



STANGROUND ACADEMY

STA Exams Policy

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Key staff involved in the exams policy

Role	Name(s)
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Exams Manager line manager (Senior leader)	David Bruce
Exams Manager	Nikki Cooke
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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 and in compliance with the published JCQ regulations and awarding body requirements.

This exam policy will ensure that:

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

This policy is reviewed annually to ensure ways of working in the centre are accurately reflected and that exams and assessments are conducted to current JCQ (and awarding body) regulations, instructions and guidance.

This policy will be communicated to all relevant centre staff.

Roles and responsibilities overview

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

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

The head of centre may not appoint themselves as the Examinations officer/Manager/manager. A head of centre and an Examinations officer/Manager/manager are two distinct and separate roles. (GR 2)

Head of Centre responsibilities

The 'head of centre' is the most senior operational officer in the organisation. This may be the headteacher of a school, the principal of a college, the Chief Executive Officer of an Academy Trust or the Managing Director of a company or training provider. It is the responsibility of the head of centre to ensure that all staff comply with the instructions in this booklet.

Head of centre

- ☐ Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:
 - o General Regulations for Approved Centres (GR)
 - o Instructions for Conducting Examinations (ICE)
 - o Access Arrangements and Reasonable Adjustments (AA)
 - o Suspected Malpractice - Policies and Procedures (SM)
 - o Instructions for conducting non-examination assessments (NEA) (and the instructions for conducting coursework)
 - o A guide to the special consideration process (SC)

- ☐ Ensures the centre has appropriate accommodation to support the size of the cohorts being taught including appropriate accommodation for candidates requiring access arrangements for exams and assessments

National Centre Number Register

- ☐ Takes responsibility for confirming, on an annual basis, that they are aware of and adhering to the latest version of the JCQ's regulations by responding to the head of centre's declaration which is managed as part of the National Centre Number Register (NCNR) annual update
- ☐ Understands that this responsibility cannot be delegated to a member of the senior leadership team or the Examinations officer/Manager, and acknowledges that failure to respond to the NCNR annual update, and/or the head of centre's declaration, will result in:
 - o the centre status being suspended
 - o the centre not being able to submit examination entries
 - o the centre not receiving or being able to access question papers

Recruitment, selection and training of staff

- ☐ Retains a workforce of an appropriate size and competence, including sufficient managerial and other resource, to undertake the delivery of the qualification as required by an awarding body. This includes taking reasonable steps to ensure occupational competence where this is required for the assessment of specific qualifications
- ☐ Provides fully qualified teachers to mark non-examination assessments, and/or fully qualified assessors for the verification of centre-assessed components
- ☐ Enables the relevant senior leader(s), the Examinations Manager (EM) and the SENCo to receive appropriate training and support in order to facilitate the effective delivery of examinations and assessments within the centre, and ensure compliance with the published JCQ regulations
- ☐ Appoints a SENCo who will determine appropriate arrangements for candidates with learning difficulties and disabilities

Internal governance arrangements

- ☐ Has in place a written escalation process (detailed below) should the head of centre, or a member of the senior leadership team with oversight of examination administration, be absent

Escalation Process

It is the responsibility of the **head of centre** to ensure that his/her centre... has in place a written escalation process should the head of centre, or a member of the senior leadership team with

The Head of Centre has two deputy Principals who are trained and able to cover the role of Principal should the Principal not be available for a period of time.

The exam boards/NCN would be notified in the event of an extended or permanent absence and one of the deputy Principals would be assigned user permissions on the boards' sites.

If the Assistant Principal is unable to carry out their duties, then the Deputy Principal would take on the additional role.

The Exams Manager reports to an Assistant Principal who reports to a Deputy Principal, both of whom are familiar with aspects of examination administration and would be supported by the Exams Assistant (EA).

oversight of examination administration, be absent (GR 5.3)

- ☐ Has in place a member of the senior leadership team who will provide support and guidance to the Examinations officer/Manager and ensure that the integrity and security of examinations and assessments is maintained throughout an examination series
- ☐ Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the EM
- ☐ Makes sure that a teacher, a tutor or a senior member of centre staff who teaches the subject being examined, is not an invigilator during an examination

Delivery of qualifications

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

Public liability

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

Security of assessment materials

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

- ☐ Ensures irregularities are investigated and informs the awarding bodies of any cases of alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, are reported to the awarding body immediately
- ☐ Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place (that allow the senior leadership team to act immediately in the event of an emergency or staff absence)

Exam Contingency Plan

It is the responsibility of the head of centre to ensure that his/her centre... has in place the following policies available for inspection... a written examination contingency plan which covers all aspects of examination administration. This will allow members of the senior leadership team to act immediately in the event of an emergency or staff absence. The examination contingency plan should reinforce procedures in the event of the centre being unavailable for examinations, or on results day, owing to an unforeseen emergency (GR 5.3)

Internal Appeals Procedures

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

The centre will... have in place and be available for inspection purposes, a **written** internal appeals procedure relating to internal assessment decisions and to ensure that details of this procedure are communicated, made widely available and accessible to all candidates... (GR 5.7)

...have available for inspection purposes and draw to the attention of candidates and their parents/carers, a **written** internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support a clerical re-check, a review of marking, a review of moderation or an appeal... (GR 5.13)

Equalities Policy

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

It is the responsibility of the **head of centre** to ensure that his/her centre... has in place the following policies available for inspection... a written equalities policy

...delivers qualifications, as required by the awarding body, in accordance with relevant equality legislation. This includes but is not limited to ensuring that qualifications are made available to all candidates capable of undertaking them and seeking reasonable adjustments for disabled candidates

The head of centre/senior leadership team will... recognise its duties towards disabled candidates, including private candidates, as defined under the terms of the Equality Act 2010†. This **must** include a duty to explore and provide access to suitable courses, through the access arrangements process submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates;

†for any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect (GR 5.3, 5.4)

Complaints and Appeals Procedure (Exams)

- ☒ 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

The centre will... draw to the attention of candidates and their parents/carers their written complaints and appeals procedure which will cover general complaints regarding the centre's delivery or administration of a qualification. (GR 5.8)

Child Protection/Safeguarding Policy

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

It is the responsibility of the **head of centre** to ensure that his/her centre... has in place the following policies available for inspection... a written child protection/safeguarding policy, including Disclosure and Barring Service (DBS) clearance, which satisfies current legislative requirements... (GR 5.3)

Data Protection Policy

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

It is the responsibility of the **head of centre** to ensure that his/her centre... has in place the following policies available for inspection... a written data protection policy (GR 5.3)

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

Legislation on sharing information

Under the principles of the General Data Protection Regulations 2018 and the Data Protection Act 2018, children and young adults can assume control over their personal information and restrict access to it from the age of 13. This suggests that candidate consent should be sought to share results or other exams-related information with a third party.

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

- Understanding and dealing with issues relating to parental responsibility
www.gov.uk/government/publications/dealing-with-issues-relating-to-parental-responsibility/understanding-and-dealing-with-issues-relating-to-parental-responsibility

- School reports on pupil performance www.gov.uk/guidance/school-reports-on-pupil-performance-guide-for-headteachers

Publication of exam results

Refer to ICO (Information Commissioner's Office) Schools, universities and colleges information and Exam results

Access Arrangements Policy

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

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

The procedure for checking the qualifications of the centre's assessor is documented by the EM and held centrally in the Exams Office and publicised on the Stanground Academy website under the parents / exams tab.

Conflicts of interest

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

It is the responsibility of the head of centre to ensure that his/her centre... manages Conflicts of Interest by informing the awarding bodies, before the published deadline for entries, of:

- any members of centre staff who are taking qualifications at their own centre which include internally assessed components/units;
- any members of centre staff who are teaching and preparing members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) for qualifications which include internally assessed components/units; and maintains clear records of all instances where:

- exams office staff have members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) being entered for examinations and assessments either at the centre itself or other centres;
- centre staff are taking qualifications at their centre which do not include internally assessed components/units;
- centre staff are taking qualifications at other centres.

The head of centre **must** ensure that the records include details of the measures taken to mitigate any potential risk to the integrity of the qualifications affected.

The records may be inspected by a JCQ Centre Inspector and/or awarding body staff. They might be requested in the event of concerns being reported to an awarding body. The records **must** be retained until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.

Heads of centre should 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 in the same way as any other candidate entered for that examination, does not have access to examination materials and does not receive any preferential treatment. (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

Centre inspections

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

Exams Manager

- ☒ Understands the contents of annually updated JCQ publications including:
 - o General Regulations for Approved Centres
 - o Instructions for Conducting Examinations
 - o Suspected Malpractice - Policies and Procedures
 - o Post-results services (PRS)
 - o A guide to the special consideration process

- ☐ Completes/submits the National Centre Number Register annual update (administered on behalf of the JCQ member awarding bodies by OCR <https://ocr.org.uk/administration/ncn-annual-update/>) by the end of October each year
- ☐ Is familiar with the contents of annually updated information from awarding bodies on administrative procedures, key tasks, key dates and deadlines
- ☐ Ensures key tasks are undertaken and key dates and deadlines met
- ☐ Recruits, trains and deploys a team of internal/external invigilators; appoints lead invigilators, as required and keeps a record of the content of training provided to invigilators for the required period
- ☐ Works with the SENCo to ensure invigilators supervising access arrangement candidates and those acting as a facilitator supporting access arrangement candidates fully understand the respective role and what is and what is not permissible in the exam room
- ☐ Supports the head of centre in ensuring that awarding bodies are informed of any Conflict of Interest declared by members of centre staff and in maintaining records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected before the published deadline for entries
- ☐ Briefs other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials on the requirements for maintaining the integrity and confidentiality of the exam materials

Senior leaders

- ☐ Are familiar with the contents, refer to and direct relevant centre staff to annually updated JCQ publications including:
 - o General Regulations for Approved Centres
 - o Instructions for Conducting Examinations
 - o Access Arrangements and Reasonable Adjustments
 - o Suspected Malpractice - Policies and Procedures
 - o Instructions for conducting non-examination assessments (and the instructions for conducting coursework)
 - o A guide to the special consideration process

Special educational needs co-ordinator (SENCo)

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

Senior leaders

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

Teaching staff

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

Invigilators

- ☐ Attend/undertake training, 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 EM 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 EM in relevant matters relating to exam rooms and resources

Candidates

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

The exam cycle

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

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

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

Planning: roles and responsibilities

Information sharing

Head of centre

- ☐ Directs relevant centre staff to annually updated JCQ publications including GR, ICE, AA, SM, NEA (and the instructions for conducting coursework) and SC

Exams Manager

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

Information gathering

Exams Manager

- ☐ 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)

Senior leaders

- ☐ Respond (or ensure teaching staff respond) to requests from the EM on information gathering
- ☐ Meet the internal deadline for the return of information
- ☐ Inform the EM of any changes to information in a timely manner minimising the risk of late or other penalty fees being incurred by an awarding body
- ☐ Note the internal deadlines in the annual exams plan and direct 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 appropriately qualified assessor as appointed by the head of centre) to identify access arrangements requirements
- ☐ Gathers **evidence** to support the need for access arrangements for a candidate
- ☐ Liaises with teaching staff to gather evidence of **normal way of working** of an affected candidate
- ☐ Determines candidate eligibility for arrangements or adjustments that are centre-delegated
- ☐ Gathers signed **Personal data consent, Privacy Notice (AAO) and Data Protection confirmation** forms (from candidates where required)
- ☐ Applies for **approval** through **Access arrangements online (AAO)** via the **Centre Admin Portal (CAP)**, where required or through the awarding body where qualifications sit outside the scope of AAO
- ☐ Keeps a file for each candidate for JCQ inspection purposes containing all the required documentation (if documentation is stored electronically, an e-folder must be created for each individual candidate. The candidate's e-folder must hold each of the required documents for inspection)
- ☐ Employs good practice in relation to the Equality Act 2010
- ☐ Liaises with the EM regarding exam time arrangements for access arrangement candidates
- ☐ Ensures staff appointed to facilitate access arrangements for candidates are appropriately trained and understand the rules of the particular arrangement(s) and keeps a record of the content of training provided to facilitators for the required period
- ☐ Works with the EM to ensure invigilators and those acting as a facilitator fully understand the respective role and what is and what is not permissible in the exam room
- ☐ Provides and annually reviews a centre policy on the **use of word processors** in exams and assessments

Word Processor Policy (Exams)

A centre must have a policy on the use of word processors. A word processor cannot simply be granted to a candidate because he/she now wants to type rather than write in examinations or can work faster on a keyboard, or because he/she uses a laptop at home.

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

The centre may wish to set out the particular types of candidates which it considers would benefit from the use of a word processor.

A member of the centre's senior leadership team must produce a statement for inspection purposes which details the criteria the centre uses to award and allocate word processors for examinations. (AA 5.8)

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

Separate Invigilation Policy

The SENCo must make their decision 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.

For example, in the case of separate invigilation, the candidate's difficulties are established within the centre (see Chapter 4, paragraph 4.1.4) and known to a Form Tutor, a Head of Year, the SENCo or a senior member of staff with pastoral responsibilities.

Separate invigilation reflects the candidate's normal way of working in internal school tests and mock examinations as a consequence of a long-term medical condition or long term social, mental or emotional needs. (AA 5.16)

The SENCo, or an equivalent member of staff within a FE college, must ensure that the proposed access arrangement does not disadvantage or advantage the candidate. (AA 4.2.1)

A candidate may only take their examinations under separate invigilation within the centre where he/she has an **established difficulty**

Where candidates are subject to separate invigilation within the centre, the regulations and guidance within this booklet must always be adhered to. This is particularly so in relation to accommodation and invigilation arrangements (

This is incorporated within the access arrangements policy.

Medical evidence is always sought and taken into account to support a case for a small room, which is generally preferable for students/centre to a separate room.

Senior leaders, 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

Controlled assessments, coursework and non-examination assessments

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

- ☐ Ensures an **internal appeals procedure** relating to internal assessment decisions is in place for a candidate to appeal against and request a review of the centre's marking (see Roles and responsibilities overview)
- ☐ Ensures a **non-examination assessment policy** is in place for GCE and GCSE qualifications which include components of non-examination assessment (For CCEA GCSE centres this would be a controlled assessment policy)

Non-examination Assessment Policy

The centre will... have in place and be available for inspection purposes, a **written** policy with regard to the management of GCE and GCSE non-examination assessments; (For CCEA GCSE centres this would be a **written** controlled assessments policy.) (GR 5.7)

The JCQ requires each centre to have a non-examination assessment policy in place:

- ☐ to cover procedures for planning and managing non-examination assessments;
- ☐ to define staff roles and responsibilities with respect to non-examination assessments;
- ☐ to manage risks associated with non-examination assessments.

A JCQ Centre Inspector will ask the Examinations officer/Manager to confirm that such a policy is in place. The guidance provided in this document will help the head of centre to ensure that the centre's policy is fit for purpose. The policy will need to cover all types of non-examination assessment.

Additionally, each centre must have available for inspection an internal appeals procedure relating to internal assessment decisions. (NEA 1)

- ☐ 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
- ☐ Ensure teaching staff delivering AQA Applied General qualifications, OCR Cambridge Nationals, Entry Level Certificate or Project qualifications (and CCEA GCE unitised AS and A-level qualifications WJEC GCE legacy AS and A-level Health & Social Care) follow JCQ Instructions for conducting coursework and the specification provided by the awarding body
- ☐ Ensure teaching staff delivering GCE & GCSE specifications (which include components of non-examination assessment) follow JCQ Instructions for conducting non-examination assessments and the specification provided by the awarding body
- ☐ For other qualifications, ensure teaching staff follow appropriate instructions issued by the awarding body
- ☐ Ensure teaching staff inform candidates of their centre assessed marks as a candidate may request a review of the centre's marking before marks are submitted to the awarding 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 Manager

- ☐ 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 EM in recruiting, training and deploying a team of invigilators
- ☐ Ensures, if contracting supply staff to act as invigilators, that such persons are competent and fully trained, understanding what is and what is not permissible (and not taking on its own an assurance from a recruitment agency, that this is the case)
- ☐ Determines if additional invigilators will be deployed in timed Art exams in addition to the subject teacher to ensure the supervision of candidates is maintained at all times

Exams Manager

- ☐ Recruits additional invigilators where required to effectively cover all exam periods/series throughout the academic year
- ☐ Collects information on new recruits to identify if they have invigilated previously and if any current maladministration/malpractice sanctions are applied to them
- ☐ Provides training for new invigilators on the instructions for conducting exams and an annual update for the existing invigilation team so that they are aware of any changes in a new academic year before they are allocated to invigilate an exam
- ☐ Ensures invigilators supervising access arrangement candidates understand their role (and the role of a facilitator who may be supporting a candidate) and the rules and regulations of the access arrangement(s)
- ☐ Ensures invigilators are briefed on the access arrangement candidates in their exam room and made aware of the access arrangement(s) awarded (ensuring 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 Manager

- ☐ 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

Estimated entries information is logged with exam boards early each academic year. It is collected from Heads of Department via the Course / Exams Information spreadsheet and summarised for use.

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

Senior leaders

- ☒ Provide entry information requested by the EM to the internal deadline
- ☒ Inform the EM immediately of any subsequent changes to entry information

Final entries Exams

Manager

- ☒ 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
- ☒ Observes each awarding body's terms and conditions for the entry and withdrawal of candidates for their examinations and assessments

Final entries collection and submission procedure

Final exam entry information is provided via A2C having been collected in our MIS (SIMS system). It is transferred to the exam boards a week before the exam board's deadline. It is collected via marksheets, signed off by Heads of Department based upon information provided at the start of the year in the course / exam information spreadsheet. Several layers of checks are performed by Exams Office staff to ensure accuracy and completeness.

Senior leaders

- ☒ Provide information requested by the EM to the internal deadline
- ☒ Inform the EM immediately, or at the very least prior to the deadlines, of any subsequent changes to final entry information, which includes
 - o changes to candidate personal details
 - o amendments to existing entries
 - o withdrawals of existing entries
- ☒ Check final entry submission information provided by the EM and confirms information is correct

Entry fees

The exams budget is monitored carefully by the Exams Manager and purchase orders are raised for all large spend items, with are counter signed by SLT. Invoices are checked and signed off against these purchase orders.

Late entries Exams

Manager

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

Senior leaders

- ☒ Minimise the risk of late entries by

- o following procedures identified by the EM in relation to making final entries on time
- o meeting internal deadlines identified by the EM for making final entries

Re-sit entries

Re-sit exam entry information is provided via A2C having been collected in our MIS (SIMS system). It is transferred to the exam boards a week before the exam board's deadline. It is collected via marksheets, signed off by Heads of Department based upon information provided at the start of the year in the course / exam information spreadsheet. Several layers of checks are performed by Exams Office staff to ensure accuracy and completeness. An Assistant Principal has been newly appointed to manage the vocational and technical qualifications within centre and so will have an overview of all resit entries.

Private candidates

The centre does not accept private or external candidates unless they have been a former student at the Academy. Each request is managed by the Exams Manager and directed through a member of SLT. External candidates are encouraged to complete exam entry paperwork and make payment for their exams before entries are made on their behalf. The information for parents / candidates book is issued to them along with specific exam information and their personalised exam timetable. Liaison with the SENCo regarding any access arrangements and reasonable adjustments required by a private candidate is undertaken at the earliest possible opportunity.

Candidate statements of entry

Exams Manager

- ☐ Provides candidates with statements of entry for checking

Teaching staff

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

Candidates

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

Pre-exams: roles and responsibilities Access

arrangements

SENCo

- ☐ Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access to exams/assessments for candidates where they are disabled within the meaning of the Equality Act (unless a temporary emergency arrangement is required at the time of an exam)
- ☐ Ensures a candidate is involved in any decisions about arrangements, adjustments and /or adaptations that may be put in place for him/her
- ☐ Ensures exam information (JCQ information for candidates, 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 Manager

- ☐ Creates a booklet annually at the start of the academic year entitled 'information for parents and candidates' which includes all relevant, important and necessary information
- ☐ Issues individual exam timetable information to candidates and informs candidates of any contingency day awarding bodies may identify in the event of national or significant 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:
 - o exam timetable clashes
 - o arriving late for an exam
 - o absence or illness during exams
 - o what equipment is/is not provided by the centre
 - o food and drink in exam rooms
 - o wrist watches in exam rooms
 - o when and how results will be issued and the staff that will be available
 - o the post-results services and how the centre deals with requests from candidates
 - o when and how certificates will be issued

Access to Scripts, Reviews of Results and Appeals Procedures

The centre will... have in place written procedures for how it will deal with candidates' requests for access to scripts, clerical re-checks, reviews of marking, reviews of moderation 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)

Dispatch of exam scripts

Exams Manager

- ☐ Identifies and confirms arrangements for the dispatch of candidate exam scripts with the DfE (STA) 'yellow label service' or the awarding body where qualifications sit outside the scope of the service

Estimated grades

Senior leaders

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

Exams Manager

- ☐ 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

Senior leaders

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

Exams Manager

- ☐ 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

Manager

- ☐ Provides an annually reviewed/updated invigilator room pack for invigilators, trains new invigilators on appointment and updates experienced invigilators on any regulation changes
- ☐ 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 EM regarding facilitation and invigilation of access arrangement candidates

Invigilators

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

JCQ Centre Inspections

Exams Manager or Senior leader

- ☐ Will accompany the Inspector throughout a 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 arrangement candidates and address any questions the inspector may raise
- ☐ Ensures that information is readily available for inspection at the venue where the candidate is taking the exam(s)

Seating and identifying candidates in exam rooms Exams

Manager

- ☐ Ensures a procedure is in place to verify candidate identity including private candidates

Candidate Identification Procedure

The centre will... verify the identity of all students that they enter for examinations or assessments. The centre must be satisfied that all candidate identities have been checked, whether as part of the initial registration process, or in the case of private candidates through a verification process which involves photo-ID (GR 5.6)

The centre will... have in place written procedures to verify the identity of all candidates at the time of the examination or assessment... (GR 5.9)

Invigilators must establish the identity of all candidates sitting examinations.

A private/external candidate or a transferred candidate who is not known to the school or college must show photographic documentary evidence to prove that he/she is the same person who entered/registered for the examination/assessment, e.g. passport or photographic driving licence.

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

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

Invigilators must be informed of those candidates with access arrangements and must be made aware of the access arrangement(s) awarded. (ICE 16)

Photographic desk cards are provided for all exams. Invigilators check these when doing the register at the start of the exam. We use same seat throughout for mocks/PPEs and real exams for year 10 and year 11 so Invigilators are familiar with candidates and their seating requirements. External or transferred candidates are informed that they must bring in a suitable form of photographic ID and place it on their desk for the Invigilator to confirm their identity.

A SIMS report is provided for each room for each exam which states what access arrangements students have in their exams.

- ☐ Ensures invigilators are aware of the procedure
- ☐ Provides seating plans for exam rooms according to JCQ and awarding body requirements (and ensures candidates with access arrangements are identified on the seating plan and invigilators are informed of

those candidates with access arrangements and made aware of the access arrangement(s) awarded)

Invigilators

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

Security of exam materials

Exams Manager

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

Reception staff

- ☒ Follow the process to log confidential materials delivered to/received by the centre to the point materials are issued to authorised staff for transferal to the secure storage facility

Teaching staff

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

Timetabling and rooming

Exams Manager

- ☒ Produces a master centre exam timetable for each exam series
- ☒ Identifies and resolves candidate exam timetable clashes according to the regulations (only applying overnight supervision arrangements as a last resort, once all other options have been exhausted and according to the centre's policy)

Overnight Supervision Arrangements Policy

Overnight supervision arrangements should only be applied as a last resort and once all other options have been exhausted...

...candidates may, at the centre's discretion, be allowed to take an examination the following morning, including Saturdays (see paragraph 8.5). Candidates are not allowed to take examinations on an earlier day than that scheduled on the timetable...

The overnight supervision arrangements must ensure that the candidate does not have advance warning of the content of the examination deferred until the following morning. This means the candidate must not meet or communicate with anyone who may have knowledge of the content. This includes any form of electronic communication/storage device, e.g. telephone (both landline and mobile), e-mail, internet

and social media. It also extends to television and radio, which could report key details of the day's examinations.

The JCQ Overnight Supervision and Overnight Supervision Declaration forms must be completed before the overnight supervision is to commence. The JCQ Overnight Supervision form is completed online using the Centre Admin Portal (CAP). The JCQ Overnight Supervision Declaration form is downloaded from the Centre Admin Portal (CAP) for signing by the candidate, the supervisor and the head of centre. (ICE 8)

Where candidates are identified with clashes that meet the criteria for overnight supervision, they are called to a meeting to discuss the options and rules and paperwork provided should they wish to go ahead with supervision. Parents are contacted to confirm that they will collect, supervise and return the candidate meeting all JCQ rules.

- ☐ 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 EM 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 EM to ensure exam rooms are set up according to JCQ and awarding body requirements

Alternative site arrangements

Exams Manager

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

Centre consortium arrangements

Exams Manager

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

Senior leaders

- ☐ Inform the EM of any joint teaching arrangements in place and where the centre is acting as the consortium co-ordinator

Transferred candidate arrangements Exams

Manager

- ☐ 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 Manager

- ☐ 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 EM
- ☐ Support the SENCo in making appropriate arrangements for access arrangement candidates

Exam time: roles and responsibilities Access

arrangements

Exams Manager

- ☐ 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
 - o 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

Once candidates are seated and have started the examination, complete the attendance register. This will allow for the identification of absent candidates who can be contacted as to their whereabouts. (ICE 22)

Exam room absentees are noted on the seating plan which is collected at the start of the exam from each room by the Exams Assistant/Manager. These are taken to the attendance team and compared to the pre-registration paperwork. Students who are absent due to medical reasons are emailed the JCQ absence paperwork to complete and asked to provide the necessary evidence to support a special consideration request to the exam board.

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 items* below.

Candidate late arrival

Exams Manager

- ☐ Ensures that candidates who arrive very late for an exam are reported to the awarding body by submitting a report on candidate admitted very late to examination room through CAP to timescale
- ☐ Warns candidates that their script 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

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

A candidate who arrives late and is permitted by the centre to sit the examination, must be allowed the full time for the examination. (ICE 21)

Candidates who arrive up to an hour late to exams are allowed to enter the exam room and are allowed the additional time, should they wish to take it. They are briefed on entry to the exam room and escorted to their seat, given their individual exam timings on a post it note which is put on the top corner of the desk. Candidates who arrive very late for an exam are held at Reception and the Exams staff speak to them to see what contact/communication they may have had/not had during the exam time. Staff ask for a reason for the late attendance and discuss the process of informing the exam board and inform the student that their paper may/may not be accepted by the exam board. A very late form is submitted to the exam board by the Exams Manager.

Conducting exams

Head of centre

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

Exams Manager

- ☐ 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 Manager

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

Exam papers and materials

Exams Manager

- ☐ Organises exam question papers and associated confidential resources in date order in the secure storage facility
- ☐ Attaches erratum notices received to relevant exam question paper packets
- ☐ Collates attendance registers and examiner details in date order
- ☐ Regularly checks mail or email inbox for updates from awarding bodies
- ☐ In order to avoid potential breaches of security, ensures care is taken to ensure the correct question paper packets are opened by ensuring a member of centre staff, additional to the

person removing the papers from secure storage, e.g. an invigilator, checks the day, date, time, subject, unit/component and tier of entry, if appropriate, immediately before a question paper packet is opened

- ☐ Ensures this additional/second check is recorded
- ☐ Where allowed by the awarding body, only releases exam papers and materials to teaching departments for teaching and learning purposes after the published finishing time of the exam, or until any timetable clash candidates have completed the exam

Exam rooms

Head of centre

- ☐ Ensures that internal tests, mock exams, revision or coaching sessions are not conducted in a room 'designated' as an exam room
- ☐ Ensures that when a room is 'designated' as an exam room it is not used for any purpose other than conducting external exams
- ☐ Ensures only approved centre staff (who have not taught the subject being examined) are present in exam rooms to perform permitted tasks
- ☐ Ensures the centre's policy relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates
- ☐ Ensures the centre's policy on candidates leaving the exam room temporarily is clearly communicated to candidates

Food and Drink Policy (Exams)

Food and drink may be allowed in the examination room at the discretion of the head of centre. However, this is on the condition that any food or drink brought into the examination room whether by the candidate or the centre is free from packaging and all labels are removed from drink containers (ICE 18)

It is the centre's policy to only allow water in clear containers without packaging into exam rooms.

Leaving the Examination Room Policy

Candidates who are allowed to leave the examination room temporarily must be accompanied by a member of centre staff. This must not be the candidate's subject teacher or a subject expert for the examination in question. Those candidates may be allowed extra time at the discretion of the centre to compensate for their temporary absence. (ICE 23)

Students needing to leave the exam room during an exam are escorted by an Invigilator or member of centre staff, usually one of the exams team who are telephoned and may take a short time to respond. All absences are recorded and time allowed back at the discretion of the Exams Manager for longer absences or medical needs.

Exams Manager

- ☐ Ensures exam rooms are set up and conducted as required in the regulations
- ☐ Provides invigilators with appropriate resources to effectively conduct exams
- ☐ Briefs invigilators on exams to be conducted on a session by session basis (including the arrangements in place for any transferred candidates and access arrangement candidates)
- ☐ Ensures sole invigilators have an appropriate means of summoning assistance (if this is a mobile phone, instructs the invigilator that this must be on silent mode)
- ☐ Ensures invigilators understand they must be vigilant and remain aware of incidents or emerging situations, looking out for malpractice or candidates who may be in distress, recording any incidents or issues on the exam room incident log
- ☐ Ensures invigilators understand how to deal with candidates who may need to leave the exam room temporarily and how this should be recorded on the exam room incident log
- ☐ Provides authorised exam materials which candidates are not expected to provide themselves
- ☐ Ensures invigilators and candidates are aware of the emergency evacuation procedure
- ☐ Ensures invigilators are aware of arrangements in place for a candidate with a disability who may need assistance if an exam room is evacuated

Senior leaders

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

Emergency Evacuation Policy

When dealing with emergencies, staff must be aware of the centre's policy and, where appropriate, any instructions from relevant local or national agencies. Reference should also be made to the following document: <https://www.gov.uk/government/publications/bomb-threats-guidance/procedures-for-handling-bomb-threats>

Centres must have a written centre policy for dealing with an emergency evacuation of the examination room, which will be subject to inspection by the JCQ Centre Inspection Service. (ICE 25)

Site staff

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

Invigilators

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

Candidates

- ☐ Are required to follow the instructions given to them in exam rooms by authorised centre staff and invigilators
- ☐ Are required to remain in the exam room for the full duration of the exam

Irregularities

Head of centre

- ☐ Ensures (as required by an awarding body) any cases of alleged, suspected or actual incidents of malpractice or maladministration before, during or after

examinations/assessments (by centre staff, candidates, invigilators) are investigated and reported to the awarding body **immediately**, by completing the appropriate documentation

Managing Behaviour Policy

Where a candidate is being disruptive, the invigilator must warn the candidate that he/she may be removed from the examination room. The candidate must also be warned that the awarding body will be informed and may decide to penalise them, which could include disqualification.

The invigilator must record what has happened...

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. (ICE 24)

Senior leaders

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

Exams Manager

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

Invigilators

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

Malpractice

See *Irregularities* above.

Special consideration

Senior leaders

- ☐ Provide signed evidence to support eligible applications for special consideration

Exams Manager

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

Special Consideration Policy

STA has a special consideration policy which can be found on the website under the parents / exams tab.

Candidates

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

Unauthorised items

Arrangements for unauthorised items taken into the exam room

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

Potential technological/web enabled sources of information such as... are not permitted... ideally, all unauthorised items are left outside of the examination room... any pencil cases taken into the examination room must be see-through... 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... If candidates have access to unauthorised items in the examination room this may be considered as malpractice. They could be subject to penalties in accordance with the JCQ publication *Suspected Malpractice in Examinations and Assessments: Policies and Procedures...*

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

A head of centre may, if he/she so wishes, prohibit candidates bringing a wrist watch into the examination room. In this case candidates would be required to leave their watches outside of the examination room. (ICE 18)

Students are pre-registered for their exams and then ushered to the bag drop zone to leave their bags, phones and non-exam related materials/equipment/clothing there. This room is supervised by a member of staff and locked/unlocked by the supervisor. Exam candidates may hand in their mobile phone placing it with their ID badge in a clear plastic bag when pre-registering and claim it back at the end of the exam. Students are reminded to remove any unauthorised material and hand it in as part of the initial exam announcement and on late entry to an exam room.

Invigilators

- ☐ Are informed of the arrangements through training

Internal exams

Exams Manager

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

Invigilators

- ☐ Conduct internal exams as briefed by the EM

Results and post-results: roles and responsibilities Internal

assessment

Senior leaders

- ☐ 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 Manager

- ☐ 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 days are pre-planned, and students are advised of timings, plans via a Groupcall message before summer results days. Students are encouraged to come into STA to collect their results envelopes, return any equipment, seek support and celebrate their successes. Members of the exams team, teaching staff, pastoral team, careers and 6th form teams and SLT are present to support/advise students as necessary. Emails can be sent out to should the need arise, and non-collected results are posted to home addresses at 3pm on results day.

Students are well known to staff who are giving out results envelopes, so no-one is able to collect another students results without written evidence plus ID being provided.

Results packs include:

- a covering letter which includes information about certificate collection
- reviews of marking instructions and form
- appeals process
- destinations form
- any other useful information

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
- ☐ Understands that it is not permitted to withhold provisional results from candidates under any circumstances

Exams Manager

- ☐ 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 re-check, a review of marking, a review of moderation or an appeal

- ☐ Ensures that senior members of centre staff are available immediately after the publication of results
- ☐ Understands that if the centre has concerns about one of its component/subject cohorts, then requests for reviews of marking should be submitted for all candidates believed to be affected (candidate consent is required as marks and subject grades may be lowered, confirmed or raised)

Exams Manager

- ☐ 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, Reviews of 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 to collect candidate informed consent (**after** the publication of results) and fees where relevant
- ☐ Submits requests to awarding bodies to meet the external deadline for the particular service
- ☐ Tracks requests to conclusion and informs candidates and relevant centre staff of outcomes
- ☐ Updates centre results information, where applicable

Teaching staff

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

Candidates

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

Analysis of results

(David Bruce)

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

Certificates

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

Certificate Issue Procedure

STA record all certificates in and out and these are provided to candidates in early November, once received from the exam boards. Sixth form students are given their certificates during a morning session in early November. Students are asked to come into Reception to collect and sign for their certificates bringing photographic ID with them.

Unclaimed certificates are held, space allowing, and destruction of old certificates is recorded in line with the Exams archiving policy. [GR 5.14](#)).

Candidates

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

Exams review: roles and responsibilities

Exams Manager

- ☐ 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 EM to produce a plan to action any required improvements identified in the review

Retention of records: roles and responsibilities Exams

Manager

- ☐ 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

The exams archiving policy is held in the Exams Office and publicised on the STA website under parents / exams tab.