

Exams policy

2019/20

This policy is reviewed annually to ensure compliance with current regulations

Approved/reviewed by	
Andy Miklusiak	
Date of next review	October 2020

Key staff involved in the exams policy

Role	Name(s)
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Centre Manager	Andy Miklusiak
Exams officer line manager (Senior Leader)	Dayo Adeagbo
Exams officer	Andy Miklusiak
SENCo	Helen Jackson
SLT member(s)	Nickie Evans (Business manager), Jacqui Thompson

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Purpose of the policy

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

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

"... the integrity and security of the examination/assessment system is maintained at all times and is not brought into disrepute." [JCQ General Regulations for Approved Centres ([GR](#)) 1]

- ▶ 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.

The exam policy is accessible on DRIVE by all senior management team.

Roles and responsibilities overview

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

The head of centre may not appoint themselves as the examinations officer."

[[GR](#)] 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 controlled assessment and coursework)
- ▶ Ensures the centre has appropriate accommodation to support the size of the cohorts being taught
- Ensures the National Centre Number Register Annual Update (administered on behalf of the JCQ member awarding bodies by OCR) is responded to by the end of October confirming they are both aware of and adhering to the latest version of the

JCQ regulations and instructions for conducting examinations and approves the Head of Centre formal declaration

- ▶ Ensures the exams officer (EO) attends appropriate training events offered by awarding bodies, MIS providers and other external providers to enable the exam process to be effectively managed and administered
- ▶ Ensures a named member of staff acts as the Special Educational Needs Co-ordinator (SENCo)
- ▶ Ensures centre staff are supported and appropriately trained to undertake key tasks within the exams process
- ▶ Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the EO
- ▶ Ensures *“that a teacher who teaches the subject being examined, or a senior member of teaching staff who has had overall responsibility for the candidates preparation for the examination, is not an invigilator during the timetabled written examination or on-screen test...”* [ICE 6]
- ▶ Ensures security within the examination process is managed according to JCQ and awarding body regulations, guidance and instructions including
 - ▶ the location of the centre’s secure storage unit is in an area solely assigned to examinations
 - ▶ 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
- ▶ Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place (that allows the HoC to act immediately in the event of an emergency or staff absence)

Exam contingency plan

The document is located on WSL Drive -> Exam Officer folder -> ExamPolicies2019

“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 readily available for inspection purposes; (The examination contingency plan should also reinforce procedures in the event of the centre being unavailable for examinations owing to an unforeseen emergency.) [GR 5]

- ▶ Ensures required internal appeals procedures are in place

Internal appeals procedures

The document is located on WSL Drive -> Exam Officer folder -> ExamPolicies2019

“The centre agrees to... have in place and be readily 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 5.8]

“The centre agrees to... have readily available for inspection purposes and draw to the attention of

Exams policy (2019/20)

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 check, a review of marking, a review of moderation or an appeal... [GR 5.14]

- ▶ Ensures a disability policy for exams showing the centre's compliance with relevant legislation is in place

Disability policy (exams)

The document is located on WSL Drive -> Exam Officer folder -> ExamPolicies2019

"The head of centre/senior leadership team agrees to... recognise its duties towards disabled candidates as defined under the terms of the Equality Act 2010†. This must include a duty to explore and provide access to suitable courses, submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates. A written disability policy setting out how the centre seeks to comply with the Equality Act 2010† and fully supporting disabled candidates must be available for inspection purposes. †or any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect [GR 5.4]

- ▶ Ensures a complaints and appeals procedure covering general complaints regarding the centre's delivery or administration of a qualification is in place

Complaints and appeals procedure

The document is located on WSL Drive -> Exam Officer folder -> ExamPolicies2019

"The centre agrees to... 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 5.7]

- ▶ Ensures the centre has a child protection/safeguarding policy in place, including Disclosure and Barring Service (DBS) clearance, which satisfies current legislative requirements; **Located on WSL DRIVE**

Child protection/safeguarding policy

Located on WSL DRIVE

"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]

- ▶ Ensures the centre has a data protection policy in place

Data protection policy

Located on WSL DRIVE

"Do you have a written data protection policy?" [GR Appendix B]

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

Access arrangements policy

The document is located on WSL Drive -> Exam Officer folder -> ExamPolicies2019

“...with its obligations in respect of identifying the need for, requesting and implementing access arrangements.”

[GR 5.5]

“The head of centre/senior leadership team agree to... have a written process in place to not only check the qualification(s) of their specialist assessor(s) but that the assessment process is administered correctly;”

[GR 5.4]

- ▶ Ensures staff are only entered for qualifications through the centre as a last resort 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

“...informs the awarding bodies, before the associated entries are submitted, of any members of centre staff who are either sitting examinations and assessments or teaching and preparing members of their family for examinations and assessments. Awarding bodies should also be informed where children of exams office staff are being entered for examinations and assessments...”

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.

If a candidate is entered for an awarding body’s examinations at a centre where a relative is employed, the head of centre must ensure that during the examination series the candidate’s relative does not have unaccompanied access to examination materials. For example, question papers, pre-release materials and answer scripts.

If the relative in question is the centre’s examinations officer, then appropriate arrangements must be made to ensure that another person is present for all of the administrative arrangements relating to the candidate’s examinations. (For example, any application for special consideration must be authorised by a member of centre staff other than the candidate’s relative.)”

[GR 5.3]

- ▶ Ensures members of centre staff do **not** forward e-mails and letters from awarding body or JCQ personnel without prior consent to third parties or upload such correspondence onto social media sites such as Facebook
- ▶ Ensures members of centre staff do **not** advise parents/candidates to contact awarding bodies/JCQ directly

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

[GR 1]

Exams officer

- ▶ 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 training provided to invigilators for the required period
- ▶ Ensures awarding bodies are notified before the associated entries are submitted, where a candidate is being taught and prepared for examinations and assessments by a relative or where a relative of exams office staff is being entered for examinations and assessments

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 controlled assessment and coursework)

Special educational needs co-ordinator (SENCo)

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

Head of Centre/(HoD)

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

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 teacher-specific information to confirm effective delivery of qualifications
- ▶ Attend relevant awarding body training and update events

Invigilators

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

Reception staff

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

Site staff

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

Candidates

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

The exam cycle

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

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

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

Planning: roles and responsibilities

Information sharing

Head of Centre

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

Exams 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

Exams officer

- ▶ Undertakes an annual information gathering exercise in preparation for each new academic year to ensure data about all qualifications being delivered is up to date and correct

- ▶ Collates all information gathered into one central point of reference
- ▶ Researches awarding body guidance to identify administrative processes, key tasks, key dates and deadlines for all relevant qualifications
- ▶ Produces an annual exams plan of key tasks and key dates to ensure all external deadlines can be effectively met; informs key centre staff of internal deadlines
- ▶ Collects information on internal exams to enable preparation for and conduct of [insert the titles these internal exams are referred to in the centre]

Head of Centre/HOD

- ▶ 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

Access arrangements

Head of centre

- ▶ Ensures there is appropriate accommodation for candidates requiring access arrangements in the centre
- ▶ Ensures a written process is in place to not only check the qualification(s) of their assessor(s) but that the assessment process is administered correctly
- ▶ Ensures the SENCo is fully supported in effectively implementing access arrangements and reasonable adjustments once approved

SENCo

- ▶ Assesses candidates (or works with the appointed access arrangements assessor) to identify access arrangements requirements
- ▶ Gathers **evidence** to support the need for access arrangements for a candidate
- ▶ Liaises with teaching staff to gather evidence of **normal way of working** of an affected candidate
- ▶ Determines candidate eligibility for arrangements or adjustments that are centre-delegated
- ▶ Gathers signed **data protection notices** from candidates where required
- ▶ Applies for **approval** through *Access arrangements online* (AAO), where required or through the awarding body where qualifications sit outside the scope of AAO
- ▶ Keeps relevant paperwork and evidence on file for JCQ inspection purposes
- ▶ Employs good practice in relation to the Equality Act 2010
- ▶ Liaises with the EO regarding exam time arrangements for access arrangement candidates
- ▶ Ensures staff appointed to facilitate access arrangements for candidates are appropriately trained and understand the rules of the particular arrangement(s) and keeps a record of the training provided to facilitators for the required period
- ▶ Provides and annually reviews a centre policy on the **use of word processors** in exams and assessments

Word processor policy (exams)

The document is located on WSL Drive -> Exam Officer folder -> ExamPolicies2019

“It is strongly recommended that a centre has a policy on the use of word processors which it can articulate to parents/carers. Principally, that a word processor cannot simply be granted to a candidate because he/she now wants to type rather than write or can work faster on a keyboard, or because he/she uses a laptop at home.

The use of a word processor must reflect the candidate’s normal way of working within the centre and be appropriate to the candidate’s needs...

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

[AA 5.8]

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

Separate invigilation within the centre

The document is located on WSL Drive -> Exam Officer folder -> ExamPolicies2019

[See AA 5.16 plus centre-determined criteria]

Senior Leaders, Head of department, Teaching staff

- ▶ Support the SENCo in identifying and implementing appropriate access arrangements
- ▶ Senior leaders 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

- ▶ 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 policy for the **management of controlled assessment** is in place for legacy GCSE qualifications still being delivered which include elements of controlled assessment

Controlled assessment policy

The document is located on WSL Drive -> Exam Officer folder -> ExamPolicies2019

- ▶ Ensures a **non-examination assessment policy** is in place for new GCE and GCSE qualifications which include components of non-examination assessment (For CCEA GCSE centres this would be a controlled assessment policy)

Non-examination assessment policy

The document is located on WSL Drive -> Exam Officer folder -> ExamPolicies2019

“The centre agrees to... 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 5.8]

- ▶ Ensures irregularities are investigated and any cases of suspected malpractice reported to the awarding body, as required

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

Head of Centre/HoD

- ▶ Ensures teaching staff delivering legacy GCSE qualifications (which contain elements of controlled assessment) follow JCQ [Instructions for conducting controlled assessments](#) and the specification provided by the awarding body
- ▶ Ensures teaching staff delivering legacy GCE unitised AS and A-level qualifications and (which include elements of coursework) Entry Level or Project qualifications follow JCQ [Instructions for conducting coursework](#) and the specification provided by the awarding body
- ▶ Ensures teaching staff delivering new GCE & GCSE specifications (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 (controlled assessments, coursework, non-examination assessments, social media) prior to assessments taking place
- ▶ Ensure candidates are informed of their centre assessed marks as a candidate may request a review of the centre's marking before marks are submitted to the awarding body

Exams 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 or to facilitate an access arrangement, 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 exams in addition to the subject teacher

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 an annual training event for new invigilators and an update event for invigilators on the conduct of exams
- ▶ Ensures invigilators supervising access arrangement candidates understand their role (and the role of a facilitator who may be supporting a candidate) and the rules and regulations of the access arrangement(s)
- ▶ Ensures invigilators are made aware of the Equality Act 2010 and are trained in disability issues
- ▶ Collects evaluation of training to inform future events

Entries: roles and responsibilities

Estimated entries

Exams officer

- ▶ Requests estimated or early entry information, where this may be required by awarding bodies, from HoDs in a timely manner to ensure awarding body external deadlines for submission can be met

Estimated entries collection and submission procedure

1. Teaching staff to hand in (email) the estimated grades to EO.
2. EO submits estimated grades using online system e.g. Interchange and amends the final entries within final deadline (e.g 21st February)

Head of centre/HoD

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

Final entries

Exams officer

- ▶ Requests final entry information from HoDs in a timely manner to ensure awarding body external deadlines for submission can be met
- ▶ Informs HoDs of subsequent deadlines for making changes to final entry information without charge
- ▶ Confirms with HoDs final entry information that has been submitted to awarding bodies
- ▶ Ensures as far as possible that entry processes minimise the risk of entries or registrations being missed reducing the potential for late or other penalty fees being charged by awarding bodies

Final entries collection and submission procedure

1. HOD to email the final entry information about students taking exams
2. EO submits the final entries making sure to meet the awarding body deadlines

Head of centre/HoD

- ▶ 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

Due to small numbers of students at our provision around 10 students per year it is easier to manage our exam budget.

The budget and qualification targets are set at the beginning of the academic year for each student (information in founding form) to be able to allow for examination cost.

HOD to approve.

Late entries

Exams officer

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

Head of centre/HoD

- ▶ 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

Re-sit entries

EO to manage re-sits and re-enter candidate.
Candidates will not be charged.

Private candidates

SENCO to liaise with EO about any private candidates, any access arrangements and reasonable adjustments required.

At the moment this procedure is not applicable to our centre.

Transfer of credit

“Arrangements for GCE AS candidates transferring between specifications or awarding bodies midway through a unitised GCE A-level course (having completed and certificated a GCE AS award).

A new GCE linear AS specification cannot be transferred to a legacy GCE unitised A-level specification.”

[JCQ [GCE AS Transfer of Credit arrangements page 1](#)]

Exams officer

- ▶ Provides information to relevant centre staff/candidates on transferring credit for GCE AS qualifications
- ▶ Meets the awarding body deadline for requesting transfer of credit

Teaching staff

- ▶ Identify affected candidates to the EO

Candidate statements of entry

Exams officer

- ▶ Provides candidates with statements of entry for checking

Teaching staff

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

Candidates

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

Pre-exams: roles and responsibilities

Access arrangements

SENCo

- ▶ Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access for candidates where they are disabled within the meaning of the

Equality Act (unless a temporary emergency arrangement is required at the time of an exam)

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

Briefing candidates

Exams officer

- ▶ Issues individual exam timetable information to candidates
- ▶ Prior to exams issues relevant JCQ information for candidates documents
- ▶ Where relevant, issues relevant awarding body information to candidates
- ▶ Issues centre exam information to candidates including information on:
 - ▶ exam clashes
 - ▶ arriving late for an exam
 - ▶ absence or illness during exams
 - ▶ what equipment is/is not provided by the centre
 - ▶ food and drink in exam rooms
 - ▶ 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
 - ▶ when and how certificates will be issued

Access to scripts, enquiries about results and appeals procedures

The document is located on WSL Drive -> Exam Officer folder -> ExamPolicies2019

(Information should also be made available to private candidates)

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

[GR 5.14]

“The centre agrees to... treat all candidates equally, including private candidates, throughout the

Dispatch of exam scripts

Exams officer

- Identifies and confirms arrangements for the dispatch of candidate exam scripts with the DfE ‘yellow label service’ or the awarding body where qualifications sit outside the scope of the service

Estimated grades

Head of centre/HoD

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

Exams officer

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

Internal assessment and endorsements

Head of centre

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

SENCo

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

Teaching staff

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

Head of department/ Subject teacher

- ▶ 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

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

Candidates

- ▶ Authenticate their work as required by the awarding body

Invigilation

Exams officer

- ▶ Provides an invigilation handbook and/or trains/updates invigilator annually
- ▶ Deploys invigilators effectively to exam rooms throughout an exam 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)
- ▶ Allocates invigilators to exam rooms (or where supervising candidates due to a timetable variation) according to the required ratios
- ▶ Liaises with the SENCo regarding the facilitation and invigilation of access arrangement candidates

SENCo

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

Invigilators

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

JCO inspection visit

Exams officer or senior leader

- ▶ Will accompany the Inspector throughout the visit

“A senior member of staff or a member of the exams office must be available to accompany the Inspector throughout the course of his or her centre visit, including inspection of the centre’s secure storage facility.”

[ICE Introduction]

Seating and identifying candidates in exam rooms

Exams officer

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

Verifying candidate identity procedure

WSL is committed to ensuring that the identity of all candidates can be verified at the time of the examination or assessment.

Invigilators must establish the identity of all candidates sitting examinations.

Internal candidates are those students currently on roll at WSL and therefore will have already provided documented proof of identity during the admissions procedure. Internal candidates will be verified by staff members present at the beginning of each written exam. A member of the Senior Leadership Team will be present at the beginning of each GCSE exam.

The WSL team will register the GCE candidates before they enter the exam venue. At least one member of staff from the relevant subject will also be present at the beginning of each exam.

External candidates who are not previously known to a current member of staff at WSL must provide proof of identity. We accept the following photographic proof of identity:

- Current passport
- Current UK driving licence
- Current European identity card

If none of the above items are available a current birth (and marriage if applicable) certificate and proof of current address will be acceptable.

A private, external or 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.

In cases 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.

- ▶ Ensures invigilators are aware of the procedure
- ▶ Provides seating plans for exam rooms according to JCQ and awarding body requirements

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

Security of exam materials

Exams officer

- ▶ Has a process in place to record confidential materials delivered to the centre and issued to authorised staff
- ▶ Has in place a recording system to track confidential materials taken from or returned to secure storage throughout the time the material is confidential
- ▶ Receives, checks and securely stores question papers and other exam materials according to JCQ and awarding body requirements

Reception staff

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

Teaching staff

- ▶ Adhere to the recording system to track confidential materials taken from or returned to secure storage throughout the time the material is confidential

Timetabling and rooming

Exams officer

- ▶ Produces a master centre exam timetable for each exam series
- ▶ Identifies and resolves candidate exam clashes (only applying overnight supervision arrangements in rare and exceptional circumstances and as a last resort)
- ▶ Identifies exam rooms and specialist equipment requirements
- ▶ Allocates invigilators to exam rooms (or where supervising candidates due to a timetable variation) according to required ratios
- ▶ Liaises with site staff to ensure exam rooms are set up according to JCQ and awarding body requirements
- ▶ Liaises with the SENCo regarding rooming of access arrangement candidates

SENCo

- ▶ Liaises with the 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

Site staff

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

Alternative site arrangements

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 using the JCQ *Alternative Site* form of any alternative sites that will be used to conduct timetabled examination components of the qualifications listed in the JCQ regulations

Transferred candidate arrangements

Exams officer

- ▶ Liaises with the host or entering centre, as required
- ▶ Processes requests to the awarding body deadline
- ▶ Where relevant (for an internal candidate) informs the candidate of the arrangements that have been made for their transferred candidate arrangements

Internal exams

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

SENCo

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

Teaching staff

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

Exam time: roles and responsibilities

Access arrangements

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

Candidate absence

Candidate absence policy

EO is responsible for ensuring the policy/process is followed.

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

2. Business manager/coordinator to contact with parents/carers/students.
3. EO/SLT to determine if candidate is fit to take exam.
4. Special consideration: if a candidate is absent from an exam for acceptable reasons, and the centre can verify this, special consideration may be applied for. Form 14, for self certification, should only be completed where circumstances require it.
5. “When a candidate has missed a time-tabled component/unit for acceptable reasons and the centre is prepared to support an application for special consideration, an adjustment may be made to the terminal grade. However, the component/unit must have been missed in the terminal series and the minimum requirements of section 4.3 must be met
6. Enhanced grading: understand the “Minimum requirements for enhanced grading in cases of acceptable absence.
7. For further information relating to absence, re-sitting or re-taking qualifications, consult JCQ entry, aggregation and certification rules found in GCE entry information and GCSE entry information.
8. Estimating the mark/Coursework/controlled assessment – see JCQ attachments.
9. Recording absence: ensure confirmed absences are clearly recorded as such on the attendance register which is sent to the examiner/marker. It might also be useful to note candidate absence on the seating plan by crossing through the candidate details – this is further proof of candidate absence should you need to respond to any follow up queries from awarding bodies.

Invigilators

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

Candidates

- ▶ Are re-charged relevant entry fees for unauthorised absence from exams

Candidate behaviour

See *Irregularities* below.

Candidate belongings

See *Unauthorised materials* below.

Candidate late arrival

Exams officer

- ▶ Ensures that candidates who arrive very late for an exam are reported to the awarding body as soon as practically possible after the exam has taken place
- ▶ Warns candidates that their work may not be accepted by the awarding body

Invigilators

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

Candidate late arrival policy

Procedures:

1. The Exams Officer/Member of Staff will contact the parent/carer of any candidate absent at the start of an exam. The parent/carer will be advised to keep the candidate under supervision at all times until the candidate is handed over to a member of the centre staff. In these circumstances the parent/carer and the candidate will be asked to sign an appropriate statement to confirm the supervision arrangements which were put in place.
2. A candidate who arrives after the start of the examination may be allowed to enter the examination room and sit the examination. The candidate will be allowed the full-time, provided that adequate supervision arrangements are in place.
3. The awarding body will consider each case individually in light of statements from the parent/carer, the candidate and the centre.
4. Students who arrive very late for the exam, namely after candidates may have been allowed to leave the examination room, will be allowed to sit the exam. However, unless they have been supervised during that time, the awarding body is unlikely to be able to accept the work.
5. 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, i.e. after 10.00 am for a morning examination or after 2.30 pm for an afternoon examination.

6. For an examination that lasts 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.

7. When a candidate arrives very late for an examination, the following will be undertaken: • The script will be sent to the awarding body/examiner in the normal way.

- Form JCQ/VLA (Report on candidate admitted very late to examination room) will be completed by the Exams Officer within 7 days of the examination taking place.

- The candidate will be warned that the awarding body may not accept their work.

8. If a candidate arrives in the afternoon for a paper that had been re-arranged for a morning session, the candidate may be allowed to take the paper at the published time as long as he/she has not had any contact with any candidate who sat the paper earlier. The awarding body will then decide whether or not to accept the script.

9. The Exams Officer/Lead Learning Coach will liaise with candidates and their parents/carers who persistently arrive late for examinations.

Conducting exams

Head of centre

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

Exams officer

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

Dispatch of exam scripts

Exams officer

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

Exam papers and materials

Exams officer

- ▶ Organises exam question papers and associated confidential resources in date order in secure storage
- ▶ Attaches erratum notices received to relevant exam question paper packets
- ▶ Collates attendance registers and examiner details in date order
- ▶ Regularly checks mail or 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 time, date and paper details
- ▶ Where allowed by the awarding body, only releases exam papers and materials to teaching departments for teaching and learning purposes after the published finishing time of the exam, or until any clash candidates have completed the exam

Exam rooms

Head of centre

- ▶ Ensures that prior to exams commencing, revision or coaching sessions for candidates will not be held in the designated exam room(s)
- ▶ Ensures only authorised centre staff are present in exam rooms
- ▶ Ensures information relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates

Food and drink in exam rooms

Drink is allowed where it is free from packaging and all labels are removed from drink containers.

No food is permitted in the examination room, unless there is a good medical reason.

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)
- ▶ Ensures sole invigilators have an appropriate means of summoning assistance
- ▶ Ensures invigilators understand how to deal with candidates who may need to leave the exam room temporarily

- ▶ Provides authorised exam materials which candidates are not expected to provide themselves
- ▶ Ensures invigilators and candidates are aware of the emergency evacuation procedure
- ▶ Ensures invigilators are aware of arrangements in place for a candidate with a disability who may need assistance if an exam room is evacuated

Senior leaders

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

Emergency evacuation policy

See separate policy - The document is located on WSL Drive -> Exam Officer folder -> ExamPolicies2019

"...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 18]

Site staff

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

Invigilators

- ▶ Conduct exams in every exam room as instructed in training/update events and briefing sessions

Candidates

- ▶ Are required to remain in the exam room for the full duration of the exam

Irregularities

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

Managing behaviour

SLT will:

- 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

The EO will:

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

Invigilators will:

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

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.

Senior leaders

- ▶ 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

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

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, disruption or disturbance in the exam room, emergency evacuation)

Malpractice

See *Irregularities* above.

Special consideration

Exams officer

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

Special consideration policy

See separate policy - The document is located on WSL Drive -> Exam Officer

Candidates

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

Unauthorised materials

Arrangements for unauthorised materials taken into the exam room

- On entry to the examination room, candidates leave their belongings at the back of the examination room (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.
- Only permitted items are allowed to be taken to the exams desk.
- 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.

Candidates are reminded at the start of the exam, that JCQ unauthorised items are not to be brought into the examination room and a final opportunity to hand them in is given.

Invigilators

- ▶ Are informed of the arrangements through training

Internal exams

Exams officer

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

Invigilators

- ▶ Conduct internal exams as briefed by the EO

Results and post-results: roles and responsibilities

Internal assessment

Head of centre

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

Managing results day(s)

Head of centre and EO

- ▶ 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 enquiries and ensures candidates are informed of the periods during which centre staff will be available so that they may plan accordingly

Exams officer

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

Results day programme

You may wish to include here the arrangements that are put in place for the main summer results day(s) to explain how, when and where results are issued, what other information is issued, who does what etc. or alternatively include as an appendix at the end of this document. You may also wish to include information here relating to your centre's policy on whether results can be issued to a parent/carer if requested etc. or signpost to the centre's *Data protection policy*.

SLT will:

- identify centre staff who will be involved in the main summer results day(s) and their role

Site staff will:

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

Consideration should also be given to

"Centres must make candidates aware of the arrangements for Enquiries about Results before they sit any examination(s). These arrangements also extend to private candidates." [\[PRS 4\]](#)

"...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...ensure that all candidates, including private candidates, are made aware that all post-results service requests must be made through the centre..." [\[CR 5.14\]](#)

Site staff

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

Accessing results

Exams officer

- ▶ Informs candidates in advance of when and how results will be released to them
- ▶ 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 check, a review of marking, a review of moderation or an appeal
- ▶ Understands that in the event of an awarding body initiating an *extended review of marking*, candidates' marks and subject grades may be lowered, confirmed or raised

Exams officer

- ▶ Provides information to candidates (including private candidates) and staff on the services provided by awarding bodies and the fees charged (see also above *Briefing candidates* and *Access to scripts, enquiries about 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 collect candidate informed consent (**after** the publication of results) and fees where relevant
- ▶ Submits requests to awarding bodies to meet the external deadline
- ▶ Tracks requests to conclusion and informs candidates and relevant centre staff of outcomes
- ▶ Updates centre results information, where applicable

Teaching staff

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

Candidates

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

Analysis of results

Exam 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 September checking exercise*

Certificates

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

Issue of certificates procedure

The Exams Officer manages the issuing of certificates.

Exams Officer checks and collates the individual candidate's certificates and then posts

them registered post. Each envelope is stamped with school name and address for Royal Mail to return if necessary.

Detail the records kept of certificates that have been issued.

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

Retention of certificates policy

The Exams Officer manages the retention of unclaimed or uncollected certificates. The certificates are stored in the secure exams cupboard until the candidate collects them.

Detail the required records kept of certificates that may be destroyed.

Review: roles and responsibilities

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 review

Senior leaders

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

Retention of records: roles and responsibilities

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 exams archiving policy that identifies information held, retention period and method of disposal

Exams archiving policy

All examination materials are stored in the secure examinations cupboard.

Appendices

Include any documentation or information here that you have made reference to in the policy that has been provided as an appendix. Number each appendix and start each one on a new page. If no appendices are provided – delete this page. (**Remember** adding or deleting headings from the policy template affects the table of contents which will need updating)