



Exams Policy

2018/19

Key staff involved in the exams policy

Role	Name(s)
Head of centre	Ian Gates
Exams officer line manager (Senior Leader)	Ian Clarke
Exams officer	Tracy Ilott
SENCo	Lindsey Everitt
SLT member(s)	Nick Brockhurst, Ann Clemas, E Zambo

This policy is reviewed annually to ensure compliance with current regulations

Approved/reviewed by	
Ian Clarke, Assistant Head Teacher Tracy Ilott, Exams Officer	
Date of next review	March 2020

Contents

Key staff involved in the exams policy	1
Purpose of the policy	5
Roles and responsibilities overview.....	5
Head of centre declaration.....	6
Exam Contingency Plan	7
Internal Appeals Procedures	7
Disability policy (exams).....	7
Complaints and appeals procedure	7
Child protection/Safeguarding Policy	7
Data protection policy.....	7
Access arrangements policy	8
The exam cycle.....	10
Planning: roles and responsibilities.....	10
Information sharing	10
Information gathering	11
Access arrangements.....	11
Word processor policy (exams).....	12
Separate invigilation within the centre.....	11
Internal assessment and endorsements	12
Controlled assessment policy.....	11
Non-examination assessment policy	12
Invigilation	13
Entries: roles and responsibilities	14
Estimated entries.....	14
Estimated entries collection and submission procedure	14
Final entries	14
Final entries collection and submission procedure	14
Entry fees.....	15
Late entries	15
Candidate statements of entry.....	15
Pre-exams: roles and responsibilities	15
Access arrangements.....	15
Briefing candidates	16
Access to scripts, review of results and appeals procedures.....	16
Dispatch of exam scripts.....	17
Estimated grades	17
Internal assessment and endorsements	17
Invigilation	18

JCQ inspection visit	18
Seating and identifying candidates in exam rooms.....	19
Verifying candidate identity procedure	19
Security of exam materials	19
Timetabling and rooming	19
Centre consortium arrangements.....	18
Alternative site arrangements.....	20
Transferred candidate arrangements.....	20
Internal exams	21
Exam time: roles and responsibilities	21
Access arrangements.....	21
Candidate absence	21
Candidate absence policy.....	21
Candidate behaviour	21
Candidate belongings	21
Candidate late arrival	22
Candidate late arrival policy.....	22
Conducting exams	22
Dispatch of exam scripts.....	22
Exam papers and materials	22
Exam rooms	22
Food and drink in exam rooms	23
Emergency evacuation policy.....	23
Irregularities	24
Managing behaviour	24
Malpractice.....	24
Special consideration.....	24
Special consideration policy.....	24
Unauthorised materials.....	25
Arrangements for unauthorised materials taken into the exam room	25
Internal exams	25
Results and post-results: roles and responsibilities.....	25
Internal assessment.....	25
Managing results day(s).....	25
Results day programme	25
Accessing results.....	26
Post-results services	26
Analysis of results	27
Certificates.....	27

Issue of certificates procedure.....27
Retention of certificates policy27
Exams Review: roles and responsibilities.....27
Retention of records: roles and responsibilities28
Exams archiving policy28

Purpose of the policy

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

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

"... The integrity and security of the examination/assessment system is maintained at all times and is not brought into disrepute." [JCQ General Regulations for Approved Centres ([GR](#)) 1]

- 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.

SLT, Heads of Departments and relevant staff will be given a copy of the Policy.

Relevant information contained in this policy is made accessible to the attention of the candidates by issuing Examination Booklet, Review of marking information and Guidance for Examinations

Roles and responsibilities overview

"The head of centre is the individual who is accountable to the awarding bodies for ensuring that the centre is compliant with the published JCQ regulations and awarding body requirements in order to ensure the security and integrity of the examinations/assessments at all times.

The examinations officer is the person appointed by the head of centre to act on behalf of, and be the main point of contact for, the centre in matters relating to the general administration of awarding body examinations and assessments,

The head of centre may not appoint themselves as the examination officer. A head of centre and an examinations officer are two distinct and separate roles. [[GR](#) 2]

Head of centre

- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:
 - [General regulations for approved centres](#) (GR)
 - [Instructions for conducting examinations](#) (ICE)
 - [Access Arrangements and Reasonable Adjustments](#) (AA)
 - [Suspected Malpractice in Examinations and Assessments](#) (SMEA)
 - [Instructions for conducting non-examination assessments](#) (NEA) (and the instructions for conducting controlled coursework)

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

The signed copy of the 2018/19 declaration Policy is available from Exams Office

- Ensures the exams officer (EO) receives appropriate support from relevant centre staff and enables the EO to attend appropriate training and other events in order to facilitate the effective delivery of exams and assessments within the centre (as example, EO networking events and relevant events offered by awarding bodies, MIS providers and other external providers)
- Ensures a named member of staff acts as the Special Educational Needs Co-ordinator (SENCo)
- Ensures centre staff are supported and appropriately trained to undertake key tasks within the exams process
- Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the EO
- Ensures *"that a teacher who teaches the subject being examined, or a senior member of teaching staff who has had overall responsibility for the candidates preparation for the examination, is not an invigilator during the timetabled written examination or on-screen test..."* [\[ICE 12\]](#)
- Ensures confidentiality and security within the examination process is compliant with and managed according to JCQ and awarding body regulations, guidance and instructions including
 - the location of the centre's secure storage facility in a secure room solely assigned to examinations for the purpose of administering secure examination materials
 - appropriate arrangements are in place to ensure that confidential materials are only delivered to authorised members of centre staff
 - access to the secure room and secure storage facility is restricted to the authorised 2-4 keyholders
 - the relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk
 - that arrangements are in place to check that the correct question paper packets are opened by authorised members of centre staff
- Takes all reasonable steps to prevent the occurrence of any malpractice (which includes maladministration) before, during the course of and after examinations have taken place
- Ensures irregularities are investigated and informs the awarding bodies of any cases of alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, are reported to the awarding body immediately

- Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place (that allow the head of centre to act immediately in the event of an emergency or staff absence)
- Advises on Appeals and re-marks

Exam Contingency Plan

Policy available from Exams Office - *The Examination Contingency Day is Wednesday 26 June 2019. This date is set aside for any major incidents that occur during the examination series, an exam may be re-scheduled to another date within the published timetable. An examination would be re-scheduled only in extremely rare and exceptional circumstances. Once incident which may result in a change of an examination date would be if the security of an examination paper was breached. All students should be available up to and including 26 June 2019.*

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

Internal Appeals Procedures

Policy available from Exams Office

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

Disability policy (exams)

Policy available from Exams Office

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

Complaints and appeals procedure

Policy available from Exams Office

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

Child protection/Safeguarding Policy/DBS

Policy available from Exams Office

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

Data protection policy

Policy available from Exams Office

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

Access arrangements policy

Policy available from Exams Office

- Ensures staff are only entered for qualifications through the centre as a last resort where the member of centre staff is unable to find another centre
- Ensures the relevant awarding bodies are informed of any declaration/conflict of interest where a candidate is being taught, prepared, entered or sitting exams where a relevant member of centre staff has a personal connection to the candidate
- Ensures other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials are briefed on the requirements for maintaining and integrity and confidentiality of the exam materials

“It is the responsibility of the head of centre that their centre informs the awarding bodies, before the published deadline for entries, of any members of centre staff who are either sitting examinations and assessments or teaching and preparing members of their family (which includes step-family, foster family and similar close relationships) or household for examinations and assessment or where members of their family will be sitting examinations and assessments;

Awarding bodies must be informed where members of the family (which includes stepfamily, foster-family and similar close relationships) of exams office staff are being entered for examinations and assessments; whether by the centre itself or a different centre

Note: Heads of centre must note that entering members of centre staff for qualifications at their own centre must be as a last resort in cases where the member of centre staff is unable to find another centre

The head of centre is responsible for ensuring that proper protocols are in place to prevent the member of centre staff having access to examination materials prior to the examination and that other centre staff are briefed on maintaining the integrity and confidentiality of the examination materials

The head of centre must ensure that during the examination series the member of centre staff is treated as per any other candidate entered for that examination, does not have access to examination materials and does not receive any preferential treatment.

Note: If a candidate is entered for an awarding body’s examinations at a centre where a relative is employed, the head of centre must ensure that during the examination series the candidate’s relative does not have unaccompanied access to examination materials. For example, question papers, pre-release materials and answer scripts.

If the relative in question is the centre’s examinations officer, then appropriate arrangements must be made to ensure that another person is present for all of the administrative arrangements relating to the candidate’s examinations. (For example, any application for special consideration must be authorised by a member of centre staff other than the candidate’s relative.)”

[GR 5.3]

- 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

“The examinations officer or quality assurance co-ordinator is the person appointed by a head of centre to act on behalf of the centre in matters relating to the administration of awarding body examinations and assessments.”

[GR 1]

Exams Officer

- Understands the contents of annually updated JCQ publications including:
 - [General regulations for approved centres](#)
 - [Instructions for conducting examinations](#)
 - [Suspected Malpractice in Examinations and Assessments](#)
 - [Post-results services](#) (PRS)
- Is familiar with the contents of annually updated information from awarding bodies on administrative procedures, key tasks, key dates and deadlines
- Ensures key tasks are undertaken and key dates and deadlines met
- Recruits, trains and deploys a team of internal/external invigilators; appoints lead invigilators, as required and keeps a record of the content of training provided to invigilators for the required period
- Supports the head of centre in ensuring that awarding bodies are informed of any declaration/conflict of interest involving candidates and relevant members of centre staff before the published deadline for entries
- Briefs other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials on the requirements for maintaining the integrity and confidentiality of the exam materials

Senior Leaders (SLT)

- Are familiar with the contents, refer to and direct relevant centre staff to annually updated JCQ publications including:
 - [General regulations for approved centres](#)
 - [Instructions for conducting examinations](#)
 - [Access Arrangements and Reasonable Adjustments](#)
 - [Suspected Malpractice in Examinations and Assessments](#)
 - [Instructions for conducting non-examination assessments](#) (and the instructions for conducting coursework)

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 subject and teacher-specific information to confirm effective delivery of qualifications
- Ensures teaching staff attend relevant awarding body training and update events

Teaching Staff

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

Invigilators

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

Reception Staff

- Support the EO in the receipt and dispatch of confidential exam materials and follow the requirements for maintaining the integrity and confidentiality of the exam materials

Site Staff

- Support the EO in relevant matters relating to exam rooms and resources

Candidates

Where applicable in this policy, the term 'candidates' refers to candidates and/or their parents/carers.

The exam cycle

The exams management and administration process that needs to be undertaken for each **exam series** is often referred to as the **exam cycle** and relevant tasks required within this grouped into the following stages:

- planning
- entries
- pre-exams
- exam time
- results and post-results

This policy identifies roles and responsibilities of centre staff within this cycle. Planning: roles and responsibilities

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 GCSE exams

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

SENCo

- Assesses candidates (or works with the appropriate qualified assessor as appointed by the head of centre)
- 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 (CAP), where required or through the awarding body where qualifications sit outside the scope of AAO
- Keeps relevant paperwork and evidence on file for JCQ inspection purposes
- Employs good practice in relation to the Equality Act 2010
- Liaises with the EO regarding exam time arrangements for access arrangement candidates
- Ensures staff appointed to facilitate access arrangements for candidates are appropriately trained and understand the rules of the particular arrangement(s) and keeps a record of the content of training provided to facilitators for the required period

- Provides and annually reviews a centre policy on the **use of word processors** in exams and assessments

Word processor policy (exams)

See Policy in Exam Folder

- Ensures criteria for candidates granted **separate invigilation within the centre** is clear, meets JCQ regulations and best meets the needs of individual candidates and remaining candidates in main exam rooms

Separate Invigilator

Policy available from Exams Office

Senior Leaders, Head of department, Teaching staff

- Support the SENCo in determining and implementing appropriate access arrangements
- Provide a statement for inspection purposes which details the criteria the centre uses to award and allocate word processors for examinations

Internal assessment and endorsements

Head of Centre

- Provides fully qualified teachers to mark non-examination assessments
- Ensures an **internal appeals procedure** relating to internal assessment decisions is in place for a candidate (or parent/carer) to appeal against and request a review of the centre's marking (see Roles and responsibilities overview)
- Ensures a **non-examination assessment policy** including the **management of controlled assessment** is in place for Legacy, new GCSE qualifications which include components of non-examination assessment (For CCEA GCSE centres this would be a controlled assessment policy)

Non-examination assessment policy

Policy available from Exams Office

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

Senior Leaders

- Ensure teaching staff have the necessary and appropriate knowledge, understanding, skills, and training to set tasks, conduct task taking, and to assess, mark and authenticate candidates' work (including where relevant, private candidates)
- Ensure appropriate internal moderation, standardisation and verification processes are in place

Head of Department

- Ensures teaching staff delivering GCSE specifications (which include components of non-examination assessment) follow JCQ [Instructions for conducting non-examination assessments](#) and the specification provided by the awarding body
- For other qualifications, ensures teaching staff follow appropriate instructions issued by the awarding body
- Ensures teaching staff inform candidates of their centre assessed marks as a candidate may request a review of the centre's marking before marks are submitted to the awarding body

Teaching Staff

- Ensure appropriate instructions for conducting internal assessment are followed
- Ensure candidates are aware of JCQ and awarding body information for candidates on producing work that is internally assessed (coursework, non-examination assessments, social media) prior to assessments taking place
- Ensure candidates are informed of their centre assessed marks as a candidate may request a review of the centre's marking before marks are submitted to the awarding body

Exams Officer

- Identifies relevant key dates and administrative processes that need to be followed in relation to internal assessment
- Signposts teaching staff to relevant JCQ *information for candidates* documents that are annually updated

Invigilation

Head of Centre

- Ensures relevant support is provided to the EO in recruiting, training and deploying a team of invigilators
- Ensures, if contracting supply staff to act as invigilators or to facilitate an access arrangement, that such persons are competent and fully trained, understanding what is and what is not permissible
- Determines if additional invigilators will be deployed in timed Art exams in addition to the subject teacher

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 (Using the Exams Office Invigilation Training Programme)
- Ensures invigilators supervising access arrangement candidates understand their role (and the role of a facilitator who may be supporting a candidate) and the rules and regulations of the access arrangement(s)

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

Entries: roles and responsibilities

Estimated entries

Exams Officer

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

Estimated entries collection and submission procedure

Exams Officer will notify all exam boards of necessary estimated entries and submit via exam board website.

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

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

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

Final entries collection and submission procedure

Candidates are selected for their exam entries by Heads of Department and the subject teachers.

Candidates, or parents/carers, can request a subject entry, change of level or withdrawal. The request will then be considered by SLT.

The Centre does not accept entries from external candidates.

Entries will be submitted via A2C

Head of Department

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

Entry fees

The Centre will pay all normal exam fees on behalf of candidates.

Late entry or amendments fees are paid by departments.

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.

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

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 (ensuring that the facilitator appointed meets JCQ requirements and fully understands the rule of the particular access arrangement)
- Where relevant, ensures the necessary and appropriate steps are undertaken to gather an appropriate picture of need and demonstrate normal way of working for a private candidate (including distance learners and home educated candidates) and that the candidate is assessed by the centre's appointed assessor

Briefing candidates

Exams Officer

- Issues individual exam timetable information to candidates and informs candidates of any contingency day awarding bodies may identify in the event of national or local disruption to exams
- Prior to exams issues relevant JCQ information for candidates documents
- Where relevant, issues relevant awarding body information to candidates
- Issues centre exam information to candidates including information on:
 - exam timetable clashes
 - arriving late for an exam
 - absence or illness during exams
 - what equipment is/is not provided by the centre
 - food and drink in exam rooms
 - wrist watches in exam rooms
 - when and how results will be issued and the staff that will be available
 - the post-results services and how the centre deals with requests from candidates
 - when and how certificates will be issued

Access to scripts, reviews of results appeals procedures

Candidates may be requested by centre staff or candidates if there are reasonable grounds for believing there has been an error in marking.

If a result is queried, the Exams Officer, Teaching Staff and Head of Centre will investigate the feasibility of asking for a re-mark at the centre's expense.

When the centre does not uphold an RoR, a candidate may apply to have an enquiry carried out. If a candidate requires this against the advice of the subject teacher, they will be charged.

Students will be required to complete and sign a Request for Script Form and/or an Reviews about Results and Appeals form. Once completed the Exams Officer will apply for Script or Enquires Appeal.

Return of Papers

After the release of results, candidates may ask subject staff to request the return of papers.

Centre staff may also request scripts for investigation or for teaching purposes. For the latter, the consent of

candidates must be obtained.

GCSE re-marks cannot be applied for once a script has been returned.

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

[GR 5.13]

“The centre will... treat all candidates equally, including private candidates, throughout the examination process. This would also extend to post-results services and appeals.”

[GR 5.6]

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

[PRS 4.11]

Dispatch of exam scripts

Exams Officer

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

Estimated grades

Head of Department

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

Exams Officer

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

Internal assessment and endorsements

Head of Centre

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

SENCo

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

Teaching staff

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

Head of department

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

Exams officer

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

Candidates

- Authenticate their work as required by the awarding body

Invigilation

Exams Officer/Deputy Exams Officer

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

SEnCo

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

Invigilators

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

JCQ inspection visit

Exams officer or Senior leader

- Will accompany the Inspector throughout the visit

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

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

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

Policy available from Exams Office

- 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 over 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 record confidential materials delivered to the centre and issued to/received by the centre to the point materials are issued to authorised staff are placing in the secure storage facility

Teaching Staff

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

Timetabling and rooming

Exams Officer

- Produces a master centre exam timetable for each exam series

- Identifies and resolves candidate exam timetable clashes according to the regulations (only applying overnight supervision arrangements in rare and exceptional circumstances and as a last resort)
- Identifies exam rooms and specialist equipment requirements
- Allocates invigilators to exam rooms (or where supervising candidates due to an exam timetable clash) according to required ratios
- Liaises with site staff to ensure exam rooms are set up according to JCQ and awarding body requirements
- Liaises with the SENCo regarding rooming of access arrangement candidates

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

Centre consortium arrangements

Exams Officer

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

Head of department

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

Transferred candidate arrangements

Exams Officer

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

Internal exams

Exams Officer

- Prepares for the conduct of internal exams under external conditions
- Provides a centre exam timetable of subjects and rooms
- Provides seating plans for exam rooms
- Requests internal exam papers from teaching staff
- Arranges invigilation

SENCo

- Liaises with teaching staff to make appropriate arrangements for access arrangement candidates

Teaching staff

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

Exam time: roles and responsibilities

Access arrangements

SENCO

- Provides cover sheets for access arrangement candidates' scripts where required for particular arrangements
- Has a process in place to deal with emergency access arrangements as they arise at the time of exams
 - applies for approval through AAO where required or through the awarding body where qualifications sit outside the scope of AAO

Candidate absence

Candidate absence policy

Policy available from Exams Office

Invigilators

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

Candidates

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

Candidate behaviour

See *Irregularities* below.

Candidate belongings

See *unauthorised materials* below.

Candidate late arrival

Exams Officer

- Ensures that candidates who arrive very late for an exam are reported to the awarding body through CAP to timescale
- Warns candidates that their work may not be accepted by the awarding body

Invigilators

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

Candidate late arrival policy

Policy available from Exams Office

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/Lead Invigilator

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

Exam papers and materials

Exams Officer/Lead Invigilator

- Organises exam question papers and associated confidential resources in date order in the secure facility
- Attaches erratum notices received to relevant exam question paper packets
- Collates attendance registers and examiner details in date order
- Regularly checks mail or email inbox for updates from awarding bodies
- In order to avoid potential breaches of security, ensures prior to question paper packets being opened that another member of staff or an invigilator checks day, date, time subject, unit/component and tier of entry if appropriate, immediately before a question paper packet is opened
- Where allowed by the awarding body, only releases exam papers and materials to teaching departments for teaching and learning purposes after the published finishing time of the exam, or until any timetable clash candidates have completed the exam

Exam rooms

Head of Centre

- Ensures that on the day of the exam, relevant internal tests, mock exams, revision or coaching sessions for the exam candidates will not be held in the designated exam room(s)
- Ensures only authorised centre staff are present in exam rooms
- Ensures the centre's policy information relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates (via the student exam handbook)

Food and drink in exam rooms

The Head of Centre has ruled that only clear water can be taken into the examination room and must be in a clear bottle with all labels removed. No food is allowed in the examination room unless for medical reasons (i.e. Diabetic) which should be identified prior to the exam session. All food in this case should be in clear bags and without wrappers.

Exams Officer

- Ensures exam rooms are set up and conducted as required in the regulations
- Provides invigilators with appropriate resources to effectively conduct exams
- Briefs invigilators on exams to be conducted on a session by session basis (including the arrangements in place for any transferred candidates and access arrangement candidates)
- Ensures sole invigilators have an appropriate means of summoning assistance
- Ensures invigilators understand how to deal with candidates who may need to leave the exam room temporarily
- Provides authorised exam materials which candidates are not expected to provide themselves
- Ensures invigilators and candidates are aware of the emergency evacuation procedure
- Ensures invigilators are aware of arrangements in place for a candidate with a disability who may need assistance if an exam room is evacuated

Senior Leaders

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

Emergency evacuation policy

Policy available from Exams Office

Site Staff

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

Invigilators

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

Candidates

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

Irregularities

Head of Centre

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

Managing behaviour

The head of centre has the authority to remove a candidate from the examination room, but should only do so if the candidate would disrupt others by remaining in the room.

Senior Leaders

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

Exams Officer

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

Invigilators

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

Malpractice

See *Irregularities* above.

Special consideration

Exams Officer

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

Special consideration policy

Policy available from Exams Office

Candidates

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

Unauthorised materials

Arrangements for unauthorised materials taken into the exam room

- Any unauthorised items that have been taken into the examination room must be placed out of reach of the candidates (and not under their desks) before the examination starts. This would normally be at the front of the examination room or a similar arrangement that enables the invigilator to control access to the items.
- The invigilator, prior to the examination starting, must ensure that candidates have removed their wrist watches, placing them on their desks.

Invigilators

- Are informed of the arrangements through training

Internal exams

Exams Officer

- Briefs invigilators on conducting internal exams
- Returns candidate scripts to teaching staff for marking

Invigilators

- Conduct internal exams as briefed by the EO

Results and post-results: roles and responsibilities

Internal assessment

Head of Department

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

Managing results day(s)

Senior Leaders

- Identify centre staff who will be involved in the main summer results day(s) and their role
- Ensures senior members of staff are accessible to candidates after the publication of results so that results may be discussed and decisions made on the submission of any requests for post-results services and ensures candidates are informed of the periods during which centre staff will be available so that they may plan accordingly

Exams Officer

- Works with senior leaders to ensure procedures for managing the main summer results day(s) (a results day programme) are in place

Results day programme

- Results will be available on Results day (22 August 2019) from 9.00am until 10.30am.
- Results will be printed off and placed in a sealed envelope addressed to the candidate along with details regarding Review of Results in the letter enclosed with results
- Results must be signed for by the candidate or with written confirmation from the candidate by parents/carers.

Site Staff

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

Accessing results

Head of Centre

- Ensures results are kept entirely confidential and restricted to key members of staff until the official dates and times of release of results to candidates

Exams Officer

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

Post-results services

Head of Centre

- Ensures an **internal appeals procedure** is available where candidates disagree with any centre decision not to support a clerical check, a review of marking, a review of moderation or an appeal
- Understands that in the event of an awarding body initiating an *extended review of marking*, candidates' marks and subject grades may be lowered, confirmed or raised

Exams Officer

- Provides information to candidates (including private candidates) and staff on the services provided by awarding bodies and the fees charged (see also above *Briefing candidates* and *Access to scripts, enquiries about results and appeals procedures*)
- Publishes internal deadlines for requesting the services to ensure the external deadlines can be effectively met
- Provides a process to record requests for services and collect candidate informed consent (**after** the publication of results) and fees where relevant
- Submits requests to awarding bodies to meet the external deadline
- Tracks requests to conclusion and informs candidates and relevant centre staff of outcomes
- Updates centre results information, where applicable

Teaching Staff

- Meet internal deadlines to request the services and gain relevant candidate informed consent
- Identify the budget to which fees should be charged

Candidates

- Meet internal deadlines to request the services
- Provide informed consent and fees, where relevant

Analysis of results

SLT

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

Certificates

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

Issue of certificates procedure

- Detail the records kept of certificates that have been issued
- Certificates are checked against the candidates results slip and placed into individual folders
- Certificates are kept in a locked cupboard until Certificate Presentation

Candidates

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

Retention of certificates policy

- Uncollected candidates certificates are archived and messages sent to the candidate/parents reminding them to collect the certificates
- All certificates must be signed for

Exams Review: roles and responsibilities

Exams Officer

- Provides SLT with an overview of the exam year, highlighting what went well and what could be developed/improved in terms of exams management and administrative processes within the stages of the exam cycle
- Collects and evaluates feedback from staff, candidates and invigilators to inform an exams review

Senior Leaders

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

Retention of records: roles and responsibilities

Exams Officer

- Keeps records as required by JCQ and awarding bodies for the required period
- Keeps records as required by the centre's records management policy
- Provides an exams archiving policy that identifies information held, retention period and method of disposal Exams archiving policy

Policy available from Exams Office