candidates disagree with a centre decision
 - not to support an enquiry about results
 - not to appeal against the outcome of an enquiry about results

Exams officer

- Provides information to candidates and staff on the services provided by awarding bodies and the fees charged
- 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

Senior leader

- 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.

Exams Officer

- Ensure certificates reflect any grade changes made by awarding bodies after a review of marking
- Issue certificates to students in school as soon as is practicably possible.
- Publicise the availability of certificates to former students
- Retain unclaimed certificates for 7 years after which time they will be destroyed in accordance with instructions from the awarding bodies

Candidates

- Will have checked their date of birth and legal name as provided to the awarding bodies. Subsequent alterations to these details will be at cost to the candidate
- May arrange for certificates to be collected on their behalf by providing the exams officer with written authorisation; authorised persons must provide photo and address ID evidence on collection of certificates
- As a last resort certificates may be sent by recorded delivery at the expense of the candidate

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

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 exam archiving procedure that identifies information held, retention period and method of disposal see Appendix 2

Appendices

Appendix 1

Special Consideration Procedure

Roles and responsibilities

Head of centre

- Is familiar with the contents, refers to and directs relevant centre staff to the annually updated JCQ publication A guide to the special consideration process 2018-19(referred to as SC)
- Ensures that, where relevant and in eligible situations, applications for special consideration are submitted to awarding bodies by the exams officer

Exams officer

- Understands the criteria as detailed in SC to determine where candidates will/will not be eligible for special consideration
- Ensures that, where relevant and in eligible situations, applications for special consideration are submitted to awarding bodies

Teaching staff and/or SENCo

- Provide any appropriate evidence or information that may be required to determine a candidate's eligibility for special consideration.

Candidates (or parents/carers)

- Provide any medical or other evidence that may be required to determine eligibility for special consideration

Applying for special consideration

Where eligible, special consideration is applied for in a specific exam series where candidates have been fully prepared and have covered the whole course but performance in the examination, or in the production of controlled assessment, coursework or non-examination assessment, is materially affected by adverse circumstances beyond their control

Where a candidate may arrive for an exam and is clearly unwell, extremely distressed and/or may have sustained an injury that requires emergency access arrangements to be put in place:

- the candidate will be kept comfortable and under supervision from the required time while appropriate arrangements are put in place for he/she to take the exam in the best possible conditions
- a judgement will be made on how the candidate's situation or disposition affected performance in the exam
- where appropriate and where eligible, special consideration is applied for

Where candidates may be affected by a major disturbance in the exam room (emergency evacuation etc.), special consideration is applied for on behalf of all candidates.

Where a candidate takes three or more timetabled exams on the same day and the total duration of all papers is more than 5 hours 30 minutes (GCSE) or more than 6 hours (GCE) including *any approved extra time but not any time taken for supervised rest breaks* special consideration for an allowance on last paper taken is applied for.

Where a candidate may be affected by a minor disturbance in the exam room caused by another candidate (momentary bad behaviour, mobile phone ringing etc.) special consideration cannot be applied for.

If a candidate is absent for acceptable reasons, and the centre can verify this, special consideration is applied for if the exam missed is in the terminal series and the *minimum requirements for enhanced grading in cases of acceptable absence* can be met. If there is an opportunity to re-enter the candidate in the next available exam series, the centre will make the entry and special consideration is not applied for

Where other issues or problems affect a candidate or a group of candidates, special consideration is explored and applied for where eligible. This might include, for example:

- requesting an honorary certificate
- a short extension to controlled assessment/coursework/non-examination assessment deadlines
- submitting a reduced quantity of controlled assessment/coursework/non-examination assessment (shortfall in work)
- lost or damaged work
- candidates taking an incorrect or defective question paper
- candidates undertaking the wrong controlled assessment assignment

Processing applications for special consideration

Roles and responsibilities

Head of centre

- Ensures where a candidate may be a relative of the exams officer, the application is authorised by an alternative member of centre staff

Exams officer

- Ensures applications are processed as required by the awarding bodies
- Keeps evidence to support applications on file until after the publication of results and provides evidence in support of an application where this may be requested by an awarding body
- Meets the required deadline(s) for submitting applications

Teaching staff and/or SENCo

- Provide any appropriate evidence or information that may be required to support a candidate's application for special consideration

Candidates (or parents/carers) will

- Provide any required medical or other evidence that may be required to support an application for special consideration

Submitting applications for special consideration

Where a candidate or group of candidates is/are eligible for special consideration applications are submitted to the relevant awarding body following the published processes in SC.

Evidence to support applications is kept on file until after the publication of results.

Timetabled written exams

- For GCE and GCSE qualifications, applications for individual candidates are submitted online by logging into the relevant awarding body secure extranet site and following the links to special consideration
- The processes for submitting a single application to cover all exams *where a candidate is present but disadvantaged* and a separate application for each day *where a candidate is absent from an examination for an acceptable reason* detailed in SC 6 are followed
- For other qualifications, applications are submitted online where the awarding body's secure system accepts these
- The paper form 10 JCQ/SC *Application for special consideration* is only completed and submitted where the online system does not accept applications for a particular qualification
- For groups of candidates, applications are made online where the awarding body's secure system accepts group applications or form 10 will be completed
- The paper form 14 JCQ/ME *Self certification for candidates who have missed an examination* is only completed by a candidate where circumstances warrant this and is not used where the centre knows the candidate was ill

Internally assessed work

- Where appropriate, applications are made online where the awarding body's secure system accepts them or form 10 is completed and submitted
- Where a short extension to a deadline is being requested an application is submitted online or by direct email, dependent on the awarding body
- Where an application relates to a shortfall in work, this is submitted online or by completing form 10, dependent on the awarding body
- Where an application relates to lost or damaged work, this is submitted online or by completing form 15 JCQ/LCW *Notification of lost centre assessed work*, dependent on the awarding body

Appendix 2

Exams Archiving

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period
Access arrangements information	Any hard copy information kept by the EO relating to an access arrangement candidate.	To be returned to SENCo as records owner at end of the candidate's final exam series.	
Attendance register copies		To be retained until the deadline for RoRs or the resolution of any outstanding enquiries/appeals for the relevant exams series.	Confidential disposal
Awarding body administrative guides/manuals		To be retained until the current academic year update is provided.	Recycle
Candidates' work	Non-examination assessment work (inc. controlled assessment/coursework) returned to the centre after awarding body moderation.	To be immediately returned to subject staff as records owner. To be stored safely and securely along with work that did not form part of the moderation sample (including materials stored electronically) until after the deadline for RoRs or the resolution of any outstanding enquiries/appeals or malpractice investigations for the exam series.	Returned to candidates or safe disposal
Certificates		Unclaimed/uncollected certificates to be retained securely for a minimum of 12 months from date of issue. Retained for 7 years	Confidential disposal
Certificate disposal information	A record of unclaimed certificates that have been destroyed.	To be retained for 4 years from the date of certificate disposal.	Confidential disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period
Certificate issue information	A record of certificates that have been issued to candidates.	To be retained for 4 years	Confidential disposal
Confidential materials delivery logs	A log recording confidential materials delivered by awarding bodies to the centre and issued to authorised staff.	To be retained until the deadline for RoRs or the resolution of any outstanding enquiries/appeals for the relevant exams series.	Recycle
Confidential materials tracking logs	A log to track materials taken from or returned to secure storage throughout the time the material is confidential.	To be retained until the deadline for RoRs or the resolution of any outstanding enquiries/appeals for the relevant exams series.	Recycle
Dispatch logs	Proof of dispatch of exam script packages to awarding body examiners covered by the DfE (Standards & Testing Agency) yellow label service	To be retained until the deadline for RoRs or the resolution of any outstanding enquiries/appeals for the relevant exams series.	Recycle
Entry information	Any hard copy information relating to candidates' entries.	To be retained until the deadline for RoRs or the resolution of any outstanding enquiries/appeals for the relevant exams series.	Confidential disposal
Exam question papers	Question papers for timetabled written exams.	Issued to teaching staff after the published finishing time of the exam and only when all candidates in the centre have completed the exam.	
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms.	To be retained until the deadline for RoRs or the resolution of any outstanding enquiries/appeals for the relevant exams series.	Confidential disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period
Exam stationery		When awarding body or JCQ common stationery is considered surplus or is out-of-date it will be disposed of.	Confidential disposal
Examiner reports		To be immediately provided to head of department as records owner.	
Finance information	Copy invoices for exams-related fees.	To be returned to Finance department as records owner at the end of the academic year.	
JCQ publications	Any hard copy publications provided by JCQ.	To be retained until the current academic year update is provided.	Recycle
Moderator reports		To be immediately provided to head of department as records owner.	
Overnight supervision information	Copy of JCQ form <i>Timetable variation and confidentiality declaration for overnight supervision</i> for any candidate eligible for these arrangements.	To be retained for JCQ inspection purposes and destroyed after the deadline for RoRs or the resolution of any outstanding enquiries/appeals for the relevant exams series.	Confidential disposal
Post-results services: confirmation of candidate consent information	Hard copy or email record of candidate consent for an EAR or ATS request to be submitted to an awarding body	RoR consent to be retained for at least six months following the outcome of the enquiry or any subsequent appeal. ATS consent to be retained for at least six months from the date consent given.	Confidential disposal
Post-results services: requests/outcome information	Any hard copy information relating to a post-results service request (RoRs, appeals, ATS) submitted to an awarding body for a candidate and outcome information from the awarding body.	To be retained for at least six months following the outcome of the enquiry or any subsequent appeal	Confidential disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period
Post-results services: scripts returned from ATS service	Copy or original exam scripts returned to the centre by the awarding body.	Where scripts are retained by the centre, they must be securely stored (including any electronic versions) and not edited in any way or disposed of until after the awarding body deadline.	Confidential disposal
Post-results services: tracking logs	A log tracking to resolution all post-results service requests submitted to awarding bodies.	To be kept until the deadline for RoRs and the resolution of any outstanding enquiries/appeals for the relevant exams series.	Confidential disposal
Proof of postage – candidate work	Proof of postage of sample of candidates' work to awarding body moderators.	To be kept until the deadline for RoRs and the resolution of any outstanding enquiries/appeals for the relevant exams series.	Recycle
Resolving clashes information	Any hard copy information relating to the resolution of a candidate's clash of exam papers or a timetable variation.	To be kept until the deadline for RoRs and the resolution of any outstanding enquiries/appeals for the relevant exams series.	Confidential disposal
Results information	Broadsheets of results summarising candidate final grades by subject by exam series.	Records for current year plus previous 2 years to be retained.	Confidential disposal
Seating plans	Plans showing the seating arrangements of all candidates for every exam taken.	To be kept until the deadline for RoRs and the resolution of any outstanding enquiries/appeals for the relevant exams series.	Confidential disposal
Special consideration information	Any hard copy information relating to a special consideration request and supporting evidence submitted to an awarding body for a candidate.	Evidence supporting an on-line special consideration application and evidence supporting a candidate's absence from an exam must be kept until after the publication of results.	Confidential disposal
Suspected malpractice reports/outcomes	Any hard copy information relating to a suspected malpractice investigation/report submitted to an awarding body and outcome information from the awarding body.	Records for current year plus previous 5 years to be retained.	Confidential disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period
Transfer of credit information	Any hard copy information relating to a GCE AS transfer of credit arrangement (for a legacy unitised GCE AS specification) application submitted to an awarding body for a candidate.	To be retained until the issue of the GCE A level result for the candidate.	Confidential disposal
Transferred candidate information	Any hard copy information relating to an application for a transferred candidate arrangement submitted to an awarding body for a candidate.	To be retained until the transfer arrangements are confirmed by the awarding body.	Confidential disposal
Very late arrival reports/outcomes	Any hard copy information relating to a very late arrival report submitted to an awarding body for a candidate and outcome information from the awarding body.	To be retained until the deadline for RoRs or the resolution of any outstanding enquiries/appeals for the relevant exams series.	Confidential disposal