



Examinations Policy 2022-23

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Purpose of the Policy

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

This exam policy will ensure that:

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

Roles and Responsibilities Overview

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

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. The Head of Centre and/or the examinations officer may operate across more than one centre. In such cases the Head of Centre must ensure there is suitable support in place, so they can meet their obligations across all centres for which they are responsible. The Head of Centre must ensure that these arrangements are covered within the Examination Contingency Plan. ([GR Section 2](#))

Head of Centre Responsibilities

The Head of Centre is the individual who is accountable to the awarding bodies for ensuring that the centre is always compliant with the published JCQ regulations and awarding body requirements to ensure the security and integrity of the examinations/assessments. **It is the responsibility of the Head of Centre to ensure that all staff comply with the instructions in this booklet.** Failure to do so may

constitute malpractice as defined in the JCQ publication Suspected Malpractice: Policies and Procedures, 1 September 2022 to 31 August 2023:
<https://www.jcq.org.uk/exams-office/malpractice> (ICE Introduction)

Head of Centre (HOC)

- 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 – Policies and Procedures \(SM\)](#)
 - [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 and/or practical assessments
- Where/if using a third party to deliver any part of a qualification (including its assessments) at the centre:
 - Maintains oversight of, and responsibility, for the delivery of the qualification in accordance with JCQ regulations and awarding body requirements
 - Has in place a written agreement with the third party 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
 - Ensures that a copy of the written agreement is available for inspection if requested by the awarding body
- Ensures 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 the same penalties as listed in the previous bullet point
- Ensures 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
- Ensures other relevant centre staff where they may be involved in the receipt and dispatch of confidential examination materials are briefed on the requirements for maintaining the integrity and confidentiality of the examination materials
- Ensures 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
- 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 personnel or JCQ personnel

Recruitment, Selection and Training of Staff

- Retains a workforce of an appropriate size and competence, including sufficient managerial and other resource, to undertake the delivery of the qualification as

required by an awarding body. This includes taking reasonable steps to ensure occupational competence where this is required for the assessment of specific qualifications

- Provides fully qualified teachers to mark non-examination assessment and/or fully qualified assessor for the verification of centre-assessed components
- Enables the relevant senior leaders(s), the SEN/Examinations Officer to receive appropriate training and support in order to facilitate the effective delivery of examinations and assessments within the centre, and ensure compliance with the published JCQ regulations
- Appoints a SEN Officer (SEN) who will determine appropriate arrangements for candidates with learning difficulties and disabilities
- Ensures that SEN Officer (SEN) has sufficient time to both manage the access arrangements process within the centre and familiarise themselves with the JCQ publication *Access Arrangements and Reasonable Adjustments*
- Ensures that the Examinations Officer is line managed and actively supported by a member of the senior leadership team who has a good working knowledge of the examination system.

Internal Governance Arrangements

- Has in place a written escalation process should the HOC or a member of the senior leadership team with oversight of examination administration be absent
- Ensures the centre has an **Escalation Process** in place to oversee examination administration in the absence of the HOC
- Has in place a member of the senior leadership team who will provide support and guidance to the Examinations Officer (EO) and ensure that the integrity and security of examinations and assessments is maintained throughout an examination series
- Ensures centre staff undertake key tasks within the examinations process and meet internal deadlines set by the EO
- Makes sure that a teacher, a tutor or a senior member of centre staff who teaches the subject being examined, is not an invigilator during the examination

Delivery of Qualifications

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

Public Liability

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

Security of Assessment Materials

- Takes all reasonable steps to maintain the integrity of the examinations /assessments, including the security of all assessment materials by ensuring:
 - the location of the centre's secure storage facility in a secure room for the purpose of administering secure examination materials
 - the secure room only contains exam-related material
 - there are between two and six keyholders only, each of whom must fully understand their responsibilities as a key holder to the secure storage facility
 - access to the secure room and secure storage facility is restricted to the authorised two to six keyholders and staff approved by the HOC are accompanied by a keyholder at all times
 - appropriate arrangements are in place to ensure that confidential examination materials are only handed over to authorised members of centre staff
 - appropriate arrangements are in place for handling secure electronic materials
 - the relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk
 - that when it is permitted to remove question papers packets from secure storage and to avoid potential breaches of security, arrangements are in place to carefully check and record the correct question paper packets are opened (If it is ever subsequently identified following this check that the wrong question paper packet has been opened, it will be resealed and the incident report to the relevant awarding body's Malpractice Investigation Team immediately)
- Makes arrangements to receive, check and store question papers and examination material safely and securely at all times and for as long as required in accordance with the current JCQ publication *Instructions for Conducting Examinations*
- Makes arrangements to receive and issue material received from the awarding bodies to staff and candidates, and notify them of any advice and instructions relevant to the examinations and assessments
- Allows candidates access to relevant pre-release materials on, or as soon as possible after, the date specified by the awarding bodies

Malpractice

- 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 (which includes maladministration) before, during and after assessments have taken place
- 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 publications *Suspected Malpractice – Policies and Procedures*

- Ensures irregularities are investigated and informs the awarding bodies 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 suspect malpractice (which includes maladministration) is gathered in accordance with the JCQ publication *Suspected Malpractice – Policies and Procedures* and provides such information and advice as the awarding body may reasonably require
- Ensures risks to the examination process are assessed and appropriate risk management processes/contingency plans are in place (that allows the senior management team to act immediately in the event of an emergency or staff absence) (see copy Examination Contingency Plan on the School's Website)
- Ensures an Internal Appeals Procedure is in place and drawn to the attention of candidates and (where relevant) their parents/carers (see copy of Internal Appeals Procedure on the School's website)
- Ensures the centre's Equalities Policy demonstrating the centre's compliance with relevant legislation is in place and details the processes followed in respect of identifying the need for, requesting and implementing access arrangements (see copy of Equalities (Exams) Policy on the School's Website)
- 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
- Ensures the centre has a Child Protection and Safeguarding Policy in place, including Disclosure and Barring Service (DBS) clearance, which satisfies current legislative requirements (see copy Child Protection and Safeguarding Policy on the School's Website)
- Ensures the centre has a Data Protection Policy in place that complies with the General Data Protection Regulation and Data Protection Act 2018 regulations (see copy of General Data Protection Regulation (Exams) Policy on the School's website)

Legislation on Sharing Information

Under the principles of the General Data Protection Regulations 2016 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.

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

Publication of Examination Results

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

- Ensures the centre has a Whistleblowing Policy in place (see copy of Whistleblowing (Exams) Policy on the School's Website)
- Ensures the centre has documented processes in place relating to access arrangements and reasonable adjustments (see copy of Access Arrangements Policy on the School's Website)
- 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 (noting that being entered by the centre must be 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 centre staff with a close relationship to the candidate
- Maintains clear 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 the examination's office staff has a close relationship to a candidate being entered for examinations and assessment 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 (noting that being entered by 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 the relevant awarding bodies are informed of any declaration/conflict of interest where a candidate is being taught, prepared, entered or sitting examinations where a relevant member of centre staff has a personal connection to the candidate
- Ensures that there is an identification process for candidates – students' identification is verified upon admission

National Centre Number Register

- Provides contact details and an address to which all correspondence in connection with the administration of examinations and assessments can be directed which must be the registered address of the centre
- Ensures that National Centre Number Register annual update is responded to by the end of October

- Takes responsibility for confirming, on an annual basis, that they are both aware of and adhering to the latest version of the JCQ's regulations by responding to the Head of Centre's Declaration which is managed as part of the National Centre Number Register (NCNR) annual update
 - Understand that this responsibility 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

Centre Inspections

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

Examinations Officer (EO)

- Understands the contents of annually updated JCQ publications including:
 - [General Regulations for Approved Centres](#)
 - [Instructions for Conducting Examinations](#)
 - [Suspected Malpractice – Policies and Procedures](#)
 - [Post-Results Services \(PRS\)](#)
 - [A Guide to the Special Consideration Process](#)
- Completes/submits the National Centre Number Register annual update (administered on behalf of the JCQ member awarding bodies by OCR <http://ocr.org.uk/administration/ncn-annual-update/>) by the end of October each year
 - Confirms the details or informs the awarding bodies of any changes to the centre's contact details through the National Centre Number Register
 - Informs the National Centre Number Register Team **immediately** (email address – ncn@ocr.org.uk) if any changes occur after the National Centre Number Register annual update has taken place
 - (Where it may be applicable) Informs the National Centre Number Register Team no later than 6 weeks prior to moving to a new address or a relocation of the secure storage facility

- Informs the National Centre Number Register Team immediately of any other changes in circumstances that could affect the centre's status
- 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 SEN 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 examination room
- Supports the HOC in ensuring that awarding bodies are informed (where required) 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 for each examination series
- Briefs other relevant centre staff where they may be involved in the receipt and dispatch of confidential examination materials on the requirements for maintaining the integrity and confidentiality of the examination materials

Senior Leaders

- 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 – Policies and Procedures](#)
 - [Instructions for Conducting Non-Examination Assessments](#)
 - [A Guide to Special Consideration Process](#)
- Ensure teaching staff undertake key tasks, as detailed in this policy with the exams process (exam cycle) and meet internal deadlines set by the EO/SEN
- 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

Special Educational Needs (SEN) Officer

- 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

Teaching Staff

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

Invigilators

- Attend/undertake training (on the current regulations), annual update, briefing and review sessions as required
- Provide information as requested on their availability to invigilate

Reception Staff

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

Candidates

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

The Examination Cycle

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

- planning
- entries
- pre-examinations
- examination time
- results and post-results

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

Planning: Roles and Responsibilities Information Sharing

Head of Centre

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

Examinations Officer

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

Information Gathering

Examinations 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

Senior Leaders

- 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 examinations plan and directs teaching staff to meet these

Access Arrangements

Head of Centre

- Ensures there is appropriate accommodation for candidates requiring access arrangements in the centre for all examinations and assessment
- 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 SEN/EO are fully supported in effectively implementing access arrangements and reasonable adjustments once approved

SEN Officer/Examinations Officer

- Assesses candidates (or works with the appropriately qualified assessor as appointed by the HOC) 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** of an affected 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 EO or SEN are completed
- 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 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 examination time arrangements for access arrangement candidates
- Ensures staff appointed to facilitate access arrangements for candidates are appropriately trained and understand the rules of the particular arrangement(s) and keeps a record of the content of training provided to facilitators for the required period
- Provides and annually reviews a centre procedure on the **use of word processors** in examinations and assessments (see copy of Word Processor Policy on the School's website)
- 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 examination rooms

Senior Leaders, Teaching staff

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

Internal Assessment and Endorsements

Head of Centre

Controlled Assessment, Coursework and Non-Examination

Assessments

- Ensures arrangements are in place to co-ordinate and standardise all marking of centre-assessed components and ensures that candidates' centre-assessed work is produced, authenticated and marked, or assessed and quality assured in accordance with the awarding bodies' instructions (including where relevant private candidates)
- Ensures that teaching staff, in accordance with awarding bodies' instructions, return all subject specific forms by the required date
- Provides fully qualified teachers to mark non-examination assessments, and/or fully qualified assessors for the verification of centre-assessed components
- 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 GCE and GCSE qualifications which include components of non-examination assessment (see copy of the Non-Examination Assessment Policy on the School's website)
- Ensures any irregularities relating to the production of work by candidates are investigated and dealt with internally if discovered prior to a candidate signing the authentication statement (where required) or reported to the awarding body if a candidate has signed the authentication statement

Senior Leaders

- Ensure teaching staff have the necessary and appropriate knowledge, understanding, skills, and training to set tasks, conduct task taking, and to assess, mark and authenticate candidates' work (including where relevant, private candidates)
- Ensure appropriate internal moderation, standardisation and verification processes are in place
- Ensures teaching staff delivering AQA Applied General qualifications, OCR Cambridge Nationals, Entry Level Certificate or Project qualifications (any CCEA GCE unities AS and A Level qualifications follow JCQ [Instructions for Conducting Coursework](#) and the specification provided by the awarding body
- Ensures teaching staff delivering reformed GCE & GCSE specifications (which include components of non-examination assessment) follow JCQ [Instructions for conducting non-examination assessments](#) and the specification provided by the awarding body
- For other qualifications, ensures teaching staff follow appropriate instructions issued by the awarding body
- Ensures teaching staff inform candidates of their centre assessed marks as a candidate may request a review of the centre's marking before marks are submitted to the awarding body

Teaching Staff

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

Examinations Officer

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

Invigilation

Head of Centre

- Ensures relevant support is provided to the EO in recruiting, training and deploying a team of invigilators
- Ensures, if contracting supply staff to act as invigilators, 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 and Design examinations in addition to the subject teacher to ensure the supervision of candidates is maintained at all times

Examinations 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 current instructions for conducting examinations 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 examination
- 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 examination room and made aware of the access arrangement(s) awarded
- Collects evaluation of training to inform future events

Entries: Roles and Responsibilities

Estimated Entries

Examinations Officer

- Requests estimated or early entry information, where this may be required by awarding bodies, from senior leaders in a timely manner to ensure awarding body external deadlines for submission can be met
- Makes candidates aware of the JCQ **Information for Candidates – Privacy Notice** at the start of a course leading to a vocational qualification or when entries are submitted to awarding bodies for processing for general qualifications

Senior Leaders

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

Final Entries

Examinations Officer

- Requests final entry information from subject teachers in a timely manner to ensure awarding body external deadlines for submission can be met
- Informs subject teachers of subsequent deadlines for making changes to final entry information without charge
- Confirms with subject teachers 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

Senior Leaders

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

Entry Fees

- Initial entry examination fees are paid by the school
- Fee re-imburements are sought from candidates who fail to sit an exam/do not meet the necessary coursework requirements without medical evidence or evidence of other mitigating circumstances
- Private candidates will be asked to pay for examination fees

Late Entries

Examinations Officer

- Has clear entry procedures in place to minimise the risk of late entries

Senior Leaders

- Minimises the risk of late entries by
 - following procedures identified by the EO in relation to making final entries on time
 - meeting internal deadlines identified by the EO for making final entries

Pre-Examinations: Roles and Responsibilities

Access Arrangements and Reasonable Adjustments

SEN/Examinations Officer

- Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access to examinations/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 examination information (JCQ information for candidates documents, individual examination 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 examinations and assessments (ensuring that the facilitator appointed meets JCQ requirements and fully understands the rule of the access arrangement)
- Where relevant, ensures the necessary and appropriate steps are undertaken to gather an appropriate picture of need and demonstrate normal way of working for a private candidate (including distance learners and home educated candidates) and that the candidate is assessed by the centre's appointed assessor

Briefing Candidates

Examinations Officer

- Issues individual examination timetable information to candidates and inform candidates of any designated contingency day awarding bodies day may identify in the event of national or significant disruption to examinations
- Prior to examinations issues relevant JCQ information for candidates' documents
- Where relevant, issues relevant awarding body information to candidates
- Issues centre examination information to candidates including information on:
 - examination timetable clashes
 - arriving late for an examination
 - absence or illness during exams
 - what equipment is/is not provided by the centre
 - food and drink in examination rooms
 - unauthorised items in examination rooms
 - when and how results will be issued and the staff that will be available
 - the post-results services 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 Procedures

“The centre will...have in place written procedures for how it will deal with candidates' requests for access to scripts, clerical checks, reviews of marking, reviews of moderation and appeals to the awarding bodies. Details of these procedures must be made widely

available and accessible to all candidates. Candidates must be made aware of the arrangements for post-results services before they sit any examinations and the accessibility of senior members of centre staff immediately after the publication of results..." [\[GR 5.13\]](#)

"The centre will...treat all candidates equally, including private candidates, throughout the examination process. This would also extend to post-results services and appeals." [\[GR 5.6\]](#)

Dispatch of Examination Scripts

Examinations 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

Estimated Grades

Senior Leaders

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

Examinations Officer

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

Internal Assessment and Endorsements

Head of Centre

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

SEN Officer

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

Teaching Staff

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

Senior Leaders

- 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

Examinations Officer

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

Candidates

- Authenticate their work as required by the awarding body

Invigilation

Examinations Officer

- Provides an annually reviewed/updated invigilation handbook, trains new invigilators on the current regulations on appointment and updates experienced invigilators an annual basis of any regulation changes and any changes to centre-specific processes
- Deploys invigilators effectively to exam rooms throughout an examination series (including the provision of a roving invigilator to regularly enter and observe the rooms 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 examination, ensure all relevant rules are being adhered to and to support the practical assistant/reader and/or scribe in maintaining the integrity of the examination)
- Allocates invigilators to examination rooms (or where supervising candidates due to a timetable variation) according to the required ratios

JCQ Inspection Visit

SEN/Examinations Officer/Senior Leader

- Will accompany the Inspector throughout a visit
- 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 taken the examination(s)

Seating and Identifying candidates in Examination Rooms

Examinations Officer

- Candidates identify is verified upon admission to the centre, any external candidate will have to provide evidence to EO (for example, birth certificate, passport)
- 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/or examination log sheet and invigilators are informed of those candidates with access arrangements and made aware of the access arrangement(s) awarded)

Invigilators

- Seat candidates in examination rooms as instructed by the EO/on the seating plan

Security of Examination Materials

Examinations 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 HOC are accompanied by a keyholder at all times. There must be between two and six keyholders only, each of whom must fully understand their responsibilities as a key holder to the secure storage facility
- 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 test and mock examinations are not kept in the centre's secure storage facility)
- Ensures that examination stationery, e.g. answer booklets and formula booklets are stored in the secure room (attempting to store this material in the secure storage facility, when sufficient space allows)
- Ensures the integrity and security of any electronic question paper is maintained during the downloading, printing and collating process (ensuring printing is carried out in an area that can be controlled to prevent unauthorised personnel accessing live assessment materials and ensuring only authorised members of centre staff have access to electronic question papers)

Reception Staff

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

Teaching Staff

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

Timetabling and Rooming

Examinations Officer

- Produces a master centre examination timetable for each examination series
- Identifies and resolves candidate examination clashes according to the regulations (only applying overnight supervision arrangements as a last resort)
- Identifies examination rooms and specialist equipment requirements
- Allocates invigilators to examination rooms (or where supervising candidates due to an examination timetable clash) according to required ratios
- Liaises with site staff to ensure exam rooms are set up according to JCQ and awarding body requirements
- Ensures that examination rooms are set up according to JCQ and awarding body requirements

Overnight Supervision Arrangements

Examinations Officer

- Allowing a candidate to take an examination paper the following morning due to an eligible overnight supervision arrangement is at the discretion of the centre provided that –
 - The correct procedure is followed
 - Appropriate arrangements are put in place
 - Candidates (and/or parents/carers) understand when, or indeed if, appropriate arrangements can/will be made
 - The centre can demonstrate the appropriate arrangements if asked /challenged by a candidate (and/or parent/carer)
- The overnight supervision arrangement must ensure that the candidate does not have advance warning of the content of the examination deferred. This means that 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, email, Internet and social media, this also extends to television and radio, which could report key details of the day's examinations

Alternative Site Arrangements

Examinations 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 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

Centre Consortium Arrangements

Examinations Officer

- 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)

Senior Leaders

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

Transferred Candidate Arrangements

Examinations Officer

- 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

Internal Examinations

Examinations Officer

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

Teaching Staff

- Provide examination papers and materials to the EO
- Support the SEN Officer in making appropriate arrangements for access arrangement candidates

Examination Time: Roles and Responsibilities

Access Arrangements

Examinations 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 examinations:
 - applies for approval through AAO where required or through the awarding body where qualifications sit outside the scope of AAO

Candidate Absence

Invigilators

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

Candidates

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

Candidate Behaviour

See *Irregularities* below

Candidate Belongings

See *Unauthorised items* below

Candidate Late Arrival

Examinations Officer

- Ensures that candidates who arrive very late for an examination are report 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

Invigilators

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

Candidates

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

- A candidate who arrives after the start of the examination should be allowed the full time for the examination, depending on the centre's organisational arrangements and provided that adequate supervision arrangements are in place
- A candidate will be considered very late if they arrive more than one hour after the published starting time for an examination which lasts one hour or more, for example, after 10.00 am for a morning examination or after 2.30 pm for an afternoon examination
- For examinations that last less than one hour, a candidate will be considered very late if they arrive after the awarding body's published finishing time for the examination

Conducting Examinations

Head of Centre

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

Examinations Officer

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

Dispatch of Examination Scripts

Examinations Officer

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

Examination Papers and Materials

Examinations Officer

- Organises examination 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 the secure storage, e.g. an invigilate, checks the day, date, time, subject, unit/component and tier of entry, if appropriate, immediately before a question paper packet is opened
- Ensures this additional/second check is recorded
- Where allowed by the awarding body, only releases examination papers and materials to teaching departments for teaching and learning purposes after the

published finishing time of the examination, or until any timetable clash candidates have completed the examination

Examination Rooms

Head of Centre

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

Examinations Officer

- Ensures examination rooms are set up and conducted as required in the regulations
- Provides invigilators with appropriate resources to effectively conduct examinations
- Briefs invigilators on examinations 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 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 examination record sheet
- Ensures invigilators understand how to deal with candidates who may need to leave the examination room temporarily and how this should be recorded on the examination record sheet
- Provides authorised examination materials which candidates are not expected to provide themselves
- Ensures invigilators and candidates are aware of the **Emergency Evacuation Procedure** (See **Appendix 1**)
- Ensures invigilators are aware of arrangements in place for a candidate with a disability who may need assistance if an examination room is evacuated

Senior Leaders

- Ensure a documented emergency evacuation procedure for examination rooms is in place
- Ensure arrangements are in place for a candidate with a disability who may need assistance if an examination room is evacuated
- Ensure examination rooms are available and set up as requested by the EO

- Ensure grounds or centre maintenance work does not disturb examination candidates in examination rooms
- Ensure fire alarm testing does not take place during examination sessions

Invigilators

- Conduct examinations in every examination room according to JCQ *Instructions for Conducting Examinations* and/or awarding body requirements and as instructed in training/update events and briefing sessions

Candidates

- Are required to follow the instructions given to them in examination rooms by authorised centre staff and invigilators
- For examinations that last one hour or more candidates must stay under centre supervision until 10.00 am for a morning examination or 2.30 pm for an afternoon examination, for example, one hour after the published starting time for that examination
- For examinations that last less than one hour, candidates must be supervised and question papers must be kept in secure storage until the published finishing time of the examination
- Candidates who are allowed to leave the examination room temporarily must be accompanied by a member of centre staff. Those candidates may be allowed extra time at the discretion of the centre to compensate for their temporary absence
- Candidates who have finished their work and have been allowed to leave the examination room early must hand in their work before they leave the examination room. Those candidates must not be allowed back into the room

Irregularities

Head of Centre

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

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

Senior Leaders

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

Examinations Officer

- Provides an examination room incident log in all examination rooms for recording any incidents or irregularities

- Actions any required follow-up and reports to awarding bodies as soon as practically possible after the examination has taken place

Invigilators

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

Malpractice

Head of Centre

- Must report to the awarding body immediately all cases of suspected or actual malpractice in connection with any examination
- 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 examination room

Invigilators

- If a candidate is suspected of malpractice, the invigilator must warn the candidate that he/she may be removed from the examination room
- The candidate should also be warned that the awarding body will be informed and may decide to disqualify the candidate
- The invigilator must record what has happened
- Wherever possible, the invigilator should remove and keep any unauthorised material that a candidate may have in the examination. If necessary, the invigilator should summon assistance

Special Consideration

Senior Leaders

- Provide signed evidence to support eligible applications for special consideration

Examinations 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

Candidates

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

Unauthorised Items

“...any unauthorised items that have been taken into the examination room must be placed out of reach of the candidates (and not under their desks) before the

examination starts. This would normally be at the front of the examination room or a similar arrangement that enables the invigilator to control access to the items.

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

...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]

Invigilators

- Are informed of the arrangements through training

Internal Examinations

Examinations Officer

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

Invigilators

- Conduct internal examinations as briefed by the EO

Results and Post-Results: Roles and Responsibilities

Internal Assessment

Senior Leaders

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

Managing Results Day(s)

Senior Leaders

- Identify centre staff who will be involved in the main summer results day(s) and their role
- Ensures senior members of staff are accessible to candidates 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

Examinations Officer

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

Accessing Results

Head of Centre

- Ensures results are kept entirely confidential and restricted to key members of staff until the official dates and times of release of results to candidates
- Understand that it is permitted to withhold provisional results from candidates under any circumstances

Examinations Officer

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

Post-Results Services

Head of Centre

- Ensures an internal appeals procedure is available where candidates disagree with any centre decision not to support a clerical re-check, a review of marking, a review of moderation or an appeal
- Ensures that senior members of centre staff are available immediately after the publication of results
- Understands that if the centre has concerns about one of its component/subject cohorts, then requests for review of marking should be submitted for all candidate believed to be affected (candidate consent is required as marks and subject grades may be lowered, confirmed or raised)

Examinations Officer

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

Candidates

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

Analysis of Results

Examinations Officer

- Provides analysis of results to appropriate centre staff
- Provides results information to external organisations where required

Certificates

- Certificates are provided to the centre by awarding bodies after results have been confirmed
- Certificates are presented in person in school or collected and signed for at the School Office or from the EO
- Certificates can be posted if requested by the candidate

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
- Replacement certificates or a transcript of results may be issued if a candidate agrees to pay the costs incurred directly to the Awarding Bodies

Examinations Review: Roles and Responsibilities

Examinations Officer

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

Senior Leaders

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

Retention of Records: Roles and Responsibilities

Examinations Officer

- Keeps records as required by JCQ and awarding bodies for the required period
- Retains certificates for three years. After this time, the certificates may be destroyed.

Review Date: November 2023

Appendix 1



Northleigh House School Emergency Evacuation Procedure for Examinations

The Invigilator **must** take the following action in an emergency such as a fire alarm or a bomb alert.

- Stop the candidates from writing.
- Collect the attendance register (**in order to ensure all students are present**) and evacuate the examination room in line with the instructions given by the Invigilator.
- Advise candidates to leave all question papers and scripts in the examination room.
- Ensure candidates leave the room in silence.
- Ensure that candidates are supervised as closely as possible while they are out of the examination room to make sure there is no discussion about the examination.
- Make a note of the time of the interruption and how long it lasted.
- Allow the candidates the remainder of the working time set for the examination once it resumes.
- If there are only a few candidates, consider the possibility of taking the students (with question papers and scripts) to another place to finish the examination.
- Make a full report of the incident and of the action taken, and send to the relevant awarding body.