

Policy Title: Exams 2023/24

Drafted by:	J Machin Exams Officer
Review Date:	Annually – November 2024
Responsible for Day to Day Management:	Miss R Jones, Deputy Headteacher
Responsible for Review:	Miss R Jones, Deputy Headteacher
Updated by:	Mrs J Machin, Exams Officer (Newcastle Academy) October 2023

This policy is reviewed annually to ensure compliance with current regulations
It will be reviewed by the Vice/Assistant Principal (Teaching & Learning/Curriculum) and the Examinations Officer.

Key staff involved in the exams policy

Role	Clayton
Head of centre	Mrs C Reid
Exams officer line manager (Senior Leader)	Ms R Jones
Exams officer	Miss N Cawley
Senior leader(s) (SENCo line manager)	Mr C Dunleavy
IT manager	Mr L Mayer
Trust IT Manager	Mr J Dooley
Trust GDPR	Mrs S Dutton-Johnson
Trust Data Manager	Mr M Tierney

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Purpose of the policy

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

This exam policy will ensure that:

- all aspects of the centre's exam process is documented, supporting the exams contingency plan, and other relevant exams-related policies, procedures and plans are signposted to
- all centre staff involved in the exams process clearly understand their roles and responsibilities
- all exams and assessments are conducted according to JCQ and awarding body regulations, guidance and instructions, thus maintaining the integrity and security of the exam/assessment system at all times
- exam candidates understand the exams process and what is expected of them
- to ensure the planning and management of examinations is conducted efficiently and in the best interest of candidates.
- to ensure the operation of an efficient examination system with clear guidelines for all relevant staff.

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. A Policy document folder link is emailed to Staff and the appropriate Policies are available on the website.

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

Roles and responsibilities overview

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

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

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

Head of centre responsibilities

The 'Head of Centre' is the most senior operational officer in the organisation. It is the responsibility of the head of centre to ensure that all staff comply with the instructions in this booklet.

For details about specific head of centre responsibilities, see sections 1, 8, 11, 12, 13, 16, 24, Appendix 1, section 6 and Appendix 8. ([ICE Introduction](#))

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 - Policies and Procedures](#) (SM)
 - [Instructions for conducting non-examination assessments](#) (NEA) (and the instructions for conducting coursework)
 - [A guide to the special consideration process](#) (SC)
- Ensures the centre has appropriate accommodation to support the size of the cohorts being taught including appropriate accommodation for candidates requiring access arrangements for exams and assessments
- Ensuring appropriate qualifications are offered by the Centre.
- Having an awareness of Exam policies and procedures.
- Implementing contingency measures in the event of the absence of the Exam Officer.
- Supporting the Exams Officer in implementing measures to ensure compliance with JCQ regulations. For example, secure storage.
- Supporting the Exams Officer in acquiring timely information from teaching staff.

- Ensuring that the Exams Officer has regular meetings with their Line Manager.
- Ensuring that the Exams Officer has access to professional development opportunities.
- Ensuring that a new Exams Officer has appropriate training and support.
- Ensuring that external Exam Invigilators have the appropriate clearance and training.

National Centre Number Register

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

Recruitment, selection and training of staff

- Retains a workforce of an appropriate size and competence, including sufficient managerial and other resource, to undertake the delivery of the qualification as required by an awarding body. This includes taking reasonable steps to ensure occupational competence where this is required for the assessment of specific qualifications
- Provides fully qualified teachers to mark non-examination assessments, and/or fully qualified assessors for the verification of centre-assessed components
- Enables the relevant senior leader(s), the examinations officer (EO) and the ALS lead/SENCo to receive appropriate training and support in order to facilitate the effective delivery of examinations and assessments within the centre, and ensure compliance with the published JCQ regulations
- Appoints a ALS lead/SENCo who will determine appropriate arrangements for candidates with learning difficulties and disabilities

Internal governance arrangements

- 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

Escalation Process

It is the responsibility of the **head of centre** to ensure that his/her centre... 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 (GR 5.3)

See Appendix 2 Examinations Risk assessment

- 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
- Makes sure that a teacher, a tutor or a senior member of centre staff who teaches the subject being examined, is not an invigilator during an examination

Delivery of qualifications

- Delivers qualifications, as required by the awarding body, in accordance with relevant equality legislation. This includes but is not limited to ensuring that qualifications are made available to all candidates capable of undertaking them and seeking reasonable adjustments for disabled candidates
- Enables candidates to receive sufficient and up to date laboratory experience, or relevant training where required by the subject concerned
- The qualifications offered at this centre are decided by the Head of Centre, Heads of Faculty and Senior Leadership Team. The subjects offered for these qualifications in any Academic Year may be found in the

Centre's published prospectus for that year. If there has been a change of syllabus from the previous year, the Exams Office must be informed. Informing the Exams Office of changes to a syllabus is the responsibility of the Heads of Faculty/Department.

Public liability

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

Security of assessment materials

- Takes all reasonable steps to maintain the integrity of the examinations/assessments, including the security of all assessment materials, by ensuring:
 - the location of the centre's secure storage facility in a secure room 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
 - Question papers and pre-release materials issued by the awarding bodies must always be stored at the centre's registered address in a secure room with a secure storage facility. Access must be restricted to two to six key holders only (The exams officer must be one of the key holders) ensuring only persons authorised by the head of centre and the exams officer are allowed access to the centre's secure storage facility.
 - The secure storage facility, e.g. safe, security cabinet, must be securely attached to the wall and approved by the JCQ Inspection Service.
 - 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
- 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
- When opening examination material, follows the guidance for the 'second pair of eyes' check and completes an appropriate compliance form
- Ensures the security of the examination paper when scanning or photocopying the paper. All materials must be transported to/from the secure store in a sealed non-transparent envelope accompanied by authorised staff at all times
- Allows candidates access to relevant pre-release materials on, or as soon as possible after, the date specified by the awarding bodies
- Obtains written approval from the relevant awarding body before permitting a third party to deliver any part of a qualification including assessments
- Through taking an ethical approach and working proactively to avoid malpractice among students and staff takes all reasonable steps to prevent the occurrence of any malpractice/maladministration before, during the course of and after examinations have taken place
- Ensures irregularities are investigated and informs the awarding bodies of any cases of alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, are reported to the awarding body immediately
- Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place (that allow the senior leadership team to act immediately in the event of an emergency or staff absence)

Exam Contingency Plan

It is the responsibility of the head of centre to ensure that his/her centre... has in place the following policies available for inspection... a written examination contingency plan which covers all aspects of examination administration. This will allow members of the senior leadership team to act immediately in the event of an emergency or staff absence. The examination contingency plan should reinforce procedures in the event of the centre being unavailable for examinations, or on results day, owing to an unforeseen emergency ([GR 5.3](#))

See Appendix 2 Examinations Risk assessment

See UET Exams contingency-plan

At each Academy a designated member of SLT will be aware of arrangements and procedures on their site in the event of the absence of the Exams Officer.

- Ensures required internal appeals procedures are in place and drawn to the attention of candidates and (where relevant) their parents/carers

Internal Appeals Procedures

The centre will... have in place and be available for inspection purposes, a **written** internal appeals procedure relating to internal assessment decisions and to ensure that details of this procedure are communicated, made widely available and accessible to all candidates... (GR 5.7)

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

See UET Exams 20-21-Internal-appeals-procedure Policy

- Ensures the centre's equalities policy demonstrating the centre's compliance with relevant legislation is in place and details the processes followed in respect of identifying the need for, requesting and implementing access arrangements

Equalities Policy

It is the responsibility of the **head of centre** to ensure that his/her centre... has in place the following policies available for inspection... a written equalities policy

...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

The head of centre/senior leadership team will... recognise its duties towards disabled candidates, including private candidates, as defined under the terms of the Equality Act 2010†. This **must** include a duty to explore and provide access to suitable courses, through the access arrangements process submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates;

†or any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect (GR 5.3, 5.4)

See UET Exams 20-21-Equalities-policy-exams

- Ensures a complaints and appeals procedure covering general complaints regarding the centre's delivery or administration of a qualification is in place and drawn to the attention of candidates and their parents/carers

Complaints and Appeals Procedure (Exams)

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

See UET Exams 20-21-Complaints-and-appeals-procedure-exams

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

Child Protection/Safeguarding Policy

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

Clayton Hall Academy Policies:

- Safeguarding
- Recruitment and Selection

- Ensures the centre has a data protection policy in place that complies with General Data Protection Regulation and Data Protection Act 2018 regulations

Data Protection Policy

It is the responsibility of the **head of centre** to ensure that his/her centre... has in place the following policies available for inspection... a written data protection policy (GR 5.3)

The centre will... ensure that all candidate data where required by the awarding body has been supplied to the awarding bodies within the terms of the General Data Protection Regulation, the Data Protection Act 2018 and the Freedom of Information Act 2000, and that candidates have been properly informed that this data has been transferred to the awarding bodies (see section 6, for more information)... (GR 5.8)

Legislation on sharing information

Under the principles of the General Data Protection Regulations 2018 and the Data Protection Act 2018, children and young adults can assume control over their personal information and restrict access to it from the age of 13. This suggests that candidate consent should be sought to share results or other exams-related information with a third party.

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

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

Publication of exam results

Refer to ICO (Information Commissioner's Office) [Schools, universities and colleges](#) information and [Exam results](#)

See UET Exams 20-21-Data-Protection-policy-exams

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

Access Arrangements Policy

...The head of centre/senior leadership team will... have a **written** process in place to not only check the qualification(s) of their assessor(s) but that the correct procedures are followed as in Chapter 7 of the JCQ publication *Access Arrangements and Reasonable Adjustments*... (GR 5.4)

See UET Exams 20-21-Access-arrangements-policy

Conflicts of interest

- 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 have a personal connection to a candidate being entered for exams and assessments at the centre or at another centre
 - a member of centre staff is taking a qualification at the centre which does not include internally assessed components/units (taking at the centre as a last resort where unable to find an alternative centre)
 - a member of centre staff is taking a qualification at another centre
- Ensures other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials are briefed on the requirements for maintaining the integrity and confidentiality of the exam materials

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

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

maintains clear records of all instances where:

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

The head of centre **must** ensure that the records include details of the measures taken to mitigate any potential risk to the integrity of the qualifications affected.

The records may be inspected by a JCQ Centre Inspector and/or awarding body staff. They might be requested in the event of concerns being reported to an awarding body. The records **must** be retained until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.

Heads of centre should note that entering members of centre staff for qualifications at their own centre **must** be as a last resort in cases where the member of centre staff is unable to find another centre.

The head of centre is responsible for ensuring that proper protocols are in place to prevent the member of centre staff having access to examination materials prior to the examination and that other centre staff are briefed on maintaining the integrity and confidentiality of the examination materials.

The head of centre **must** ensure that during the examination series the member of centre staff is treated in the same way as any other candidate entered for that examination, does not have access to examination materials and does not receive any preferential treatment. (GR 5.3)

- The Exams Officer emails all Centre Staff to request relevant information to determine if there is a conflict of interest.
- The Exams Officer keeps a record of all replies.
- If there are any possible conflicts these are reported to the Head of Centre.
- The Head of Centre will ensure that appropriate action is taken.
- The Exams Officer will ensure that where the conflict involves SLT, Invigilators or Staff with access to examination material that there are no breaches of security.

- 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

Centre inspections

- 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

Exams officer

- Responsible for the administration of all external exams and may be asked to administer internal exams.
- 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
- Is familiar with the contents of annually updated information from awarding bodies on administrative procedures, key tasks, key dates and deadlines
- Ensures key tasks are undertaken and key dates and deadlines met
- Recruits, trains and deploys a team of internal/external invigilators; appoints lead invigilators, as required and keeps a record of the content of training provided to invigilators for the required period
- Works with the 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 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
- Advises the Senior Leadership Team, subject and class tutors and other relevant support staff on annual exam timetables and application procedures as set by the various awarding bodies
- Ensures that Candidates are not entered for the same subject at the same qualification level with more than one awarding body in the same series.
- Oversees the production and distribution to staff, invigilators and candidates of an annual calendar for all exams in which candidates will be involved and communicates regularly with staff concerning imminent deadlines and events
- Ensures that candidates and their parents are informed of and understand those aspects of the exam timetable that will affect them and the rules and regulations that apply to those exams
- Consults with teaching staff to ensure that necessary controlled assessment is completed on time and in accordance with JCQ guidelines
- Receives, checks, logs and stores securely all exam papers and completed scripts
- Ensures JCQ guidelines are followed with regard to Electronic question paper materials
- Administers access arrangements received from the SENCO and makes applications for special consideration using the JCQ publications Access arrangements, reasonable adjustments and special consideration
- Identifies and manages exam timetable clashes
- Accounts for income and expenditures relating to all exam costs/charges
- Submits candidates' Controlled Assessment marks, tracks despatch and stores or passes to Heads of Subject/Faculty for storage of returned controlled assessment and any other material required by the appropriate awarding bodies correctly and on schedule .
- Arranges for dissemination of exam results and certificates to candidates and forwards, in consultation with the SLT, any appeals/review of marking/review of moderation.
- Maintains systems and processes to support the timely entry of candidates for their exams.
- Books all exam rooms after liaison with other users.
- Makes the question papers, other exam stationery and materials available for the invigilators in accordance with JCQ regulations and keeps a record of the second pair of eyes check.
- Ensures that Site Management have set up the allocated rooms.
- Ensures that examination papers not collected on the day of the examination are securely stored overnight
- Liaises with the IT Technical staff to ensure that all JCQ regulations are followed with regard to on-screen tests.
- Ensure that a roaming invigilator makes regular visits to any rooms containing one pupil. The Exams Officer may fulfil this role.

Senior leaders

- Are familiar with the contents, refer to and direct relevant centre staff to annually updated JCQ publications including:
 - [General Regulations for Approved Centres](#)
 - [Instructions for Conducting Examinations](#)
 - [Access Arrangements and Reasonable Adjustments](#)
 - [Suspected Malpractice - Policies and Procedures](#)

- [Instructions for conducting non-examination assessments](#) (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

Vice/Assistant Principal (Teaching & Learning/Intervention/Curriculum) is responsible for:

- Providing leadership in all matters relating to examinations
- Organising teaching and learning
- Managing external validation of courses
- Line managing the Assistant Principal who fulfils, or themselves fulfils, the role of Quality Nominee (QN) for BTEC courses.
- Ensuring that the Centre prepares all students to sit examinations in accordance with JCQ guidelines and to ensure that these guidelines are adhered to
- Ensuring that the requirements of the Equality Act 2010 are met
- Ensuring that Centre staff are aware of and comply with the JCQ requirements for 'The people present in the Examination Room'. See Appendix 5.
- Authorising Examination entries, withdrawals and tier changes.

Heads of Faculty/Department are responsible for:

- Ensuring that their teaching teams are aware of and keep to deadlines for the submission of entries and the provision of internal examination papers
- Ensuring that all internal assessment (Controlled Assessment/Non Examined Assessment) is ready for despatch at the correct time.
- Ensuring that marks for all internally assessed work are provided to the Exams Office
- Ensuring that proper structures exist within their Area for the moderation and standardisation of all internal assessments
- Ensuring that staff assessing candidates are properly qualified and that qualifications have been checked.
- Ensuring that returned coursework is stored in accordance with Awarding Bodies regulations.

Additional Learning Support (ALS) lead/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
- The identification and testing of candidates' requirements for Access Arrangements
- The provision of all relevant paperwork to support the application, Data Protection Forms and proof of need
- The provision of additional support - with spelling, reading, mathematics, dyslexia or essential skills, hearing impairment, English for speakers of other languages, IT equipment - to help candidates achieve their course aims
- Ensuring that staffing responsibilities (within the Learning Support Team) are clearly identified and co-ordinated in respect to the planning and implementation of Access Arrangements.
- The allocation of an individual room based on medical, social, mental or emotional needs.

Teaching staff

- Undertake key tasks, as detailed in this policy, within the exams process and meet internal deadlines set by the EO and ALS lead/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
- The submitting of candidates' names to the Heads of Faculty and the Examinations Office
- The submitting of marks for all internally assessed work when requested by the Exams Officer

- Ensuring that JCQ guidelines are adhered to when preparing students for internal assessment (Controlled Assessment/Non Examined Assessment)
- Ensuring that the JCQ requirements for 'The people present in the Examination Room' (see below) are fulfilled
- Ensuring that students are aware of the JCQ, Examination Body and Centre requirements pertaining to their taught course.

Invigilators

- Attend/undertake training, update, briefing and review sessions as required
- Provide information as requested on their availability to invigilate
- Sign a confidentiality and security agreement and confirm whether they have any current maladministration/malpractice sanctions applied to them
- The collection of exam papers and other material from the Exams Office before the start of the exam
- The collection of all exam papers in the correct order at the end of the exam and their return to the Exams Office or school safe
- Maintaining vigilance to ensure that all Examination Regulations are adhered to by students
- Ensuring that the regulations in respect to 'People present in the Examinations Room' are adhered to by staff who may enter the Examinations Room.
- Ensuring that the Access Arrangements are implemented.
- Ensuring the use only permitted equipment, especially with regard to Calculators – see ICE book
- Completion of Incident Logs, Cover Sheets and other paperwork as appropriate
- Provide information as requested on their availability to invigilate throughout an exam series

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
- Keep a log of all envelopes and parcels received from Exam Boards and notify an Exam Secure Store key holder to when received

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.

- **Candidates** are responsible for:
 - Confirming entries.
 - Complying with Controlled Assessment regulations and signing a declaration that authenticates the controlled assessment as their own
 - Understanding and fulfilling the JCQ, Examination Body and Centre requirements.
 - Complying with the JCQ regulations and the Centre's policy regarding mobile phones, watches and other electronic devices.
 - Their behaviour. Disruptive candidates are dealt with in accordance with JCQ guidelines.
 - Wearing the correct School Uniform for all examinations.
 - Arriving on time. Late arrivals may not be allowed into the Examination room. The Exams Officer will advise of the correct procedure and ensure regulations are followed.
 - Notifying the Centre of any Absence and providing a Medical Certificate where appropriate.
 - Their own belongings. The Centre accepts no liability for their loss or damage.
- Candidates are expected to stay for the full exam time at the discretion of the Examinations Officers or Senior Invigilator.
- Candidates may only leave the Exam Room for a genuine purpose and are required to return immediately to the Exam Room. They must be accompanied by a member of staff at all times.
- For clash candidates, the supervision of escorts, identifying a secure venue and arranging overnight supervision is the responsibility of the Examinations Officers.
- Should a candidate be ill before an exam, suffer bereavement or other trauma, be taken ill during the exam itself or otherwise disadvantaged or disturbed during an exam, then it is the candidate's responsibility to alert the Centre, the Examinations Officers, or the Exam Invigilator, to that effect.
- The candidate must support any special consideration claim with appropriate evidence within three days of the exam, for example by providing a letter from the candidate's doctor. The Examinations Officers will then forward a completed special consideration form to the relevant awarding body by the relevant deadline.

- A clear plastic bottle containing water may be brought into the Examination room. Other food and drink may only be brought in if there is a medical need or if there is to be a supervised break between examinations.

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](#), [SM](#), [NEA](#) (and the instructions for conducting coursework) and [SC](#)

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

Information gathering

Exams officer

- Undertakes an annual information gathering exercise in preparation for each new academic year to ensure data about all qualifications being delivered is up to date and correct
- Collates all information gathered into one central point of reference
- Researches awarding body guidance to identify administrative processes, key tasks, key dates and deadlines for all relevant qualifications
- Produces an annual exams plan of key tasks and key dates to ensure all external deadlines can be effectively met; informs key centre staff of internal deadlines
- Collects information on internal exams to enable preparation for and conduct of mocks exams when requested

Senior leaders

- Respond (or ensure teaching staff respond) to requests from the EO on information gathering
- Meet the internal deadline for the return of information
- Inform 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
- Note 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 ALS lead/SENCo is fully supported in effectively implementing access arrangements and reasonable adjustments once approved

ALS lead/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 (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 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

Word Processor Policy (Exams)

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

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

The centre may wish to set out the particular types of candidates which it considers would benefit from the use of a word processor. For example, a candidate with...

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

See UET Exams 20-21-Word-processor-policy-exams

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

Alternative rooming arrangements Policy

The SENCo must make their decision based on:

- whether the candidate has a substantial and long term impairment which has an adverse effect; and
- the candidate's normal way of working within the centre.

For example, in the case of separate invigilation, the candidate's difficulties are established within the centre (see Chapter 4, paragraph 4.1.4) and known to a Form Tutor, a Head of Year, the SENCo or a senior member of staff with pastoral responsibilities.

Alternative rooming arrangements reflects the candidate's normal way of working in internal school tests and mock examinations as a consequence of a long term medical condition or long term social, mental or emotional needs. (AA 5.16)

The SENCo, or an equivalent member of staff within a FE college, must ensure that the proposed access arrangement does not disadvantage or advantage the candidate. (AA 4.2.1)

A candidate may only take their examinations under separate invigilation within the centre where he/she has **an established difficulty** - see **section 5.16** of the JCQ publication *Access Arrangements and Reasonable Adjustments*...

Where candidates are subject to Alternative rooming arrangements within the centre, the regulations and guidance within this booklet must always be adhered to. This is particularly so in relation to accommodation and invigilation arrangements (see sections 11 and 12). (ICE 14)

The Head of Centre or the SENCo may decide that a candidate should be seated in an alternative exam room for one of the following reasons:

- The Candidate's Access Arrangement can best be implemented in an individual room
- The Candidate has a long term physical or emotional need
- The Candidate has a condition/issue that would cause a disturbance to other Candidates
- The Candidate is suffering from a short term illness or emotional disturbance
- This is the Candidate's usual way of working
- The Candidate has an established difficulty

Requests from Candidates and parents/carers will be considered but will not be the sole reason for the decision.

Information and observations from Teaching Staff and Invigilators during mock exams will be considered in support of a recommendation.

The allocation of rooms will be dependant upon room and invigilator availability.

The allocation of Alternative rooming arrangements within the centre complies with JCQ regulations.

Senior leaders, Teaching staff

- Support the ALS lead/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 See UET Exams 20-21-Word-processor-policy-exams

Internal assessment and endorsements

Head of centre

Controlled assessments, coursework and non-examination assessments

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

Non-examination Assessment Policy

The centre will... have in place and be available for inspection purposes, a **written** policy with regard to the management of GCE and GCSE non-examination assessments; (For CCEA GCSE centres this would be a **written** controlled assessments policy.) (GR 5.7)

The JCQ requires each centre to have a non-examination assessment policy in place:

- to cover procedures for planning and managing non-examination assessments;
- to define staff roles and responsibilities with respect to non-examination assessments;
- to manage risks associated with non-examination assessments.

A JCQ Centre Inspector will ask the examinations officer to confirm that such a policy is in place. The guidance provided in this document will help the head of centre to ensure that the centre's policy is fit for purpose. The policy will need to cover all types of non-examination assessment.

See UET Exams 20-21-Non-examination-assessment-policy

Additionally, each centre must have available for inspection an internal appeals procedure relating to internal assessment decisions. (NEA 1)

See UET Exams 20-21-Internal-appeals-procedure

- 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/faculty

- 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
- Ensure teaching staff delivering 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

Exams officer

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

Invigilation

Head of centre

- Ensures relevant support is provided to the EO in recruiting, training and deploying a team of invigilators
- Ensures, if contracting supply staff to act as invigilators, 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.

Exams officer

- Recruits additional invigilators where required to effectively cover all exam periods/series' throughout the academic year
- Collects information on new recruits to identify if they have invigilated previously and if any current maladministration/malpractice sanctions are applied to them
- Provides training for new invigilators on the instructions for conducting exams and an annual update for the existing invigilation team so that they are aware of any changes in a new academic year before they are allocated to invigilate an exam
- Ensures invigilators supervising access arrangement candidates understand their role (and the role of a facilitator who may be supporting a candidate) and the rules and regulations of the access arrangement(s)

- Ensures invigilators are briefed on the access arrangement candidates in their exam room and 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.
- Ensures invigilators receive the appropriate GDPR and Safeguarding training.

Invigilators

- The school employs specialist staff to invigilate examinations.
- These invigilators will be used for some Internal and all External exams.
- Recruitment of invigilators is the responsibility of the Examinations Officer in conjunction with their line manager.
- Securing the necessary Disclosure & Barring Service (DBS) clearance for new invigilators is the responsibility of the Centre administration.
- DBS fees for securing such clearance are paid by the Centre.
- Invigilators are timetabled and trained by the Examinations Office.
- Invigilators rates of pay are set by the Clayton Hall Academy Board.
- Academy staff may invigilate ensuring that a teacher, a teaching assistant, a tutor or a senior member of centre staff who teaches the subject being examined or a Learning Support Assistant who has supported one or more candidates, is not an invigilator during the examination.

Malpractice

- All suspicions of malpractice should be reported to the Examinations Office.
- The Examinations Office should report all suspicions of malpractice to the Vice/Assistant Principal (Teaching & Learning/Curriculum).
- The Examinations Office should investigate the suspected malpractice via appropriate staff (Pastoral Managers and SLT).
- Written records and statements should be kept at each stage of the investigation.
- Final judgements on issues relating to malpractice are made by the Vice/Assistant Principal (Teaching & Learning/Curriculum) and Head of Centre.
- When it has been judged that malpractice has occurred, the malpractice will be reported to the Awarding Body in every circumstance. The candidate and the candidate's parent/s will be informed of this in writing by the Vice/Assistant Principal (Teaching & Learning/Curriculum).

Entries: roles and responsibilities

Estimated entries

Exams officer

- Requests estimated or early entry information, where this may be required by awarding bodies, from HoDs in a timely manner to ensure awarding body external deadlines for submission can be met
- Estimated entries are calculated from the class size and submitted via the Exam Board procedure.
- Makes candidates aware of the JCQ **Information for candidates – Privacy Notice** at the start of a vocational qualification or when entries are being processed for a general qualification. This is included in the Exam Pack given to candidates prior to the start of the examination series.

Senior leaders

- Provide entry information requested by the EO to the internal deadline
- Inform the EO immediately of any subsequent changes to entry information

Final entries

Exams officer

- Requests final entry information from Head of Department/Faculty in a timely manner to ensure awarding body external deadlines for submission can be met and confirms these entries with their Line Manager
- Informs Head of Department/Faculty of subsequent deadlines for making changes to final entry information without charge
- Confirms with Line Manager and Head of Department/Faculty 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

Final entries collection and submission procedure

- | |
|---|
| <ul style="list-style-type: none"> • Candidates are selected for their exam entries by the Heads of Faculty/Department and Subject teachers. • Decisions on whether a candidate should be entered for a particular subject will be taken in consultation with the candidates and Subject teachers; the final decision lies with the Senior Leadership Team. • Candidates or parents/carers can request a subject entry, change of level or withdrawal: this must be done in writing to the Exams Office and will be considered by the Head of Centre. • The Centre does not act as an Exam Centre for other organisations. • Entry deadlines are circulated to Heads of Faculty/Department via Email. • Late entries are authorised by the Examinations Officers and charges may be passed on to the Department/Faculty |
|---|

Senior leaders

- SLT will agree on the most appropriate times for examinations and entries.
- Provide information requested by the EO to the internal deadline
- Inform the EO immediately, or at the very least prior to the deadlines, of any subsequent changes to final entry information, which includes
 - changes to candidate personal details
 - amendments to existing entries
 - withdrawals of existing entries
- Check final entry submission information provided by the EO and confirms information is correct

Entry fees

- Entry fees including late, amendment or re-sit fees are charged to the Exams Budget.
- Where a candidate fails to arrive and there is no medical or other satisfactory reason given then the candidate may be charged for the exam.
- The Exams Budget is managed by the member of SLT responsible for Exams.
- Candidates and Faculties/Departments will not be charged for changes of tier, withdrawals made by the proper procedures or alterations arising from administrative processes provided these are made within the time allowed by the Awarding Bodies.
- GCSE entry exam fees are paid by the Centre.
- Late entry or amendment fees may be recharged to the Faculty/Department.
- Fee reimbursements are sought from candidates who fail to sit an exam / do not meet the necessary Controlled Assessment requirements without medical evidence or evidence of other mitigating circumstances. Examination results may be withheld until such payment or evidence is presented.
- The Examinations Officer must be notified of any change to the candidates' name prior to the examinations otherwise there may be a charge for replacement certificates.

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
- Once confirmed, the Examinations Officer will circulate the exam timetable for Internal and External exams.

Senior leaders

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

Re-sit entries

- The Centre may choose to enter a Candidate for a re-sit examination for which the Centre will pay.
- The Centre may allow a Candidate to re-sit an examination at the Candidate's expense.

- In exceptional circumstances the Centre may allow a Candidate who is no longer a student at the Academy to take a re-sit or missed exam.

Private candidates

Newcastle Academy, Sir Thomas Boughey Academy and Clayton Hall Academy do not accept Private Candidates.

If applicable to the centre, overtype details here how private candidate entries are managed and charged for. (At this point you may decide to include the process for liaising with the ALS lead/SENCo regarding any access arrangements and reasonable adjustments required by a private candidate (including distance learners and home educated candidates))

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

- Entry information is assumed to be correct if the Exams Officer and Teaching Staff are not notified of any discrepancies within two weeks of issue. Candidates are issued with a pack of information including the Statement of Entry with guidance to check and whom to inform if they have any queries. (Sir Thomas Boughey: the signed Statement of Entry forms must be returned)

Pre-exams: roles and responsibilities

Access arrangements

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

Briefing candidates

Exams officer

- Issues individual exam timetable information to candidates and informs candidates of any contingency day awarding bodies may identify in the event of national or significant 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
- what equipment is/is not allowed in the exam room
- food and drink in exam rooms
- when and how results will be issued and the staff that will be available
- the post-results services and how the centre deals with requests from candidates
- when and how certificates will be issued

Access to Scripts, Reviews of Results and Appeals Procedures

The centre will... have in place written procedures for how it will deal with candidates' requests for access to scripts, clerical re-checks, reviews of marking, reviews of moderation and appeals to the awarding bodies. Details of these procedures must be made widely available and accessible to all candidates. Candidates must be made aware of the arrangements for post-results services before they sit any examinations and the accessibility of senior members of centre staff immediately after the publication of results... (GR 5.13)

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

Candidates may have the opportunity to discuss their results on collection. At this time they will be given information regarding to who to contact later if they have any queries or wish to request a review of marking. The policies relating to Appeals are available on the individual Academy's websites.

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

Senior leaders

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

Exams officer

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

Internal assessment and endorsements

Head of centre

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

ALS lead/SENCo

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

Teaching staff

- Support the ALS lead/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

Senior leaders

- Ensure teaching staff assess and authenticate candidates' work to the awarding body requirements
- Ensure teaching staff assess endorsed components according to awarding body requirements
- Ensure teaching staff provide marks for internally assessed components and grades for endorsements of qualifications to the EO to the internal deadline

- Ensure teaching staff provide required samples of work for moderation and sample recordings for monitoring to the EO to the internal deadline

Exams officer

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

Candidates

- Authenticate their work as required by the awarding body

Invigilation

Exams officer

- Provides an annually reviewed/updated invigilator handbook to invigilators, trains new invigilators on appointment and updates experienced invigilators on any regulation changes
- 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 ALS lead/SENCo regarding the facilitation and invigilation of access arrangement candidates

ALS lead/SENCo

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

JCQ Centre Inspections

Exams officer or Senior leader

- Will accompany the Inspector throughout a visit

ALS lead/SENCo or relevant Senior leader (in the absence of the ALS lead/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 including private candidates

Candidate Identification Procedure

The centre will... verify the identity of all students that they enter for examinations or assessments. The centre must be satisfied that all candidate identities have been checked, whether as part of the initial registration process, or in the case of private candidates through a verification process which involves photo-ID ([GR 5.6](#))

The centre will... have in place written procedures to verify the identity of all candidates at the time of the examination or assessment... ([GR 5.9](#))

Invigilators must establish the identity of all candidates sitting examinations.

A private/external candidate or a transferred candidate who is not known to the school or college must show photographic documentary evidence to prove that he/she is the same person who entered/registered for the examination/assessment, e.g. passport or photographic driving licence.

Where it is impossible to identify a candidate due to the wearing of religious clothing, such as a veil, the candidate should be approached by a member of staff of the same gender and taken to a private room where they should be

politely asked to remove the religious clothing for identification purposes. Centres must inform candidates in advance of this procedure and well before their first examination.

Once identification has been established, the candidate should replace, for example, their veil and proceed as normal to sit the examination.

Invigilators must be informed of those candidates with access arrangements and must be made aware of the access arrangement(s) awarded. (ICE 16)

- The Exams Officer will provide a folder containing photographs of all candidates.
- At Newcastle Academy a Candidate examination card including a photograph of the student is placed on each examination desk.
- A member of SLT will be available to supervise candidates entering the hall and identify candidates if necessary.
- During exams the invigilators in the smaller/remote rooms and those rooms housing pupils with access arrangements will verify, through a visual check, that exam cards match student identity.
- Random checks will also be conducted in the hall as required by the Exams Officer / Senior Invigilator (e.g. to ensure seating plan is followed).
- All Candidate identification (lists, seating plans, Candidate cards) will be removed from the Exam room at the end of the exam or stored securely to avoid possible GDPR breaches.

- 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 shown on the seating plan. Where the Exams Officer or SLT indicate that a candidate should be seated elsewhere the Invigilator should update the seating plans as appropriate.

Security of exam materials

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
- 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 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, adhering to the allowable variation to the start time of the exam as set out in ICE 6 and Appendix 2.
- 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)

Overnight Supervision Arrangements Policy

Candidates will not be entered for a combination of exams that would result in the need for overnight supervision.

- 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 ALS lead/SENCo regarding rooming of access arrangement candidates

ALS lead/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

Centre consortium arrangements

Exams officer

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

Senior leaders

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

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

- **For some internal exams the Exams Officer may be asked to do some or all of the following tasks**
- 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

ALS lead/SENCo

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

Teaching staff

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

Exam time: roles and responsibilities

Access arrangements

Exams officer

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

Candidate absence

Candidate Absence Policy

- Once candidates are seated and have started the examination, complete the attendance register. This will allow for the identification of absent candidates who can be contacted as to their whereabouts. (ICE 22)
- Candidates are advised in the information pack given to them with their exam entries that if they are unable to attend to take an exam they should contact the Centre as soon as possible. They are also informed that if a medical note or valid explanation is not given then they will be charged for the cost of the exam.
- Candidates are registered on arrival to give maximum time for identification of missing candidates.
- If a Candidate fails to arrive then the House Leader or Attendance Officer will contact home.
- If necessary, a member of staff will collect the Candidate.
- If there is no satisfactory reason the Candidate or parent/carer will be informed that unless a medical note is received then they will be invoiced for the cost of the exam.

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

- Invigilators will speak to Candidates and, if necessary, contact a member of SLT.
- Only an appropriate person in accordance with JCQ regulations will be allowed into the exam room during the exam to deal with any issues.

Candidate belongings

- Candidates should only bring authorised items into the exam room.
- See below for procedures relating to unauthorised items.

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
- Ensures that Late Arrival Policy actions are completed

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
- Ensures that Late Arrival Policy actions are completed

Candidate Late Arrival Policy

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

A candidate who arrives late, and is permitted by the centre to sit the examination, must be allowed the full time for the examination. (ICE 21)

- The Exams Officer or Senior Invigilator will meet the late arrival and ensure that the usual procedures are completed:
 - ensure that only allowed items are taken into the exam room
 - ensure that the Invigilator announcement is read
 - ensure that the Candidate has the appropriate equipment
 - ensure that the Candidate's arrival causes minimal disruption to Candidates already in the room. Alternative seating may be arranged.
 - ensure that the Candidate is given the correct exam paper
 - ensure that the Candidate is told their start and end time and that they will be given the full length of the exam
- Candidates are informed that the Exam Board may not accept their examination paper.
- SLT will speak to the Candidate after the exam and arrange for an appropriate person to speak to the Parent/Carer.

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 care is taken to ensure the correct question paper packets are opened by ensuring a member of centre staff, additional to the person removing the papers

from 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 timetable clash candidates have completed the exam

Exam rooms

Head of centre

- Ensures that internal tests, mock exams, revision or coaching sessions are not conducted in a room 'designated' as an exam room
- Ensures that when a room is 'designated' as an exam room it is not used for any purpose other than conducting external exams
- Ensures only 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

Food and Drink Policy (Exams)

Food and drink may be allowed in the examination room at the discretion of the head of centre. However, this is on the condition that any food or drink brought into the examination room whether by the candidate or the centre is free from packaging and all labels are removed from drink containers (ICE 18)

- candidates must be clear on what is or what is not allowed
- staff involved in the exams process are aware of what is and what is not allowed and how this will be managed at the time of the exam
- the centre can demonstrate the policy if asked/challenged by a candidate (and/or parent/carer)
- A clear plastic bottle containing water may be brought into the Examination room.
- Other food and drink may only be brought in if there is a medical need or if there is to be a supervised break between examinations.

Leaving the Examination Room Policy

Candidates who are allowed to leave the examination room temporarily must be accompanied by a member of centre staff. This must not be the candidate's subject teacher or a subject expert for the examination in question. Those candidates may be allowed extra time at the discretion of the centre to compensate for their temporary absence. (ICE 23)

- Candidates may only leave the Examination before the end of the specified time if they are accompanied by an Invigilator, the Exams Officer or a member of SLT (as specified in the JCQ regulations)
- Candidates may only return to the exam room if they have been appropriately accompanied and are still under exam conditions.
- Candidates will only be allowed to leave the room by prior arrangement for a medical condition, for illness or for an emergency toilet visit.

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

Emergency Evacuation Policy

When dealing with emergencies, staff must be aware of the centre's policy and, where appropriate, any instructions from relevant local or national agencies. Reference should also be made to the following document: <https://www.gov.uk/government/publications/bomb-threats-guidance/procedures-for-handling-bomb-threats>

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

See UET Exams 20-21-Emergency-evacuation-policy-exams

See UET Exams 20-21-Lockdown-policy-exams

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 by the centre in training/update 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 unless advised otherwise in exceptional circumstances and according to JCQ regulations

People present in the Examination room

See Appendix 5 JCQ People Present in the Examination Room

Irregularities

Head of centre

- Ensures that all reasonable steps are taken to prevent malpractice by the appropriate training (including the identification and reporting of possible irregularities), resourcing and supporting of everyone involved in the examination/assessment process
- 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, external/third parties) 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

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

Malpractice

See *Irregularities* above. See *JCQ Malpractice guidance*

Special consideration

Senior leaders

- Provide signed evidence to support eligible applications for special consideration

Exams officer

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

Special Consideration Policy

See UET Exams 20-21-Special-consideration-Policy

Candidates

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

Unauthorised items

Arrangements for unauthorised items taken into the exam room

In the examination room candidates must not have access to items other than those stated in the instructions on the question paper, the stationery list or the specification for that subject.

Candidates must not be in possession of the following items:

- iPods;
- mobile phones;
- MP3/4 players or similar devices;
- watches.

This means that:

- ideally, all unauthorised items are left outside of the examination room;
- any pencil cases taken into the examination room must be see-through;
- any unauthorised items that have been taken into the examination room must be placed out of reach of the candidates (and not under their desks) before the examination starts. This will normally be at the front of the examination room or a similar arrangement that enables the invigilator to control access to the items.

Following the invigilator's announcement (see Appendix 3) any mobile phones or other unauthorised items in the candidates' possession must be handed to the invigilator prior to the examination starting. This also includes watches.

If candidates have access to unauthorised items in the examination room this may be considered as malpractice. They could be subject to penalties in accordance with the JCQ publication *Suspected Malpractice: Policies and Procedures*, 1 September 2021 to 31 August 2022:

<http://www.jcq.org.uk/exams-office/malpractice>

Food and drink may be allowed in the examination room at the discretion of the head of centre. However, any food or drink brought into the examination room by the candidate or the centre must be free from packaging and all labels removed from drink containers.

For timed Art examinations, candidates may take into the examination room any preparatory supporting studies, work journals, notes or sketches which they have produced and which are to be submitted for assessment along with the work done during the timed test. Candidates may also take into the examination room the objects and materials which are required to set up a still-life group. The invigilator must ensure that when candidates take preparatory supporting studies into the examination room, these are their own studies.

(ICE 18)

During the Invigilators Announcement Candidates are reminded that unauthorised items are not allowed in the examination room.

Newcastle Academy: Unauthorised items are collected by Invigilators and taken to Reception for collection after the exam.

Clayton Academy: Pupils are requested to leave unauthorised items, including SMART watches, in their bags outside the exam room. Watches and other smart devices that are handed in are kept securely by the invigilator team until the end of the exam.

Sir Thomas Boughy Academy: Any unauthorised items are collected by invigilators and kept securely until the end of the exam.

Invigilators

- Are informed of the arrangements through training

Internal exams

Exams officer

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

Invigilators

- Conduct internal exams as briefed by the Exams Officer

Results and post-results: roles and responsibilities

Internal assessment

Senior leaders

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

Managing results day(s)

Senior leaders

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

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

- Candidates will receive individual result slips on Results Days, either in person at the Centre or (on request and receipt of a stamped addressed envelope) by post to. Candidates will be informed of opening times and may be given an appointment.
- The Statement of Results will be accompanied by information regarding queries and appeals.
- Results can be collected on behalf of a candidate by third parties, provided they have been authorised to do so and have written permission and identification.
- Arrangements for the Centre to be open on Results Days are made by the member of SLT responsible for Exams, who also responsible for staffing.

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

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
- 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)

Exams officer

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

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
- When the Centre does not support a candidate's or parent's request for an EAR, a candidate may apply to have an enquiry carried out. If a candidate requires this against the advice of subject staff, they will be charged in advance.

Enquires About Results and access to scripts

EARs

A Review of marking may be requested by Centre staff or candidates if there are reasonable grounds for believing there has been an error in marking. The candidate's consent is required in writing before any EAR is requested.

If a result is queried, the Head of Department/Faculty and Head of Centre will investigate the feasibility of asking for a re-mark at the Centre's expense.

ATS

After the release of results, candidates may ask subject staff to request a copy of the paper within three days of the issuing of results.

Centre staff may also request copies of scripts for investigation or for teaching purposes. For the latter, the consent of candidates must be obtained.

JCQ is currently undertaking a review of the EAR process. Some Examination Boards are making the marked papers available for viewing on-line before a review of marking is requested. Where this facility is not yet available a review of marking cannot be applied for after a copy of the script has been requested.

Analysis of results

The Senior Leader is responsible for ensuring the following are completed:

- 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* (where applicable)

Certificates

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

Certificate Issue Procedure

- | |
|--|
| <ul style="list-style-type: none">• Certificates are available to be collected by the candidate in the November following the Summer Examinations. Information regarding the collection of these certificates will be given to candidates in October via appropriate methods.• Certificates can be collected on behalf of a candidate by third parties, provided they have been authorised to do so and have written permission and identification.• The centre retains certificates for ten years.• A record is kept of all Certificates received by the Centre and the collection/destruction details. See UET Exams 20-21-Exams-Archiving-Policy |
|--|

Candidates

- May arrange for certificates to be collected on their behalf by providing written or email permission/authorisation; authorised persons must provide ID evidence on collection of certificates

Exams review: roles and responsibilities

Senior Leader and Exams officer

- Reviews the exam year
- Considers 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
- Produce a plan to action any required improvements identified.

Retention of records: roles and responsibilities

Exams officer

- Keeps records as required by JCQ and awarding bodies for the required period
- Keeps records as required by the centre's records management policy
- Provides an exams archiving policy that identifies information held, retention period and method of disposal

Exams Archiving Policy

See UET Exams 20-21-Exams-Archiving-Policy
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Monitoring and review arrangements

The Vice/Assistant Principal (Teaching & Learning/Curriculum) meets on a weekly basis with the Examinations Officers. At each meeting all aspects of the school's Examination Policy and processes are discussed. Minutes of these meetings are circulated to the Senior Leadership Team.

The Examinations Policy is reviewed annually by the Vice/Assistant Principal (Teaching & Learning/Curriculum) with the Exams Officer to ensure that the Policy is amended in line with changes to the JCQ regulations.

The following documents form the complete Exams Policy:

- UET Exams Exams Policy document
- UET Exams Access arrangements policy
- UET Exams Archiving policy
- UET Exams BTEC Policies and Procedures
- UET Exams Child Protection and Safeguarding Policy
- UET Exams Complaints and appeals procedure exams
- UET Exams Contingency plan
- UET Exams Data protection policy
- UET Exams Emergency evacuation policy
- UET Exams Equalities policy
- UET Exams Escalation policy
- UET Exams Internal appeals procedures
- UET Exams Lockdown policy
- UET Exams Malpractice and the safe use of Artificial Intelligence policy
- UET Exams Non examination assessment policy
- UET Exams Special consideration policy
- UET Exams Whistleblowing policy
- UET Exams Word processor policy

(Note: Documents renamed to standard format and new docs added)

SIGNED:

Chair of Governors

Head of Centre

Examinations Officers

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Date

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The policy is next due for review in **November 2023**

Appendices

Appendix 1	Examinations Risk assessment
Appendix 2	Controlled Assessment Risk assessment
Appendix 3	Equality impact assessment policy checklist
Appendix 4	JCQ People Present in the exam room

Appendix 1 Examinations Risk Assessment

Risk	Early warning	Control to prevent	Control to resolve
Head of Centre unavailable	Phone call to SLT Link/ Exams Officer/ Other SLT		Vice Principals assume delegated responsibility as per Job Descriptions
SLT with responsibility for Exams unavailable	Phone call to Head of Centre/ Exams Officer		Head of Centre and/or other appropriate SLT member assumes delegated responsibilities
Exams Officer unavailable	Phone call to Head of Centre/ SLT Link		Invigilators are trained to complete all tasks required on the day of an examination. Support is available from Entrust.
Centre closed or unavailable			
Invigilator absent.	Phone Call.	Invigilators to give notice of absence. Exams Officer/Assistant Headteacher to check attendance on day of exam.	Train internal staff or Exam Officer to cover.
Invigilator conduct.	Concern noted about Invigilator conduct.	Interview questions, CRB checks and references. Invigilator training.	Exam Officer informed and Invigilator interviewed. Services no longer required if appropriate.
Fire alarm goes off during exam.		Invigilators aware of Fire Policy during Invigilator training.	Invigilators are aware of and follow Fire Policy.
Student taken ill during exam		Invigilator training.	Invigilator aware of policy, first aider on call. Supervised exit from exam. Exam Officer informed. Special Consideration for students where necessary.
Bad weather or transport problems	Weather report	Possible delay to start of exam.	Contact Awarding body. Delay start, isolation of candidates if late and hold staggered sessions if necessary. Very Late Candidate paperwork completed if necessary.
Students do not turn up for exam	Attendance register show absences.	Student timetables and entry forms. Academic Mentoring in April to include discussion on exam entries, exam timetable and expectations of arrival time for exams. Seating plans displayed outside exam hall. Attendance Officer to remind vulnerable students/parents of times of exams	Attendance Officer to contact home to locate students. Attendance Consultant to visit home to collect if required. If students arrive late follow the procedure for late arrivals.

Students turn up who are not entered for the exam.	Student not on attendance register.	Subject teachers/HOFs to ensure entry checklists are correct	Invigilator to find a paper, seat them, amend attendance list and make entry. Exam Officer to be informed. Exam Officer to charge late fee to department. Refer to Assistant Headteacher.
Cheating in the room	Invigilator reports problem	JCQ 'Information to candidates' given to all pupils during Academic Mentoring session in April. Exam Assemblies inform students about expectations and procedures. Posters displayed in exam rooms.	Invigilator aware of policy and reports to Exam Officer. Log completed and student warned about being reported to awarding body. SLT/Exams Officer on-call to deal with malpractice issue in conjunction with JCQ guidelines.
Disruption in the room	Invigilator reports problem	JCQ 'Information to candidates' given to all pupils during Academic Mentoring session in April. Exam Assemblies inform students about expectations and procedures. Posters displayed in exam rooms.	Invigilator aware of policy and reports to Exam Officer. Log completed and student warned about being reported to awarding body. SLT/Exams Officer on-call to deal with malpractice issue in conjunction with JCQ guidelines.
Late arrivals (before 1 hour)	Phone call or student turns up late.	Candidate timetable and JCQ 'Information to Candidates' distributed by Form Tutors during academic Mentoring in April. Exam Assembly.	Exam Officer informed. Invigilator aware of policy. Complete Late arrivals form. Student can take exam for full allocated time allowed. Invigilator requested to stay later to invigilate or Exam Officer to invigilate.
Late arrivals (after 1 hour)	Phone call or student turns up late.	Candidate timetable and JCQ 'Information to Candidates' distributed by Form Tutors during academic Mentoring in April. Exam Assembly.	Exam Officer informed as student may not be allowed to start exam. Invigilator aware of policy. Exam Officer to complete Late arrivals form. Invigilator requested to stay later to invigilate or Exam Officer to invigilate.
Exams Officer absent	Phone call/not working on day of exam	Regular meetings with line Manager. Assistant Headteacher has set of keys to exam office and secure storage. Assistant Headteacher undergoes invigilator training.	Assistant Headteacher to carry out role and Senior Invigilator to assist
Exam room flooded	Check room, or invigilator reports problem	Regular premises checks	Find alternative accommodation.
Electricity failure	Check room, or invigilator reports problem	Regular premises checks	Find alternative accommodation.
Wrong entry made – incorrect tier.	Student not on register for correct tier of entry.	Subject teachers/HOFs to ensure entry checklists are correct	Exam Officer to confirm tier of entry with HoF. If confirmed Invigilator to find a paper, seat them, amend attendance list and make entry. Exam

			Officer to charge late fee to department. Refer to Assistant Headteacher.
Receiving inaccurate or late entry information		Subject teachers/HOF's ensure entry checklists are correct and on time.	Charge late fee to department. If recurring problem. Referral to Assistant Headteacher.
HOF long term sick or leaves	Resignation or sick note.	Regular meetings with SLT link.	Replacement to be identified and Exam officer to have input in training re exams.
Staff enter exam room		Invigilator training prepares for eventuality. JCQ 'People present in exam rooms' distributed to all staff.	Invigilator aware of policy and completes incident log. See Appendix 5 for JCQ regulations.
Non-receipt of exam papers.		Exam Officer to check Log showing receipt of exam papers and exam timetable.	Contact Awarding body to confirm non-delivery of exam papers in good time. On exam day contact Awarding body to have permission to download the paper.
Mobile phone ringing		JCQ 'Information to candidates' given to all pupils during Academic Mentoring session in April. Exam Assemblies inform students about expectations and procedures. Posters displayed in exam rooms. Mobile phones collected at the beginning of the exam and students reminded to hand phones in at the start of each exam.	Switch mobile phone off and remove from exam room. Follow JCQ protocol.
Scripts not collected.		Scripts placed in safe on day of exam. Moved to secure storage if not collected the same day. If not collected next day contact Courier for same day collection.	Contact Awarding body if still not collected.



AQA

CCEA

Edexcel

OCR

WJEC

For use by exams office staff

GCSE controlled assessments

Risk management process (editable template)

This editable template examines potential risks and issues relating to the implementation of controlled assessment for GCSE qualifications and how these might be managed and mitigated through forward planning and remedial actions. We hope it will provide a useful starting point for exams office staff when discussing with colleagues risks and issues that might apply to their centre.

Using the risk management process template

The list of possible risks and issues featured in this template is purely illustrative for an individual centre to consider and adapt to their own needs. There are blank rows under each heading for you to fill in.

A blank column entitled 'Staff' has been included on the template so centres can list the person (or role):

- **responsible** for the risk/issue;
- **accountable** for the risk/issue;
- who should be **consulted** about this risk/issue;
- who should be **informed** if the risk/issue arises;

Any adapted list of risks and issues should be reviewed and approved by appropriate members of the senior leadership team. This will ensure that it is fit for purpose and compatible with the existing policies and procedures of the centre. The review should be repeated at regular intervals and kept up to date.

Please note: the above guidance is not part of the template and must not be altered

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
Timetabling			
Controlled assessment schedule clashes with other activities	Plan/establish priorities well ahead (e.g. at the start of the academic year)	Plan dates in consultation with school calendar – negotiate with other parties	(insert names)
Too many controlled assessments close together across GCSE subjects	Plan controlled assessments so they are spaced over the duration of the course	Space controlled assessments to allow candidates some time between them	
Accommodation			
The Centre is closed or unavailable for an extended period			
Insufficient space in classrooms for candidates	Once the size of the cohort is known at the start of the year, flag instances where regular classroom space may not be suitable to conduct controlled assessments	Use more than one classroom or multiple sittings where necessary	
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / centre facilities		
Downloading awarding body set tasks			
IT system unavailable on day of assessment	Download tasks well ahead of scheduled assessment date in all cases	Book IT equipment well ahead and download tasks before scheduled date of assessment	
Teaching staff unable to access task details	Test secure access rights ahead of controlled assessment schedule every year and every session	Ensure teaching staff have access rights for the correct area of awarding body secure extranet sites well ahead of the controlled assessment schedule	
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Contact awarding body and ask for replacement task; download again	

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
Absent candidates			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates		
Control levels for task taking			
The assessment is undertaken under incorrect level of control (time, resources, supervision and collaboration)	Ensure teaching staff know what level is applicable and understand what is involved. Provide training if required	Seek guidance from the awarding body	
Supervision			
Student study diary/plan not provided or completed*	Ensure teaching staff are aware of the need for study diary/plans to be completed early in course	Ensure candidates start, continue and complete study diary/plans that are signed after every session	
Teaching staff do not understand that the supervision of controlled assessments is their responsibility	Ensure teaching staff fully understand the nature of controlled assessments and their role in supervising assessments		
A suitable supervisor has not been arranged for an assessment where teaching staff are not supervising	A suitable supervisor must be arranged for any controlled assessment session where a teacher is not supervising, in line with the awarding body's specification		

* Not all GCSE controlled assessments will require the completion of a study diary or study plans

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
Task setting			
Teaching staff fail to correctly set tasks	Ensure teaching staff fully understand the task setting arrangements as defined in the awarding body's specification**	Seek guidance from the awarding body	
Assessments have not been moderated in line with the awarding body's specification	Check specification and plan required moderation appropriately	Seek guidance from the awarding body	
Security of materials			
Assessment tasks not kept secure before assessment	Ensure teaching staff fully understand the importance of task security	Contact the awarding body to request/obtain different assessment tasks	
Candidates' work not kept secure during or after assessment	Define the appropriate level of security, in line with the awarding body's requirements, for each department as necessary	Seek guidance from the awarding body	
Insufficient or insecure storage space	Look at provision for suitable storage at the start of the GCSE course	Find alternative storage within the centre	
Deadlines			
Deadlines not met by candidates	Ensure all candidates are briefed on deadlines and the penalties for not meeting them	Mark what candidates have produced by the deadline Seek guidance from awarding body on further action	
Deadlines for marking and/or paperwork not met by teaching staff	Ensure teaching staff are given clear deadlines (prior to the awarding body deadline) to complete marking/paperwork (Marks can then be processed and submitted ahead of awarding body deadlines)	Seek guidance from awarding body	

** All tasks whether set by the awarding body or the centre **must** be developed in line with the requirements of the specification.

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
Authentication			
Candidate fails to sign authentication form	Ensure all candidates have authentication forms to sign Ensure that the authentication form is securely attached to their work when it is completed and handed in for marking	Find candidate and ensure authentication form is signed	
Teaching staff fail to complete authentication forms or leave before completing the authentication process	Ensure teaching staff fully understand the importance of authentication forms and the requirement of a signature	Return the authentication form to the teacher for signature Ensure authentication forms are signed as work is marked	
Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
Marking			
Teaching staff interpret marking descriptions incorrectly	Ensure appropriate training and practicing of marking Plan for sampling of marking during the practice phase	Arrange for re-marking Consult the awarding body's specification for appropriate procedures	
Centre does not run the standardisation activity as required by the awarding body	Plan against the awarding body's requirements for standardisation, i.e. when and how this activity must be conducted	Check with the awarding body whether a later standardisation event can be arranged	

Appendix 3 The people present in the examination room

Produced on behalf of AQA, CCEA, OCR, Pearson and WJEC

Notice to centres:

The people present in the examination room

The JCQ awarding bodies wish to provide further guidance and clarity on the role of centre staff in the examination room, other than exam officers and invigilators.

Section 17 of the JCQ publication Instructions for conducting examinations provides clarity on who may be present in the examination room.

The head of centre has a duty to maintain the integrity of the examination and to ensure that fully trained invigilators are in place for examinations and on-screen tests. Invigilators **must** have been trained to undertake their duties (see section 12 of the JCQ publication Instructions for conducting examinations).

Rules relating to centre staff other than exams officers and invigilators

Senior members of centre staff approved by the head of centre, who have not taught the subject being examined, may be present at the start of the examination(s). When entering an examination room, the senior member of centre staff must identify themselves and their purpose for being there to the senior invigilator and/or exams officer.

Senior members of centre staff have a very clear role. Principally:

- to assist with the identification of candidates;
- to deal with any disciplinary matters;
- to check that candidates have been issued with the correct question paper for the day, date, time, subject, unit/component and tier of entry if appropriate;
- to check that candidates have the appropriate equipment and materials for the examination;
- to commence the examination.

Under no circumstances may members of centre staff:

- be present at the start of the examination and then sit and read the examination question paper before leaving the examination room;
- enter the examination room with the intention of accessing the examination question paper;
- have access to the examination question paper unless this is specifically requested by either the exams officer or an invigilator. For example, a possible printing error has been identified and, in the absence of an erratum notice, the exams officer needs this verified by the relevant subject teacher before escalating the issue to the awarding body;
- give any indication of their opinion of a question paper to candidates, verbally or otherwise, having been asked to inspect the content;
- communicate with candidates, except in timed Art tests and timetabled CCEA and WJEC GCE AS/A2 Science Practical examinations, or where maintaining discipline in the examination room. This constraint extends to coaching candidates, reminding candidates which section(s) of the question paper to answer or which questions they should answer;
- enter the examination room and approach candidates, either to prompt them to make an attempt at the examination or to provide support and encouragement;
- enter the examination room and read candidates' scripts.

Support and encouragement may be offered at any point up until the time that candidates enter the examination room. From that moment onwards they are under formal examination conditions and the strict protocols must be adhered to. © JCQ

