



Exams Policy

Person Responsible:	Mrs R Hayton	Frequency of Review:	1 Year
Authorisation By:	Headteacher	Notice Date:	30/10/2020
Authorisation Date:	06/11/2019	Review Due By:	30/11/2020

1 Purpose of the policy

The centre is committed to ensuring that the exams management and administration process is run effectively and efficiently and in compliance with the published JCQ regulations and awarding body requirements.

This exam policy will ensure that:

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

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

This policy will be communicated to all relevant centre staff.

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

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, NCFE/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 the 30th September.

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

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

3 The exam cycle

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

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

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

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

4 Entries

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

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

If a candidate requests a change of entry tier, or to withdraw from an examination he/she must first discuss the matter with the relevant subject teacher and Curriculum Leader. If the deadline for entries/registrations set by the Awarding Body has passed and the student has requested the amendment then a cheque from the student or the parent/guardian for the appropriate amount and made payable to Upper Wharfedale School must be received before the amendment takes place.

5 Exam 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 and re-sits for candidates whose absence was due to illness, providing a medical certificate or doctor's letter has been provided.

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

6 Roles and responsibilities overview

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

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

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

6.1 Head of centre

- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:
 - [General regulations for approved centres](#) (GR)
 - [Instructions for conducting examinations](#) (ICE)
 - [Access Arrangements and Reasonable Adjustments \(AA\)](#)
 - [Suspected Malpractice in Examinations and Assessments \(SMEA\)](#)
 - [Instructions for conducting non-examination assessments \(NEA\)](#) (and the instructions for conducting coursework)
 - [A guide to the special consideration process \(SC\)](#)
- Ensures the centre has appropriate accommodation to support the size of the cohorts being taught including appropriate accommodation for candidates requiring access arrangements for exams and assessments
- Takes responsibility for responding to the National Centre Number Register annual update (administered on behalf of the JCQ member awarding bodies by OCR ocr.org.uk/administration/stage-1-preparation/ncn-annual-update/) by the end of October each year confirming they are both aware of and adhering to the latest version of the JCQ regulations and signs and returns the head of centre’s declaration which is then kept on file for inspection purposes
- Enables the relevant senior leader(s), the examinations officer and the SENCo 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 regulations (as example, EO networking events and relevant events offered by awarding bodies, MIS providers and other external providers)
- Appoints a SENCo who will determine appropriate arrangements for candidates with learning difficulties and disabilities
- Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the EO
- Makes sure *“that a teacher who teaches the subject being examined, or a senior member of teaching staff who has had overall responsibility for the subject department and/or preparing the candidates for the examination, is not an invigilator during the timetabled written examination or on-screen test;”* [ICE 12]
- Ensures confidentiality and security within the examination process is compliant with and managed according to JCQ and awarding body regulations, guidance and instructions including
 - the location of the centre’s secure storage facility in a secure room solely assigned to examinations for the purpose of administering secure examination materials
 - appropriate arrangements are in place to ensure that confidential materials are only delivered to authorised members of centre staff
 - access to the secure room and secure storage facility is restricted to the authorised 2-4 keyholders
 - the relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk
 - that arrangements are in place to check that the correct question paper packets are opened by authorised members of centre staff

- Through taking an ethical approach and working proactively to avoid malpractice among students and staff takes all reasonable steps to prevent the occurrence of any malpractice/maladministration before, during the course of and after examinations have taken place
- Ensures irregularities are investigated and informs the awarding bodies of any cases of alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, are reported to the awarding body immediately
- Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place (that allows the senior leadership team to act immediately in the event of an emergency or staff absence) (see policies and procedures at the end of this document – exam contingency plan)
- Ensures required internal appeals procedures are in place and drawn to the attention of the candidates and (where relevant) their parents/carers (see policies and procedures at the end of this document – internal appeals procedure)
- Ensures the centre’s disability policy demonstrating the centre’s compliance with relevant legislation is in place and details the processes followed in respect of identifying the need for, requesting and implementing access arrangements (see policies and procedures at the end of this document – disability policy exams)
- ▶ Ensures a *complaints and appeals procedure* covering general complaints regarding the centre’s delivery or administration of a qualification is in place and drawn to the attention of candidates and their parents/carers (see policies and procedures at the end of this document – complaints and appeals policy (exams))
- Ensures the centre has a child protection/safeguarding policy in place, including Disclosure and Barring Service (DBS) clearance, which satisfies current legislative requirements (see policies and procedures at the end of this document – safeguarding policy)
- Ensures the centre has a data protection policy in place that complies with General Data Protection Regulation and Data Protection Act 2018 regulations (see policies and procedures at the end of this document – data protection policy and Information Security policy - exams)
- Ensures the centre has documented processes in place relating to access arrangements and reasonable adjustments (see policies and procedures at the end of this document – access arrangements policy)
- Ensures the relevant awarding bodies are informed of any **Conflict of Interest** where:
 - A member of centre staff is taking a qualification at the centre which includes internally assessed components/units (taking at the centre as a last resort where unable to find an alternative centre)
 - a candidate is being taught and prepared for a qualification which includes internally assessed components/units by a member of staff has a personal connection to the candidate
- Maintains records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected by the above, and where
 - a member of exams office staff have a personal connection to a candidate being entered for exams and assessments at the centre or at another centre
 - a member of centre staff is taking a qualification at the centre which does not include internally assessed components/units (taking at the centre as a last resort where unable to find an alternative centre)
 - a member of centre staff is taking a qualification at another centre
- Ensures other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials are briefed on the requirements for maintaining the integrity and confidentiality of the exam materials (see policies and procedures at the end of this document – conflicts of interest)
- Ensures members of centre staff do **not** forward e-mails and letters from awarding body or JCQ personnel without prior consent to third parties or upload such correspondence onto social media sites and applications
- Ensures members of centre staff do **not** advise parents/candidates to contact awarding bodies/JCQ directly nor provide them with addresses/email addresses of awarding body examining/assessment or JCQ personnel

6.2 Exams Officer

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

- Understands the contents of annually updated JCQ publications including:
 - [General regulations for approved centres](#)
 - [Instructions for conducting examinations](#)
 - [Suspected Malpractice in Examinations and Assessments](#)
 - [Post-results services \(PRS\)](#)
- Is familiar with the contents of annually updated information from awarding bodies on administrative procedures, key tasks, key dates and deadlines
- Ensures key tasks are undertaken and key dates and deadlines met
- Recruits, trains and deploys a team of internal/external invigilators; appoints lead invigilators, as required and keeps a record of the content of training provided to invigilators for the required period
- Works with the SENCo to ensure invigilators supervising access arrangement candidates and those acting as a facilitator supporting access arrangement candidates fully understand the respective role and what is and what is not permissible in the exam room
- Supports the head of centre in ensuring that awarding bodies are informed of any Conflict of Interest declared by members of centre staff and in maintaining records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected before the published deadline for entries
- Briefs other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials on the requirements for maintaining the integrity and confidentiality of the exam materials

6.3 Senior leaders (SLT)

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

6.4 Special educational needs co-ordinator (SENCo)

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

6.5 Curriculum Leaders and Directors of Learning

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

- Ensures teaching staff attend relevant awarding body training and update events

6.6 Teaching staff

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

6.7 Invigilators

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

6.8 Reception staff

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

6.9 Site staff

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

6.10 Candidates

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

7 Planning

7.1 Information Sharing

7.1.1 Head of centre

- Directs relevant centre staff to annually updated JCQ publications including [GR](#), [ICE](#), [AA](#), [SMEA](#) and [NEA](#) (and the instructions for conducting coursework)

7.1.2 Exams Officer

- Signposts relevant centre staff to JCQ publications and awarding body documentation relating to the exams process that has been updated
- Ensures that candidates and their parents are informed of the rules and regulations set by the JCQ and Upper Wharfedale School
- As the centre administrator, approves relevant access rights for centre staff to access awarding body secure extranet sites

7.2 Information Gathering

7.2.1 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
- Collects information on internal exams to enable preparation for and conduct of these Mock/Trial exams

7.2.2 Curriculum Leaders and Directors of Learning

- Ensures that the Exams Office is notified by the end of September each year of any changes in the awarding body or syllabus for their subject
- Responds (or ensures teaching staff respond) to requests from the EO on information gathering
- Meets the internal deadline for the return of information
- Informs the EO of any changes to information in a timely manner minimising the risk of late or other penalty fees being incurred by an awarding body
- Notes the internal deadlines in the annual exams plan and directs teaching staff to meet these

7.3 Access Arrangements

7.3.1 Head of centre

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

7.3.2 Exams Officer

- Support the SENCo in making applications for Access Arrangements on line and maintain relevant paperwork for inspection

Special educational needs co-ordinator (SENCo)

- Assesses candidates (or works with the appropriately qualified assessor as appointed by the head of centre) to identify access arrangements requirements thereby ensuring that
- Gathers **evidence** to support the need for access arrangements for a candidate
- Liaises with teaching staff to gather evidence of **normal way of working** of an affected candidate
- Determines candidate eligibility for arrangements or adjustments that are centre-delegated
- Gathers signed **Personal data consent, Privacy Notice (AAO) and Data Protection confirmation** forms (candidate personal data consent form) from candidates where required
- Applies for **approval** through *Access arrangements online* (AAO) via the Centre Admin Portal (CAP), where required or through the awarding body where qualifications sit outside the scope of AAO
- Keeps a file for each candidate for JCQ inspection purposes containing all the required documentation (if any documentation is kept electronically, in the event of IT failure at the time of an inspection is able to access this documentation in an alternative format)
- Employs good practice in relation to the Equality Act 2010
- Liaises with the EO regarding exam time arrangements for access arrangement candidates
- Ensures staff appointed to facilitate access arrangements for candidates are appropriately trained and understand the rules of the particular arrangement(s) and keeps a record of the content of training provided to facilitators for the required period
- 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
- Provides and annually reviews a centre policy on the **use of word processors** in exams and assessments ([see policies and procedures at the end of this document – word processor policy exams](#))

- Ensures criteria for candidates granted **separate invigilation within the centre** is clear, meets JCQ regulations and best meets the needs of individual candidates and remaining candidates in main exam rooms ([see policies and procedures at the end of this document](#))

7.3.3 Senior leaders (SLT), Curriculum Leaders, Directors of Learning and Teaching Staff

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

7.4 Internal Assessment and Endorsements

7.4.1 Head of centre

- Provides fully qualified teachers to mark non-examination assessments
- Ensures an **internal appeals procedure** relating to internal assessment decisions is in place for a candidate (or parent/carer) to appeal against and request a review of the centre's marking (see Roles and responsibilities overview)
- Ensures a **non-examination assessment policy** is in place for GCSE qualifications which include components of non-examination assessment ([see policies and procedures at the end of this document – non-examination assessment policy](#))
- Ensures any irregularities relating to the production of work by candidates are investigated and dealt with internally if discovered prior to a candidate signing the authentication statement (where required) or reported to the awarding body if a candidate has signed the authentication statement

7.4.2 Senior leaders (SLT)

- 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

7.4.3 Curriculum Leaders and Directors of Learning

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

7.4.4 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

7.4.5 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

7.5 Invigilation

7.5.1 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

7.5.2 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 training for new invigilators on the instructions for conducting exams and an annual update for the existing invigilation team so that they are aware of any changes in a new academic year before they are allocated to invigilate an exam.
- Ensures invigilators supervising access arrangement candidates understand their role (and the role of a facilitator who may be supporting a candidate) and the rules and regulations of the access arrangement(s)
- Ensures invigilators are briefed on the access arrangement candidates in their exam room (and that these candidates are identified on the seating plan) and confirms invigilators understand what is and what is not permissible
- Ensures invigilators are made aware of the Equality Act 2010 and are trained in disability issues

8 Entries

8.1 Head of centre

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

8.2 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 ([see policies and procedures at the end of this document – estimated entries and submission procedure](#))
- Makes candidates aware of the JCQ **Information for candidates – Privacy Notice** at the start of a vocational qualification or when entries are being processed for a general qualification
- Requests final entry information from Curriculum Leaders in a timely manner to ensure awarding body external deadlines for submission can be met
- Informs Curriculum Leaders of subsequent deadlines for making changes to final entry information without charge
- Confirms with Curriculum Leaders final entry information that has been submitted to awarding bodies

- Ensures as far as possible that entry processes minimise the risk of entries or registrations being missed reducing the potential for late or other penalty fees being charged by awarding bodies (see policies and procedures at the end of this document – final entries collection and submission procedure)
- Has clear entry procedures in place to minimise the risk of late entries
- Charges any late or other penalty fees to departmental budgets
- Provides candidates with statements of entry for checking

8.3 Curriculum Leaders and Directors of Learning

- Provides entry information requested by the EO to the internal deadline
- Informs the EO immediately of any subsequent changes to entry information
- Informs the EO immediately, or at the very least prior to the deadlines, of any subsequent changes to final entry information, which includes
 - changes to candidate personal details
 - amendments to existing entries
 - withdrawals of existing entries
- Checks final entry submission information provided by the EO and confirms information is correct
- Minimises the risk of late entries by
 - following procedures identified by the EO in relation to making final entries on time
 - meeting internal deadlines identified by the EO for making final entries

8.4 Teaching staff

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

8.5 Candidates

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

9 Pre-Exams

9.1 Access Arrangements

9.1.1 Special educational needs co-ordinator (SENCo)

- Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access to exams/assessments for candidates where they are disabled within the meaning of the Equality Act (unless a temporary emergency arrangement is required at the time of an exam)
- Ensures a candidate is involved in any decisions about arrangements, adjustments and /or adaptations that may be put in place for him/her
- Ensures exam information (JCQ information for candidates information, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it
- Allocates appropriately trained centre staff to facilitate access arrangements for candidates in exams and assessments (ensuring that the facilitator appointed meets JCQ requirements and fully understands the rule of the particular access arrangement)
- Where relevant, ensures the necessary and appropriate steps are undertaken to gather an appropriate picture of need and demonstrate normal way of working for a private candidate (including distance learners and home educated candidates) and that the candidate is assessed by the centre's appointed assessor

9.2 Briefing Candidates

9.2.1 Exams Officer

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

9.3 Dispatch of Exam Scripts

9.3.1 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

9.4 Internal Assessment and Endorsements

9.4.1 Head of centre

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

9.4.2 Special educational needs co-ordinator (SENCo)

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

9.4.3 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

9.4.4 Curriculum Leaders and Directors of Learning

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

9.4.5 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

9.4.6 Candidates

- Authenticate their work as required by the awarding body

9.5 Invigilation

9.5.1 Exams Officer

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

9.5.2 Special educational needs co-ordinator (SENCo)

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

9.5.3 Invigilators

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

9.6 JCQ Inspection Visit

9.6.1 Exams Officer or Senior Leader

- Accompanies "the Inspector **throughout a visit**

9.6.2 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)

9.7 Seating and Identifying Candidates in the Exam Rooms

9.7.1 Exams Officer

- Ensures a procedure is in place to verify candidate identity including private candidates (see policies and procedures at the end of this document – verifying candidate identity procedure)
- 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)

9.7.2 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

9.8 Security of Exam Materials

9.8.1 Exams Officer

- Confirms appropriate arrangements are in place to ensure that confidential materials are only delivered to those authorised by the head of centre.
- Has a process in place to demonstrate the receipt, secure movement and secure storage of confidential exam materials within the centre
- Ensures a log is kept at the initial point of delivery recording confidential materials received and signed for by authorised staff within the centre and that appropriate arrangements are in place for confidential materials to be immediately transferred to the secure storage facility until they can be removed from the dispatch packaging and checked in the secure room before being returned to the secure storage facility in timetable order
- Ensures the secure storage facility contains only current and live confidential material (including live confidential exam stationery provided by the awarding body for the use of candidates in their assessment)
- 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)

9.8.2 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

9.8.3 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

9.9 Timetabling and Rooming

9.9.1 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) ([see policies and procedures at the end of this document – overnight supervision arrangements policy](#))
- Identifies exam rooms and specialist equipment requirements
- Allocates invigilators to exam rooms (or where supervising candidates due to an exam timetable clash) according to required ratios
- Liaises with site staff to ensure exam rooms are set up according to JCQ and awarding body requirements
- Liaises with the SENCo regarding rooming of access arrangement candidates

9.9.2 Special educational needs co-ordinator (SENCo)

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

9.9.3 Site staff

- Ensure exam rooms are available and set up as requested by the EO

9.10 Alternative site arrangements

9.10.1 Exams Officer

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

9.11 Centre Consortium arrangements

9.11.1 Exams Officer

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

9.11.2 Curriculum Leaders and Directors of Learning

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

9.12 Transferred candidate arrangements

9.12.1 Exams Officer

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

9.13 Internal exams

9.13.1 Exams Officer

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

9.13.2 Special educational needs co-ordinator (SENCo)

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

9.13.3 Teaching staff

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

10 Exam Time

10.1 Access Arrangements

10.1.1 Exams Officer

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

10.2 Candidate Absence

10.2.1 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

10.2.2 Candidates

- Are required to inform the centre of any absence in good time before the start of each exam ([see policies and procedures at the end of this document – candidate absence policy](#))
- Are required to arrive promptly and on time to sit all exams and controlled assessments
- Are re-charged relevant entry fees for unauthorised absence from exams

10.3 Candidate Late Arrival

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

10.3.2 Invigilators

- Are informed of the policy/process for dealing with late/very late arrival candidates through training ([see policies and procedures at the end of this document – candidate late arrival policy](#))
- Ensure that relevant information is recorded on the exam room incident log

10.4 Conducting Exams

10.4.1 Head of centre

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

10.4.2 Exams Officer

- Ensures exams are conducted according to JCQ and awarding body instructions

10.5 Dispatch of Exam Scripts

10.5.1 Exams Officer

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

10.6 Exam Papers and Materials

10.6.1 Exams Officer

- Organises exam question papers and associated confidential resources in date order in the secure storage facility
- Attaches erratum notices received to relevant exam question paper packets
- Collates attendance registers and examiner details in date order
- Regularly checks mail or email inbox for updates from awarding bodies
- In order to avoid potential breaches of security, ensures prior to question paper packets being opened that another member of staff or an invigilator checks the day, date, time, subject, unit/component and tier of entry if appropriate, immediately before a question paper packet is opened
- Ensures this additional/second check (which takes place in the secure room if a question paper packet has to be split or in the designated exam room if not) 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

10.7 Exam Rooms

10.7.1 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 authorised centre staff are present in exam rooms
- Ensures the centre's policy on candidates leaving the exam room temporarily is clearly communicated to candidates (see policies and procedures at the end of this document – candidates leaving the exam room temporarily)
- Ensures the centre's policy relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates (see policies and procedures at the end of this document – food & drink in exams)
- Liaises with Exams Officer regarding emergency evacuation of exam hall and cancellation of exam session following emergency evacuation of any exam room

10.7.2 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 that this must be on silent mode)
- Ensures invigilators understand they must be vigilant and remain aware of incidents or emerging situations, looking out for malpractice or candidates who may be in distress, recording any incidents or issues on the exam room incident log
- Ensures invigilators understand how to deal with candidates who may need to leave the exam room temporarily and how this should be recorded on the exam room incident log
- Provides authorised exam materials which candidates are not expected to provide themselves
- Ensures invigilators and candidates are aware of the emergency evacuation procedure (see policies and procedures at the end of this document – emergency evacuation procedure)

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

10.7.3 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

10.7.4 Site staff

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

10.7.5 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. (Make 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 and their secure return to the exams office, assists with emergency evacuation of exam hall, carries out emergency evacuation of all other exam rooms when the alarm sounds and assists with recommencing or cancellation of the exam session following return to the exam room)

10.7.6 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

10.8 Irregularities & Malpractice

10.8.1 Head of centre

- Ensures any cases of alleged, suspected or actual incidents of malpractice or maladministration before, during or after examinations/assessments (by centre staff, candidates, invigilators) are investigated and reported to the awarding body immediately, by completing the appropriate documentation ([see policies and procedures at the end of this document – managing behaviour](#))

10.8.2 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

10.8.3 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

10.8.4 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)

10.9 Special Consideration

10.9.1 Exams Officer

- Processes appropriate requests for special consideration to awarding bodies (see policies and procedures at the end of this document – special consideration policy)
- Gathers evidence which may need to be provided by other staff in centre or candidates
- Submits requests to awarding bodies to the external deadline

10.9.2 Candidates

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

10.10 Unauthorised Materials

10.10.1 Invigilators

- Are informed of the arrangements through training

10.10.2 Candidates

- Follow rules and regulations on unauthorised materials in the exam room (see policies and procedures at the end of this document – arrangements for unauthorised materials taken into the exam room)

11 Results and Post Results

11.1 Internal Assessment

11.1.1 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 or disposed of according to the requirements.

11.2 Managing Results Day

11.2.1 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 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.

11.2.2 Exams Officer

- Works with senior leaders to ensure procedures for managing the main summer results day(s) (a results day programme) are in place (see policies and procedures at the end of this document – results day programme).

11.2.3 Site staff

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

11.3 Accessing Results

11.3.1 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

11.3.2 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

11.4 Post-Results Services and Appeals

11.4.1 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.
- 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)

11.4.2 Exams Officer

- Provides information to candidates (including private candidates) and staff on the services provided by awarding bodies and the fees charged (see policies and procedures at the end of this document – Post-Results Service and Appeals)
- 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

11.4.3 Teaching staff

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

11.4.4 Candidates

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

11.5 Analysis of Results

11.5.1 Exams Officer

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

11.6 Certificates

Certificates are provided to centres by awarding bodies after results have been confirmed (see policies and procedures at the end of this document – issue of certificates procedure)

11.6.1 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 (see policies and procedures at the end of this document – retention of certificates)

12 Exams Review

12.1 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

12.2 Senior leaders (SLT)

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

13 Retention of Records

13.1 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 exam archiving policy that identifies information held, retention period and method of disposal (see policies and procedures at the end of this document – exam archiving policy)

14 Policies and Procedures

14.1 Exam contingency plan

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

“It is the responsibility of the head of centre to ensure that his/her centre: ... has in place a written examination contingency plan 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 must be available for inspection purposes; (The examination contingency plan should also reinforce procedures in the event of the centre being unavailable for examinations, or on results day, owing to an unforeseen emergency.) [GR 5]

14.2 Internal appeals procedure

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

“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]

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

14.3 Disability policy (exams)

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

The General Regulations cover...obligations arising from current data protection, equality and freedom of information legislation. However, the general regulations are not intended to be relied upon to ensure compliance with the legislation (Section 6).

“The head of centre/senior leadership team will...recognise its duties towards disabled candidates as defined under the terms of the Equality Act 2010[†]. This must include a duty to explore and provide access to suitable courses, submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates; [†]or any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect [GR 5.4]

“The centre must comply with the obligation to identify the need for, request and implement access arrangements...” [GR 5.4]

14.4 Complaints and appeals procedure

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

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

14.5 Safeguarding policy

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

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

14.6 Data protection policy / Information Security Policy (exams)

These policies are held in the school staff portal in the policy folder

The General Regulations cover... obligations arising from current data protection, equality and freedom of information legislation. However, the general regulations are not intended to be relied upon to ensure compliance with the legislation (Section 6).

A centre will have confirmed its readiness to adhere to these regulations when first approved as a centre (see Section 3, page 4).” [GR 1.2]

“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, page 23, for more information)...” [GR 5.8]

Legislation on sharing information

Under the principles of the General Data Protection Regulations 2018 and the Data Protection Act 2018, children and young adults can assume control over their personal information and restrict access to it from the age of 13.

This suggests that candidate consent should be sought to share results or other exams-related information with a third party.

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

- ▶ Understanding and dealing with issues relating to parental responsibility www.gov.uk/government/publications/dealing-with-issues-relating-to-parental-responsibility/understanding-and-dealing-with-issues-relating-to-parental-responsibility
- ▶ School reports on pupil performance www.gov.uk/guidance/school-reports-on-pupil-performance-guide-for-headteachers

Publication of exam results

Refer to ICO (Information Commissioner’s Office) [Education and Families](#) information and the document [Publishing exam results](#).

14.7 Access arrangements policy

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

The centre complies ...”with the obligation to identify the need for, request and implement access arrangements.” [GR 5.4]

“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]

14.8 Conflicts of Interest

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

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

maintains clear records of all instances where:

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

The head of centre must ensure that the records include details of the measures taken to mitigate any potential risk to the integrity of the qualifications affected. The records may be inspected by a JCQ Centre Inspector and/or awarding body staff. They might be requested in the event of concerns being reported to an awarding body. The records must be retained until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.

Note: Heads of centre must note that entering members of centre staff for qualifications at their own centre must be as a last resort in cases where the member of centre staff is unable to find another centre. The head of centre is responsible for ensuring that proper protocols are in place to prevent the member of centre staff having access to examination materials prior to the examination and that other centre staff are briefed on maintaining the integrity and confidentiality of the examination materials. The head of centre must ensure that during the examination series the member of centre staff is treated as per any other candidate entered for that examination, does not have access to examination materials and does not receive any preferential treatment. [\[GR 5.3\]](#)

14.9 Word processor policy (exams)

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

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

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

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

14.10 Separate invigilation within the centre policy

SENCo's must note that candidates are only entitled to the above arrangement if they are disabled within the meaning of the Equality Act. The candidate is at a substantial disadvantage when compared with other non-disabled candidates undertaking the assessment and it would be reasonable in all circumstances to provide the arrangement. (The only exception to this would be a temporary illness, a temporary injury or other temporary indisposition which is clearly evidenced.)

"...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."

[AA 5.16]

"A candidate may only take their examinations under separate invigilation within the centre where he/she has an established difficulty – see section 5.16 of the JCQ publication Access Arrangements and Reasonable Adjustments" [ICE 14.18]

14.11 Non-examination assessment policy

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

"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 1]

14.12 Estimated entries collection and submission procedure

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

14.13 Final entries collection and submission procedure

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

14.14 Verifying candidate identity procedure

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

The 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 particular access arrangement(s) awarded” [ICE 16]

14.15 Overnight supervision arrangements policy

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

“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 centre will ... keep records for inspection purposes of all cases where overnight supervision is required in accordance with the JCQ publication Instructions for conducting examinations, 1 September 2019 to 31 August 2020” [GR 5.9]

14.16 Candidate absence policy

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

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.

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

14.17 Candidate late arrival policy

If a candidate arrives late for an exam they are asked to report to the exams officer immediately. They may be allowed to sit their exam and if this is deemed appropriate by the head of centre and/or exams officer 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.

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 declarations for very late arrival of candidates for examinations, in accordance with the JCQ publication Instructions for conducting examinations, 1 September 2019 to 31 August 2020” [GR 5.9]

If a candidate persistently arrives late for exams they will be challenged and monitored

All late arrivals will be recorded and monitored

14.18 Candidates leaving the exam room temporarily

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. Students will be monitored throughout the exam season and warned if and when they will not be allowed extra time and why.

14.19 Food and drink in exam rooms

“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]

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

14.20 Emergency evacuation policy

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

“When dealing with emergencies you must be aware of your 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>

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

14.21 Managing behaviour

“Where a candidate is being disruptive, the invigilator must warn the candidate that he/she may be removed from the examination room

The candidate must also be warned that the awarding body will be informed and may decide to penalise them, which could include disqualification.

The invigilator must record what has happened

The head of centre has the authority to remove a candidate from the examination room, but should only do so if the candidate would disrupt others by remaining in the room.” [ICE 24]

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

14.22 Special consideration policy

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

The centre will submit any applications for special consideration where candidates meet the published criteria. [GR 5.9]

14.23 Arrangements for unauthorised materials taken into the exam room

Candidates personal belongings will be stored outside the main exam hall

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

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

“...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..

...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.”

...any mobile phones or other unauthorised items in the candidates' possession must be handed to the invigilator prior to the examination starting.

... If candidates have access to unauthorised items in the examination room this may be considered as malpractice.

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

...A head of centre may, if he/she so wishes, prohibit candidates bringing a wrist watch into the examination room. Candidates would be required to leave their watches outside of the examination room". [ICE 18]

14.24 Results day programme

The centre will be open from 9am to 12 noon on results day. Students must collect their results in person. If you wish any family members to collect your results on your behalf he/she must bring your written permission with them to school (an appropriate form is 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 you with your permission. They will only be given out by email to the candidate's (not a family member's) email address under exceptional circumstances and in response to an email request to the Exams Officer made by the candidate.

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

(Please also see Data protection policy and the Post-results Services and Appeals procedure)

14.25 Post-Results Services and Appeals

Candidates are informed of the post-results process before their exams via the Candidate Exam Handbook.

<https://www.icq.org.uk/exams-office/post-results-services>

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

Access to scripts:

- Candidates may ask the Centre to request the return of papers within 3 days' scrutiny of the results. The cost of this service will be charged to the candidate.
- Centre staff may request the return of scripts for teaching purposes. The consent of the candidates must be obtained for this and the cost will be born by the Centre.

"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.” [\[PRS 4.1\]](#)

14.26 Issue of certificates procedure

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

14.27 Retention of certificates policy

Upper Wharfedale School is obliged to keep certificates for a period of one year after issue. If they remain unclaimed after this time the school is advised to shred them securely and to notify the exam boards that this has been done. [\[GR 5.14\]](#)

14.28 Exam archiving policy

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