



Chiltern Way Academy Trust

Turning Futures Around

Exam Policy 2021-2022

Responsibility for this policy (job title): Examinations Officer

Responsibility for its review: CEO

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KEY STAFF INVOLVED IN THE EXAMS POLICY

Head of Centre – Mr Ian McCaul / Mr Nick Hall

Heads of Campus /SLT – Mr Paul Coffey / Mrs Sarah Stevens

SENCO - Mr Mark Taylor

Exams Officer – Ms Caroline Walsh

PURPOSE

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

- all aspects of the centre’s exam process is documented, supporting the exams contingency plan, and other relevant exams-related policies, procedures and plans are signposted
- the workforce is well informed and supported
- all centre staff involved in the exams process clearly understand their roles and responsibilities
- all exams and assessments are conducted according to JCQ and awarding body regulations, guidance and instructions, thus maintaining the integrity and security of the exam/assessments at all times.
- exam candidates understand the exams process and what is expected of them

All other external exams, tests and assessments which are not co-ordinated by the JCQ or Cambridge Assessment International Education (CAIE), for example Key Stage 1 and Key Stage 2 tests, and the Secondary Transfer Test (11+) follow the above processes and guidelines.

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 via email and is available upon request from the Exams Officer. Information within the policy that is relevant to candidates is brought to their attention by means of a ‘pupil exam information booklet’ which is updated and given to students each year.

ROLES AND RESPONSIBILITIES OVERVIEW

THE PRINCIPAL AS THE HEAD OF CENTRE

Is accountable to the awarding bodies for ensuring that the centre is compliant with the published JCQ regulations and awarding body requirements to ensure the security and integrity of the examinations/assessments at all times.

The head of centre and an examinations officer are two distinct and separate roles. 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 does not appoint themselves as the examinations officer; these are two distinct and separate roles.

Head of Centre responsibilities

The **Head of Centre** is the individual who is accountable to the awarding bodies for ensuring that the centre is always compliant with the published JCQ regulations and awarding body requirements to ensure the security and integrity of the examinations/assessments. **It is the responsibility of the Head of Centre to ensure that all staff comply with the instructions in this booklet.** Failure to do so may constitute malpractice as defined in the JCQ publication *Suspected Malpractice: Policies and Procedures, 1 September 2021 to 31 August 2022*:

<https://www.jcq.org.uk/exams-office/malpractice> (ICE Introduction)

The 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)

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.

National Centre Number Register

Takes responsibility for confirming, on an annual basis, that they are both aware of and adhering to the latest version of the JCQ's regulations. This confirmation 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:

- o the centre status being suspended
- o the centre not being able to submit examination entries
- o the centre not receiving or being able to access question papers

and ultimately, awarding bodies could withdraw their approval of the centre

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 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

Has in place a written escalation process. In the event of the absence of the head of centre or the member of senior leadership with oversight of examination administration, responsibility for implementing JCQ regulations and requirements relating to activity prior to examinations will be escalated to Linda Switzer, Business Director.

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 the examination

Delivery of qualifications

Delivers qualifications, as required by the awarding body, in accordance with relevant equality legislation. This includes but is not limited to ensuring that qualifications are made available to all candidates capable of undertaking them and seeking reasonable adjustments for disabled candidates

Enables candidates to receive sufficient and up to date laboratory experience, or relevant training where required by the subject concerned

Where/if using a third party to deliver any part of a qualification at the centre:

- Maintains oversight of and responsibility to the delivery of the qualification in accordance with JCQ regulations and awarding body requirements
- Has in place an agreement with the third party ensuring that a copy of the written agreement is available for inspection if requested by the awarding body

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
- the secure room only contains exam related material
- there are between two and six key holders only, each of whom must fully understand their responsibilities as a key holder to the secure storage facility

- access to the secure room and secure storage facility is restricted to the authorised two to six keyholders and staff named and approved by the head of centre are accompanied by a key holder at all times
- appropriate arrangements are in place to ensure that confidential materials are only handed over to authorised members of centre staff
- the relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk
- that when it is permitted to remove question papers from secure storage, and to avoid potential breaches of security, arrangements are in place to carefully check and record that the correct question papers are opened

Makes arrangements to receive, check and store question papers and examination material safely and securely at all times and for as long as required in accordance with the current JCQ publication Instructions for conducting examinations

Makes arrangements to receive and issue material received from the awarding bodies to staff and candidates, and notify them of any advice and instructions relevant to the examinations and assessments

Allows candidates access to relevant pre-release materials on, or as soon as possible after, the date specified by the awarding bodies

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 any person involved in administering, teaching or completing examinations/assessments is advised that where malpractice is suspected. Or alleged, personal data about them will be provided to the awarding body (or bodies) whose examinations/assessments are involved. Personal data about them may also be shared with other awarding bodies, the qualifications regulator or professional bodies in accordance with the JCQ publication Suspected malpractice – policies and procedures

Ensures irregularities are investigated and informs the awarding bodies of any cases 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

Chiltern Way Academy has in place an Exam Contingency Policy which is available from the Examinations Officer and published on the Academy's website. The exam contingency policy covers all aspects of examination administration and allows members of the senior leadership team to act immediately in the event of an emergency or staff absence. It reinforces procedures in the event of the centre being unavailable for examinations or on results day owing to an unforeseen emergency.

Lockdown Policy (Exams)

Chiltern Way Academy has in place a Lockdown Policy (Exams) which is available from the Examinations Officer. This confirms the arrangements at Chiltern Way Academy for dealing with a lockdown when examinations are being conducted.

Internal Appeals Procedure

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

The internal appeals procedure (relating to internal assessment decisions and reviews of results/appeals) can be supplied on request by the Examinations Officer and is readily available for inspection purposes. This procedure relates to internal assessment decisions. Details of this procedure and centre assessed marks are communicated, made widely available and accessible to all candidates and their parents/carers. Candidates are informed of their centre assessed marks and allowed to request a review of the centre's marking. The procedure details the management of disputes when a candidate disagrees with a centre decision not to support a clerical check, a review of marking, a review of moderation or an appeal.

Equalities 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

This policy is available on the Academy's website and upon request from the Examinations Officer.

The head of centre/senior leadership team 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; and recognises its duties towards disabled candidates as defined under the terms of the Equality Act 2010; which include a duty to explore and provide access to suitable courses, submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates; or any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect. The Academy's written disability policy sets out how the centre complies with the Equality Act 2010 and fully supports disabled candidates.

The centre fully complies with its obligations in respect of identifying the need for, requesting and implementing access arrangements.

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

Complaints and Appeals Procedure

- Ensures a complaints and appeals procedure which covers 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.

This policy is available on the Academy's website and upon request.

Child Protection/Safeguarding Policy (Exams)

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

This policy is available on the Academy's website and upon request. It satisfies current legislative requirements and includes information relating to Disclosure and Barring Service (DBS) clearance (this centre-wide policy includes information where this relates to the exam process for example external invigilators etc.)

Data Protection Policy (Exams)

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

This policy is available on the Academy's website and upon request. In addition, the centre has a GDPR policy relating specifically to exams, also available upon request.

Candidates are informed that any data collected will not be used by an awarding body other than for examination administration purposes, including access arrangements, conducting examinations and assessments and the issuing of examination results and certificates.

The centre ensures 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. Students are directed to the JCQ Information for candidates privacy notice on the Academy's website which is distributed to students at the beginning of a course leading to a vocational qualification or, where candidates are following GCSE qualifications, when the entries are submitted to awarding bodies for processing.

Under the principles of the General Data Protection Regulations 2018 (GDPR) and the Data Protection Act 2018 (the DPA 2018), children and young adults can assume control over their personal information and restrict access to it from the age of 13.

However, parents may request access to, or a copy of their child's educational record, even if the child does not wish them to access it. This applies until the child reaches the age of 18. A parent is not, however entitled to information that the school could not lawfully disclose to the child under the GDPR or in relation to which the child would have no right of access.

The Academy provides an annual written report of each registered pupil's progress and attainment in the main subject areas taught, to the parents of that registered pupil (except where the parent has agreed otherwise).

Access Arrangements Policy

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

This policy is available upon request. It confirms that Chiltern Way Academy has a written record which clearly shows the centre is leading on the access arrangements process and is complying with its "...obligation to identify the need for, request and implement access arrangements"

In addition to the above, the Head of Centre

- 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 the 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 which does not include internally assessed components/units (taking at the centre as a last resort where unable to find an alternative centre)
- Ensures other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials are briefed on the requirements for maintaining the integrity and confidentiality of the exam materials
- Ensures members of centre staff do not forward e-mails and letters from awarding body or JCQ personnel without prior consent to third parties or upload such correspondence onto social media sites and applications
- Ensures members of centre staff do not advise parents/candidates to contact awarding bodies/JCQ directly nor provide them with addresses/email addresses of awarding body examining/assessment personnel or JCQ personnel

Conflicts of Interest

Ensures the relevant awarding bodies are informed before the published deadline for entries for each examination series of any potential conflict of interest where

- a member of centre staff is taking a qualification at the centre which includes internally assessed components/units (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 close relationship to the candidate

Maintains clear records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected by the above, and where

- a member of exams office staff has a close relationship to a candidate being entered for exams and assessments at the centre or at another centre
- a member of centre staff is taking a qualification at the centre which does not include internally assessed components/units (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

Conflicts of Interest (Exams)

The centre complies with the declaration and recording requirements outlined in GR (section 5.3i)

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

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

He/she

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 roles and what is and what is not permissible in the exam room
- Supports the head of centre in ensuring that awarding bodies are informed (where required) of any conflicts of interest declared by members of centre staff and in maintaining records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected before the published deadline for entries for each examination series
- Briefs other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials on the requirements for maintaining the integrity and confidentiality of the exam materials

SENIOR LEADERS (SLT)

Are familiar with the contents, refer to and direct relevant centre staff to annually updated JCQ publications including:

- General Regulations for Approved Centres
- Instructions for Conducting Examinations
- Access Arrangements and Reasonable Adjustments

- Suspected Malpractice - Policies and Procedures
- Instructions for conducting non-examination assessments (and the instructions for conducting coursework)
- A guide to the special consideration process

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

SENIOR LEADERS

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

TEACHING STAFF

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

INVIGILATORS

- Attend/undertake training, update, briefing and review sessions as required
- Provide information as requested on their availability to invigilate

RECEPTION STAFF

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

SITE STAFF

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

CANDIDATES

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

THE EXAM CYCLE

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

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

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

PLANNING: ROLES AND RESPONSIBILITIES

INFORMATION SHARING

Head of Centre

- Directs relevant centre staff to annually updated JCQ publications including GR, ICE, AA, 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 has been updated
- Signposts relevant centre staff to JCQ information that should be provided to candidates
- As the centre administrator, approves relevant access rights for centre staff to access awarding body secure extranet sites

INFORMATION GATHERING

Exams Officer

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

Senior Leaders

- Responds (or ensures teaching staff respond) to requests from the EO on information gathering

- Meets the internal deadline for the return of information
- Informs the EO of any changes to information in a timely manner minimising the risk of late or other penalty fees being incurred by an awarding body
- Notes the internal deadlines in the annual exams plan and directs staff to meet these

ACCESS ARRANGEMENTS AND REASONABLE ADJUSTMENTS

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/reasonable adjustment requirements
- Gathers evidence to support the need for access arrangements for a candidate
- Liaises with teaching staff to gather evidence of normal way of working of an affected candidate
- Determines candidate eligibility for arrangements or adjustments that are centre-delegated
- Gathers signed personal data consent, privacy notice (AAO) and data protection confirmation forms (candidate personal data consent form) from candidates when 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 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

This policy is available on the Academy’s website and upon request from the Examinations Officer. The policy details the criteria Chiltern Way Academy uses to award and allocate word processors for examinations.

The ‘normal way of working’ for exam candidates, as directed by the head of centre, is that candidates handwrite their exams. An exception to this is where a candidate may have an approved access arrangement in place, for example the use of a scribe/speech recognition technology.

Awarding word processors:

There are also exceptions where a candidate may be awarded the use of a word processor in exams where he/she has a firmly established need, it reflects the candidate’s normal way of working and by not being awarded a word processor would be at a substantial disadvantage to other candidates.

The use of a word processor reflects 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.

SEPARATE INVIGILATION POLICY

The ALS Lead / SENCo ensures that the criteria for candidates granted separate invigilation within the centre is clear, meets the requirements of JCQ access arrangements and best meets the needs of individual candidates and remaining candidates in main exam rooms.

Separate invigilation within the centre criteria: (as in JCQ AA) cognition and learning needs, communication and interaction needs, sensory and physical needs, candidates with social, mental and emotional needs, identified by SENCO and SLT. The candidate’s difficulties are long term and substantial, are established within the centre and known to a Form Tutor, a Head of Year, the SENCo or a senior member of staff with pastoral responsibilities.

Separate invigilation 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. It will not advantage or disadvantage the candidate.

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

Senior Leaders, Head of Department, Teaching Staff

- Support the ALS Lead/SENCo in determining and implementing appropriate access arrangements/reasonable adjustments.
- Provide a statement and policy are available which detail the criteria the centre uses to award and allocate word processors for examinations.

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 and/or fully qualified assessors for the verification of centre assessed components
- Ensures an internal appeals procedure relating to internal assessment decisions is in place for a candidate 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 qualifications which include components of non-examination assessment

Non-examination assessment policy

This policy is available on the Academy's website and upon request from the Examinations Officer.

It is 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
- to ensure 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

An internal appeals procedure relating to internal assessment decisions is available upon request

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
Ensure appropriate internal moderation, standardisation and verification processes are in place
Ensure teaching staff delivering AQA Applied General qualifications, OCR Cambridge Nationals, Entry Level Certificate or Project qualifications (and CCEA GCE unitised AS and A-level qualifications WJEC GCE legacy AS and A-level Health & Social Care) follow JCQ Instructions for conducting coursework and the specification provided by the awarding body
- Ensures teaching staff delivering GCSE specifications (which include components of non-examination assessment) follow JCQ [Instructions for conducting non-examination assessments](http://www.jcq.org.uk/exams-office/non-examination-assessments) "<http://www.jcq.org.uk/exams-office/non-examination-assessments>" and the specification provided by the awarding body
- For other qualifications, ensures teaching staff follow appropriate instructions issued by the awarding body
- Ensures teaching staff inform candidates of their centre assessed marks as a candidate may request a review of the centre's marking before marks are submitted to the awarding body

Teaching Staff

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

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
- 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 in 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 made aware of the Equality Act 2010 and are trained in disability issues
- Ensures invigilators are briefed on the access arrangement candidates in their exam room and made aware of the access arrangement(s) awarded (ensuring these candidates are identified on the seating plan) and confirms invigilators understand what is and what is not permissible
- Collects evaluation of training to inform future events

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
- Sends an email to the relevant subject teachers requesting the information and a deadline set for return. The Exams Officer returns estimated entries via online submission.

- Makes candidates aware of the JCQ Information for candidates – Privacy Notice at the start of a course leading to a vocational qualification or when entries are submitted to awarding bodies for processing for general qualifications.

Senior Leaders

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

FINAL ENTRIES

Exams Officer

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

Final entries collection and submission procedure

- Exams Officer sets up mark sheets for entry and requests final entry information from subject teachers
- SLT/HoD check to confirm information is correct
- Exams Officer prints off mark sheets and sends to Subject Leaders with instructions for them to confirm accuracy
- Exams Officer returns entries via EDI or via secure awarding body websites

Senior Leaders

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

ENTRY FEES

The Exams budget is managed by the Exams Officer working with the SLT. The Exams Officer is a member of the 'Exams Office' and is able to access CPD through this organisation. The Exams Officer is also a member of a local network group.

This training enables the Exams Officer to organise the examinations process in a more efficient way:

- Ensuring exam submissions are timely and accurate as a key principle of an effective budget
- Ensuring examination equipment is stored and well maintained

- Ensuring access arrangements are planned efficiently and are cost effective.

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

Senior Leaders

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

RE-SIT ENTRIES

Resit decisions are made in consultation with candidates, subject leaders, Exams Officer and head of Centre.

PRIVATE CANDIDATES

All registration and entry and fees are paid for by the private candidates themselves.

If relevant, arrangements are put in place to co-ordinate and standardise all marking of centre-assessed components and to ensure that candidates' centre-assessed work is produced, authenticated and marked, or assessed and quality assured in accordance with the awarding bodies' instructions.

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

PRE-EXAMS: ROLES AND RESPONSIBILITIES

ACCESS ARRANGEMENTS AND REASONABLE ADJUSTMENTS

ALS Lead / SENCo

- Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access to exams/assessments for candidates where they are disabled within the meaning of the Equality Act (unless a temporary emergency arrangement is required at the time of an exam)
- Ensures a candidate is involved in any decisions about arrangements, adjustments and /or adaptations that may be put in place for him/her
- Ensures exam information (JCQ information for candidates documents, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it
- Allocates appropriately trained centre staff to facilitate access arrangements for candidates in exams and assessments (ensuring that the facilitator appointed meets JCQ requirements and fully understands the rule of the access arrangement)

- Where relevant, ensure 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 designated 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
 - food and drink in exam rooms
 - unauthorised items in exam rooms
 - when and how results will be issued and the staff that will be available
 - the post-results services and how the centre deals with requests from candidates
 - when and how certificates will be issued
 - post-results services and how the centre will "... deal with candidates' access to scripts, enquiries about results and appeals to the awarding bodies..."

ACCESS TO SCRIPTS, REVIEWS OF RESULTS AND APPEALS PROCEDURES

The centre has in place written procedures for how it will deal with candidates' requests for access to scripts, clerical checks, reviews of marking, reviews of moderation and appeals to the awarding bodies and ensures that marking, reviews of moderation and appeals to the awarding bodies. Details of these procedures are made widely available and accessible to all candidates. Candidates are 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, so that results may be discussed and decisions made on the submission of enquiries. This includes the services available and how they are requested, deadlines and fees charged, how they are informed of the outcome and the internal appeals procedure to manage disputes when a candidate disagrees with the centres decision not to support a review of results or an appeal.

The centre treats all candidates equally, throughout the examination process. This would also extend to post-results services and appeals.

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 is required by the awarding body)

Exams Officer submits estimated grade information to awarding bodies to meet the external deadline (where is 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 and any changes to centre specific processes
- Deploys invigilators effectively to exam rooms throughout an exam series (including the provision of a roving invigilator where a candidate and invigilator (acting as a practical assistant, reader or scribe) are accommodated on a 1:1 basis to enter the room at regular intervals in order to observe the conducting of the exam, ensure all relevant rules are being adhered to and to support the practical assistant/reader and/or scribe in maintaining the integrity of the exam)
- Allocates invigilators to exam rooms (or where supervising candidates due to a timetable clash) according to the required ratios
- Liaises with the ALS lead/SENCo regarding the facilitation and invigilation of access arrangement candidates

ALS Lead / SENCo

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

Invigilators

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

INSPECTION VISIT – JCQ / CAIE

Exams Officer or Senior leader will accompany the Inspector throughout a visit including inspection of the centre's secure storage facility.

The ALS Lead / SENCo or relevant Senior leader (in the absence of the ALS/ SENCo) will meet with the inspector when requested to provide documentary evidence regarding access arrangement candidates and address any questions the inspector may raise. The ALS/SENCo or relevant SLT member will ensure that information is readily available for inspection at the venue where the candidate is taking the exam

SEATING AND IDENTIFYING CANDIDATES IN EXAM ROOMS

Exams Officer

- Ensures a procedure is in place to verify candidate identity:
- Senior members of centre staff who have been authorised by the Head of Centre may be present at the start of the examination to assist with the identification of candidates. A seating plan which includes candidate access arrangement information, and attendance register is inside the examinations room. ID cards with name and candidate number are placed on individual candidates' desk.
- 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 EO
- Seat candidates in exam rooms as instructed by the EO/on the seating plan

SECURITY OF EXAM MATERIALS

Exams Officer

- Confirms appropriate arrangements are in place to ensure that confidential materials are only handed over to those authorised by the head of centre
- Ensures access to the secure room is restricted and staff named and approved by the head of centre are accompanied by a keyholder at all times. There must be between two and six keyholders only, each of whom must fully understand their responsibilities as a key holder to the secure storage facility
- 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 examinations are not kept in the centre's secure storage facility)
- Ensures that examination stationery, e.g. answer booklets and formula booklets are stored in the secure room (attempting to store this material in the secure storage facility, when sufficient space allows)
- Ensures the integrity and security of any electronic question paper is maintained during the downloading, printing and collating process (ensuring printing is carried out in an area that can be controlled to prevent unauthorised personnel accessing live assessment materials and ensuring only authorised members of centre staff have access to electronics 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
- 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 are only applied as a last resort and once all other options have been exhausted... candidates may, at the centre's discretion, be allowed to take an examination the following morning, including Saturdays (see paragraph 8.5). Candidates are not allowed to take examinations on an earlier day than that scheduled on the timetable... The overnight supervision arrangements must ensure that the candidate does not have advance warning of the content of the examination deferred until the following morning. This means the candidate must not meet or communicate with anyone who may have knowledge of the content. This includes any form of electronic communication/storage device, e.g. telephone (both landline and mobile), e-mail, internet and social media. It also extends to television and radio, which could report key details of the day's examinations. The JCQ Overnight Supervision and Overnight Supervision Declaration forms are completed before the overnight supervision is to commence. The JCQ Overnight Supervision form is completed online using the Centre Admin Portal (CAP). The JCQ Overnight Supervision Declaration form is downloaded from the Centre Admin Portal (CAP) for signing by the candidate, the supervisor and the head of centre. (ICE 8)*
- 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 AB requirements

ALTERNATIVE SITE ARRANGEMENTS

Exams Officer

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

CENTRE CONSORTIUM ARRANGEMENTS

Exams officer

(Where/if applicable to the centre) Processes applications for Centre Consortium arrangements using CAP to the awarding body deadline (or through the awarding body where a qualification may sit outside the scope of CAP)

Senior leaders

(Where/if applicable to the centre) 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

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

INTERNAL EXAMS

Exams Officer

- Prepares for the conduct of internal exams under external conditions (where applicable to the centre)
- Provides a centre exam timetable of subjects and rooms
- Provides seating plans for exam rooms
- Requests internal exam papers from teaching staff
- Arranges/co-ordinates 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/temporary 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

Absentees receive a phone call home by the Home School Liaison or Headteacher, usually within ten minutes of the start of the exam. If an absent candidate arrives within the first hour of the exam start time, they will then be given the full time to complete their 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

Irregularities

The head of centre will ensure any cases of suspected malpractice (by centre staff, candidates, invigilators) are investigated and reported to the awarding body as required.

SLT will ensure support is provided for the EO and invigilators when dealing with disruptive candidates in exam rooms; ensure that internal disciplinary procedures relating to candidate behaviour are instigated, when appropriate

Where a candidate is being disruptive, the invigilator will warn the candidate that he/she may be removed from the examination room and that the awarding body will be informed and may decide to penalise which could include disqualification

Candidates who are allowed to leave the examination room temporarily are accompanied by a member of centre staff. This is not the candidate's subject teacher or a subject expert for the examination in question

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

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

Candidate belongings

On entry to the examination room, candidates hand their belongings to the EO or an invigilator. Only permitted items are allowed to be taken to the exams desk. Candidates are reminded at the start of the exam, that JCQ unauthorised items are not to be brought into the examination room and a final opportunity to hand them in is given.

“...any unauthorised items that have been taken into the examination room must be placed out of reach of the candidates (and not under their desks) before the examination starts. This would normally be at the front of the examination room or a similar arrangement that enables the invigilator to control access to the items.

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

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 using CAP to timescale
- With a member of SLT, warns candidates that their script may not be accepted by the awarding body
- With SLT, contact parents/carers of persistent late arrivals to discuss

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

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 sealed 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 when a room is 'designated' as an exam room it is not used for any other purpose other than conducting external exams, including internal tests, mock exams, revision or coaching sessions
- Ensures only authorised centre staff (who have not taught the subject being examined) are present in exam rooms
- Ensure the centre's policy on candidates leaving the exam room temporarily is clearly communicated to candidates
- Ensures the centre's policy relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates :

Only water in a clear, unlabelled bottle and biscuits provided by the centre are permitted in the exam room

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

Leaving the exam room:

- 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)

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 Procedure

An emergency evacuation policy (exams), subject to inspection by the JCQ Centre Inspection Service, is available upon request from the Exams Officer. When dealing with emergencies, staff are made aware of the centre's policy and, where appropriate, any instructions from relevant local or national agencies. Reference will also be made to the following document: <https://www.gov.uk/government/publications/bomb-threats-guidance/procedures-for-handling-bomb-threats>

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's Instructions for Conducting Examinations and/or awarding body requirements and as instructed in training/update events and briefing sessions

Candidates

- Are required to follow the instructions given to them in exam rooms by authorised centre staff and invigilators
- Are required to remain in the exam room for one hour or the full duration of the exam if less than one hour

Irregularities

Head of centre

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

Senior leaders

- Ensure support is provided for the EO / invigilators when dealing with disruptive candidates
- 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.

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

A Special Consideration Policy is available upon request.

Candidates

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

Unauthorised items

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.

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; normally at the front of the examination room or a similar arrangement that enables the invigilator to control access to the items.

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

Invigilators

- Are informed of the arrangements through training

Internal exams

Exams officer

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

Invigilators

- Conduct internal exams as briefed by the EO

RESULTS AND POST-RESULTS: ROLES AND RESPONSIBILITIES

Internal assessment

Head of department

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

Managing results day(s)

Senior leaders

- Identify centre staff who will be involved in the main summer 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
- Inform candidates in advance of when and how results will be released to them
- Accesses results from awarding bodies under restricted release of results, where this is provided by the awarding body
- Resolve any missing or incomplete results with awarding bodies
- Issue statements of results to candidates on publication of results
- Provide summaries of results for relevant centre staff on publication of results

Candidates are made aware of the arrangements for access to scripts, reviews of results and appeals procedures plus accessibility of SLT immediately following the publication of results before they sit any examination(s).

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 circumstance

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 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 request 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 all candidates and staff on the services provided by awarding bodies and the fees charged
- Publishes internal deadlines for requesting the services to ensure the external deadlines can be effectively met
- Provides a process to record requests for services and collect candidate informed consent (after the publication of results) and fees where relevant
- Submits requests to awarding bodies to meet the external deadline 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

ANALYSIS OF RESULTS

Exams Officer

- Provides analysis of results to appropriate centre staff
- Provides results information to external organisations where required
- Undertakes the secondary school and college performance tables June and September checking exercise where applicable

Certificates

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

The Exams Officer manages the issuing of certificates. The Exams Officer checks and collates the individual candidate's certificates and posts them. Each envelope is stamped with school name and address for Royal Mail to return if necessary. Records are kept of certificates that have been issued.

Retention of certificates policy

The Exams Officer manages the retention of unclaimed or uncollected certificates. The certificates are scanned and stored electronically before original hard copies are posted. Unclaimed/uncollected/returned certificates are retained securely for a minimum of 12 months from date of issue, then securely destroyed, with a record kept. Copies of certificates are held in case of loss / need of replacement for 4 years.

Review: roles and responsibilities

Exams Officer

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

Senior leaders

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

RETENTION OF RECORDS: ROLES AND RESPONSIBILITIES

Exams Officer

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

Exams archiving

All examination materials are stored in the secure examinations cupboard. The examinations archiving policy is available upon request.

Appendix A

Head of Centre declaration:

JCQ/NCN



AQA

CCEA

OCR

Pearson

WJEC

National Centre Number Head of Centre Declaration 2020/21

Failure to complete this declaration will result in your centre status being suspended, preventing the submission of entries, and could lead to awarding bodies withdrawing their approval of your centre, as outlined in section 1 of the [JCQ General Regulations](#).

As Head of Centre, I confirm:

1. I understand I am accountable to the awarding bodies for ensuring that the centre is compliant with the published JCQ regulations and awarding body requirements in order to ensure the security and integrity of the examinations/assessments at all times. **(JCQ General Regulations 2.3)**
2. I am fully compliant with 5.1 to 5.3 of the JCQ General Regulations, which outline key requirements relevant to my role.
3. I understand the approval of my centre by an awarding body signals the start of a contractual relationship, which is governed by the contract between the awarding body and the centre, these regulations and any other documents published by the JCQ, the awarding bodies or the regulators. **(JCQ General Regulations 3.1)**
4. I am aware of the Terms of Business of the awarding bodies with which my centre is approved and my staff and I are continuing to meet our obligations as defined in their approval process.
5. My staff and I are conducting examinations and assessments in accordance with the latest version of the [JCQ General Regulations](#) and, where relevant, the following JCQ publications when conducting examinations and assessments:
 - [Access Arrangements and Reasonable Adjustments](#)
 - [Instructions for conducting coursework](#)
 - [Instructions for conducting examinations \(ICE\)](#)
 - [Instructions for conducting non-examination assessments](#)
 - [Suspected Malpractice in Examinations and Assessments – Policies and Procedures](#)**(JCQ General Regulations 1.4)**
6. For the subjects being delivered by my centre, my staff and I are meeting our obligations as laid down by the specifications and associated instructions and guidelines issued by the awarding bodies.
7. If responsibility for the line management of the examinations officer and/or the SENCO in my centre has been delegated to a Deputy Head or other member of my senior leadership team, I have provided their details in the online Head of Centre declaration.
8. I will notify the National Centre Number Team (ncn@ocr.org.uk) if there is a change in Exams Officer in my centre during the coming academic year. **(General Regulations 2.4, 5.3 R)**
9. I will ensure that the relevant senior leader(s), the exams officer and the SENCO receive appropriate training and support to fulfil their role so that the integrity of examinations and assessments is maintained **(General Regulations 5.3c and Conditions of Recognition C2.3(g))**

These regulations and guidelines have been established to ensure the integrity and security of the examination/assessment system is maintained at all times and is not brought into disrepute. Therefore the JCQ reserves the right to inspect the application of the arrangements covered by this declaration **(General Regulations 5.3W)**

Name of Head of Centre (please print in block capitals)	Signature	Date
Name of senior leadership team member with delegated responsibility for running of exams (please print in block capitals)	Signature	Date