

# Exams Policy

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<b>Person Responsible:</b>	Mr S Willis	<b>Frequency of Review:</b>	1 Year
<b>Authorisation By:</b>	Headteacher	<b>Notice Date:</b>	30/11/2025
<b>Authorisation Date:</b>	14/03/2025	<b>Review Due By:</b>	30/12/2025

## 1 Purpose of the policy

Upper Wharfedale School, the centre, is committed to ensuring that the examinations/assessments management and administration process is run effectively and efficiently and in compliance with the published JCQ regulations and awarding body requirements.

This exams policy will ensure that:

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

## 2 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, WJEC Vocational Courses 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 **30 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.

### 3 Roles and responsibilities overview

The **head of centre** is the individual who is accountable to the awarding bodies for ensuring that the centre is compliant with the published JCQ regulations and awarding body requirements to ensure the security and integrity of the examinations/assessments at all times. This individual **must** have the authority to deploy the necessary resources to ensure that the centre is always compliant in meeting those published JCQ regulations and awarding body requirements.

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

**The head of centre must not normally appoint themselves as the examinations officer.** A head of centre and an examinations officer are two distinct and separate roles.

The **head of centre and/or examinations officer** may operate across more than one centre. In such cases the head of centre must ensure there is suitable senior leadership team support in place, so that they can meet their obligations across all centres for which they are responsible. The head of centre must ensure that these arrangements are covered by their examination contingency plan.

*([General Regulations for Approved Centres \(GR\), 2](#))*

#### 3.1 Head of centre responsibilities

Heads of centre must ensure that senior leadership teams and examination office personnel familiarise themselves with the entire contents of JCQ [General Regulations for Approved Centres \(GR\)](#) booklet. In particular, heads of centre must familiarise themselves with sections 5.1, 5.3 and 5.4.

Heads of centre must ensure that relevant members of staff respond promptly to actions raised by the JCQ Centre Inspection Service. Failure to do so could result in the centre not receiving or being able to access question papers and other confidential assessment materials. Ultimately, awarding bodies could withdraw approval of the centre.

Heads of centre must ensure that relevant members of staff respond promptly to requests for information from awarding bodies relating to the administration and conducting of examinations/assessments.

*([GR, section 1](#))*

**It is the responsibility of the head of centre to ensure that all staff comply with the instructions the [Instructions for Conducting Examinations \(ICE\)](#) document.** Failure to do so may constitute malpractice as defined in the JCQ document [Suspected Malpractice: Policies and Procedures, 1 September 2024 to 31 August 2025 \(SMPP\)](#).

*([Instructions for Conducting Exams \(ICE\), introduction](#))*

**The head of centre must ensure:**

- compliance with the published JCQ regulations and awarding body requirements to deliver the qualification(s);
- appropriate controls are in place which ensure accurate data is submitted to the awarding bodies by the required deadlines, e.g. entries, internally assessed marks;
- all reasonable steps are taken to respond promptly to requests for information or documentation made by an awarding body or regulatory authority.

*([GR, 1](#))*

**Heads of centres must:**

- Understand 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 \(AARA\)](#)
- [Suspected Malpractice – Policies and Procedures \(SMPP\)](#)
- [Instructions for conducting coursework \(ICC\)](#)
- [Instructions for conducting non-examination assessments \(NEA\)](#)
- [A guide to the special consideration process \(SC\)](#)
- Ensure the centre has appropriate accommodation to support the size of the cohorts being taught including appropriate accommodation for candidates requiring access arrangements and/or practical assessments.
- Where/if using a third party to deliver any part of a qualification (including its assessments) at the centre:
  - maintain oversight of, and responsibility for, the delivery of the qualification in accordance with JCQ regulations and awarding body requirements;
  - have in place a written agreement with the third party (unless exclusions apply) to ensure there is a shared understanding of the arrangement and will manage the risk of failure by the third party to deliver the expected service;
  - ensure that a copy of the written agreement is available for inspection if requested by the awarding body.
- Ensure that relevant members of staff respond promptly to actions raised by the JCQ Centre Inspection Service, understanding that failure to do so could result in penalties (see National Centre Number Register and other information requirements section).
- Ensure that the Centre promptly reports any incidents to the relevant awarding body/bodies which might compromise any aspect of assessment delivery such as a cyber-attack.
- Ensure members of Centre staff do not forward emails and letters from awarding body or JCQ personnel without prior consent to third parties or upload such correspondence onto social media sites and applications (including third party applications).
- Ensure members of Centre staff do not advise parents/candidates to contact awarding bodies/JCQ directly nor provide them with the names, addresses and contact details (including email addresses) of examiners, moderators, external verifiers and any other awarding body examining/assessment personnel or JCQ personnel.

### **3.1.1 Resilience and contingency arrangements**

The centre must ensure they are familiar with the regulators' guidance on ensuring resilience in the qualifications system. Centres should consider putting in place a process for gathering evidence of candidate performance in line with the published guidance.

The centre must have an up to date written contingency plan.

The contingency plan must cover all aspects of examination/assessment administration and delivery. Senior leaders must have robust contingency arrangements in place that will minimise the risk to examination/assessment administration and delivery and any adverse impact on candidates.

The plan must cover the following scenarios:

- the head of centre, relevant senior leader(s) with oversight of examination and assessment administration, SENCo/ALNCo, examinations officer or any other key staff essential to the examination process being absent at a critical stage of the examination cycle;
- the potential impact of other events such as flooding which could lead to all or parts of the centre becoming unavailable;
- potential issues with the centre's IT systems.

As part of their contingency plan centres must identify an alternative site if examinations cannot be conducted at the registered address. Larger centres may require more than one potential alternative site or different sites for different year groups.

The centre must have at least one senior member of staff (senior designated contact) who is available to manage emergency requests from awarding bodies that are results-related during the summer holidays. However, a number of contacts can be provided to reduce the risk of this falling on one individual throughout the summer holidays.

The centre must ensure that candidates' work is backed-up and should consider the contingency of candidates' work being backed-up on two separate devices, including one off-site back-up. Centres must implement appropriate security arrangements which protect candidates' work in the event of IT system corruption and cyber-attacks.

[\*\(GR, 3.16-19\)\*](#)

### **3.1.2 Cyber security**

The head of centre must ensure there are procedures in place to maintain the security of user accounts by:

- providing training for authorised staff on the importance of creating strong unique passwords and keeping all account details secret;
- providing training for staff on awareness of all types of social engineering/phishing attempts;
- enabling additional security settings wherever possible;
- updating any passwords that may have been exposed;
- setting up secure account recovery options;
- reviewing and managing connected applications;
- monitoring accounts and regularly reviewing account access, including removing access when no longer required;
- ensuring authorised members of staff securely access awarding bodies' online systems in line with awarding body regulations regarding cyber security and the JCQ document Guidance for centres on cyber security  
(authorised staff will have access, where necessary, to a device which complies with awarding bodies' multi-factor authentication (MFA) requirements);
- reporting any actual or suspected compromise of an awarding body's online systems immediately to the relevant awarding body.

[\*\(GR, 3.20-21\)\*](#)

It is the responsibility of the **Head of Centre** to ensure that the centre:

### **3.1.3 Recruitment, selection, training and support**

- 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.
- Ensures that teaching staff do not use artificial intelligence (AI) as the sole means of marking candidates' work.
- Enables the relevant senior leader(s), the exams officer and the SENCo (or equivalent role) to receive appropriate training and support to facilitate the effective delivery of exams and assessments within the centre, and ensure compliance with the published JCQ and awarding body regulations (as example, EO

networking events and relevant events offered by awarding bodies, MIS providers and other external providers).

- Ensures that the SENCo (or equivalent role) understands the JCQ document [Access Arrangements and Reasonable Adjustments \(AARA\)](#) and is given sufficient time to manage the access arrangements process within the centre.
- Ensures that the exams officer understands relevant awarding body and JCQ documentation and has sufficient time to perform their role.
- Ensures that any member(s) of the senior leadership team who are responsible for examination administration familiarise themselves with relevant awarding body and JCQ documentation (This will ensure the exams officer and the SENCo are supported as well as ensuring effective centre decision making in line with the published regulations).
- Ensures that teachers understand the relevant awarding body and JCQ documentation for the qualifications they are delivering to ensure they are delivered in line with the relevant regulations.

(GR, 5.3)

### 3.1.4 External and internal governance arrangements

- Has in place a written escalation process should the Head of Centre, or a member of the senior leadership team with oversight of examination and assessment administration, be absent.

#### **Escalation process**

- Full details of the Escalation Process can be found in the *Exams – Escalation Policy* in the *School Policies* folder on the school *Staff Portal* and in the *Exams Manual* kept in the Exams Office.
- The member of the senior leadership team with oversight of examination administration is the Headteacher. The Exams Officer would act as point of contact and coordinate key tasks in the absence of the Headteacher, reporting to the Assistant Headteacher: Director of Learning, Science and Geography.
- The escalation process follows the way in which an examination series would be planned and identifies the key areas where the escalation process would be implemented.

	Phase 1 escalation	Phase 2 escalation
<b>Headteacher extended absence</b>	AHT: DoL Science and Geog	AHT: Student Support
<b>Exams Officer extended absence</b>	AHT: DoL Science and Geog	Office Manager
<b>SENCo extended absence</b>	Inclusion Co-ordinator	Headteacher

- Has in place a member of the senior leadership team who has a good working knowledge of the examination system, will provide effective support and supervision of the Exams Officer to ensure that the integrity and security of examinations and assessments is maintained throughout an examination series.
- Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the EO.
- Can confirm to an awarding body the external governance arrangements so that the awarding body has confidence in the integrity of centre activities such as the delivery of qualifications and the conducting of examinations and assessments.

(GR, 5.3)

### **3.1.5 Delivery of qualifications**

- Delivers qualifications, as required by the awarding body and 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 and implementing reasonable adjustments for disabled candidates.
- Enables candidates to receive sufficient and up to date practical experience, or relevant training where required by the subject concerned.

[\(GR, 5.3\)](#)

### **3.1.6 Public liability**

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

[\(GR, 5.3\)](#)

### **3.1.7 Conflicts of Interest**

- See **Policies**, below.

[\(GR, 5.3\)](#)

### **3.1.8 Controlled assessments, coursework and non-examination assessments**

- Has in place arrangements to co-ordinate and standardise all marking of centre-assessed components and to ensure that candidates' centre-assessed work is produced, authenticated and marked, or assessed and quality assured in accordance with the awarding bodies' instructions (this applies to both internal and private candidates).
- Submits in accordance with awarding bodies' instructions, information they may reasonably require in relation to their examinations and assessments, returning all subject-specific forms by the required date.

[\(GR, 5.3\)](#)

### **3.1.9 Security of assessment materials**

- Takes all reasonable steps to maintain the integrity of the examinations/assessments, including the security of all assessment materials, by ensuring:
  - the security of all assessment materials;
  - that assessment materials supplied to the centre by the awarding body, including pre-release materials and set assignments, and information about their contents are only shared with appropriate centre staff and candidates and are not shared outside the centre;
  - reporting immediately to the awarding body/bodies any potential or actual breach of examination or assessment materials.
- 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 document *Instructions for conducting examinations*;
  - access, download, print (where appropriate) and store electronic assessment materials safely and securely at all times in accordance with section 4 of the current JCQ document *Instructions for conducting examinations*;
  - 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.
- Provides candidates access to relevant pre-release materials on, or as soon as possible after, the date specified by the awarding bodies.

### 3.1.10 National Centre Number Register and other information requirements

- Provides contact details as follows:
  - a physical address to which all examination and assessment materials will be despatched – this must be the registered address of the centre;
  - a landline telephone number – this must be the number of the main office/ switchboard of the centre;
  - a contact email address for communications – this must be the email address of the person or team responsible for the administration of examinations (Personal email addresses such as ‘Yahoo’, ‘Hotmail’ and ‘Gmail’ are not acceptable);  
[Note: Except for WJEC, if this is a shared email account it must not be used to access awarding body secure websites.]
  - the name of the head of centre and their email address;
  - senior designated contact details (this might include a personal mobile number and/or email address) (These must be the contact details of someone who can be reached in an emergency if the centre is closed over the summer and who can mobilise resources to respond to the issue);
- Responds to the National Centre Number Register annual update by the end of October every year
  - informs the National Centre Number Register Team immediately (email address – [ncn@ocr.org.uk](mailto:ncn@ocr.org.uk)) if any changes occur after the National Centre Number Register annual update has taken place (This must be on centre headed stationery which can be sent as an email attachment including the signature of the head of centre);
  - informs the National Centre Number Register Team (email address – [ncn@ocr.org.uk](mailto:ncn@ocr.org.uk)) of any changes to relevant contact details no later than 6 weeks prior to moving to a new address or re-locating of the secure storage facility (This must be on centre headed stationery which can be sent as an email attachment);
  - informs the National Centre Number Register Team immediately of any other changes in circumstances that could affect the centre’s status;
  - responds, by completing the Head of Centre Declaration, to the National Centre Number Register request for confirmation that they are aware of and adhering to the latest versions of the JCQ regulations, and does so no later than the end of October every year;
  - responds to any other reasonable requests made by the National Centre Number Register Team.

(GR, 5.3)

- Understands that this responsibility for completing the Head of Centre declaration survey cannot be delegated to a member of the senior leadership team or the examinations officer, and acknowledges that failure to respond to the NCNR annual update, and/or the head of centre’s declaration, will result in:
  - the centre status being suspended;
  - the centre not being able to submit examination entries;
  - the centre not receiving or being able to access question papers;
  - and ultimately, awarding bodies could withdraw their approval of the centre.

(GR, 1.9)

### 3.1.11 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.
- 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 themselves with a formal identity document and **must** be accompanied throughout their tour of the premises, including inspection of the centre's secure storage facility.

[\*\(GR, 5.3\)\*](#)

### 3.1.12 Conflicts of interest

- Manages conflicts of interest by informing the awarding bodies before the published deadline for entries for each examination series of any potential conflict of interest where:
  - any members of centre staff who are taking a qualification at this centre which includes 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 internal records (that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected) 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 this centre or other centres,
  - centre staff are taking qualifications at this centre which do not include internally assessed components/units,\*
  - centre staff are taking qualifications at other centres.
- Retains records of all conflicts of interest including 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)

\* Notes 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, and ensures:

- 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,
- 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.

[\*\(GR, 5.3\)\*](#)

### 3.1.13 Policies available for inspection

- Has in place the following policies for inspection that must be reviewed and updated annually:
  - A written **child protection/safeguarding policy** in place, including Disclosure and Barring Service (DBS) clearance, which satisfies current legislative requirements.

#### ***Child Protection/Safeguarding Policy (Exams)***

***The Child Protection and Safeguarding Policy (Exams) can be found in the School Policies folder on the school Staff Portal and in the Exams Manual kept in the Exams Office.***

- A written complaints policy.



### **Complaints Policy (Exams)**

**The Complaints Policy (Exams) can be found in the School Policies folder on the school Staff Portal and in the Exams Manual kept in the Exams Office.**

*"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, 5.8e)

- A written conflicts of interest policy.

### **Conflict of Interest Policy (Exams)**

**The Conflicts of Interest Policy (Exams) can be found in the School Policies folder on the school Staff Portal and in the Exams Manual kept in the Exams Office.**

- A written data protection policy.

### **Data Protection Policy (Exams)**

**The Data Protection Policy (Exams) can be found in the School Policies folder on the school Staff Portal and in the Exams Manual kept in the Exams Office.**

*"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)

Consideration may also need to be given to the centre's policy on sharing candidates' results and other exams-related information with those with parental responsibility and third parties.

#### **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](http://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](http://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](https://ico.org.uk/for-organisations/guide-to-the-general-data-protection-regulation-gdpr/schools-universities-and-colleges-information) and [Exam results](https://ico.org.uk/for-organisations/guide-to-the-general-data-protection-regulation-gdpr/schools-universities-and-colleges-information/exam-results).

- A written equalities policy.

#### **Equalities Policy**

**The Equalities Policy (Exams) can be found in the School Policies folder on the school Staff Portal and in the Exams Manual kept in the Exams Office.**

- 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, ensuring compliance with all aspects of the Equality Act 2010†, particularly Section 20 (7). 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. Where the centre is under a duty to make a reasonable adjustment, the centre must not charge a disabled candidate any additional fee in relation to the adjustment or aid;
- † or any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect

(GR, 5.3, 5.4)

- A written **contingency plan** which covers all aspects of examination/ assessment administration and delivery.

#### **Exams Contingency Plan**

**The Exams Contingency Plan can be found in the School Policies folder on the school Staff Portal and in the Exams Manual kept in the Exams Office.**

*"It is the responsibility of the head of centre to ensure that his/her centre: ... has in place 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. The potential impact of a cyber-attack should also be considered".*

(GR, 5.3z)

- A written **internal appeals procedure** which must cover at least appeals regarding internal assessment decisions, access to post-result services and appeals, and centre decisions relating to access arrangements and special consideration.

#### **Internal Appeals Procedure (Exams)**

**The Internal Appeals Procedure (Exams) can be found in the School Policies folder on the school Staff Portal and in the Exams Manual kept in the Exams Office.**

*"The centre will ... before submitting marks to the awarding body inform candidates of their centre assessed marks and allow a candidate to request a review of the centre's marking; See*

<https://www.jcq.org.uk/exams-office/non-examination-assessments/notice-to-centres---informing-candidates-of-their-centre-assessed-marks>

*“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)*

- A written **malpractice policy** which covers all qualifications delivered by the centre. The policy must detail how candidates are informed and advised to avoid committing malpractice in examinations/assessments, how suspected malpractice issues should be escalated within the centre and reported to the relevant awarding body. It must also acknowledge the use of AI (e.g. what AI is, when it may be used and how it should be acknowledged, the risks of using AI, what AI misuse is and how this will be treated as malpractice).

#### **Malpractice Policy (Exams)**

**The Malpractice Policy (Exams) can be found in the School Policies folder on the school Staff Portal and in the Exams Manual kept in the Exams Office.**

It is the responsibility of the head of centre to ensure that his/her centre ... Has in place a written malpractice policy which covers all qualifications delivered by the centre and details how candidates are informed and advised to avoid committing malpractice in examinations/assessments, how suspected malpractice issues should be escalated within the centre and reported to the relevant awarding body

*(GR, 5.3z)*

This policy also acknowledges the use of AI and expands on information about it provided in the JCQ document, *AI Use in Assessments: Protecting the Integrity of Qualifications* (<http://www.jcq.org.uk/exams-office/malpractice>), including:

- what AI is,
- the risks of using AI,
- what AI misuse is,
- how this will be treated as malpractice,
- when it may be used,
- how it should be acknowledged.

- A written policy regarding the management of **non-examination assessments** including controlled assessments and coursework.

#### **Non-examination Assessment Policy**

**The Non-Examination Assessment Policy can be found in the School Policies folder on the school Staff Portal and in the Exams Manual kept in the Exams Office.**

*“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 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, section 1)*

This policy also acknowledges the use of AI and expands on information about it provided in the JCQ document, *AI Use in Assessments: Protecting the Integrity of Qualifications* (<http://www.jcq.org.uk/exams-office/malpractice>).

- A written whistleblowing policy.

#### **Whistleblowing Policy (Exams)**

**The Whistleblowing Policy (Exams) can be found in the School Policies folder on the school Staff Portal and in the Exams Manual kept in the Exams Office.**

- A written policy on the use of **word processors in examinations**.

#### **Word Processor Policy (Exams)**

**The Word Processor Policy (Exams) can be found in the School Policies folder on the school Staff Portal and in the Exams Manual kept in the Exams Office.**

The centre will not:

- Simply grant the use of a word processor to a candidate because they now want to type rather than write in exams or can work faster on a keyboard, or because they use 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.

*(AARA, 5.8)*

*(GR, 5.3)*

### **3.1.14 Access arrangements and reasonable adjustments**

The head of centre/senior leadership team will:

- Appoint a SENCo, or an equivalent member of staff, who will coordinate the access arrangements process within the centre and determine appropriate arrangements for candidates with learning difficulties and disabilities, candidates for whom English is an additional language, as well as those with a temporary illness or temporary injury
- Ensure that learners have the correct information and advice on their selected qualification(s) in an accessible format and that the qualification(s) meet their needs (The recruitment process must include the centre assessing each potential learner and making justifiable and professional judgements about the learner’s potential to complete the examinations/assessments successfully and achieve the qualification(s). The centre’s assessment must identify, where appropriate, the support that will be made available to the learner to facilitate access to examinations/assessments).

- Recognise its duties towards disabled candidates, including private candidates, ensuring compliance with all aspects of the Equality Act 2010<sup>†</sup>, particularly Section 20 (7) (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. Where the centre is under a duty to make a reasonable adjustment, the centre must not charge a disabled candidate any additional fee in relation to the adjustment or aid).

<sup>†</sup> or any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect.

- Ensure that the SENCo undertakes the necessary and appropriate steps to gather a picture of need and demonstrate normal way of working for a private candidate such as a distance learner or a home educated student (The centre, where required, must lead on the assessment process. The candidate must be assessed by the centre's appointed assessor. In some instances, depending on their needs, the candidate may have to be assessed away from the centre, for example at home. The centre must comply with the obligation to identify the need for, request and implement access arrangements).
- Ensure that where a candidate with a learning difficulty requires an assessment of their needs, they are assessed by an appropriately qualified assessor as appointed by the head of centre (Evidence of the assessor's qualification(s) must be obtained before they assess candidates and held on file for inspection).
- 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 document *Access Arrangements and Reasonable Adjustments*.

#### **Access Arrangements Policy**

**The Access Arrangements Policy can be found in the School Policies folder on the school Staff Portal and in the Exams Manual kept in the Exams Office.**

*"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 per Chapter 7 of the JCQ publication Access Arrangements and Reasonable Adjustments..."*

[\(GR, 5.4\)](#)

- Assist the awarding bodies in the discharge of their duty to make reasonable adjustments by requesting access arrangements, where required, and fully support the SENCo in effectively implementing those arrangements once approved.

[\(GR, 5.4\)](#)

### **3.1.15 Malpractice**

The centre will:

- Take all reasonable steps to prevent the occurrence of any malpractice (which includes maladministration) before, during and after assessments have taken place.
- Inform the awarding immediately of any alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, by completing the appropriate documentation
- As required by an awarding body, ensures evidence of any instances of alleged or suspected malpractice (which includes maladministration) is gathered in accordance with the current JCQ document Suspected Malpractice - Policies and Procedures and provides such information and advice as the awarding body may reasonably require.

- Ensures any person involved in administering, teaching or completing examinations/assessments is advised that where malpractice is suspected, or alleged, personal data about them will be provided to the awarding body (or bodies) whose examinations/assessments are involved. Personal data about them may also be shared with other awarding bodies, the qualifications regulator or professional bodies in accordance with the JCQ document *Suspected Malpractice – Policies and Procedures*.

### 3.1.16 Personal Data

It is the responsibility of centres to inform candidates of the processing that the centre undertakes. For example, that the centre will provide relevant personal data including name, date of birth, gender to the awarding bodies for the purpose of examining and awarding qualifications.

Materials which are submitted by candidates for assessment may include any form of written work, audio and visual materials, computer programmes and data ("Student Materials"). Awarding bodies may use the Student Materials to evaluate candidates' performance in the relevant assessment. They may also use the Student Materials for other purposes as outlined in their privacy policies and in accordance with their terms. Candidates should be directed to the relevant awarding body's privacy notice if they require further information about how their Student Materials may be used by the awarding body.

Where a centre or third party is in possession of any Student Materials for the purposes of candidate assessment, the Student Materials will be held on behalf of the awarding body.

## 3.2 Exams officer (EO)

- Understands the contents of annually updated JCQ documents including:
  - [General Regulations for Approved Centres \(GR\)](#)
  - [Instructions for Conducting Examinations \(ICE\)](#)
  - [Suspected Malpractice – Policies and Procedures \(SMPP\)](#)
  - [Post-results Services \(PRS\)](#)
  - [A Guide to the Special Consideration Process \(SCP\)](#)
- Completes/submit 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 every year to confirm the centre's contact details, or informs them of any changes (and follows the process – in [GR, 5.3](#) - if any changes occur after the annual update has taken place).
- 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 may be applicable to the centre and keeps a record of the content of training provided to invigilators for the required period.
- Works with the SENCo (or equivalent role) 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 (where required) of any Conflict of Interest declared by members of centre staff and in maintaining internal 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 for each exam series.

- Briefs other relevant centre staff where they may be involved in the receipt and dispatch of confidential materials on the requirements for maintaining the integrity and security of confidential examination/assessment materials.

### 3.3 Senior leaders (SLT)

- Are familiar with the contents, refer to and direct relevant centre staff to annually updated JCQ documents including:
  - [\*General Regulations for Approved Centres \(GR\)\*](#)
  - [\*Instructions for Conducting Examinations \(ICE\)\*](#)
  - [\*Access Arrangements and Reasonable Adjustments \(AARA\)\*](#)
  - [\*Suspected Malpractice – Policies and Procedures \(SMPP\)\*](#)
  - [\*Instructions for Conducting Coursework \(ICC\)\*](#)
  - [\*Instructions for Conducting Non-examination Assessments \(NEA\)\*](#)
  - [\*A Guide to the Special Consideration Process \(SCP\)\*](#)
  - [\*Post-Results Services \(PRS\)\*](#)
- Ensure 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 (or equivalent role).
- 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.

### 3.4 Special educational needs co-ordinator (SENCo) or equivalent role

- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ documents including [\*AARA\*](#).
- 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.
- Ensures any applications for access arrangements or reasonable adjustments are submitted by the published deadline (the SENCo will hold on file appropriate documentary evidence to substantiate such an arrangement, which is open to inspection. For those qualifications covered by Access Arrangements Online, a JCQ Centre Inspector will sample a centre’s applications).
- Ensures a file is presented which must contain for each online application the downloaded approval for the respective arrangement(s), supporting evidence of need and a signed candidate data personal consent form (This information must be readily available for inspection at the venue where the candidate is taking the examination(s)).
- Ensures requests for modified papers are submitted by the published deadline.
- Ensures there are appropriate resources in place at the time of examinations/assessments to meet candidates’ needs, e.g. sufficient readers and scribes.

[\*\(GR, 5.4\)\*](#)

### 3.5 Curriculum Leaders and Directors of Learning

- Ensure 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 (or equivalent role).



- 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.

### **3.6 Teaching staff**

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

### **3.7 Invigilators**

- Attend/undertake training (on the current regulations), 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.

### **3.8 Reception staff**

- Support the EO in the receipt and dispatch of confidential materials and follow the requirements for maintaining the integrity and security of confidential examination/assessment materials.

### **3.9 Site staff**

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

### **3.10 Candidates**

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

## **4 The exam cycle**

The exams management and administration process that needs to be undertaken for each **exam series** is referred to as the **exam cycle** and relevant tasks which need to be undertaken before, during and after an exam series are grouped into the following stages:

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

In this centre internal exams are scheduled in November/December for all candidates who are due to take external exams during the current academic year and May/June for all candidates in Year 10. Exams are held under external exam conditions as set out by the JCQ.

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

## **4.1 Planning: Roles and responsibilities**

### **4.1.1 Secure materials**

#### **4.1.1.1 Head of centre:**

- Ensures the centre has a secure storage facility in a room solely assigned to examinations.

[\*\(GR, 3.6\)\*](#)

#### **4.1.1.2 The secure room**

- The secure room must only be used for the purpose of administering secure examination materials.
- Access to the secure room must be restricted to two to six key holders, one of whom must be the exams officer. The two to six key holders must be permanent members of staff or members of staff who have a formal contract of employment and are subject to standard HR policies and procedures.

#### **4.1.1.3 The secure storage facility**

- Access to the secure storage facility must be restricted to two to six key holders, one of whom must be the exams officer.
- The two to six key holders must either be part of the exams team or the senior leadership team. A key holder from the exams team must be a permanent member of staff or a member of staff who has a formal contract of employment and is subject to standard HR policies and procedures.
- When the secure storage facility is being accessed for the storage and preparation of secure assessment materials the door to the secure room **must** be closed.

[\*\(ICE, 3.1\)\*](#)

### **4.1.2 Information Sharing**

#### **4.1.2.1 Head of centre**

- Directs relevant centre staff to annually updated JCQ documents including [GR](#), [ICE](#), [AARA](#), [SMPP](#) , [ICC](#), [NEA](#) and [SC](#).

#### **4.1.2.2 Exams Officer**

- Signposts relevant centre staff to JCQ documents and awarding body documentation relating to the examination/assessment process that has been updated.
- Signposts relevant centre staff to JCQ information that must be provided to candidates.
- As the centre administrator, approves relevant access rights for centre staff to access awarding body secure extranet sites.

### **4.1.3 Information Gathering**

#### **4.1.3.1 Exams Officer**

- Undertakes an annual information gathering exercise in preparation for each new academic year to ensure data about all qualifications being delivered is up to date and correct.
- Collates all information gathered into one central point of reference.
- Researches awarding body guidance to identify administrative processes, key tasks, key dates and deadlines for all relevant qualifications.
- Produces an annual exams plan of key tasks to ensure all external deadlines can be effectively met; informs key centre staff of internal deadlines.
- Collects information on internal exams/assessments to enable preparation for and conduct of these mock exams.

#### **4.1.3.2 Curriculum Leaders and Directors of Learning**

- Ensure that the Exams Officer is notified by the end of September each year of any changes in the awarding body or syllabus for their subject.
- Respond (or ensures teaching staff respond) to requests from the EO on information gathering.
- Meet the internal deadline for the return of information.
- Inform 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.
- Note the internal deadlines in the annual exams plan and directs teaching staff to meet these.

#### **4.1.4 Access Arrangements**

##### **4.1.4.1 Head of Centre**

- Ensures the SENCo (or equivalent role) is fully supported in effectively implementing access arrangements and reasonable adjustments once approved.

##### **4.1.4.2 Exams Officer**

- Support the SENCo (or equivalent role) in making applications for access arrangements online and maintain relevant paperwork for inspection.

##### **4.1.4.3 SENCo (or equivalent role)**

- Assesses candidates (or works with the appropriately qualified assessor as appointed by the head of centre) to identify access arrangements/reasonable adjustments 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 for a candidate.
- Determines candidate eligibility for arrangements or adjustments that are centre-delegated.
- Gathers signed Personal data consent forms from candidates where required and ensures Data Protection confirmation(s) by the examinations officer or SENCo are completed.
- Applies for approval using 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 EO regarding exam time arrangements for access arrangement candidates.
- Ensures staff appointed to facilitate access arrangements for candidates are thoroughly 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 EO to ensure invigilators and those acting as a facilitator fully understand the respective role and what is and what is not permissible in the exam room.
- Liaises with the relevant member of senior leadership on the centre's policy on the use of word processors in examinations.
- Ensures criteria for candidates granted alternative rooming arrangements is clear, meets JCQ regulations and best meets the needs of individual candidates and remaining candidates in main exam rooms.

#### **Alternative Rooming Arrangements Policy (Exams)**

Alternative rooming arrangements, e.g. a room for a smaller group of candidates with similar needs is formerly known as separate invigilation).

### **Why have a policy on this?**

In certain circumstances, a candidate with 'an established difficulty' may be eligible to take exams in alternative rooming arrangements. Centres may also receive requests from candidates (and/or parents/carers) to take their exams in alternative rooms. Having a documented policy ensures:

- the criteria for candidates granted alternative rooming arrangements is clear and complies with JCQ regulations,
- the centre can demonstrate the policy if asked/challenged by a candidate (and/or parent/carer).

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, page 16) 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."*

[\(ARAA, 5.16\)](#)

*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.*

[\(ARAA, 4.2.1\)](#)

*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 (see sections 11 and 12).*

[\(ICE, 14\)](#)

At Upper Wharfedale School, decisions regarding alternative rooming arrangements will be determined on an individual basis, based on the criteria above.

#### **4.1.4.4 Senior leaders (SLT), Curriculum Leaders, Directors of Learning and Teaching Staff**

- Support the SENCo (or equivalent role) in determining and implementing appropriate access arrangements/reasonable adjustments.
- (Senior leader) Provides an annually reviewed and updated word processor policy, specific to the centre, which details the criteria the centre uses to award and allocate word processors for examinations.

#### **4.1.5 Internal Assessment and Endorsements**

##### **4.1.5.1 Head of Centre**

##### **Controlled assessments, coursework and non-examination assessments**

- Ensures that where candidates are taking non-examination assessments, teaching staff check that the tasks and approach being taken are appropriate and in line with ethical standards and the centre's safeguarding responsibilities.
- Ensures awarding bodies are notified of a consortium of centres with joint teaching arrangements for qualifications (this will allow the candidates for each specification to be treated as a single group for the moderation of centre-assessed work. This is only required if two or more member centres will be entering candidates for work that is centre-assessed).

- Ensures only current assessment materials/tasks are used to assess candidates' knowledge and skills (in cases where the awarding body provides such material).
- Before submitting marks to the awarding body ensures candidates are informed of their centre assessed marks and allows a candidate to request a review of the centre's marking.
- Ensures that all associated administrative tasks are completed in an accurate and timely manner, e.g. marks are correctly calculated, recorded and submitted by the published date (it is the responsibility of the centre to carefully check the marks it is submitting to an awarding body).
- Ensures submission of centre-assessed marks and moderation samples, if required by the awarding body, by the published date (it is the responsibility of the centre to ensure that moderators receive the correct samples of work to review).
- Ensures a written internal appeals procedure relating to internal assessment decisions is in place and ensures that details of this procedure are communicated, made widely available and accessible to all candidates.
- Ensures a written policy regarding the management of non-examination assessments, including controlled assessments and coursework is in place.
- Ensures that candidates' work is backed-up and considers the contingency of candidates' work being backed-up on two separate devices, including one off-site back-up (Implementing appropriate security arrangements which protect candidates' work in the event of IT system corruption and cyber-attacks).

[\*\(GR, 5.7\)\*](#)

#### **4.1.5.2 Senior leaders (SLT), Curriculum Leaders and Directors of Learning**

- 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 relevant qualifications follow JCQ ICC and the specification provided by the awarding body.
- Ensure teaching staff delivering GCE and GCSE specifications (which include components of non-examination assessment) follow JCQ NEA and the specification provided by the awarding body.
- Ensure teaching staff delivering qualifications which include (wholly or in part) units of coursework follow JCQ ICC and the specification provided by the awarding body.
- For VTQs, ensure teaching staff follow appropriate instructions issued by the relevant 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.

#### **4.1.5.3 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.

#### **4.1.5.4 Exams Officer**

- Identifies relevant key dates and administrative processes that need to be followed in relation to internal assessment.
- Signposts teaching staff to relevant JCQ [\*Information for candidates\*](#) documents that are annually updated.

#### **4.1.6 Invigilation**

##### **4.1.6.1 Head of centre**

- Ensures relevant support is provided to the EO in recruiting, training and deploying a team of invigilators.
- Ensures, if contracting supply staff to act as invigilators that such persons are competent and fully trained, understanding what is and what is not permissible.
- Determines if additional invigilators will be deployed in timed Art exams in addition to the subject teacher to ensure the supervision of candidates is maintained at all times.
- Ensures that, wherever possible a teacher, a teaching assistant, a tutor or a senior member of centre staff who teaches the subject being examined or a Learning Support Assistant who has supported one or more candidates is not an invigilator during the examination.

##### **4.1.6.2 Exams Officer**

- Recruits additional invigilators where required to effectively cover all exam periods/series' throughout the academic year.
- Collects information on new recruits to identify if they have invigilated previously and if any current maladministration/malpractice sanctions are applied to them.
- Provides thorough training for new invigilators on the current instructions for conducting examinations and an 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.

#### **4.2 Entries: roles and responsibilities**

##### **4.2.1 All entries**

###### **4.2.1.1 Head of Centre**

- Ensures the centre's obligations as detailed in the regulations are met (with reference to [GR, 5.7](#)).

##### **4.2.2 Estimated entries**

###### **4.2.2.1 Exams Officer**

- 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.

###### ***Estimated entries collection and submission procedure***

- The Exams Officer will liaise with teaching staff and Curriculum Leaders to gather estimated entry information.
- Estimated entry information is collated by the EO and submitted to the awarding bodies using their required procedure (usually via their secure website access).

###### **4.2.2.2 Curriculum Leaders and Directors of Learning**

- Provide entry information requested by the EO to the internal deadline.

- Inform the EO immediately of any subsequent changes to entry information.

### **4.2.3 Final entries**

#### **4.2.3.1 Head of Centre**

- Ensures appropriate controls are in place which allow accurate data to be submitted to the awarding bodies, e.g. entries.

#### **4.2.3.2 Exams Officer**

- 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.
- Submits registrations, examination entries and certification claims by the deadline(s) and complies with the requirements of the specification including any terminal rules which need to be met at the point of certification.
- Confirms with Curriculum Leaders 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, and observes any regulatory requirements for the qualification.

#### ***Final entries collection and submission procedure***

- The Exams Officer will liaise with teaching staff and Curriculum Leaders to gather final entry information.
- Teaching staff will be provided with an internal entry form and they will be required to indicate which students should be entered for the qualification they are teaching, and if appropriate, at which level.
- Directors of Learning or Curriculum Leaders (as appropriate) will be required to counter-sign the internal entry form to confirm the entries. Where a subject teacher requesting entries is a Director of Learning, the entries must be signed off by the Head of Centre.
- Final entry information is collated by the EO and submitted to the awarding bodies via the Bromcom MIS and EDI.
- The EO signs the internal entry form once the entries have been submitted to the awarding bodies.
- Records are kept of all final entry information submitted to the awarding bodies.

#### **4.2.3.3 Curriculum Leaders and Directors of Learning**

- Provide entry information requested by the EO to the internal deadline.
- Inform 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.
- Check final entry submission information provided by the EO and confirms information is correct.

### **4.2.4 Entry fees**

- Registration and Entry 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 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.

#### **4.2.5 Late Entries**

##### **4.2.5.1 Exams Officer**

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

##### **4.2.5.2 Curriculum Leaders and Directors of Learning**

- Minimise 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.

#### **4.2.6 Private candidates**

- Upper Wharfedale School does not accept private candidates.

#### **4.2.7 Candidate Statements of Entry**

##### **4.2.7.1 Exams Officer**

- Provides candidates with statements of entry for checking.

##### **4.2.7.2 Teaching staff**

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

##### **4.2.7.3 Candidates**

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

#### **4.3 Pre-Exams: roles and responsibilities**

##### **4.3.1 General**

##### **4.3.1.1 Head of Centre**

- Ensures the centre's obligations as detailed in the regulations are met (with reference to [GR, 5.8: Candidate Information](#)).

##### **4.3.2 Access Arrangements and Reasonable Adjustments**

##### **4.3.2.1 SENCo (or equivalent role)**

- 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 documents, individual exam timetable etc.) is adapted where this may be required for a 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 access arrangement).
- Ensures the person appointed to facilitate an access arrangement must not normally be the candidate's own subject teacher, Learning Support Assistant or teaching assistant (where the candidate's own subject teacher, Learning Support Assistant or teaching assistant is used, a separate invigilator must always be present).
- 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.

### **4.3.3 Briefing Candidates**

#### **4.3.3.1 Exams Officer**

- Issues individual exam timetable information to candidates and informs candidates of any designated contingency sessions awarding bodies may identify in the event of national or significant local disruption to examinations.
- Prior to exams issues relevant JCQ Information for candidates documents (coursework, non-examination assessments, on-screen tests, social media and written examinations) and awarding body privacy notices.
- Where relevant, issues relevant awarding body information to candidates.
- Issues centre exam information to candidates including information on:
  - exam timetable clashes,
  - arriving late for an exam,
  - absence or illness during exams,
  - what equipment is/is not provided by the centre,
  - food and drink in exam rooms,
  - unauthorised items in the exam rooms,
  - when and how results will be issued and the staff that will be available,
  - post-results information and how the centre will deal with requests from candidates,
  - when and how certificates will be issued.

#### ***Access to Scripts, Reviews of Results and Appeals Procedure***

- Candidates are informed of the post-results process before their exams via the Candidate Exam Handbook.
- The information provided to the candidates is based on the JCQ publication, Post-Results Services (<https://www.jcq.org.uk/exams-office/post-results-services>).

#### **Reviews of Results (RoRs)**

- Reviews of Results (RoRs) 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, the Head of Centre will investigate the feasibility of asking for a review of marking at the Centre's expense. Regardless of whether it is possible for the Centre to pay for the RoR, the candidate's signed authority must be obtained before the RoR can be requested.
- If a result is queried by a candidate, the expense will be charged to the candidate. The full amount for the RoR must be received via the Bromcom MIS, 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.
- Centre staff may request the return of scripts for teaching purposes but the consent of the candidates must be obtained before scripts can be requested and downloaded.

*"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."*

[\*\(GR, 5.6\)\*](#)

*"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."*

[\*\(PRS, 4.1\)\*](#)

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

##### **4.3.4.1 Exams Officer**

- 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.

#### **4.3.5 Estimated grades**

##### **4.3.5.1 Curriculum Leaders and Directors of Learning**

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

##### **4.3.5.2 Exams Officer**

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

#### **4.3.6 Internal Assessment and Endorsements**

##### **4.3.6.1 Head of Centre**

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

##### **4.3.6.2 SENCo (or equivalent role)**

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

##### **4.3.6.3 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.

#### **4.3.6.4 Curriculum Leaders and Directors of Learning**

- 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 EO to the internal deadline.
- Ensure teaching staff provide required samples of work for moderation and sample recordings for monitoring to the EO to the internal deadline.

#### **4.3.6.5 Exams Officer**

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

#### **4.3.6.6 Candidates**

- Authenticate their work as required by the awarding body.

#### **4.3.7 Invigilation**

##### **4.3.7.1 Exams Officer**

- Provides an annually reviewed/updated invigilator handbook to invigilators, trains new invigilators on the current regulations on appointment and updates the existing invigilation team on any regulation changes and any changes to centre-specific arrangements.
- 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, prompter, 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, ensure all relevant rules are being adhered to and to support 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 (or equivalent role) regarding the facilitation and invigilation of access arrangement candidates.

#### **4.3.8 SENCo (or equivalent role)**

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

#### **4.3.9 Invigilators**

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

#### **4.3.10 JCQ Centre Inspections**

##### **4.3.10.1 Exams Officer or Senior Leader**

- Will accompany the Inspector **throughout** a visit.

#### **4.3.10.2 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).

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

##### **4.3.11.1 Exams Officer**

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

##### ***Candidate Identification Procedure***

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

*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 Exams Officer or senior member of staff will be able to confirm any identity if there are any concerns.

*"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 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. Invigilators must be made aware of the access arrangement(s) awarded"*

[\*\(ICE, 16\)\*](#)

- 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).

##### **4.3.11.2 Invigilators**

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

#### **4.3.12 Security of Exam Materials**

##### **4.3.12.1 Exams Officer**

- Confirms appropriate arrangements are in place to ensure that confidential materials are only handed over to those authorised by the head of centre.
- Ensures access to the secure room is restricted and staff approved by the head of centre are accompanied by a keyholder at all times.
- 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.
- Carefully checks question paper packets when they are removed from the dispatch packing and keeps a log of the check.
- 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 a secure environment at the centre to prevent unauthorised personnel accessing live assessment materials and ensuring only authorised members of centre staff have access to electronic question paper materials).
- At least two and no more than six members of centre staff should be authorised to handle secure electronic materials, one of whom must be the Exams Officer. Other members of centre staff may assist with printing and collation provided they are under supervision.

##### **4.3.12.2 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 transferral to for placing in the secure storage facility.

##### **4.3.12.3 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.

#### **4.3.13 Timetabling and Rooming**

##### **4.3.13.1 Exams Officer**

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

##### ***Overnight Supervision Arrangements Policy***

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

- Where there is an exam timetable clash such that a candidate could take an exam the morning after the original day, the Exams Officer will discuss the options for taking the exam with the candidate and their parent/carer. The implications of overnight supervision will be explained to the candidate and their parent/carer so that a mutually beneficial solution can be arranged for the candidate.

*“When candidates are entered for multiple examinations (three or more examinations) timetabled for the same day ..... candidates may, at the centre’s discretion, be allowed to take an examination the following morning, including Saturdays (see paragraph 8.5, page 14). Candidates are not allowed to take examinations on an earlier day than that scheduled on the timetable.”*

[\(ICE, 8.1\)](#)

*“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.”*

[\(ICE, 8.3\)](#)

*“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) which can be accessed using any of the awarding bodies’ secure extranet sites. The JCQ Overnight Supervision Declaration form is downloaded from the CAP for signing by the candidate, the supervisor and the head of centre”.*

[\(ICE, 8\)](#)

- 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 (or equivalent role) regarding rooming of access arrangement candidates.

#### **4.3.13.2 SENCo (or equivalent role)**

- 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.

#### **4.3.13.3 Site staff**

- Ensure exam rooms are available and set up as requested by the EO and according to JCQ and awarding body requirements.

#### **4.3.14 Alternative site arrangements**

##### **4.3.14.1 Exams Officer**

- (Where/if applicable to the centre) 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 form online using 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.



#### **4.3.15 Centre Consortium arrangements**

##### **4.3.15.1 Exams Officer**

- (Where/if applicable to the centre) Processes applications for *Centre Consortium arrangements* using CAP to the awarding body deadline (or through the awarding body where a qualification may sit outside the scope of CAP).

##### **4.3.15.2 Curriculum Leaders and Directors of Learning**

- (Where/if applicable to the centre) Informs the EO of any joint teaching arrangements in place and where the centre is acting as the consortium co-ordinator.

#### **4.3.16 Transferred candidate arrangements**

##### **4.3.16.1 Exams Officer**

- (Where/if applicable to the centre) Liaises with the host or entering centre, as required.
- Processes requests for Transferred Candidate arrangements using 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.

#### **4.3.17 Internal exams/assessments**

##### **4.3.17.1 Exams Officer**

- Prepares for the conduct of internal exams/assessments under external conditions (where applicable to the centre).
- Provides a centre exam timetable of subjects and rooms.
- Provides seating plans for exam rooms.
- Requests internal exam papers from teaching staff.
- Arranges invigilation (where applicable to the centre).

##### **4.3.17.2 SENCo (or equivalent role)**

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

##### **4.3.17.3 Teaching staff**

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

#### **4.4 Exam Time: roles and responsibilities**

##### **4.4.1 General**

###### **4.4.1.1 Head of Centre**

- Ensures the centre's obligations as detailed in the regulations are met (with reference to [GR, 5.9: Conducting examinations and assessments](#)).

###### **4.4.2 Access Arrangements**

###### **4.4.2.1 Exams Officer**

- Provides cover sheets for access arrangement candidates' scripts where required for particular arrangements.
- Has a process in place to deal with emergency/temporary access arrangements as they arise at the time of exams:

- Liaises with the SENCo to apply for approval through AAO where required or through the awarding body where qualifications sit outside the scope of AAO.

#### 4.4.3 Candidate Absence

##### ***Candidate Absence Policy***

- If a candidate is ill and cannot attend an examination 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.
- 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.
- 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.
- 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 25% of the assessment has been completed they will not receive a grade.

*“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)*

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

##### 4.4.3.1 **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.

##### 4.4.3.2 **Candidates**

- Are required to inform the centre of any absence in good time before the start of each exam.
- Are required to arrive promptly and on time to sit all exams and controlled assessments.
- Are re-charged relevant entry fees for unauthorised absence from exams.

##### 4.4.4 **Candidate behaviour**

- See Irregularities below

##### 4.4.5 **Candidate belongings**

- See Unauthorised items below

##### 4.4.6 **Candidate Late Arrival**

##### 4.4.6.1 **Exams Officer**

- 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 using CAP to timescale.
- Warns candidates that their script may not be accepted by the awarding body.

#### 4.4.6.2 **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***

- If a candidate arrives late for an exam they should report to the school reception and wait (under reception staff supervision) for the Exams Officer to collect them.
- Wherever practically possible (subject to the length of the exam and the other timetabled exams scheduled for that day), and if this is deemed appropriate by the Head of Centre and/or Exams Officer, they may be allowed to sit their exam.
- The late candidate will be escorted to the exam room by the Exams Officer or a senior member of staff.
- They will be allowed the full time for the examination provided that adequate supervision arrangements can be put in place at short notice.

*“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”.*

[\*\(ICE, 21\)\*](#)

- If a candidate arrives very late or more than one hour after the published starting time for the exam, they may not be allowed to sit the exam.

*The centre will ..... submit Form JCQ/VLA-Report on candidate admitted very late to examination room online, using the Centre Admin Portal (CAP), within seven days of the examination having taken place.*

[\*\(ICE, 21\)\*](#)

- If a candidate persistently arrives late for exams they will be challenged and monitored.
- All late arrivals will be recorded and monitored.

#### 4.4.7 **Conducting Exams**

##### 4.4.7.1 **Head of Centre**

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

##### 4.4.7.2 **Exams Officer**

- Ensures exams are conducted according to JCQ and awarding body instructions.
- Uses an exam day *checklist* to ensure each exam session is fully prepared for, unplanned events can be dealt with and associated follow-up is completed.

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

##### 4.4.8.1 **Exams Officer**

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

#### 4.4.9 Exam Papers and Materials

##### 4.4.9.1 Exams Officer

- Organises exam question papers and associated confidential resources in date order in the secure storage facility.
- Attaches erratum notices received to relevant sealed 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 second pair of eyes 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.

#### 4.4.10 Exam Rooms

##### 4.4.10.1 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.

##### ***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 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)*

- At Upper Wharfedale School we **do not** allow food in exam rooms except under exceptional circumstances and at the Head of Centre's discretion.
- Candidates can take bottled water into the exam rooms but the bottles must be completely clear and with all labels removed.
- Candidates must place their bottles on the floor next to their chairs in the exam room, so that they cannot be knocked off and cause a disturbance to other candidates.

- Ensures the centre's policy on candidates leaving the exam room temporarily is clearly communicated to candidates.

##### ***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)*

- This decision will be made on a case-by-case basis, but in general, students at Upper Wharfedale School who have not been awarded Supervised Rest Breaks as an Access Arrangement will be allowed to go to the toilet etc during an exam.
- Any student leaving an exam room for whatever reason will be accompanied by the Exams Officer.
- Students will receive the time they are out of the exam room at the end of the exam – they must remain in the exam room until they have received the full exam working time.

- Liaises with the EO regarding any emergency evacuation of exam rooms and the cancellation of exam sessions following the emergency evacuation of any exam room.

#### **4.4.10.2 Exams Officer**

- Ensures exam rooms are set up and conducted as required in the regulations.
- Provides invigilators with appropriate resources to effectively conduct exams.
- Briefs invigilators on exams to be conducted on a session-by-session basis (including the arrangements in place for any transferred candidates and access arrangement candidates).
- Ensures sole invigilators have an appropriate means of summoning assistance (if this is a mobile phone, instructs the invigilator the mobile phone is only allowed to be used for this specific purpose and that it must be kept 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.

#### **Emergency Evacuation Policy (Exams)**

**The Emergency Evacuation Policy (Exams) can be found in the School Policies folder on the school Staff Portal and in the Exams Manual kept in the Exams Office.**

*“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)*

- Ensures invigilators are aware of arrangements in place for a candidate with a disability who may need assistance if an exam room is evacuated.
- 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.

#### **4.4.10.3 Senior leaders (SLT)**

- 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.
- Ensure a procedure is in place in case of an emergency evacuation (lockdown).

#### ***Lockdown Policy (Exams)***

**The Lockdown Policy (Exams) can be found in the School Policies folder on the school Staff Portal and in the Exams Manual kept in the Exams Office.**

#### **4.4.10.4 Site staff**

- Ensure exam rooms are available and set up 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.

#### **4.4.10.5 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.
- This includes:
  - making the necessary announcements at the beginning and end of the exams;
  - organisation and supervision of the exam rooms;
  - supervision of candidates in the exam room;
  - collection of all exam papers in the correct order at the end of the exam;
  - the secure return to the exams office;
  - assisting with the emergency evacuation of exam hall;
  - carrying out emergency evacuation of all other exam rooms when the alarm sounds;
  - assisting with recommencing or cancelling of the exam session following return to the exam room.

#### **4.4.10.6 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.

#### **4.4.11 Irregularities**

##### **4.4.11.1 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 (Exams)***

*“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, section 24)*

- 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.

#### **4.4.11.2 Senior leaders (SLT)**

- 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.

#### **4.4.11.3 Exams Officer**

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

#### **4.4.11.4 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).

#### **4.4.12 Malpractice**

- See Irregularities above.

#### **4.4.13 Special Consideration**

##### **4.4.13.1 Curriculum Leaders and Directors of Learning**

- Support eligible applications for special consideration by signing appropriate evidence.

##### **4.4.13.2 Exams Officer**

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



### **Special Consideration Policy**

**The Special Consideration Policy (Exams) can be found in the School Policies folder on the school Staff Portal and in the Exams Manual kept in the Exams Office.**

*The centre will ..... submit any applications for special consideration where candidates meet the published criteria.*

*(GR, 5.9)*

#### **4.4.13.3 Candidates**

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

#### **4.4.14 Unauthorised Items**

##### **Arrangements for unauthorised items taken into the exam room**

- Candidates' personal belongings will be stored outside the main exam hall.
- Unauthorised items 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.

*"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..*

*Candidates must not be in possession of iPods, mobile phones, MP3/4 players or similar devices or watches. This means; 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*

*Following the invigilators announcement any mobile phones or other unauthorised items in a candidates' possession must be handed to the invigilator prior to the exam starting."*

*(ICE, 18)*

#### **4.4.14.1 Invigilators**

- Are informed of the arrangements through training.

#### **4.4.14.2 Candidates**

- Follow rules and regulations on unauthorised materials in the exam room.

#### **4.4.15 Internal Exams/assessments**

##### **4.4.15.1 Exams officer**

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

##### **4.4.15.2 Invigilators**

- Conduct internal exams as briefed by the EO.

## **4.5 Results and post-results: roles and responsibilities**

### **4.5.1 General**

#### **4.5.1.1 Head of Centre**

- Ensures the centre's obligations as detailed in the regulations are met (with reference to
  - [GR, 5.12: Results](#),
  - [GR, 5.13: Post-results services and appeals](#)
  - [GR\) 5.14: Certificates](#).

### **4.5.2 Internal Assessment**

#### **4.5.2.1 Curriculum Leaders and Directors of Learning**

- 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 after the retention period or disposed of according to the requirements.

### **4.5.3 Managing Results Day(s)**

#### **4.5.3.1 Senior leaders (SLT)**

- 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 immediately 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.

#### **4.5.3.2 Exams Officer**

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

##### **Results day programme**

- The centre will be open from 9am to 12 noon on Results Day.
- Students are strongly encouraged to collect their results in person.
- If students wish any family members to collect their results on their behalf, they must bring the student's written permission with them to school (an appropriate form is available from our website). Results will not be released without this authority.
- Results will not be given out by telephone or fax under any circumstances but can be posted to students with their permission.
- All results will be emailed to the candidate's school email address (not a family member's) once the Results Day has concluded.
- Centre staff will be available on results day to discuss results with candidates.

*(Please also see Data protection policy and the Access to Scripts, Reviews of Results and Appeals procedure)*

#### **4.5.3.3 Site staff**

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

#### **4.5.4 Accessing Results**

##### **4.5.4.1 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.

##### **4.5.4.2 Exams Officer**

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

#### **4.5.5 Post-Results Services and Appeals**

##### **4.5.5.1 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).

##### **4.5.5.2 Exams Officer**

- Provides information to candidates and staff on the services provided by awarding bodies and the fees charged (see also above 4.3.3 Briefing candidates: 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.

##### **4.5.5.3 Teaching staff**

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

##### **4.5.5.4 Candidates**

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

#### **4.5.6 Analysis of Results**

##### **4.5.6.1 Exams Officer**

- Provides analysis of results to appropriate centre staff.

- Provides results information to external organisations where required.
- Undertakes the DfE School Checking Exercises (where applicable to the centre), <https://check-your-performance-measures-data.education.gov.uk/hc/en-gb>.

#### 4.5.7 Certificates

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

##### ***Certificates Issue Procedure and Retention Policy***

*The centre will ..... distribute certificates to all candidates without delay and regardless of any disputes (such as non-payment of fees). Certificates must not be withheld without prior permission from an awarding body which will only be given in very exceptional circumstances. A record should be kept of the certificates that are issued"*

*(GR, 5.14)*

- Year 11 students are invited to Presentation Evening in mid-November when it is hoped that candidates and their families will be able to attend to receive the certificates they have achieved 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.
- Alternatively, certificates can be posted to candidates on receipt of a completed consent form and payment towards postage and packing.
- 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.

(See also Exams Archiving Policy)

#### 4.5.7.1 Candidates

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

### 4.6 Exams Review: roles and responsibilities

#### 4.6.1.1 Exams Officer

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

#### 4.6.1.2 Senior leaders (SLT)

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

### 4.7 Retention of Records: roles and responsibilities

#### 4.7.1 Exams Officer

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

***Exams Archiving Policy***

**The *Archiving Policy (Exams)* can be found in the *School Policies* folder on the school *Staff Portal* and in the *Exams Manual* kept in the Exams Office.**