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# Exams Policy

## University of Birmingham School

### Exams Policy

<b>Review Frequency</b>	Annually	<b>Review date</b>	16 November 2022
<b>Governing Committee Responsible</b>	Teaching and Learning	<b>Next Due</b>	November 2023
<b>Governor Approval (date)</b>	25 November 2020		

#### Key staff involved in the exams policy

Role
Head of centre
Exams officer line manager (Senior Leader)
Exams officer
SENCo
SLT member

## Contents

Key staff involved in the exams policy .....	2
Purpose of the policy .....	5
Roles and responsibilities overview .....	5
Head of centre declaration .....	6
Exam contingency plan .....	6
Internal appeals procedures .....	7
Disability policy .....	7
Complaints and appeals procedure .....	7
Child protection/safeguarding policy .....	7
Data protection policy .....	7
Access arrangements and reasonable adjustments policy .....	7
The exam cycle .....	10
Planning: roles and responsibilities .....	10
Information sharing .....	10
Information gathering .....	11
Access arrangements .....	11
Word processor policy (exams) .....	12
Internal assessment and endorsements .....	12
Non-examination assessment policy .....	12
Invigilation .....	13
Entries: roles and responsibilities .....	14
Estimated entries .....	14
Estimated entries collection and submission procedure .....	14
Final entries .....	14
Final entries collection and submission procedure .....	14
Entry fees .....	15
Late entries .....	15
Re-sit entries .....	15
Private candidates .....	15
Candidate statements of entry .....	15
Pre-exams: roles and responsibilities .....	16
Access arrangements .....	16
Briefing candidates .....	16
Dispatch of exam scripts .....	16
Estimated grades .....	16
Internal assessment and endorsements .....	17
Invigilation .....	17
JCQ Centre Inspections .....	18



Seating and identifying candidates in exam rooms .....	18
Verifying candidate identity procedure .....	18
Security of exam materials.....	18
Timetabling and rooming.....	19
Overnight supervision arrangements policy .....	19
Alternative site arrangements .....	19
Transferred candidate arrangements .....	20
Internal exams .....	20
Exam time: roles and responsibilities.....	20
Access arrangements .....	20
Candidate late arrival .....	21
Candidate late arrival policy .....	21
Conducting exams.....	21
Dispatch of exam scripts .....	21
Exam papers and materials .....	21
Exam rooms .....	21
Food and drink in exam rooms policy .....	22
Policy on candidates leaving the exam room temporarily .....	22
Irregularities .....	23
Malpractice .....	23
Special consideration .....	23
Special consideration policy.....	23
Unauthorised materials .....	24
Arrangements for unauthorised materials taken into the exam room.....	24
Internal exams .....	24
Results and post-results: roles and responsibilities .....	24
Internal assessment .....	24
Managing results day(s).....	24
Accessing results .....	25
Post-results services.....	25
Analysis of results .....	26
Certificates .....	26
Issue of certificates procedure.....	26
Retention of certificates policy .....	26
Exams review: roles and responsibilities.....	26
Retention of records: roles and responsibilities.....	26
Exams archiving policy .....	27

## Purpose of the policy

The centre (University of Birmingham School) 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
- 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/assessment system at all times
- exam candidates understand the exams process and what is expected of them

This policy is reviewed annually to ensure ways of working in the centre are accurately reflected and that exams and assessments are conducted to current JCQ (and awarding body) regulations, instructions and guidance.

This policy will be communicated to all relevant centre staff.

Annual staff training will be undertaken for subject leaders and invigilators

Accessible policies are available on shared staff area

An annual update to Governors will be carried out to review the policies

A termly meeting will be held for key staff involved in Exams administration

Exams policies will be communicated to candidates and parents through a programme of timetabled assemblies

At least one full set of PPEs will be carried out under JCQ conditions

## Roles and responsibilities overview

### Head of centre

- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:
  - General Regulations for Approved Centres (GR)
  - Instructions for Conducting Examinations (ICE)
  - Access Arrangements and Reasonable Adjustments (AA)
  - Suspected Malpractice in Examinations and Assessments (SMEA)
  - Instructions for conducting non-examination assessments (NEA) (and the instructions for conducting coursework)
  - A guide to the special consideration process (SC)
- Ensures the centre has appropriate accommodation to support the size of the cohorts being taught including appropriate accommodation for candidates requiring access arrangements for exams and assessments
- Takes responsibility for responding to the National Centre Number Register annual update (administered on behalf of the JCQ member awarding bodies by OCR [ocr.org.uk/administration/stage-1-preparation/ncn-annual-update/](https://ocr.org.uk/administration/stage-1-preparation/ncn-annual-update/)) by the end of October each year confirming they are both aware of and adhering to the

latest version of the JCQ regulations and signs and returns the head of centre's declaration which is then kept on file for inspection purposes

#### **Head of centre declaration**

- Enables the relevant senior leader(s), the examinations officer and the SENCo to receive appropriate training and support in order to facilitate the effective delivery of examinations and assessments within the centre, and ensure compliance with the published JCQ regulations
- Appoints a SENCo who will determine appropriate arrangements for candidates with learning difficulties and disabilities
- Ensures centre staff are supported and appropriately trained to undertake key tasks within the exams process
- Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the Exams Officer
- Makes sure that a teacher who teaches the subject being examined, or a senior member of teaching staff who has had overall responsibility for the subject department and/or preparing the candidates for the examination, is not an invigilator during the timetabled written examination or on-screen test
- Ensures confidentiality and security within the examination process is compliant with and managed according to JCQ and awarding body regulations, guidance and instructions including
  - the location of the centre's secure storage facility in a secure room solely assigned to examinations for the purpose of administering secure examination materials
  - appropriate arrangements are in place to ensure that confidential materials are only delivered to authorised members of centre staff
  - access to the secure room and secure storage facility is restricted to the authorised 2-4 keyholders
  - the relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk
  - that arrangements are in place to check that the correct question paper packets are opened by authorised members of centre staff
- Through taking an ethical approach and working proactively to avoid malpractice among students and staff takes all reasonable steps to prevent the occurrence of any malpractice/maladministration before, during the course of and after examinations have taken place
- Ensures irregularities are investigated and informs the awarding bodies of any cases of alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, are reported to the awarding body immediately
- Ensures risks to the exam process are assessed and appropriate risk management 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**

Stored as a physical copy in a designated folder in the Exams Store

Stored as a digital copy in the Staff Shared Area of the school network

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

### **Internal appeals procedures**

Stored as a physical copy in a designated folder in the Exams Store  
Stored as a digital copy in the Staff Shared Area of the school network

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

### **Disability policy**

Stored as a physical copy in a designated folder in the Exams Store

- 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**

Stored as a physical copy in a designated folder in the Exams Store  
Stored as a digital copy in the Staff Shared Area of the school network

- 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**

Stored as a physical copy in a designated folder in the Exams Store  
Stored as a digital copy in the Staff Shared Area of the school network

- 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**

Stored as a physical copy in a designated folder in the Exams Store  
Stored as a digital copy in the Staff Shared Area of the school network

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

### **Access arrangements and reasonable adjustments policy**

Stored as a physical copy in a designated folder in the Exams Store  
Stored as a digital copy in the Staff Shared Area of the school network

- Ensures staff are only entered for qualifications through the centre as a last resort where the member of centre staff is unable to find another 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 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

- The Exams Officer will annually request information from any staff with direct involvement in exams as to any potential Conflicts of Interest.
- Any potential conflicts of interest will be reported to the awarding bodies, before the published deadline for entries, including:
  - 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
- The Exams Officer will maintain 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 will 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.

- Ensures members of centre staff do **not** forward e-mails and letters from awarding body or JCQ personnel without prior consent to third parties or upload such correspondence onto social media sites and applications
- Ensures members of centre staff do **not** advise parents/candidates to contact awarding bodies/JCQ directly nor provide them with addresses/email addresses of awarding body examining/assessment or JCQ personnel

#### Exams officer

- Understands the contents of annually updated JCQ publications including:



- General Regulations for Approved Centres
- Instructions for Conducting Examinations
- Suspected Malpractice in Examinations and Assessments
- Post-results services (PRS)
- Is familiar with the contents of annually updated information from awarding bodies on administrative procedures, key tasks, key dates and deadlines
- Ensures key tasks are undertaken and key dates and deadlines met
- 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 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

#### **Senior leaders (SLT)**

- Are familiar with the contents, refer to and direct relevant centre staff to annually updated JCQ publications including:
  - General Regulations for Approved Centres
  - Instructions for Conducting Examinations
  - Access Arrangements and Reasonable Adjustments
  - Suspected Malpractice in Examinations and Assessments
  - Instructions for conducting non-examination assessments (and the instructions for conducting coursework)
  - A guide to the special consideration process

#### **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

#### **Subject Lead**

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

### Teaching staff

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

### Invigilators

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

### Reception staff

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

### Candidates

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

### The exam cycle

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

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

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

### Planning: roles and responsibilities

#### Information sharing

#### Head of centre

- Directs relevant centre staff to annually updated JCQ publications including GR, ICE, AA, SMEA, 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 pre public examinations

#### **Subject Lead**

- Responds (or ensures teaching staff respond) to requests from the Exams Officer on information gathering
- Meets the internal deadline for the return of information
- Informs the Exams Officer of any changes to information in a timely manner minimising the risk of late or other penalty fees being incurred by an awarding body
- Notes the internal deadlines in the annual exams plan and directs teaching staff to meet these

### Access arrangements

#### **Head of centre**

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

#### **SEnCo**

- Assesses candidates (or works with the appropriately qualified assessor as appointed by the head of centre) to identify access arrangements requirements
- Gathers **evidence** to support the need for access arrangements for a candidate
- Liaises with teaching staff to gather evidence of **normal way of working** of an affected candidate
- Determines candidate eligibility for arrangements or adjustments that are centre-delegated
- Gathers signed **Personal data consent, Privacy Notice (AAO) and Data Protection confirmation** forms (candidate personal data consent form) from candidates where required
- Applies for **approval** through **Access arrangements online** (AAO) via the **Centre Admin Portal** (CAP), where required or through the awarding body where qualifications sit outside the scope of AAO
- Keeps a file for each candidate for JCQ inspection purposes containing all the required documentation (if any documentation is kept electronically, in the event of IT failure at the time of an inspection is able to access this documentation in an alternative format)
- Employs good practice in relation to the Equality Act 2010

- Liaises with the Exams Officer regarding exam time arrangements for access arrangement candidates
- Ensures staff appointed to facilitate access arrangements for candidates are appropriately trained and understand the rules of the particular arrangement(s) and keeps a record of the content of training provided to facilitators for the required period
- Works with the Exams Officer 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)**

Stored as a physical copy in a designated folder in the Exams Store

Stored as a digital copy in the Staff Shared Area of the school network

- 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

#### **Senior Leaders, Subject Leads, Teaching staff**

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

#### **Internal assessment and endorsements**

##### **Head of centre**

- Provides fully qualified teachers to mark non-examination assessments
- Ensures an **internal appeals procedure** relating to internal assessment decisions is in place for a candidate to appeal against and request a review of the centre's marking (see Roles and responsibilities overview)
- Ensures a **non-examination assessment policy** is in place for GCE and GCSE qualifications which include components of non-examination assessment (For CCEA GCSE centres this would be a controlled assessment policy)

#### **Non-examination assessment policy**

Stored as a physical copy in a designated folder in the Exams Store

Stored as a digital copy in the Staff Shared Area of the school network

- 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

**Subject leads**

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

**Teaching staff**

- Ensure appropriate instructions for conducting internal assessment are followed
- Ensure candidates are aware of JCQ and awarding body information for candidates on producing work that is internally assessed (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 Exams Officer in recruiting, training and deploying a team of invigilators
- Ensures, if contracting supply staff to act as invigilators or to facilitate an access arrangement, that such persons are competent and fully trained, understanding what is and what is not permissible (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 event 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 that 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 Subject Leads in a timely manner to ensure awarding body external deadlines for submission can be met

##### **Estimated entries collection and submission procedure**

- Once information is received from, and signed off as correct by Subject Leads, the Exams Officer will make entries via the EDI systems of the relevant awarding bodies.
- Physical copies of entries made will be retained by the Exams Officer in the Exams Store for inspection by the Head of Centre as required.

- 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

##### **Subject leads**

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

#### **Final entries**

##### **Exams officer**

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

##### **Final entries collection and submission procedure**

- Once information is received from, and signed off as correct by Subject Leads, the Exams Officer will make entries via the EDI systems of the relevant awarding bodies.
- Physical copies of entries made will be retained by the Exams Officer in the Exams Store for inspection by the Head of Centre as required.

##### **Subject Leads**

- Provides information requested by the Exams Officer to the internal deadline

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

### **Entry fees**

- Entry fees for exam subjects within the school's current curriculum offer will be covered by the centre.
- Entry fees for exam subjects not within the school's current curriculum offer will not automatically be covered by the centre. Funding for non-curriculum exams will be considered on a case by case basis.

### **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

#### **Subject lead**

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

### **Re-sit entries**

- Re-sit entry fees will not automatically be covered by the centre.
- Funding for re-sit entries will be considered on a case by case basis.

### **Private candidates**

The centre does not allow private 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 Exams Officer

#### **Candidates**

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

## **Pre-exams: roles and responsibilities**

### **Access arrangements**

#### **SENCo**

- Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access to exams/assessments for candidates where they are disabled within the meaning of the Equality Act (unless a temporary emergency arrangement is required at the time of an exam)
- Ensures a candidate is involved in any decisions about arrangements, adjustments and /or adaptations that may be put in place for them
- 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 local disruption to exams
- Prior to exams issues relevant JCQ information for candidates documents
- Where relevant, issues relevant awarding body information to candidates
- Issues centre exam information to candidates including information on:
  - exam timetable clashes
  - arriving late for an exam
  - absence or illness during exams
  - what equipment is/is not provided by the centre
  - food and drink in exam rooms
  - wrist watches in exam rooms
  - when and how results will be 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

### **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**

#### **Subject leads**

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

**Exams officer**

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

**Internal assessment and endorsements****Head of centre**

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

**SENCo**

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

**Teaching staff**

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

**Subject lead**

- Ensures teaching staff assess and authenticate candidates' work to the awarding body requirements
- Ensures teaching staff assess endorsed components according to awarding body requirements
- Ensures teaching staff provide marks for internally assessed components and grades for endorsements of qualifications to the Exams Officer to the internal deadline
- Ensures teaching staff provide required samples of work for moderation and sample recordings for monitoring to the Exams Officer 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 annually
- Deploys invigilators effectively to exam rooms throughout an exam series (including the provision of a roving invigilator where a candidate and invigilator [acting as a practical assistant, reader or scribe] are

accommodated on a 1:1 basis to enter the room at regular intervals in order to observe the conducting of the exam, ensuring all relevant rules are being adhered to and supporting the practical assistant/reader and/or scribe in maintaining the integrity of the exam)

- Allocates invigilators to exam rooms (or where supervising candidates due to a timetable clash) according to the required ratios
- Liaises with the SENCo regarding the facilitation and invigilation of access arrangement candidates

#### **SEnCo**

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

#### **Invigilators**

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

#### **JCQ Centre Inspections**

##### **Exams officer or Senior leader**

- Will accompany the Inspector throughout a visit

##### **SEnCo or relevant Senior leader (in the absence of the SEnCo)**

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

#### **Seating and identifying candidates in exam rooms**

##### **Exams officer**

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

##### **Verifying candidate identity procedure**

- Each candidate will have an identity card including photograph on their specified exam 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)

##### **Invigilators**

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

#### **Security of exam materials**

##### **Exams officer**

- Confirms appropriate arrangements are in place to ensure that confidential materials are only delivered to those authorised by the head of centre.
- Has a process in place to demonstrate the receipt, secure movement and secure storage of confidential exam materials within the centre
- Ensures a log is kept at the initial point of delivery recording confidential materials received and signed for by authorised staff within the centre and that appropriate arrangements are in place for confidential materials to be immediately transferred to the secure storage facility until they can be removed from the



dispatch packaging and checked in the secure room before being returned to the secure storage facility in timetable order

- Ensures the secure storage facility contains only current and live confidential material
- Ensures that examination stationery, e.g. answer booklets and formula booklets are stored in the secure room (attempting to store this material in the secure storage facility, when sufficient space allows)

#### **Reception staff**

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

#### **Teaching staff**

- Adhere to the process to record the secure movement of confidential materials taken from or returned to secure storage throughout the time the material is confidential

#### **Timetabling and rooming**

##### **Exams officer**

- Produces a master centre exam timetable for each exam series
- Identifies and resolves candidate exam timetable clashes according to the regulations (only applying overnight supervision arrangements in rare and exceptional circumstances and as a last resort, once all other options have been exhausted and according to the centre's policy)

##### **Overnight supervision arrangements policy**

- Overnight supervision will be used as a last resort to all other options available. Candidate will be signed over to parental supervision for the evening. Parents will be responsible for ensuring they do not communicate with anyone outside the household. Parents will sign to confirm that they will have no access to technology/social media or the internet for the evening. Parents will be responsible for supervising the candidates at all times. Candidates must be supervised on return journey to the centre and will be signed over to the responsibility of the centre. Candidate will be supervised in isolation until the start of the exam.
- Identifies exam rooms and specialist equipment requirements
- Allocates invigilators to exam rooms (or where supervising candidates due to an exam timetable clash) according to required ratios
- Liaises with site staff to ensure exam rooms are set up according to JCQ and awarding body requirements
- Liaises with the SENCo regarding rooming of access arrangement candidates

##### **SEnCo**

- Liaises with the Exams Officer regarding rooming of access arrangement candidates
- Liaises with other relevant centre staff to ensure appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams

##### **Site staff**

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

#### **Alternative site arrangements**

##### **Exams officer**

- Ensures question papers will only be taken to an alternative site where the published criteria for an alternative site arrangement has been met

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

### **Transferred candidate arrangements**

#### **Exams officer**

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

### **Internal exams**

#### **Exams officer**

- Prepares for the conduct of internal exams under external conditions
- Provides a centre exam timetable of subjects and rooms
- Provides seating plans for exam rooms
- Requests internal exam papers from teaching staff
- Arranges invigilation

#### **SENCo**

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

#### **Teaching staff**

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

### **Exam time: roles and responsibilities**

### **Access arrangements**

#### **Exams officer**

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

#### **Invigilators**

- Are informed of the 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 late arrival**

### **Candidate late arrival policy**

Stored as a physical copy in a designated folder in the Exams Store

Stored as a digital copy in the Staff Shared Area of the school network

## **Conducting exams**

### **Head of centre**

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

### **Exams officer**

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

## **Dispatch of exam scripts**

### **Exams officer**

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

## **Exam papers and materials**

### **Exams officer**

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

- Ensures the centre's policy relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates
- Ensures the centre's policy on candidates leaving the exam room temporarily is clearly communicated to candidates

#### **Food and drink in exam rooms policy**

- Only water in a clear bottle with the label removed will be allowed in the exam room
- Any food or drink required for medical purposes will be kept on the invigilators' table for use of appropriate candidates and those candidates will know the procedure for requesting these items.

#### **Policy on candidates leaving the exam room temporarily**

In extreme circumstances, candidates may be allowed to leave the exam room temporarily. Examples of circumstances include, but are not limited to:-

- Toilet use (only with a medical pass)
- Medical reasons

Any candidate leaving the room will be accompanied by a member of staff.

#### **Exams officer**

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

#### **Senior leaders**

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

#### **Site staff**

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

#### **Invigilators**

- Conduct exams in every exam room according to JCQ *Instructions for conducting examinations* and/or awarding body requirements and as instructed by the centre in training/update and briefing sessions

### **Candidates**

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

### **Irregularities**

#### **Head of centre**

- Ensures any cases of alleged, suspected or actual incidents 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 Exams Officer and invigilators when dealing with disruptive candidates in exam rooms
- Ensure that internal disciplinary procedures relating to candidate behaviour are instigated, when appropriate

#### **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**

#### **Exams officer**

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

#### **Special consideration policy**

Store as a physical copy in a designated folder in the Exams Store.

Stored as a digital copy in the Staff Shared Area of the school network.

#### **Candidates**

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



## **Unauthorised materials**

### **Arrangements for unauthorised materials 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.

Potential technological/web enabled sources of information such as... are not permitted... 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 would normally be at the front of the examination room or a similar arrangement that enables the invigilator to control access to the items... 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 in Examinations and Assessments: Policies and Procedures* - <http://www.jcq.org.uk/exams-office/malpractice>

Candidates are told to remove all materials and prohibited items prior to entering the exam room. Items should be left in bags which will be stored in a locked room. The Invigilator announcement will provide a final reminder that all items must be removed from their person before the exam begins.

### **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**

#### **Subject leads**

- 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 and Data and Timetable Manager to ensure procedures for managing the main summer results day(s) (a results day programme) are in place

#### **Site staff**

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

#### **Accessing results**

##### **Head of centre**

- Ensures results are kept entirely confidential and restricted to key members of staff until the official dates and times of release of results to candidates

##### **Exams officer**

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

#### **Post-results services**

##### **Head of centre**

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

##### **Exams officer**

- Provides information to candidates (including private candidates) and staff on the services provided by awarding bodies and the fees charged (see also above *Briefing candidates* and *Access to scripts, enquiries about results and appeals procedures*)
- Publishes internal deadlines for requesting the services to ensure the external deadlines can be effectively met
- Provides a process to record requests for services and 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

## **Analysis of results**

### **Data and Timetable Manager**

- Provides analysis of results to appropriate centre staff
- Provides results information to external organisations where required
- Undertakes the secondary school and college (key stage 4/16-18) performance tables *June and September checking exercise*

## **Certificates**

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

### **Issue of certificates procedure**

Certificates will be sorted and checked upon receipt by the Exams Officer. Candidates will be informed in writing that their certificates are available. Candidates will be required to show ID to collect their certificates and will be required to sign.

## **Candidates**

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

### **Retention of certificates policy**

The centre will keep certificates for 12 months after writing to candidates to inform them of their availability. Following this period, they will be confidentially disposed of. A record of those disposed of will be kept for 4 years from date of destruction.

## **Exams review: roles and responsibilities**

### **Exams officer**

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

### **Senior leaders**

- Work with the Exams Officer 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 policy**

Stored as a physical copy in a designated folder in the Exams Store.

Stored as a digital copy in the Staff Shared area of the School network drive.