

Isaac Newton Academy

Exams Policy

2020/21

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Purpose of the Policy

Isaac Newton Academy is committed to ensuring that the exams management and administration is run effectively and efficiently and in compliance with the published JCQ regulations and awarding body requirements.

The exam policy will ensure that:

- all aspects of the centre's exam process are documented, supporting the exams contingency plan, 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, internal and external, are conducted according to JCQ and awarding body regulations, guidance, and instructions, thus maintaining the integrity and security of the exam/assessment system at all times
- exam candidates understand the exams process and what is expected of them

It is the responsibility of everyone involved in the centre's exam processes to read, understand and implement this policy.

This exam policy will be reviewed annually by the Principal, Assistant Principal (data and assessment), Examinations Officer and the governors, 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 applies to internal and external examinations and assessments.

This policy is available through the centre's website. Relevant staff will be made aware of further updates via internal email. Candidates will be informed of this policy's location via assemblies and presentations as part of general examination preparation.

Key Staff

Role	Names
Head of Centre	The Principal
Exams Officer line manager (Assistant Principal (data and assessment))	Mark Crowther-Green
Exams Officer	Aidan Rothnie
SENCo	David Wilson
SLT Members	Sugra Alibhai; Paul Morton-Kemp; Tam Broadway; Eva McEvoy; Leanne Abbott-Jones; Gareth Marshall-Jones; Nichola West; Alex Clift-Matthews; Patrick Ball; Greg Coughlin; and David Beattie

Important Links

Joint Council for Qualifications: <http://www.jcq.org.uk/>

Specific Policies

Instructions for Conducting Exams (ICE): <http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations>

General Regulations: <http://www.jcq.org.uk/exams-office/general-regulations>

Information for Candidates: <http://www.jcq.org.uk/exams-office/information-for-candidates-documents>

Exam Boards

Edexcel: <http://qualifications.pearson.com/en/home.html>

OCR: <http://www.ocr.org.uk/>

AQA: <http://www.aqa.org.uk/>

WJEC: <http://www.wjec.co.uk/>

Roles and responsibilities overview

Head of centre

- Understands the contents, refers to, and directs relevant centre staff to annually updated JCQ publications including:
 - General regulations for approved centres (GR)
 - Instructions for conducting examinations (ICE)
 - Access arrangements and reasonable adjustments (AA)
 - Suspected malpractice in examinations and assessments (SMEA)
 - Instructions for conducting non-examination assessments (NEA) (and the instructions for conducting coursework)
 - A guide to the special consideration process (SC)
- Ensures the centre has appropriate accommodation to support the size of the cohorts being taught including appropriate accommodation for candidates requiring access arrangements for exams and assessments
- Takes responsibility for responding to the National Centre Number Register annual update (administered on behalf of the JCQ member awarding bodies by OCR) by the end of October each year, confirming that they are both aware of and adhering to the latest version of the JCQ regulations and signs and returns the head of centre's declaration, which is then kept on file for inspection purposes
 - The head of centre declaration is located in the exams file, which is held by the exams officer
- Enables the relevant senior leader(s), the examinations officer, and the SENCo to receive appropriate training and support in order to facilitate the effective delivery of examinations and assessments within the centre, and ensures compliance with the published JCQ regulations
- Appoints a SENCo who will determine appropriate arrangements for candidates with learning difficulties and disabilities
- Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the EO
- Makes sure that a teacher who teaches the subject being examined, or a senior member of teaching staff who has had overall responsibility for the subject department and/or preparing the candidates for the examination, is not an invigilator during the timetabled written examination or on-screen test.
- Ensures confidentiality and security within the examination process is compliant with and managed according to JCQ and awarding body regulations, guidance, and instructions including
 - The location of the centre's secure storage facility in a secure room solely assigned to examinations for the purpose of administering secure examination materials
 - Appropriate arrangements are in place to ensure that confidential materials are only delivered to authorised members of centre staff
 - Access to the secure room and secure storage facility is restricted to the authorised two to four key holders
 - The relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk
 - That arrangements are in place to check that the correct question paper packets are opened by authorised members of centre staff
- Through taking an ethical approach and working proactively to avoid malpractice among students and staff takes all reasonable steps to prevent the occurrence of any malpractice/maladministration before, during the course of, and after examinations have taken place

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

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
- Works with the SENCo to ensure invigilators supervising access arrangement candidates and those acting as facilitator supporting access arrangement candidates fully understand the respective role and what is and what is not permissible in the exam room
- Supports the head of centre in ensuring that awarding bodies are informed of any conflict of interest declared by members of centre staff and in maintaining records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected before the published deadline for entries.
- Briefs other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials on the requirements for maintaining the integrity and confidentiality of the exam materials

The Assistant Principal for Data and Assessment (AP)

- Is familiar with the contents, refers to, and directs relevant centre staff to annually updated JCQ publications including:
 - General regulations for approved centres (GR)
 - Instructions for conducting examinations (ICE)
 - Access arrangements and reasonable adjustments (AA)
 - Suspected malpractice in examinations and assessments (SMEA)
 - Instructions for conducting non-examination assessments (NEA) (and the instructions for conducting coursework)
 - A guide to the special consideration process (SC)
- 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

Senior Leaders (SLT)

- Are familiar with the contents, refers to, and directs relevant centre staff to annually updated JCQ publications including:
 - General regulations for approved centres (GR)
 - Instructions for conducting examinations (ICE)
 - Access arrangements and reasonable adjustments (AA)
 - Suspected malpractice in examinations and assessments (SMEA)
 - Instructions for conducting non-examination assessments (NEA) (and the instructions for conducting coursework)
 - A guide to the special consideration process (SC)
 -

Special educational needs co-ordinator (SENCo)

- Understands the contents, refers to, and directs relevant centre staff to annually updated JCQ publications including:
 - Access arrangements and reasonable adjustments

- Leads on the access arrangements and reasonable adjustments process (referred to in this policy as ‘access arrangements’)
- If not the qualified access arrangements assessor, works with the person appointed on all matters relating to assessing candidates and ensures the correct procedures are followed
- Presents when requested by a JCQ Centre Inspector, evidence of the assessor’s qualification

Head of department (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 subject and 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 subject and teacher-specific information to confirm effective delivery of qualifications
- Attend relevant awarding body training and update events

Invigilators

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

Reception staff

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

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 coursework)

Exams officer

- Signposts relevant centre staff to JCQ publications and awarding body documentation relating to the exams processes 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
- Researched 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 mocks

Head of department

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

SENCo

- Assesses candidates (or works with the appropriately qualified assessor as appointed by the head of centre) 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 **Personal data consent, Privacy Notice (AAO) , and Data Protection confirmation** forms (candidate personal data consent form) from candidates where required
- Applies for **approval** through *Access arrangements online* (AAO) via the Centre Admin Portal (CAP), where required or through the awarding body where qualifications sit outside the scope of AAO
- Keeps a file for each candidate for JCQ inspection purposes containing all the required documentation (if any documentation is kept electronically, in the event of IT failure at the time of an inspection is able to access this documentation in an alternative format)
- Employs good practice in relations to the Equality Act 2010
- Liaises with the EO regarding exam time arrangements for access arrangement candidates
- Ensures staff appointed to facilitate access arrangements for candidates are appropriately trained and understand the rules of the particular arrangement(s) and keeps a record of the content of training provided to facilitators for the required period
- Works with the EO to ensure invigilators and those acting as a facilitator fully understand the respective role and what is and what is not permissible in the exam room
- Provides and annually reviews a centre policy on the **use of word processors** in exams and assessments
 - The word processor policy is available on the centre's website
- Provides and annually reviews a centre policy on the **separate invigilation within the centre** in exams and assessments
 - The criteria for separate invigilation within the centre is located in the Access Arrangements policy on the centre's website

Senior Leaders, Heads of department, Teaching staff

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

Internal assessment and endorsements

Head of centre

- Provides fully qualified teachers to mark non-examination assessments
- Ensures an **internal appeals procedure** relating to internal assessment decisions is in place for a candidate 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 (For CCEA GCSE centres this would be a controlled assessment policy)
 - The Non-examination assessment policy is located on the centre'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

Head of department

- Ensures teaching staff delivering any remaining legacy GCE unitised AS and A-level qualifications (which include elements of coursework), AQA Applied General qualifications, OCR Cambridge Nationals, and Entry Level Certificate, or Project qualifications follow JCQ *Instructions for conducting coursework* and the specification provided by the awarding body
- Ensures teaching staff delivering GCE and 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

- Ensures 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

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 AP 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 possible
- Determines if additional invigilators will be deployed in timed Art exams in addition to the subject teacher to ensure the supervision of candidates is maintained at all times

The Assistant Principal for Data and Assessment (AP)

- Recruits additional invigilators where required to effectively cover all exam periods/series throughout the academic year
- Collects information on new recruits to identify if they have invigilated previously and if any current maladministration/malpractice sanctions are applied to them
- Provides training for new invigilators on the instructions for conducting exams and an annual update for the existing invigilation team so that they are aware of any changes in a new academic year before they are allocated to invigilate an exam
- Collects evaluation of training to inform future events

Exams officer

- 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 brief on the access arrangement candidates in their exam room (and that these candidates are identified on the seating plan) and confirms invigilators understand what is and what is not permissible

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
 - It is generally assumed that all students being taught a subject in classes will be entered for that qualification
 - The EO will therefore provide estimated entries to the awarding bodies based on the total numbers attending classes
 - For subjects with tiers, the EO will liaise with HoDs to ascertain estimated numbers sitting higher and foundation tiers
 - The EO will submit these estimated entries to the awarding bodies via their relevant extranet sites
- Makes candidates aware of the JCQ *Information for candidates – Privacy Notice* at the start of a vocational qualification or when entries are being processed for a general qualification

Head of department

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

- The final entries collection and submission procedure will begin following the completion and marking of Year 11 autumn mock exams
- It is generally assumed that all students being taught a subject in classes will be entered for that qualification
- At the start of the Spring 1 term, the EO will request tier entry information for subjects where it is required from the relevant HoDs
- The EO will collect that data and produce tier entry information checking forms for each qualification. These forms will contain student names, candidate numbers, awarding bodies,

entry codes, and, where relevant, tier information. These forms will be sent to the HoDs for checking

- Any subsequent amendments, withdrawals, or other changes must be sent to the EO immediately
- The HoD confirms that the entry information is correct by signing and dating the form and returning it to the EO by the internal deadline
- When the signed form is received by the EO, the EO will make the final entries using the centre's MIS and A2C systems by the awarding body's external deadline. The signed form will be kept on file

Head of department

- 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 candidates personal details
 - Amendments to existing entries
 - Withdrawals of existing entries
- Checks final entry submission information provided by the EO and confirms information is correct

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 department

- 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

Private candidates

- This centre does not accept private candidates

Transfer for GCE AS credit

Exams officer

- Provides information to relevant centre staff/candidates on transferring credit for a GCE AS award between specifications and/or awarding bodies
- Meets the awarding body deadline for requesting transfer of credit

Teaching staff

- Identify any affected candidates to the EO prior to the internal deadline set by 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 to exams/assessments for candidates where they are disabled within the meaning of the Equality Act (unless a temporary emergency arrangement is required at the time of an exam)
- Ensures a candidate is involved in any decisions about arrangements, adjustments, and/or adaptations that may be put in place for him/her
- Ensures exam information (JCQ information for candidates information, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it
- Allocates appropriately trained centre staff to facilitate access arrangements for candidates in exams and assessments (ensuring that the facilitator appointed meets JCQ requirements and fully understands the rule of the particular access arrangements)
- 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 and informs candidates of any contingency day awarding bodies may identify in the event of national or local disruption to exams
- Prior to exams issues relevant JCQ information for candidates documents
- Where relevant, issues relevant awarding body information to candidates
- Issues centre exam information to candidates including information on:
 - Exam timetable clashes
 - Arriving late for an exam
 - Absence or illness during exams
 - What equipment is/is not provided by the centre
 - Food and drink in exam rooms
 - Wrist watches in exam rooms
 - When and how results will be issues 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, reviews of results, and appeals procedures

- Post-results and appeals services are explained to the candidates at an exam briefing event held in the Spring term
 - This event will explain to the candidates how they may request access to scripts and reviews of results, with reference to the relevant policies
 - The event will explain to the candidates the deadlines that have to be met and the fees that will be charged
 - The appeals policy will also be highlighted

- Appeals of centre-assessed marks for non-examinations assessments will be explained to candidates by HoDs and teaching staff prior to the issuing of marks. Further details are in the non-examination assessment policy on the centre's website

Dispatch of exam scripts

Exams officer

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

Estimated grades

Head of department

- 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 the awarding bodies to meet 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 assessments 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

- 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

The Assistant Principal for Data and Assessment

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

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

JCQ inspection visit

Exams officer or senior leader

- Will accompany the inspector throughout a visit

SEnCo or relevant senior leader (in the absence of the SENCo)

- Will meet with the inspector when requested to provide documentary evidence regarding access arrangement candidates and address any questions the inspector may raise
- Ensures that information is readily available for inspection at the venue where the candidate is taking the exam(s)

Seating and identifying candidates in exam rooms

Exams officer

- Ensures a procedure is in place to verify candidate identity
 - The centre provides each candidate a photo ID card as part of the normal school operating procedure
 - Candidates must wear their ID cards on a lanyard around their necks during line-up

- Upon entering the exam hall and taking their seats, candidates place their ID cards on the desk, face-up and free from obstruction, next to the name label
- Candidates without ID cards will have their identities verified before entering the exam venue by senior leaders or pastoral leaders, and reprimanded according to school behaviour policy
- 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)

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

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

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

Exams officer

- Produces a master centre exam timetable for each exam series
- Identifies and resolves candidate exam timetable clashes according to the regulations (only applying overnight supervision arrangements as a last resort, once all other options have been exhausted and according to the centre's policy)
 - Should overnight supervision be required, the exam will be held the following day, including Saturday if necessary
 - Overnight supervision arrangements must ensure that the candidate does not have advance warning of the content of the examination. 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, e.g. telephone (both landline and mobile), e-mail, Internet, and social media. It also

extends to television and radio, which could report key details of the day's examinations

- The candidate's parents will be required to sign a form confirming that these conditions have been met, which will be kept on file
- Identifies exam rooms and specialist equipment requirements
- Allocates invigilators to exam rooms (or where supervising candidates due to an exam timetable clash) according to required ratios
- Liaises with site staff to ensure exam rooms are set up according to JCQ and awarding body requirements
- Liaises with the SENCo regarding rooming of access arrangement candidates

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 to timescale by submitting a JCQ *Alternative Site arrangement* notification through CAP (or through the awarding body where a qualification may sit outside the scope of CAP) of any alternative sites that will be used to conduct timetabled examination components of the qualifications listed in the JCQ regulations

Transferred candidate arrangements

Exams officer

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

Internal exams

Exams officer

- Prepares for the conduct of internal exams under external conditions
- Provides seating plans for exam rooms

The Assistant Principal for Data and Assessment

- Provides a centre exam timetable of subjects and rooms
- Requests internal exam papers from teaching staff
- Arranges invigilation

SENCo

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

Head of department

- Provides exam papers and materials to reprographics for printing and checks thoroughly

Teaching staff

- 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

- Candidates are expected to arrive at the venue at the allotted time ahead of the official start of the exam. Those who have not signed in at the main reception by that time will be called by members of the admin team
- Continual attempts to contact the candidate will be made
- Late candidates will follow the late arrival procedure
- Absent candidates will be marked as such on the exam attendance register
- If the candidate is absent due to an emergency and requires special consideration, the special consideration procedure will be followed

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

Exams officer

- Signposts relevant JCQ *Information for candidates* documents to candidates, producing booklets to be disseminated and read
- Delivers a yearly presentation for candidates, parents, and relevant centre staff in the Spring term on expectations of behaviour during exam time, highlighting the consequences of malpractice
- Writes, compiles, and issues an exam booklet for candidates containing relevant JCQ *Information for candidates* documents, centre procedures, and expectations about behaviour during exam time
- Is present during exam line-up preparation to support

- Supports invigilators in dealing with disruptive candidates, notifying the awarding body if the candidate must be removed from the exam

Senior leaders

- Are present at the start of each exam during line-up to settle the candidates and remind them of expectations of behaviour
- Offers a final chance to hand in any unauthorised material before entering the exam venue
- Ensures that in compliance with JCQ regulations that if they teach the subject about to be examined that they do not enter the venue
- Provides support for invigilators and EO in dealing with disruptive candidates

Invigilators

- Monitor candidate behaviour in the exam venues, noting down any disturbances in the exam log book
- Are alert for any signs of malpractice and notify the EO immediately
- Warn candidates who are being disruptive that they risk losing marks or being disqualified if they continue
- Will only remove candidates from the exam venue as a last resort if the disruption threatens the performance of other candidates in the exam

Candidate late arrival

Exams officer

- Ensures that candidates who arrive very late for an exam are reported to the awarding body by submitting a *report on candidate admitted very late to examination room* through CAP to timescale
- Warns candidates that their script may not be accepted by the awarding body

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

- Candidates must arrive on site at 8am for morning exams and 1pm for afternoon exams
- Sign-in sheets are placed in the main reception for candidates to confirm their arrival to the venue
- Candidates who have not signed in are therefore deemed to be late
- Reception staff will call parents of late candidates to confirm that they are on their way to the site
- If it appears that a candidate will miss the exam, senior leaders will endeavour to escort the candidate from their home to the exam venue
- If a candidate is very late, the EO will notify the exam board in accordance with regulations
- Persistently late or absent candidates will be referred to their pastoral leaders
- A candidate arriving late will be given the opportunity to sit the examination for its published duration

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 the secure storage facility
- Attaches erratum notices received to relevant exam question paper packets
- Collates attendance registers and examiner details in date order
- Regularly checks mail or email inbox for updates from awarding bodies
- In order to avoid potential breaches of security, ensures prior to question paper packets being opened that another member of staff or an invigilator checks the day, date, time, subject, unit/component, and tier of entry if appropriate, immediately before a question paper packet is opened
- Ensures this additional/second check (which takes place in the secure room if a question paper packet has to be split or in the designated exam room if not) is recorded
- Where allowed by the awarding body, only releases exam papers and materials to teaching departments for teaching and learning purposes after the published finished time of the exam, or until any timetable clash candidates have completed the exam

Exam rooms

Head of centre

- Ensures that internal tests, mock exams, revision, or coaching are not conducted in a room 'designated' as an exam room
- Ensures that when a room is 'designated' as an exam room it is not used for any purpose other than conducting external exams
- Ensures only authorised centre staff are present in exam rooms
- Ensures the centre's policy relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates
 - In accordance with the centre's own policy on food and drink, only bottles of water are allowed in the exam venues
 - No food at all is permitted
 - Bottles of water must have their labels removed before they are allowed in the exam venues
- Ensures the centre's policy on candidates leaving the exam room temporarily is clearly communicated to candidates
 - Candidates who leave the examination room must be accompanied by a member of centre staff. This must not be the candidate's subject teacher or a subject expert for the examination in question. Those candidates may be allowed extra time at the discretion of the centre to compensate for their temporary absence

- Temporary absences will be noted in the exam log book, with the candidate's name, time and duration of absence, reason of absence, and name of the accompanying member of staff recorded
- Toilet breaks are not grounds for allocating extra time due to a temporary absence

Exams officer

- Ensures exam rooms are set up and conducted as required in the regulations
- Provides invigilators with appropriate resources to effectively conduct exams
- Briefs invigilators on exams to be conducted on a session by session basis (including the arrangements in place for any transferred candidates and access arrangement candidates)
- Ensures sole invigilators have an appropriate means of summoning assistance (if this is a mobile phone, instructs the invigilator that this must be on silent mode)
- Ensures invigilators understand they must be vigilant and remain aware of incidents or emerging situations, looking out for malpractice or candidates who may be in distress, recording any incidents or issues on the exam room incident log
- Ensures invigilators understand how to deal with candidates who may need to leave the exam room temporarily and how this should be recorded on the exam room incident log
- Provides authorised exam materials which candidates are not expected to provide themselves
- Ensures invigilators and candidates are aware of the emergency evacuation procedure
- 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

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 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 exam rooms by authorised centre staff and invigilators
- 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 or 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

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
- Completes 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 or needing to leave the exam room temporarily, disruption or disturbance in the exam room, emergency evacuation)

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
 - Candidates, parents, and staff may raise the possibility of special consideration request to the EO
 - The EO will liaise with centre staff, parents, and/or candidates where applicable to gather evidence for the special consideration request
 - Any evidence will be copied and kept on file until the deadline for reviews of results has passed, at which point it will be disposed of securely and confidentially
 - The EO will submit the request via the awarding body extranet sites in the case of timetable exams or by submitting JCQ Form 10 *Application for special consideration* along with any requested evidence by the external deadline
 - Requests for special consideration after the external deadline will only be considered in extreme circumstances and where the Head of Centre believes there is merit in pursuing it

Candidates

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

Unauthorised materials

Arrangements for unauthorised materials taken into the exam room

- Personal belongings, such as bags, coats, keys, etc. are to be kept in lockers and must not be brought into the exam rooms
- In accordance with the centre's policy on mobile phones, these must be handed in to main reception as candidates arrive in the building
- All candidates are reminded at the pre-exam line-up of what constitutes unauthorised material, and they are given an opportunity to hand in any such material to a member of centre staff. Candidates are also reminded of the consequences of bringing unauthorised material into the exam room

- Wrist watches are permitted, but in accordance with JCQ regulations they must be taken off and placed on the desk. The invigilators will ensure this happens prior to the start of the exam

Invigilators

- Are informed of the arrangements through training

Internal exams

Exams officer

- Briefs invigilators on conducting internal exams

Invigilators

- Conduct internal exams as briefed by the EO
- Returns candidate scripts to main reception for collection by teaching staff for marking

Results and post-results: roles and responsibilities

Internal assessment

Head of department

- 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)

Senior leaders

- Identify centre staff who will be involved in the main summer result day(s) and their role
- Ensures senior members of staff are accessible to candidates after the publication of results so that results may be discussed and decisions made on the submission of any requests for post-results services and ensures candidates are informed of any 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

- The centre is open from 8am for candidates to collect their results
- Only candidates will be permitted into the KS3 Hall to collect their results, parents and family can wait in the Dining Hall or the Courtyard
- The results slips will be sorted into alphabetical order into five boxes, each manned by a senior leader
- Senior members of staff will be in the KS3 Hall to provide support and, where applicable, commence Sixth Form enrolment proceedings

Site staff

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

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

Exams officer

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

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
- Understands that if the centre has concerns about one of its component/subject cohorts, then requests for reviews of marking should be submitted for all candidates believed to be affected (candidate consent is required as marks and subject grades may be lowered, confirmed, or raised)

Exams officer

- Provides information to candidates (including private candidates) and staff on the services provided by awarding bodies and the fees charged
- Publishes internal deadlines for requesting the services to ensure the external deadlines can be effectively met
- Provides a process to record requests for service 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 that particular service
- 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

Data officer

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

- Undertakes the *secondary school and college (key stage 4/16-18) performance tables June and September checking exercise*

Certificates

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

Issue of certificates procedure

- Certificates for the June series of exams are usually received by the centre by the 7th of November
- Certificates are issued to candidates on the exam certificate presentation evening held in late November. All candidates who attended the June series of exams are invited to attend
- Candidates who are unable to attend can choose to collect their certificates from the main reception or appoint an authorised person to collect on their behalf

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

- This centre holds uncollected certificates for a period of twenty-four months starting from the date of exam certification presentation evening
- If certificates are not collected after this period ends, they will be destroyed securely and confidentially by the EO
- The EO will keep a log of certificates that have been destroyed
- Candidates who ask for certificates that have been destroyed will be advised to directly contact the awarding body for replacement certificates or a Certifying Statement of Results

Exams 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 an exams 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

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
 - The Exams Archiving Policy is available on the centre's website

Appendix 1: Examinations Emergency Evacuation Procedure

The aim is to ensure:

- Safe evacuation of an examination room during emergency situations whilst maintaining the integrity of the exam.
- That measures are in place to enable all exam candidates to safely evacuate examination rooms in times of emergency.

i. Procedure Detail

When the alarm system is activated, the school buildings/exam building will be evacuated with immediate effect and all individuals will assemble at the assembly points.

- In the event of an emergency during an examination, should it require the evacuation of the examination room, candidates should remain silent and seated until instructions are issued by the head invigilator
- Invigilators will be assigned to take charge over a group of candidates (usually in rows), and will lead them out through the normal emergency exits one row at a time
- All question papers and scripts must be left in the examination room
- Candidates must be supervised as closely as possible while they are out of the examination room to make sure there is no discussion about the examination or contact with other students
- The head invigilator will make a note of the time of the interruption and how long it lasted
- The head invigilator will lock the doors behind the students using the keys held in the exams box, and will be the last person to leave the room
- Candidates will be allowed the full working time set for the examination
- The Examinations Officer will make a full report of the incident and of the action taken, and retain on file until the relevant date for Enquiries about Results
- For online tests, software specific instructions should be referred to safeguard the security of assessment content and responses (by locking an assessment room which has been evacuated without closing down software)
- For exams conducted under special arrangements: the invigilator for the room will follow the procedure above and then lead the student(s) to exit the building following the normal evacuation route. Students should stay with invigilation staff
- When the building has been declared safe to enter, the head invigilator will be the first to re-enter the exam hall
- As soon as it is practically possible and safe to do so, details should be recorded. Details must include:
 - The actual time of the start of the interruption
 - The actions taken
 - The actual time the exam(s) resumed
 - The actual finishing time(s) of the resumed exam(s)
 - Report on candidate behaviour throughout the interruption/evacuation
 - A judgement on the impact on candidates after the interruption/evacuation

Emergency Evacuation Assembly Point

Students will line up away from those not taking exams in the courtyard **in silence**.

Under no circumstances should staff/students/visitors re-enter the buildings after the evacuation until directed to do so by the Principal/Assistant Principal. The rest of the procedure should be in accordance with the whole school Emergency Evacuation Procedure.

Reviewed June 2020