

Hungerhill School: Exams Policy



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| Responsible Committee/Individual | Headteacher |
| Author | Head of Exams |
| Target Audience | All Stakeholders |
| Date Policy Agreed | Summer 2023 |
| Review Date | Summer 2024 |



1. Purpose of the policy

Hungerhill School 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 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 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 who have been identified with roles and responsibilities within the policy.

2. Quality Assurance

The purpose of this procedure is to implement effective processes of Quality Assurance to support continuous improvement for all students, and staff involved within the exam process.

Hungerhill School is committed to Quality Assurance and believes it is an integral part of this Centre's processes.

The focus of Hungerhill School is on students with the provision of relevant and flexible quality training programmes and assessment to suit their needs and lifestyles.

The provision is regularly monitored and reviewed

All staff involved in the administration and/or assessment of qualifications will have undergone relevant training to their role

3. Roles and responsibilities overview

3.1 THE ROLE OF THE HEAD OF CENTRE

- The Head of Centre is the individual who is accountable to the awarding bodies for ensuring that the centre is always compliant with the published JCQ regulations and awarding body requirements in order to ensure the security and integrity of the examinations/assessments. The 'Head of Centre' is the most senior operational officer in the organisation. In this centre's case this is the Headteacher of the school. It is the responsibility of the Head of Centre to ensure that all staff comply with the instructions in this Policy.



The Headteacher:

- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:
 - [General Regulations for Approved Centres](#) (GR)
 - [Instructions for conducting examinations](#) (ICE)
 - [Access Arrangements and Reasonable Adjustments](#) (AA)
 - [Suspected Malpractice - Policies and Procedures](#) (SM)
 - [Instructions for conducting non-examination assessments](#) (NEA) (and the instructions for conducting coursework)
 - [A guide to the special consideration process](#) (SC)
- Ensures the National Centre Number Register Annual Update (administered on behalf of the JCQ member awarding bodies by OCR) is responded to and approves the Head of Centre formal declaration
- Understands that this responsibility cannot be delegated to a member of the senior leadership team or the examinations officer, and acknowledges that failure to respond to the NCNR annual update, and/or the head of centre's declaration, will result in:
 - the centre status being suspended
 - the centre not being able to submit examination entries
 - the centre not receiving or being able to access question papers
- Ensures that relevant members of staff respond promptly to actions raised by the JCQ Centre Inspection Service, understanding that failure to do so could result in the same penalties as listed in the previous bullet point
- Ensures that the centre promptly reports any incidents to the relevant awarding body/bodies which might compromise any aspect of assessment delivery such as a cyber-attack
- Ensures other relevant centre staff where they may be involved in the receipt and dispatch of confidential 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 emails and letters from awarding body or JCQ personnel without prior consent to third parties or upload such correspondence onto social media sites and applications
- Ensures members of centre staff do not advise parents/candidates to contact awarding bodies/JCQ directly nor provide them with addresses/email addresses of awarding body examining/assessment personnel or JCQ personnel
- 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
- Ensures the Exams Officer is line managed and actively supported by a member of the senior leadership team, who has a good working knowledge of the examination system.
- Ensures the Exams Officer 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 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 Exams Officer
- Ensures that a teacher who teaches the subject being examined, a tutor 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 examination or on-screen test**
- Takes all reasonable steps to maintain the integrity of the examinations/assessments, including the security of all assessment materials, by ensuring:
 - the location of the centre's secure storage facility in a secure room solely assigned to examinations for the purpose of administering secure examination materials
 - appropriate arrangements are in place to ensure that confidential materials are only handed over to authorised members of centre staff
 - access to the secure room and secure storage facility is restricted to the authorised two to six keyholders (ensuring only persons authorised by the Head of Centre and the exams officer are allowed access to the centre's secure storage facility as one of the two to six key holders)
 - the relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk
- Co-operates with the JCQ Centre Inspection Service, an awarding body or a regulatory authority when subject to an inspection, an investigation or an unannounced visit, and takes all reasonable steps to comply with all requests for information or documentation made by an awarding body or regulatory authority as soon as is practical
- Allows all venues used for examinations and assessments, paperwork and secure storage facilities to be open to inspection
- Understands the JCQ Centre Inspector will identify him/herself with a photo ID card and must be accompanied throughout his/her tour of the premises, including inspection of the centre's secure storage facility
- Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place. **(Exam contingency plan available in the Exam Office)**
- Ensures required internal appeals procedures are in place. **(Internal appeals procedures, available in the Exam Office)**
- Ensures a disability policy for exams showing the centre's compliance with relevant legislation is in place
- Ensures the ALS Lead has sufficient time to both manage the access arrangements process and familiarize themselves with the JCQ guidance. The centre has documented processes in place relating to access arrangements and reasonable adjustments. **(Reasonable Adjustments/Access arrangements and Special Consideration policy available in the Exam Office)**
- Ensures the appropriate steps are taken where a candidate being entered for exams is related to a member of centre staff
- Has in place a written escalation process should the head of centre, or a member of the senior leadership team with oversight of examination administration, be absent



- Has in place a member of the senior leadership team who will provide support and guidance to the examinations officer and ensure that the integrity and security of examinations and assessments is maintained throughout an examination series.
- Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the EO.

In relation to the delivery of qualifications, the headteacher:

- Delivers qualifications, as required by the awarding body, in accordance with relevant equality legislation. This includes but is not limited to ensuring that qualifications are made available to all candidates capable of undertaking them and seeking reasonable adjustments for disabled candidates.
- Enables candidates to receive sufficient and up to date laboratory experience, or relevant training where required by the subject concerned.
- Where/if using a third party to deliver any part of a qualification at the centre:
 - maintains oversight of, and responsibility for, the delivery of the qualification in accordance with JCQ regulations and awarding body requirements
 - has in place a written agreement with the third party ensuring that a copy of the written agreement is available for inspection if requested by the awarding body.

Malpractice

- Through taking an ethical approach and working proactively to avoid malpractice among students and staff takes all reasonable steps to prevent the occurrence of any malpractice/maladministration before, during the course of and after examinations assessments have taken place
- Ensures any person involved in administering, teaching or completing examinations/assessments is advised that where malpractice is suspected, or alleged, personal data about them will be provided to the awarding body (or bodies) whose examinations/assessments are involved. Personal data about them may also be shared with other awarding bodies, the qualifications regulator or professional bodies in accordance with the JCQ publication *Suspected Malpractice – Policies and Procedures*.
- Ensures irregularities are investigated and informs the awarding bodies of any cases immediately of any alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, are reported to the awarding body immediately by completing the appropriate documentation.
- As required by an awarding body, ensures evidence of any instances of alleged or suspected malpractice (which includes maladministration) is gathered in accordance with the JCQ publication *Suspected Malpractice - Policies and Procedures* and provides such information and advice as the awarding body may reasonably require.

Conflicts of interest

- Ensures the relevant awarding bodies are informed before the published deadline for entries for each examination series of any potential conflict of interest where:
 - a member of centre staff is taking a qualification at the centre which includes internally assessed components/units (noting that being entered by the centre must be as a last resort where unable to find an alternative centre)



- a candidate is being taught and prepared for a qualification which includes internally assessed components/units by a member of centre staff with a close relationship to the candidate
- Maintains clear records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected by the above, and where:
 - a member of exams office staff has a close relationship 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 (noting that being entered by the centre must be as a last resort where unable to find an alternative centre)
 - a member of centre staff is taking a qualification at another centre

3.2 THE ROLE OF THE EXAMS OFFICER

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

The Head of Centre may not appoint themselves as the examinations officer. A Head of Centre and an examinations officer are two distinct and separate roles.

The Examination Officer will:

- Understands the contents of annually updated JCQ publications including:
 - [General Regulations for Approved Centres](#)
 - [Instructions for conducting examinations](#)
 - [Suspected Malpractice - Policies and Procedures](#)
 - [Post-Results Services \(PRS\)](#)
 - [A guide to the special consideration process](#)
- Completes/submits the National Centre Number Register annual update (administered on behalf of the JCQ member awarding bodies by OCR <https://ocr.org.uk/administration/ncn-annual-update/>) by the end of October each year
 - Confirms the details or informs the awarding bodies of any changes to the centre's contact details through the National Centre Number Register
 - Informs the National Centre Number Register Team **immediately** (e-mail address – ncn@ocr.org.uk) if any changes occur after the National Centre Number Register annual update has taken place
 - (Where it may be applicable) Informs the National Centre Number Register Team no later than 6 weeks prior to moving to a new address or a re-location of the secure storage facility
 - Informs the National Centre Number Register Team immediately of any other changes in circumstances that could affect the centre's status
- Is familiar with the contents of annually updated information from awarding bodies on administrative procedures, key tasks, key dates and deadlines
- Ensures key tasks are undertaken and key dates and deadlines met as delegated by the Headteacher
- Recruits, trains and deploys a team of internal/external invigilators; appoints lead invigilators, as required.



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

3.3 THE ROLE OF THE SENIOR LEADERSHIP TEAM

A member of the Senior Leadership Team will undertake line management responsibilities for exams, however the whole SLT must ensure they are familiar with the contents, refer to and direct relevant centre staff to annually updated JCQ publications including:

- [General Regulations for Approved Centres](#)
- [Instructions for conducting examinations](#)
- [Access Arrangements and Reasonable Adjustments](#)
- [Suspected Malpractice - Policies and Procedures](#)
- [Instructions for conducting non-examination assessments](#) (and the instructions for conducting coursework)
- [A guide to the special consideration process](#)
- Ensure teaching staff undertake key tasks, as detailed in this policy, within the exams process (exam cycle) and meet internal deadlines set by the EO and ALS lead/SENCO
- Ensure teaching staff keep themselves updated with awarding body subject and teacher-specific information to confirm effective delivery of qualifications
- Ensure teaching staff attend relevant awarding body training and update events

3.4 THE ROLE OF THE SPECIAL EDUCATIONAL NEEDS CO-ORDINATOR(S)

It is the responsibility of the Curriculum Leaders to inform the Exams Officer of the required access arrangements. To make the applications to the exam boards and to keep up-to-date records for the purpose of providing evidence to support the special need of the individual.

The SENDCO:

- 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



3.5 THE ROLE OF CURRICULUM LEADERS

Curriculum Leaders:

- Ensure teaching staff undertake key tasks, as detailed in this procedure, within the exams process (exam cycle, including Non Exam Assessment Units) and meet internal deadlines set by the Exams Officer and Curriculum Leaders
- Ensure that they are familiar with **all aspects** of their subjects' exam specification, including all entry and deadline requirements
- Ensure teaching staff keep themselves updated with awarding body teacher-specific information to confirm effective delivery of qualifications
- Ensure teaching staff attend relevant awarding body training and update events
- Ensure that all candidate record forms and subject declaration documents are completed and retained for submission to the exam board and or inspection purposes

3.6 THE ROLE OF THE TEACHING STAFF

Teachers:

- Undertake key tasks, as detailed in this policy, within the exams process and meet internal deadlines set by the Exams Officer and Curriculum Leaders
- Keep updated with awarding body teacher-specific information to confirm effective delivery of qualifications
- Attend relevant awarding body training and update events
- Ensure that all their students candidate record forms are completed and retained for submission to the exam board and or inspection purposes

3.7 THE ROLE OF INVIGILATORS

Invigilators:

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

3.8 THE ROLE OF RECEPTION/ADMIN SUPPORT STAFF

Reception/Admin Support staff:

- Support the Exams Officer in dealing with exam-related deliveries and dispatches with due regard to the security of confidential materials and recording as appropriate



- Ensure that all signed for deliveries for exams are recorded and the Exams Officer notified immediately

3.9 THE ROLE OF SITE STAFF

Site staff:

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

3.10 THE ROLE OF IT SUPPORT STAFF

IT SUPPORT staff:

- Support the Exams Officer in ensuring appropriate technologies are available and working accordingly to ensure the efficient running of exams.
- Ensure that appropriate technologies, e.g Word Processors, are available and set up in line with regulations, addressing any technical matters that may arise.

4. Security of assessment materials

The Head of Centre along with the Exams Officer will take all reasonable steps to maintain the integrity of the examinations/assessments, including the security of all assessment materials, by ensuring:

- the location of the centre's secure storage facility in a secure room ~~solely assigned to examinations~~ which must only be used for the purpose of administering secure examination materials
- the secure room only contains exam-related material
- there are between two and six keyholders only, each of whom must fully understand their responsibilities as a key holder to the secure storage facility
- access to the secure room and secure storage facility is restricted to the authorised two to six keyholders and staff ~~named and approved~~ by the head of centre are accompanied by a keyholder at all times
- appropriate arrangements are in place to ensure that confidential examination materials are only handed over to authorised members of centre staff
- appropriate arrangements are in place for handling secure electronic materials
- the relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk
- that when it is permitted to remove question paper packets from secure storage, and to avoid potential breaches of security, arrangements are in place to carefully check and record that the correct question paper packets are opened
(If it is ever subsequently identified following this check that the wrong question paper packet has been opened, it will be resealed and the incident reported to the relevant awarding body's Malpractice Investigation Team immediately)
- Makes arrangements to receive, check and store question papers and examination material safely and securely at all times and for as long as required in accordance with the current JCQ publication *Instructions for conducting examinations*



- Makes arrangements to receive and issue material received from the awarding bodies to staff and candidates, and notify them of any advice and instructions relevant to the examinations and assessments
- Allows candidates access to relevant pre-release materials on, or as soon as possible after, the date specified by the awarding bodies

5. Other relevant policies

To enable the effective running of exams at Hungerhill School, there are a number of other key policies that should be referred to. These are available via the Exams Officer and include:

- Exam Contingency Plan
- Lockdown Policy (exams)
- Internal Appeals Procedures
- Equalities Policy
- Complaints and Appeals Procedure (exams)
- Child protection/safeguarding Policy
- Data protection Policy
- Whistleblowing Policy
- Access Arrangements Policy

6. 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

The following appendices identify the roles and responsibilities of centre staff within this cycle.



APPENDIX 1

Planning: roles and responsibilities

1. Information sharing

The Headteacher

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

The Exams Officer

- Signposts relevant centre staff to JCQ publications and awarding body documentation relating to the exams process that have 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

2. Information gathering

The 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)

Curriculum Leaders

- Respond (or ensure teaching staff respond) to requests from the Exams Officer on information gathering
- Meet the internal deadline for the return of information
- Inform the Exams Officer of any changes to information in a timely manner minimising the risk of late or other penalty fees being incurred by an awarding body
- Note the internal deadlines in the annual exams plan and directs teaching staff to meet these
- Comply with the general guidelines contained in the relevant JCQ publications

3. 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 ALS lead/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 if a different member of staff) 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) via the **Centre Admin Portal** (CAP), where required or through the awarding body where qualifications sit outside the scope of AAO
- Keeps a file for each candidate for JCQ inspection purposes containing all the required documentation (if documentation is stored electronically, an e-folder must be created for each individual candidate. The candidate's e-folder must hold each of the required documents for inspection)
- Employs good practice in relation to the Equality Act 2010
- Liaises with the Exams Officer 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
- Provides and annually reviews a centre policy on the use of word processors in exams and assessments. (Word processor policy copy is available in SEN and in the Exams Office)
- 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

The Senior Leaders, Curriculum Leaders and Teaching staff

- Sign posts students to the appointed access arrangements assessor and or SENCO, to identify access arrangements requirements including centre delegated arrangements
- Gathers evidence to support the need for access arrangements for a candidate and provides this to the appointed access arrangements assessor and or SENCo
- Liaises with teaching staff to gather evidence of normal way of working of an affected candidate. This evidence must be shared with the SENCo retained on file for JCQ Inspection purposes



- Ensures staff appointed to facilitate access arrangements for candidates during normal way of working/classroom situations are appropriately trained and understand the rules of the particular arrangement(s)
- Support the SENCO in identifying and implementing appropriate access arrangements.

4. **Internal assessment – submitted to and externally moderated by the exam board**

The Headteacher

- Ensures an **internal appeals procedure** is in place for a candidate (or parent/carer) to appeal against an internally assessed marks (see Roles and responsibilities overview)
- Ensures a policy for the **management of controlled assessment** is in place (where applicable) for legacy GCSE qualifications, identifying staff responsibilities and examining potential risks
- Ensures a **non-examination assessment policy** is in place for new GCE and GCSE qualifications

(Non-examination assessment policy available in the Exams Office)

- 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.
- Ensures arrangements are in place to co-ordinate and standardise all marking of centre- assessed components and ensures that candidates' centre-assessed work is produced, authenticated and marked, or assessed and quality assured in accordance with the awarding bodies' instructions (including where relevant, private candidates)
- Ensures that teaching staff, in accordance with awarding bodies' instructions, return all subject-specific forms by the required date

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



Teaching staff

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

The 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

5. Invigilation

The Headteacher

- Ensures relevant support is provided to the EO in recruiting, training and deploying a team of invigilators
- Ensures, if contracting supply staff to act as invigilators, that such persons are competent and fully trained, understanding what is and what is not permissible (and not taking on its own an assurance from a recruitment agency, that this is the case)
- 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 Exams Officer

- Recruits additional invigilators where required to effectively cover all exam periods/series' throughout the academic year
- Collects information on new recruits to identify if they have invigilated previously and if any current maladministration/malpractice sanctions are applied to them
- Provides training for new invigilators on the current instructions for conducting examinations and an annual update for the existing invigilation team so that they are aware of any changes in a new academic year before they are allocated to invigilate an exam
- Ensures invigilators supervising access arrangement candidates understand their role (and the role of a facilitator who may be supporting a candidate) and the rules and regulations of the access arrangement(s)
- Ensures invigilators are briefed on the access arrangement candidates in their exam room and made aware of the access arrangement(s) awarded (ensuring these candidates are identified on the seating plan) and confirms invigilators understand what is and what is not permissible
- Collects evaluation of training to inform future events



APPENDIX 2

Entries: roles and responsibilities

1. Estimated entries

The Exams Officer

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

Senior and Curriculum Leaders

- Provide information requested by the Exams Officer to the internal deadline
- Inform the Exams Officer immediately of any subsequent changes to information

2. Final entries

The Exams Officer

- Requests final entry information from Curriculum Leaders in a timely manner to ensure awarding body external deadlines for submission can be met.
- Informs Curriculum Leaders of subsequent deadlines for making changes to final entry information without charge.
- Confirms with Curriculum Leaders final entry information that has been submitted to awarding bodies.
- Ensures as far as possible that entry processes minimise the risk of entries or registrations being missed reducing the potential for late or other penalty fees being charged by awarding bodies.
- Observes each awarding body's terms and conditions for the entry and withdrawal of candidates for their examinations and assessments and observes any regulatory requirements for the qualification.

Senior and Curriculum Leaders

- Provide information requested by the Exams Officer to the internal deadline
- Inform the Exams Officer immediately, or at the very least prior to the deadlines, of any subsequent changes to final entry information, which includes
 - changes to candidate personal details
 - amendments to existing entries
 - withdrawals of existing entries



- Check final entry submission information provided by the Exams Officer and confirms information is correct

3. Entry fees

The Exams Officer

- Entry fees/amendment and late amendment fees are set by each particular exam board. The Exams Officer will check and record all invoices received in relation to entry fees. The Exams Officer will notify Curriculum Leaders of deadline dates for entry and amendment, to minimise the risk of late entries.
- If a candidate does not attend an examination and is unable to provide an acceptable reason, or they attend but do not make any attempt at the paper, they are liable to be charged with the cost of the examination entry.
- In relation to late entries, has clear entry procedures in place to minimise the risk of late entries and charges any late or other penalty fees to departmental budgets.

Senior and Curriculum Leaders

- Minimise the risk of late entries by
 - following procedures identified by the Exams Officer in relation to making final entries on time
 - meeting internal deadlines identified by the Exams Officer for making final entries (late entries without a valid reason will be met from subject budgets)

4. Candidate Statements of Entry

The 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 Exams Officer

Candidates

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



APPENDIX 3

Pre-exams: roles and responsibilities

1. Access arrangements and reasonable adjustments

ALS Lead/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 documents, 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 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

2. Briefing candidates

The Exams Officer

- Issues individual exam timetable information to candidates and informs candidates of any designated contingency day(s) awarding bodies may identify in the event of national or significant local disruption 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.
 - unauthorised items in exam rooms.
 - when and how results will be issued and the staff that will be available.
 - post-results services information and how the centre will deal with requests from candidates.
 - when and how certificates will be issued.



3. Dispatch of exam scripts

The 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

4. Estimated grades

Curriculum Leaders

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

The Exams Officer

- Submits estimated grade information to awarding bodies that require this information, to meet the external deadline
- Keeps a record to track what has been sent

5. Internal assessment – submitted to and externally moderated by the exam board

The Headteacher

- Ensures procedures are in place for candidates to appeal internally assessed marks or request a review of the centre's marking of an assessment (when a centre is required to make reviews available). **(The Internal Appeals Policy is available in the exams office.)**

Curriculum Leaders

- Liaises with SENCo/teaching staff and the Exams Officer on the requirement and to implementation of appropriate access arrangements for candidates undertaking internal assessments
- Ensure teaching staff provide marks for internally assessed components of qualifications to the Exams Officer to the internal deadline
- Ensure teaching staff authenticate candidates' work to the awarding body requirements
- Ensure teaching staff provide required samples of work for moderation to the Exams Officer to the internal deadline
- Submit samples to awarding bodies/moderators to meet the external deadline
- Meet with the Exams Officer to submit marks to awarding bodies/moderators to meet the external deadline
- Ensure teaching staff delivering AQA Applied General qualifications, OCR Cambridge Nationals, Entry Level Certificate or Project qualifications (and CCEA GCE unitised AS and A-level qualifications WJEC GCE legacy AS and A-level Health & Social Care) follow JCQ Instructions for conducting coursework and the specification provided by the awarding body

Teaching staff



- For classroom based internal assessments support the Curriculum Leaders in implementing appropriate access arrangements for candidates undertaking internal assessments
- Ensure candidates are informed of internally assessed marks prior to marks being submitted to awarding bodies

The Exams Officer

- With the Curriculum Leader, submits marks to awarding bodies/moderators to meet the external deadline
- Keeps a record to track what has been sent
- Logs moderated work 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 – This will be done at the start of the course and the authenticated sheets will be securely stored in the exam office.

6. Invigilation

The Exams Officer

- Provides an annually reviewed/updated invigilator handbook to invigilators, trains new invigilators on the current regulations on appointment and updates experienced invigilators on an annual basis of any regulation changes and any changes to centre-specific processes
- 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, ensure all relevant rules are being adhered to and to support the practical assistant/reader and/or scribe in maintaining the integrity of the exam)
- Allocates invigilators to exam rooms (or where supervising candidates due to a timetable clash) according to the required ratios
- Liaises with the ALS lead/SENCo regarding the facilitation and invigilation of access arrangement candidates

SENDCO

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

Invigilators

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

7. JCQ inspection visit

The Exams Officer or Designated Senior Leader



Accompanies the Inspector **throughout** the course of his or her centre visit, including inspection of the centre's secure storage facility.

The SENDCO (access arrangements coordinator)

- 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)

8. Seating and identifying candidates in exam rooms

The Exams Officer

- Ensures a procedure is in place to verify candidate identity including private candidates
- Ensures invigilators are aware of the procedure
- Provides seating plans for exam rooms according to JCQ and awarding body requirements (and ensures candidates with access arrangements are identified on the seating plan and invigilators are informed of those candidates with access arrangements and made aware of the access arrangement(s) awarded)

Invigilators

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

9. Security of exam materials

The Exams Officer

- Confirms appropriate arrangements are in place to ensure that confidential materials are only handed over to those authorised by the head of centre
- Ensures only persons authorised by the head of centre and the exams officer are allowed access to the centre's secure storage facility as one of the two to six key holders
- Has a process in place to demonstrate the receipt, secure movement and secure storage of confidential exam materials within the centre
- Ensures a log is kept at the initial point of delivery recording confidential materials received and signed for by authorised staff within the centre and that appropriate arrangements are in place for confidential materials to be immediately transferred to the secure storage facility until they can be removed from the dispatch packaging and checked in the secure room before being returned to the secure storage facility in timetable order.
- Carefully checks question paper packets when they are removed from the dispatch packing and keeps a log of the check
- Ensures the secure storage facility contains only current and live confidential material (ensuring that past examination question papers, internal tests and mock exams are not kept in the centre's secure storage facility)



- Ensures that examination stationery, e.g. answer booklets and formula booklets are stored in the secure room (attempting to store this material in the secure storage facility, when sufficient space allows)
- Ensures the integrity and security of any electronic question paper is maintained during the downloading, printing and collating process (ensuring printing is carried out in an area that can be controlled to prevent unauthorised personnel accessing live assessment materials and ensuring only authorised members of centre staff have access to electronic question papers)

Reception staff

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

Teaching staff

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

10. Timetabling and rooming

The Exams Officer

- Produces a master centre exam timetable for each exam series
- Identifies and resolves candidate exam 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)
- Identifies exam rooms and specialist equipment requirements
- Allocates invigilators to exam rooms 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 Curriculum Leaders regarding rooming of access arrangement candidates

The Curriculum Leaders

- Liaises with the Exams Officer 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

The Site staff

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

11. Alternative site arrangements

Exams officer



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

12. 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

13. Internal exams

a) The 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

The Curriculum Leaders

- Liaises with the SENCO2 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

Teaching staff

- Provide exam papers and materials to the Exams Officer
- Support the Exams Officer and CURRICULUM LEADERS in making appropriate arrangements for access arrangement candidates



APPENDIX 4

Exam time: roles and responsibilities

1. Access arrangements

The 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

2. Candidate absence

The Exams Officer

Records absences at the start of each exam and completes the attendance register in accordance with the centre's Candidates Absence Policy (**Candidate absence policy held in the Exams Office**)

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

- Must inform school at the earliest opportunity if they will be absent from an exam.
- May be re-charged relevant entry fees for unauthorised absence from exams.

3. Candidate late arrival

The 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 held in the Exams Office**)

4. Conducting exams

The Headteacher

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

The 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

5. Dispatch of exam scripts

The Exams Officer

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

6. Exam papers and materials

The 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 care is taken that the correct question paper packets are opened by ensuring a member of centre staff, additional to the person removing the papers from secure storage, e.g. an invigilator, checks the day, date, time, subject, unit/component and tier of entry, if appropriate, immediately before a question paper packet is opened
- Ensures this additional/second check is recorded
- Where allowed by the awarding body, only releases exam papers and materials to teaching departments for teaching and learning purposes after the published finishing time of the exam, or until any clash candidates have completed the exam

7. Exam rooms

The Headteacher

- Ensures that internal tests, mock exams, revision or coaching sessions are not conducted in a room 'designated' as an exam room



- Ensures that when a room is 'designated' as an exam room it is not used for any purpose other than conducting external exams
- Ensures only approved centre staff (who have not taught the subject being examined) are present in exam rooms to perform permitted tasks
- Ensures the centre's policy relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates
- Ensures the centre's policy on candidates leaving the exam room temporarily is clearly communicated to candidates

The Exams Officer

- Ensures exam rooms are set up 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
- Ensures sole invigilators have an appropriate means of summoning assistance (if this is a mobile phone, instructs the invigilator that the mobile phone is only allowed to be used for this specific purpose and that it must be kept on silent mode).
- Ensures invigilators understand they must be vigilant and remain aware of incidents or emerging situations, looking out for malpractice or candidates who may be in distress, recording any incidents or issues on the exam room incident log.
- 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 Leadership Team

- Ensure a documented emergency evacuation procedure for exam rooms is in place (**Held in the Exam Office**).
- Ensure arrangements are in place for a candidate with a disability who may need assistance if an exam room is evacuated Emergency evacuation policy

The Site Staff

- Ensure exam rooms are available and set up as requested by the Exams Officer
- 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 by the centre in training/update and briefing sessions.



Candidates

- Are required to remain in the exam room for the full duration of the exam.
- Are required to follow the instructions given to them in exam rooms by authorised centre staff and invigilators.

8. Irregularities/Malpractice (also see page 5 of this policy)

The Headteacher

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

Senior Leadership Team

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

The 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)

9. Special consideration

Senior Leaders

- Provide signed evidence to support eligible applications for special consideration.

The 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



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

Invigilators

- Are informed of the arrangements through training

10. Internal exams

The Exams Officer

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

a) Invigilators

- Conduct internal exams as briefed by the Exams Officer

11. Internal assessment

Senior and Curriculum Leaders

- Ensure 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
- Ensure work is returned to candidates after the retention period or disposed of according to the requirements
- Ensures that the mock exam policy procedures have been followed, when deciding on the mock exam paper to be sat

12. Managing results day(s)

Senior Leadership Team

- Identify centre staff who will be involved in the main summer results day(s) and their role
- Ensure senior members of staff are accessible to candidates immediately after the publication of results so that results may be discussed and decisions made on the submission of any requests for post-results services and ensure candidates are informed of the periods during which centre staff will be available so that they may plan accordingly.

The Exams Officer

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

The Site Staff

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



13. 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
- Understands that it is not permitted to withhold provisional results from candidates under any circumstances

The 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

The Data Manager

- Provides summaries of results and all data information for the Head of Centre and relevant centre staff as required

14. Post-results services

The Headteacher

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

The Exams Officer

- Provides information to candidates and staff on the services provided by awarding bodies and the fees charged (see also above Briefing candidates and Access to scripts, 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 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

Candidates

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

15. Analysis of results

The Data Manager and Senior Leadership Team

- Provide analysis of results to appropriate centre staff
- Provide results information to external organisations where required
- Undertakes the DfE School and College Checking Exercises (where applicable to the centre)
<https://tablechecking.education.gov.uk>

16. Certificates

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

Candidates

- Students will receive their certificates personally at the November presentation evening. Anyone who is unable to attend this event will be able to collect his or her certificates from reception after presentation evening.
- If a representative of the student is to collect the certificates on their behalf we will require written permission from the students themselves and the representative will be required to provide proof of their own identity.
- All certificates will have to be signed for.

Retention of records

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 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 Exam Officer to produce a plan to action any required improvements identified in the review

