



# *Upper Wharfedale School*

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## **Exams policy 2016 – 2017**

This policy is reviewed annually to ensure compliance with current regulations

**Approved/reviewed by**

Mrs R Hayton – Exams Officer

**Date of next review**

September 2017

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## Purpose of the policy

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

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

*“... 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](#)<sup>1</sup>]

- 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.

This policy is held in the school staff portal in the policy folder for all staff to access. They will be made aware of the policy at the beginning of each academic year. It is the responsibility of everyone involved in the Centre's exam processes to read, understand and implement this policy.

## Statutory tests and qualifications offered

The statutory tests and qualifications offered at this Centre are decided by the Head of Centre and Curriculum Leaders

At Key Stage 4 the statutory tests and qualifications offered are GCSE, BTEC and Entry Level. The subjects offered for these qualifications in any academic year may be found in the Centre's published prospectus for that year. If there has been a change of syllabus or examination board from the previous year the Exams Officer must be informed by the 30th September.

All candidates will be entitled and enabled to achieve an entry of qualifications from an external Awarding Body.

Any decision not to enter a candidate for any individual GCSE subject for which they have studied will be taken in consultation with the candidates, parents/carers, SENCO and appropriate school staff.

## 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

In this centre internal exams are scheduled in December (all candidates who are due to take external exams during the current academic year) and May (Year 10). Exams are held under external exam conditions as set out by the JCQ. External exams schedule in May and June. The exam series to be used in the Centre are decided by the Head of Centre and the Curriculum Leaders.

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

## Entries

Candidates are selected for their exam entries by the Curriculum Leaders and Subject Teachers. Candidates or parents/carers can request a subject entry, change of level or withdrawal.

The Exams Officer will liaise with Curriculum Leaders regarding entries and tiers of entry for individual candidates and will make the exam entries to the appropriate Awarding Body to meet the entry deadlines set by the Awarding Bodies.

If a candidate requests a change of entry tier, or to withdraw from an examination he/she must first discuss the matter with the relevant subject teacher and Curriculum Leader. If the deadline for entries set by the Awarding Body has passed then the relevant form, signed by the student, the parent/guardian, the Curriculum Leader and the Head of Centre must be passed to the Examinations Officer, together with the appropriate amendment fee charged by the Examination Board, before any amendment takes place.

If the student has requested the amendment then a cheque from the student or the parent/guardian for the appropriate amount and made payable to Upper Wharfedale School must be received together with the completed form. If the Faculty has originated the amendment then the appropriate section on the form regarding virement of funds must be signed by the Curriculum Leaders.

## Exam fees

GCSE exam fees and BTEC registration fees are paid by the Centre.

Late entry or amendment fees are paid by either the department or the candidate (whoever initiated the entry)

The Centre will pay all normal exam fees on behalf of candidates including and re-sits for candidates whose absence was due to illness, providing a medical certificate or doctor's letter has been provided.

Fees/ reimbursements are sought from candidates who decide to sit an exam after the late entry/withdrawal deadline/fail to sit an exam/do not meet the necessary coursework requirements without medical evidence or evidence or other mitigating circumstances.

If a candidate or parent/carer requests a late or amended entry then the fee is charged to the candidate. However, candidates will not be charged for changes of tier, withdrawals made by the proper procedures or alterations arising from administrative processes originated by the Centre and within the time allowed by the Awarding Bodies.

## Roles and responsibilities overview

### Head of centre

*“The head of centre is responsible to the awarding bodies for making sure all examinations/assessments are conducted according to the instructions, and the qualification specifications issued by the awarding bodies.*

**The head of centre may not appoint themselves as the examinations officer.”** [GR1]

### Planning

- 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 assessment and coursework)
- Directs relevant centre staff to annually updated JCQ publications including [GR](#), [ICE](#), [AA](#), [SMEA](#) and [NEA](#) (and the instructions for conducting controlled assessment and coursework)
- Ensures the National Centre Number Register Annual Update (administered on behalf of the JCQ member awarding bodies by OCR) is responded to and approves the Head of Centre formal declaration
- Ensures the exams officer (EO) attends appropriate training events offered by awarding bodies, MIS providers and other external providers to enable the exam process to be effectively managed and administered
- Ensures centre staff are supported and appropriately trained to undertake key tasks within the exams process
- Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the EO
- Ensures *“that a teacher who teaches the subject being examined, or a senior member of teaching staff who has had overall responsibility for the candidates preparation for the examination, is not an invigilator during the examination or on-screen test;”* [ICE 6]
- Ensures security within the examination process is managed according to JCQ and awarding body regulations, guidance and instructions
- Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place (see policies and procedures at the end of this document – exam contingency plan)
- Ensures required internal appeals procedures are in place (see policies and procedures at the end of this document – internal appeals procedure)
- Ensures a disability policy for exams showing the centre’s compliance with relevant legislation is in place (see policies and procedures at the end of this document – disability policy exams)
- Ensures the centre has documented processes in place relating to access arrangements and reasonable adjustments (see policies and procedures at the end of this document – access arrangements policy)

- Ensures an **internal appeals procedure** is in place for a candidate (or parent/carer) to appeal against an internally assessed marks (see Roles and responsibilities overview)
- Ensures a policy for the **management of controlled assessment** is in place for legacy GCSE qualifications, identifying staff responsibilities and examining potential risks ([see policies and procedures at the end of this document – controlled assessment policy](#))
- Ensures a **non-examination assessment policy** is in place for new GCE and GCSE qualifications ([see policies and procedures at the end of this document – non-examination assessment policy](#))
- Ensures irregularities are investigated and any cases of suspected malpractice reported to the awarding body, as required and as set out by JCQ
- Ensures relevant support is provided to the EO in recruiting, training and deploying a team of invigilators
- Determines if additional invigilators will be deployed in practical exams in addition to the subject teacher

### Entries

- Ensures staff are only entered for qualifications through the centre where entry through another centre is not available
- Ensures the appropriate steps are taken where a candidate being entered for exams is related to a member of centre staff

### Pre-Exams

- Ensures procedures are in place for candidates to appeal internally assessed marks or request a review of the centre's marking of an assessment (when a centre is required to make reviews available)
- Ensures venues used for conducting exams meet the requirements of JCQ and awarding bodies
- Ensures only approved centre staff are present in exam rooms
- Ensures information relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates ([see policies and procedures at the end of this document – food & drink in exams](#))
- Ensures any cases of suspected malpractice (by centre staff, candidates, invigilators) are investigated and reported to the awarding body as required ([see policies and procedures at the end of this document – managing behaviour](#))

### Exam Time

- Liaises with Exams Officer regarding emergency evacuation of exam hall and cancellation of exam session following emergency evacuation of any exam room

### Results and Post Results

- Ensures **internal appeals procedures** are available where candidates disagree with a centre decision
  - not to support an enquiry about results
  - not to appeal against the outcome of an enquiry about results
 (Ofqual has announced a series of changes to reviews of marking and appeals which may affect the centre's internal appeals procedures during 2016/17)

## Exams Officer

*“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]

### Planning

- 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
- Signposts relevant centre staff to JCQ publications and awarding body documentation relating to the exams process that has been updated
- Ensures that candidates and their parents are informed of the rules and regulations set by the JCQ and Upper Wharfedale School
- As the centre administrator, approves relevant access rights for centre staff to access awarding body secure extranet sites
- 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
- Researches awarding body guidance to identify administrative processes, key tasks, key dates and deadlines for all relevant qualifications
- Collects information on internal exams to enable preparation for and conduct of
- Identifies relevant key dates and administrative processes that need to be followed in relation to internal assessment
- Support the SENCo in making applications for Access Arrangements on line and maintain relevant paperwork for inspection
- Recruits, trains and deploys a team of internal/external invigilators; appoints lead invigilators, as required
- Recruits additional invigilators where required to effectively cover all exam periods/series' throughout the academic year
- Provides an annual training event for new invigilators and an update event for invigilators on the conduct of exams
- Ensures invigilators supervising access arrangement candidates understand their role (and the role of a facilitator who may be supporting a candidate) and the rules and regulations of the access arrangement(s)
- Ensures invigilators are made aware of the Equality Act 2010 and are trained in disability issues

### Entries

- Requests estimated or early entry information, where this may be required by awarding bodies, from Curriculum Leaders in a timely manner to ensure awarding body external deadlines for submission can be met (**see policies and procedures at the end of this document – estimated entries and submission procedure**)
- Requests final entry information from Curriculum Leaders in a timely manner to ensure awarding body external deadlines for submission can be met
- Informs Curriculum Leaders of subsequent deadlines for making changes to final entry information without charge
- Confirms with Curriculum Leaders final entry information that has been submitted to awarding bodies

Exams policy 2016/17

- 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 (see policies and procedures at the end of this document – final entries collection and submission procedure)
- Has clear entry procedures in place to minimise the risk of late entries
- Charges any late or other penalty fees to departmental budgets
- Provides candidates with statements of entry for checking

## Pre-exams

- Issues individual exam timetable information to candidates
- Issues relevant JCQ information for candidates documents
- Issues centre exam information to candidates including information on:
  - exam clashes
  - arriving late for an exam
  - absence or illness during exams
  - what equipment is/is not provided by the centre
  - food and drink in exam rooms
  - 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
- 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
- Submits marks and samples to awarding bodies/moderators to meet the external deadline
- Logs moderated work returned to the centre
- Ensures teaching staff are aware of the requirements in terms of retention and subsequent disposal of candidates' work
- Provides an invigilation handbook or briefs invigilators accordingly
- Deploys invigilators effectively to exam rooms throughout an exam series (including the provision of a roving invigilator to check the rooms where a candidate and invigilator are on a 1:1 basis)
- Allocates invigilators to exam rooms according to the required ratios
- Liaises with the SENCo regarding the facilitation and invigilation of access arrangement candidates
- Accompanies *“the Inspector throughout the course of his or her centre visit, including inspection of the centre’s secure storage facility.”* [ICE Introduction]
- Ensures a procedure is in place to verify candidate identity including private candidates (see policies and procedures at the end of this document – verifying candidate identity procedure) and ensures invigilators are aware of the procedure
- Provides seating plans for exam rooms according to JCQ and awarding body requirements
- Has a process in place to record confidential materials delivered to the centre and issued to authorised staff
- Has in place a recording system to track confidential materials taken from or returned to secure storage throughout the time the material is confidential
- Receives, checks and securely stores question papers and other exam materials according to JCQ and awarding body requirements
- Produces a master centre exam timetable for each exam series
- Identifies and resolves candidate exam clashes
- Identifies exam rooms and specialist equipment requirements
- 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

## Exam Time

- 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
- Ensures that candidates who arrive very late for an exam are reported to the awarding body as soon as practically possible after the exam has taken place
- Warns candidates that their work may not be accepted by the awarding body
- Ensures exams are conducted according to JCQ and awarding body instructions
- Dispatches scripts as instructed by JCQ and awarding bodies
- Keeps appropriate records to track dispatch
- Attaches erratum notices received to relevant exam question paper packets
- 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 the time, date and paper details
- Where allowed by the awarding body, only releases exam papers and materials to teaching departments for teaching and learning purposes after the published finishing time of the exam, or until any clash candidates have completed the exam
- Ensures exam rooms are set up 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
- 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
- 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
- Responsible for reporting all suspicious or actual incidents of malpractice in accordance with the JCQ '*Suspected Malpractice in Examinations and Assessments*' Handbook.
- Supervises emergency evacuation of exam hall, liaises with Head of Centre following emergency evacuation of any exam room and supervises actions following his/her decision.
- Processes appropriate requests for special consideration to awarding bodies (see policies and procedures at the end of this document – special consideration policy)
- Gathers evidence which may need to be provided by other staff in centre or candidates
- Submits requests to awarding bodies to the external deadline
- Works with senior leaders to ensure procedures for managing the main summer results day(s) (a results day programme) are in place (see policies and procedures at the end of this document – results day programme)
- Informs candidates in advance of when and how results will be released to them

## Post exams

- 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
- Provides information to candidates and staff on the services provided by awarding bodies and the fees charged ([see policies and procedures at the end of this document – enquiries about results and access to scripts](#))
- 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 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
- 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 are provided to centres by awarding bodies after results have been confirmed ([see policies and procedures at the end of this document – issue of certificates procedure](#))

## Review

- 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 review
- Keeps records as required by JCQ and awarding bodies for the required period
- Keeps records as required by the centre's records management policy
- Provides an exam archiving policy that identifies information held, retention period and method of disposal ([see policies and procedures at the end of this document – exam archiving policy](#))

## Senior leaders (SLT)

### Planning

- 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 controlled assessment and coursework)
- Support the SENCo in identifying and implementing appropriate access arrangements

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

### Exam Time

- 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 ([see policies and procedures at the end of this document – emergency evacuation procedure](#))
- 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

### Results and Post Results

- 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

### Review

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

## Special educational needs co-ordinator (SENCo)

### Planning

- 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 the administration of the assessment process
- Presents when requested by a JCQ Centre Inspector, evidence of the assessor's qualification
- Assesses candidates (or works with the appointed access arrangements assessor) to identify access arrangements requirements thereby ensuring that
- 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
- Notification of access arrangements to parents/guardians
- Applies for **approval** through *Access arrangements online* (AAO), 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)

- Provides and annually reviews a centre policy on the **use of word processors** in exams and assessments ([see policies and procedures at the end of this document – word processor policy exams](#))
- 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

## Pre-exams

- 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
- Liaises with teaching staff to implement appropriate access arrangements for candidates undertaking internal assessments
- Liaises with the EO regarding facilitation and invigilation of access arrangement candidates
- 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
- Liaises with teaching staff to make appropriate arrangements for access arrangement candidates

## Curriculum Leaders

### Planning

- Ensures that the Exams Office is notified by the end of September each year of any changes in the awarding body or syllabus for their subject
- Ensures teaching staff undertake key tasks, as detailed in this policy, within the exams process (exam cycle) and meet internal deadlines set by the EO and SENCo
- Ensures teaching staff keep themselves updated with awarding body teacher-specific information to confirm effective delivery of qualifications
- Ensures teaching staff attend relevant awarding body training and update events
- 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
- Support the SENCo in identifying and implementing appropriate access arrangements
- Ensures teaching staff delivering legacy GCSE qualifications follow JCQ [Instructions for conducting controlled assessments](#) and the specification provided by the awarding body
- Ensures teaching staff delivering legacy GCE unitised AS and A-level qualifications and Entry Level or Project qualifications follow JCQ [Instructions for conducting coursework](#) and the specification provided by the awarding body
- Ensures teaching staff delivering new GCE & GCSE specifications follow JCQ [Instructions for conducting non-examination assessments](#) and the specification provided by the awarding body

- For other qualifications, ensures teaching staff follow appropriate instructions issued by the awarding body

### **Entries**

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

### **Pre-exams**

- Ensures teaching staff provide estimated grade information to the EO by the internal deadline  
Ensures teaching staff provide marks for internally assessed components of qualifications to the EO to the internal deadline
- Ensures teaching staff authenticate candidates' work to the awarding body requirements
- Ensures teaching staff provide required samples of work for moderation to the EO to the internal deadline

### **Results and Post Results**

- 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

## **Teaching staff**

### **Planning**

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

### **Entries**

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

### **Pre-exams**

- Support the SENCo in implementing appropriate access arrangements for candidates undertaking internal assessments
- Ensure candidates are informed of internal assessment decisions prior to marks being submitted to awarding bodies

- Adhere to the recording system to track confidential materials taken from or returned to secure storage throughout the time the material is confidential
- Provide exam papers and materials to the EO
- Support the SENCo in making appropriate arrangements for access arrangement candidates

### **Post and Post Results**

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

## **Invigilators**

### **Planning**

- Attend training, update, briefing and review sessions as required

### **Pre-exams**

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

### **Exam Time**

- 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
- Are informed of the policy/process for dealing with late/very late arrival candidates through training **(see policies and procedures at the end of this document – candidate late arrival policy)**
- Ensure that relevant information is recorded on the exam room incident log
- Conduct exams in every exam room as instructed in training/update events and briefing sessions
- 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)
- Are informed of the arrangements through training
- Conduct internal exams as briefed by the EO
- Make the necessary announcements at the beginning and end of the exams.
- Organisation and supervision of the exam rooms.
- Verify the identity of the candidates, using photographs and name labels provided
- Supervision of candidates in the exam room.
- Collection of all exam papers in the correct order at the end of the exam and their secure return to the exams office.
- Assists with emergency evacuation of exam hall, carries out emergency evacuation of all other exam rooms when the alarm sounds and assists with recommencing or cancellation of the exam session following return to the exam room.

## Reception staff

### Planning

- Support the EO in dealing with exam-related deliveries and dispatches with due regard to the security of confidential materials

### Pre-exams

- Follow the process to record confidential materials delivered to the centre and issued to authorised staff

### Exam time

- Follow up candidate absences

## Site staff

### Pre-exams

- Support the EO in relevant matters relating to exam rooms and resources
- Liaise with the EO to ensure exam rooms are set up according to JCQ and awarding body requirements

### Exam Time

- 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

### Results and Post Results

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

## Candidates

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

### Entries

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

### Exam Time

- Authenticate their work as required by the awarding body
- Are re-charged relevant entry fees for unauthorised absence from exams
- Are required to inform the centre of any absence in good time before the start of each exam ([see policies and procedures at the end of this document – candidate absence policy](#))
- Are required to arrive promptly and on time to sit all exams and controlled assessments
- Are required to remain in the exam room for the full duration of the exam
- Provide appropriate evidence to support special consideration requests, where required
- Follow rules and regulations on unauthorised materials in the exam room ([see policies and procedures at the end of this document – arrangements for unauthorised materials taken into the exam room](#))

### Results and Post Results

- Meet internal deadlines to request the services
- Provide informed consent and fees, where relevant
- 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 ([see policies and procedures at the end of this document – retention of certificates](#))

## Policies and Procedures

### Exam contingency plan

This document is held in the school staff portal in the policy folder

*“It is the responsibility of the head of centre to ensure that his/her centre: ...has in place a written examination contingency plan/examinations policy which covers all aspects of examination administration. This will allow members of the senior leadership team to have a robust contingency plan in place, minimising risk to examination administration, should the examinations officer be absent at a crucial stage of the examination cycle. (The examination contingency plan/examinations policy should also reinforce procedures in the event of the centre being unavailable for examinations owing to an unforeseen emergency.)”* [GR5]

### Internal appeals procedures

This procedure is held in the school staff portal in the policy folder

*“The centre agrees to...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 made widely available and accessible to all candidates; (A centre may place its internal appeals procedure on the school/college website or alternatively, the document may be made available to candidates upon request.)”*

[GR5]

*“The centre agrees to...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 an enquiry about results or an appeal;”*

[JCQ [Post-results services](#) 5.14]

### Disability policy (exams)

This policy is held in the school staff portal in the policy folder

*“The centre agrees to...recognise its duties towards disabled candidates as defined under the terms of the Equality Act 2010†. This must include a duty to explore and provide access to suitable courses, submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates. A written disability policy setting out how the centre seeks to comply with the Equality Act 2010† and fully supporting disabled candidates must be available for inspection purposes.*

*†for any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect ”*

[GR5]

### Access arrangements policy

Candidates are identified for assessment by centre staff. Assessments are conducted by a qualified assessor. Evidence is gathered and recorded through assessments and the candidates ‘normal way of working’. Applications are made via Access Arrangements Online by the SENCo and the Exams Officer. Centre delegated arrangements are agreed with the SENCo and Head of Centre. Arrangements are communicated to all centre staff.

*“...with its obligations in respect of identifying the need for, requesting and implementing access arrangements.”* [GR 5.5]

*“The centre agrees to... have a written process in place to not only check the qualification(s) of their specialist assessor(s) but that the assessment process is administered correctly;”*

[GR 5.4]

## Controlled assessment policy

This policy is held in the school staff portal in the policy folder

*“The centre agrees to...have in place, and be available for inspection purposes, a **written** policy with regard to the management of GCSE controlled assessments”* [\[GR5\]](#)

## Non-examination assessment policy

This policy is held in the school staff portal in the policy folder

The purpose of this policy, as defined by JCQ, is to

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

[\[NEA – The basic principles, page 4\]](#)

## Food and drink in exam rooms

In this centre we do not allow food in exam rooms except under exceptional circumstances at the Head of Centres discretion. Candidates can take bottled water into the exam rooms so long as all labels are removed.

*“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 brought into the examination room by the candidate is free from packaging and all labels are removed from drink containers.”* [\[ICE 11\]](#)

## Managing behaviour

All incidents of poor, disruptive and/or inappropriate behaviour will be recorded by the invigilators on an exam incident log and reported to the exams officer and dealt with in accordance with JCQ regulations.

Where malpractice is discovered in external examinations, then the appropriate procedure as set out by the awarding body or JCQ will be followed by the Centre.

Malpractice associated with external examination for the purposes of this policy can include the following:

- Unlawfully obtaining, selling, using or distributing examination papers prior to exam sessions
- The possession of mobile phones or other electronic devices in the exam room (whether switched off or not)
- The passing of information between students during an examination
- Taking unauthorised material into the examination room

*“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.”* [\[ICE17\]](#)

## Estimated entries collection and submission procedure

The exams officer will liaise with teaching staff and Curriculum Leaders to gather estimated entry information. Records are kept. This information is collated by the EO and submitted to the awarding bodies through EDI

## Final entries collection and submission procedure

The exams officer will liaise with teaching staff and Curriculum Leaders to gather final entry information. Records are kept. This information is collated by the EO and submitted to the awarding bodies through EDI

## Verifying candidate identity procedure

Upper Wharfedale School will provide desk labels with the candidates photographs so they can be identified along with name and exam number

The exams officer or senior member of staff will be able to confirm any identity if there are any concerns

*“The centre agrees to... have in place **written** procedures to verify the identity of **all** candidates at the time of the examination or assessment;”* [GR 5]

## Special consideration policy

Should a candidate be ill before an exam, suffer bereavement or other trauma, be taken ill during the exam or otherwise disadvantaged or disturbed during an exam, then it is the candidate’s responsibility to alert the Exams officer or an Invigilator to that effect at the earliest opportunity.

The candidate must support any claim for special consideration with appropriate evidence within 7 days of the exam (e.g. a Doctor’s letter). The Exams officer will then forward a completed special Consideration form to the relevant Awarding Body within 7 days of the last examination in the session in each subject.

## Results day programme

The centre will be open from 9am to 12 noon on results day. Students must collect their results in person. If you wish any family members to collect your results on your behalf he/she must bring your written permission with them to school (an appropriate form is at the back of this book or available from our website). Results will not be released without this authority and your results will then be posted out to your home address on results day. Results will not be given out by telephone or fax under any circumstances. They will only be given out by email to the candidate’s (not a family member’s) email address under exceptional circumstances and in response to an email request to the Exams Officer made by the candidate.

Centre staff will be available on results day to discuss results with candidates.

*“Senior members of centre staff must be accessible to candidates immediately after the publication of results so that results may be discussed and decisions made on the submission of enquiries. Candidates must be informed of the periods during which centre staff will be available so that they may plan accordingly.”* [PRS 6]

## Enquiries about results (EARs) and access to scripts

EARs 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 by the Centre then the Head of Centre will investigate the feasibility of asking for a re-mark at the Centre's expense.
- If a result is queried by a candidate against the advice of the Centre then the expense will be charged to the candidate. Cheques for the full amount must be received, together with the appropriate signed authority by the candidate before the Centre will make the Enquiry.

Access to scripts:

- Candidates may ask the Centre to request the return of papers within 3 days' scrutiny of the results. The cost of this service will be charged to the candidate.
- Centre staff may request the return of scripts for teaching purposes. The consent of the candidates must be obtained for this and the cost will be born by the Centre.
- GCSE re-marks cannot be applied for once a script has been returned.

*"The centre agrees to... have in place written procedures for how it will deal with candidates' access to scripts, enquiries about results and appeals to the awarding bodies and to ensure that details of these procedures are made widely available and accessible to all candidates. Candidates must be made aware of the arrangements for post-results services before they sit any examinations and the accessibility of senior members of centre staff immediately after the publication of results;"* [GR 5]

## Issue of certificates procedure

Year 11 students are invited to Awards Evening in mid-November when it is hoped that candidates and their families will be able to attend to receive all the certificates they have received during their time at Upper Wharfedale School. Candidates who are unable to attend Presentation Evening may collect their certificates in person from school following the event. Certificates will not be given to anyone other than the candidate without the candidate's written permission.

## Exam archiving policy

This policy is held in the school staff portal in the policy folder

## Emergency evacuation policy

This policy is held in the school staff portal in the policy folder

*"...You **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."* [ICE18]

## Word processor policy (exams)

This policy is held in the school staff portal in the policy folder

*"It is strongly recommended that a centre has a policy on the use of word processors which it can articulate to parents/carers. Principally, that a word processor cannot simply be granted to a candidate because he/she now wants to type rather than write 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 and be appropriate to the candidate's needs..."* [AA5.8]

## Candidate late arrival policy

If you arrive late for an exam, report to the exams officer immediately. You will be escorted to the exam room by the exams officer or a senior member of staff

If you arrive more than one hour after the published starting time for the exam, you may not be allowed to sit the exam

All late arrivals will be recorded and monitored

*“Advice: it is good practice for a centre to have a policy for late and absent candidates. Invigilators **must** be made aware of this policy.*

*Advice: Centres should have their own internal procedures for dealing with candidates who persistently arrive late for examinations.*

*The exams officer may need to liaise with a senior member of staff who has pastoral responsibilities.”* [\[ICE14\]](#)

## Candidate absence policy

If a candidate is ill and cannot attend an exam they are asked to contact the school (or have someone contact school for them) before 9.00am and speak to the Exams Officer. It is essential that medical or other appropriate evidence is obtained on the day of the absence. This should be given to the Exams Officer at the earliest opportunity as it will be required by the exam board.

To be awarded a grade for a GCSE subject where a candidate misses all or part of an examination through illness or personal misfortune a total of 40% of the total assessment must be completed.

If a candidate arrives at school for their exam and finds they are unwell they must speak to the exams officer or a member of SLT immediately

In exceptional circumstances special consideration may be applied for. Not all applications for Special Consideration are granted and the criteria is very specific. It will only be applied if all the criteria are met and a very small percentage of marks (between 0% and 5% in exceptional circumstances) are awarded to compensate for the disruption. Like access arrangements it DOES NOT give one candidate an advantage over another.

Candidates must contact the exams officer if they are unable to attend an exam. Failure to do so will be classed as “unauthorised” and you may be charged for that exam paper. If less than 40% of the assessment has been completed they will not receive a grade.

A member of centre staff (usually the receptionist) will follow up any absence.

*“Advice: it is good practice for a centre to have a policy for late and absent candidates. Invigilators **must** be made aware of this policy.”*

[\[ICE14\]](#)

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

Candidates personal belongings will be stored outside the main exam hall

Unauthorised materials such as mobile phones and watches may be stored in the candidate's bags or in the exams office in designated plastic pockets. Mobile phones and smart watches must be switched off

Candidates sitting exams in other designated rooms may be asked to store their personal belongings at the back of the 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."*

*"Advice: You may wish to ask candidates to place their watches on their desk in sight of the invigilator prior to the examination commencing."*

[ICE11]

### Retention of certificates policy

Upper Wharfedale School is obliged to keep certificates for a period of one year after issue. If they remain unclaimed after this time the school is advised to shred them securely and to notify the exam boards that this has been done.