



Title:	Exams Policy
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## Examinations Policy

## Key staff involved in the exams policy

Role	Name(s)
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Director	<b>Sara Morris</b>
Exams Officer	<b>Tala Alhuraibat</b>
SENCo	<b>Gwyneth Little</b>
Access Arrangements Co-ordinator	<b>Gwyneth Little</b>
<b>All Tutors</b>	

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## Purpose of the policy

The school is committed to ensuring that the exams management and administration process is run effectively and efficiently. This exam policy will ensure that:

- ▶ all aspects of the school's exam process are documented and other relevant exams-related policies, procedures and plans are signposted
- ▶ the workforce is well informed and supported
- ▶ all school staff involved in the exams process clearly understand their roles and responsibilities
- ▶ all exams and assessments are conducted in accordance with JCQ and awarding body regulations, guidance and instructions, thus ensuring that  
*"... the integrity and security of the examination/assessment system is maintained at all times and is not brought into disrepute."* [JCQ General Regulations for Approved Schools (GR) 1]
- ▶ exam candidates understand the exams process and what is expected of them.

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

This policy is communicated to all relevant school staff.

The Exams Officer (EO) will ensure all new staff are inducted into the Exams Processes and are made aware of the Examinations Policy. In addition, there will be an annual email to all relevant staff within School detailing policy location on central server. Staff will be expected to email confirmation that they understand where to access the policy and the policy content.

## Roles and responsibilities overview

*"The Principal is responsible to the awarding bodies for making sure all examinations/assessments are conducted according to awarding body and JCQ instructions, and the qualification specifications issued by the awarding bodies.*

*The Principal may not appoint themselves as the Examinations Officer*

### Principal

- ▶ Understands the contents, refers to and directs relevant school staff to annually updated JCQ publications including:
  - [General regulations for approved schools](#) (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 controlled assessment and coursework)
- ▶ Ensures the school has appropriate accommodation to support the size of the cohorts being taught
- Ensures the National School Number Register Annual Update (administered on behalf of the JCQ member awarding bodies by OCR) is responded to by the end of October confirming they are both aware of and adhering to the latest version of the

JCQ regulations and instructions for conducting examinations and approves the Principal formal declaration

- ▶ Ensures the EO attends appropriate training events offered by awarding bodies, MIS providers and other external providers to enable the exam process to be effectively managed and administered
  - Ensure that the EO is line managed and actively supported by a member of the senior leadership team who has a good working knowledge of the examination system.
- ▶ Ensures a named member of staff acts as the Special Educational Needs Co-ordinator (SENCo)
  - Ensure that the SENCo has sufficient time to both manage the access arrangements process within the centre and familiarise him/ herself with the JCQ publication Access Arrangements and Reasonable Adjustments
- ▶ Ensures school staff are supported and appropriately trained to undertake key tasks within the exams process
- ▶ Ensures school staff undertake key tasks within the exams process and meet internal deadlines set by the EO
- ▶ Ensures “that a teacher or **teacher assistant** who teaches the subject being examined, or a senior member of teaching staff who has had overall responsibility for the candidates’ preparation for the examination, is not an invigilator during the timetabled written examination or on-screen test
- ▶ Ensures security within the examination process is managed according to JCQ and awarding body regulations, guidance and instructions including:
  - ▶ the location of the school’s secure storage unit is in an area solely assigned to examinations
  - ▶ 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 school staff
- ▶ Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place to allow the HoC to act immediately in the event of an emergency or staff absence

### **Exam contingency plan**

See L4L-GY-039

Hard Copy in Exams Policies Folder

- ▶ Ensures required internal appeals procedures are in place

### **Internal appeals procedures**

See L4L-GY-036

Hard Copy in Exams Policies Folder

- ▶ Ensures a disability policy for exams showing the school’s compliance with relevant legislation is in place

### **Disability policy (exams)**

*See L4L-GY-035*

*Hard Copy in Exams Policies Folder*

- ▶ Ensures a *complaints and appeals procedure* covering general complaints regarding the school's delivery or administration of a qualification is in place

### **Complaints and appeals procedure**

*See L4L-GY-008*

*Hard Copy in Exams Policies Folder*

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

### **Child protection/safeguarding policy**

*See L4L-GY-001*

*Hard Copy in Exams Policies Folder*

- ▶ Ensures the school has a data protection policy in place

### **Data protection policy**

*See L4L-GY-004*

*Hard Copy in Exams Policies Folder*

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

### **Access arrangements policy**

*See L4L-GY - 035*

*Hard Copy in Exams Policies Folder*

- ▶ Ensures the appropriate steps are taken where a candidate being entered for exams is related to a member of school staff
- ▶ Ensures members of school 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 such as Facebook
- ▶ Ensures members of school staff do **not** advise parents/candidates to contact awarding bodies/JCQ directly
- ▶ Ensures that relevant members of staff promptly respond to actions raised by the JCQ Centre Inspection Service and immediately report any incidents to the relevant awarding body(ies) which might compromise any aspect of assessment delivery, such as cyber-attack.

*The Examinations Officer and quality assurance co-ordinator are appointed by the Principal to act on behalf of the school in matters relating to the administration of awarding body examinations and assessments*

### **Exams Officer (EO)**

- ▶ Understands the contents of annually updated JCQ publications including:  
[General regulations for approved schools](#)  
[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; as required and keeps a record of the training provided to invigilators for the required period
- ▶ Ensures awarding bodies are notified before the associated entries are submitted, where a candidate is being taught and prepared for examinations and assessments by a relative or where a relative of exams office staff is being entered for examinations and assessments

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

- ▶ Are familiar with the contents, refer to and direct relevant school staff to annually updated JCQ publications including:  
[General regulations for approved schools](#)  
[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 controlled assessment and coursework)

### **Special educational needs co-ordinator (SENCo)**

- ▶ Is familiar with the contents, refers to and directs relevant school 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 the administration of the assessment process
- ▶ Presents when requested by a JCQ School Inspector, evidence of the assessor's qualification

### **Head of department (HoD)**

- ▶ Ensures teaching staff undertake key tasks, as detailed in this policy, within the exams process (exam cycle) and meet internal deadlines set by the EO and SENCo



- ▶ Ensures teaching staff keep themselves updated with awarding body teacher-specific information to confirm effective delivery of qualifications
- ▶ Ensures teaching staff attend relevant awarding body training and update events

### **Teaching staff**

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

### **Invigilators**

- ▶ Attend 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 EO in dealing with exam-related deliveries and dispatches with due regard to the security of confidential 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 school staff within this cycle.

## **Planning: roles and responsibilities**

### **Information sharing**

#### **Principal**

- ▶ Directs relevant school staff to annually updated JCQ publications including [GR](#), [ICE](#), [AA](#), [SMEA](#) and [NEA](#) (and the instructions for conducting controlled assessment and coursework)

## **Exams officer**

- ▶ Signposts relevant school staff to JCQ publications and awarding body documentation relating to the exams process that has been updated
- ▶ Signposts relevant school staff to JCQ information that should be provided to candidates
- ▶ As the school administrator, approves relevant access rights for school 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 school staff of internal deadlines
- ▶ Collects information on internal exams to enable preparation for and conduct of [insert the titles these internal exams are referred to in the school]

### **Team Leader**

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

## **Access arrangements**

### **Principal**

- ▶ Ensures there is appropriate accommodation for candidates requiring access arrangements in the school
- ▶ Ensures a written process is in place to not only check the qualification(s) of their assessor(s) but that the assessment process is administered correctly
- ▶ Ensures the SENCo is fully supported in effectively implementing access arrangements and reasonable adjustments once approved

### **SLT**

- ▶ Provides and annually reviews a school policy on the **use of word processors** in exams and assessments
- ▶ Senior leaders provide a statement for inspection purposes which details the criteria the school uses to award and allocate word processors for examinations

## ▶ **Word processor policy (exams)**

See S:\CLS\Exams – Admin /Exam Policies

Hard Copy in Exams Policies Folder

## **SENCo**

- ▶ Works with the Access Arrangements Co-ordinator to identify access arrangements requirements

## **Access Arrangements Co-ordinator**

- ▶ 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 school-delegated
- ▶ Gathers signed **data protection notices** from candidates where required
- ▶ Keeps relevant paperwork and evidence on file for JCQ inspection purposes
- ▶ Employs good practice in relation to the Equality Act 2010
- ▶ Liaises with the EO regarding exam time arrangements for access arrangement candidates

## **Examinations Officer**

- ▶ Applies for **approval** through *Access arrangements online* (AAO), where required or through the awarding body where qualifications sit outside the scope of AAO
- ▶ 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 training provided to facilitators for the required period
- ▶ Ensures criteria for candidates granted **separate invigilation within the school** is clear, meets JCQ regulations and best meets the needs of individual candidates and remaining candidates in main exam rooms

## **Separate invigilation within the school**

See L4L-GY 041

Also Hard Copy in Exams Policies Folder

SENco / tutor determine requirements.

EO requests approval if required from awarding body.

EO facilitates appropriate room based on request form

## **Senior Leaders, Head of department, Teaching staff**

- ▶ Support the SENCo in identifying and implementing appropriate access arrangements

## **Internal assessment and endorsements**

### **Principal**

- ▶ Ensures an **internal appeals procedure** relating to internal assessment decisions is in place for a candidate (or parent/carer) to appeal against and request a review of the school's marking (see Roles and responsibilities overview)

#### **Controlled assessment policy**

See S:\CLS\Exams – Admin /Exam Policies

Hard Copy in Exams Policies Folder

- ▶ Ensures a **non-examination assessment policy** is in place for new GCE and GCSE qualifications which include components of non-examination assessment (For CCEA GCSE schools this would be a controlled assessment policy)

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

See S:\CLS\Exams – Admin /Exam Policies

Hard Copy in Exams Policies Folder

- ▶ Ensures irregularities are investigated and any cases of suspected malpractice reported to the awarding body, as required

### **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

### **Head of department**

- ▶ Ensures teaching staff delivering new 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

### **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 (controlled assessments, coursework, non-examination assessments, social media) prior to assessments taking place

### **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**

### **Principal**

- ▶ 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 or to facilitate an access arrangement, 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 (**None currently delivered**)

### **Business Support Team Leader/SLT**

- ▶ Recruits additional invigilators where required to effectively cover all exam periods/series throughout the academic year

### **Exams Officer**

- ▶ Provides an annual training event for new invigilators and an update event for invigilators on the conduct of exams
- ▶ 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
- ▶ 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 Tutors in a timely manner to ensure awarding body external deadlines for submission can be met

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

School currently only delivers English and Math GCSE courses, which require estimated entries. Estimated entries procedure complies with meeting deadlines for awarding body upload in February/access arrangement deadline in January.

See process for OCR/NOCN non-GCSE courses in S:\CLS\Exams - Admin\Processes for tutors

### **Tutors**

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

## **Final entries**

### **Exams officer**

- ▶ Requests final entry information from Tutors in a timely manner to ensure awarding body external deadlines for submission can be met
- ▶ Informs Tutors of subsequent deadlines for making changes to final entry information without charge
- ▶ Ensures that candidates are not entered for the same subject at the same qualification level with more than one awarding body in the same series
- ▶ Confirms with Tutors 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 and reducing the potential for late or other penalty fees being charged by awarding bodies

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

Final entries via OCR interchange secure website, using the exams office checklist to ensure compliance with requirements.

### **Tutors**

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

## **Entry fees**

The exam budget is set annually by SMT based on costs reviewed from previous years. Invoices are processed by NELC Finance Department.

Fully funded learners are paid for by the School and claimed from funding bodies. Non funded learners are charged a set fee and payment is handled by finance.

## **Late entries**

### **Exams officer**

- ▶ Has clear entry procedures in place to minimise the risk of late entries
- ▶ Charges any late or other penalty fees to departmental budgets

### **Head of department**

- ▶ Minimises the risk of late entries by

- ▶ following procedures identified by the EO in relation to making final entries on time
- ▶ meeting internal deadlines identified by the EO for making final entries

### **Re-sit entries**

Resit decisions are made in consultation with learners, tutors and subject tutors. Fees are paid by the school for all but none funded learners in agreement with SLT.

### **Private candidates N/A**

### **Transfer of credit**

*NO GCE transfer of credits. Where applicable, Awarding Body procedures are followed*

#### **Exams officer**

- ▶ Provides information to relevant school staff/candidates on transferring credit for GCE AS qualifications
- ▶ Meets the awarding body deadline for requesting transfer of credit

#### **Teaching staff**

- ▶ Identify affected candidates to the EO

### **Candidate statements of entry (GCSE)**

#### **Exams officer**

- ▶ Provides candidates with statements of entry for checking

#### **Teaching staff**

- ▶ Ensure candidates check statements of entry and return any relevant confirmation required to the EO

#### **Candidates**

- ▶ Confirm entry information is correct or notify the EO of any discrepancies

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

### **Access arrangements**

#### **SENCo**

- ▶ Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access for candidates where they are disabled within the meaning of the Equality Act (unless a temporary emergency arrangement is required at the time of an exam)
- ▶ Ensures a candidate is involved in any decisions about arrangements, adjustments and /or adaptations that may be put in place for him/her
- ▶ Ensures exam information (JCQ information for candidates information, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it

- ▶ Allocates appropriately trained school 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)

### **Exam Officer**

- ▶ Ensures that applications to be submitted within 45 days of assessment or exam taking place in compliance with the awarding body.

### **Briefing candidates**

#### **Exams officer**

- ▶ Issues individual exam timetable information to candidates
- ▶ Prior to exams issues relevant JCQ information for candidates documents
- ▶ Where relevant, issues relevant awarding body information to candidates
- ▶ Issues school exam information to candidates including information on:
  - ▶ exam clashes
  - ▶ arriving late for an exam
  - ▶ absence or illness during exams
  - ▶ what equipment is/is not provided by the school
  - ▶ 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 school deals with requests from candidates
  - ▶ when and how certificates will be issued

### **Access to scripts, enquiries about results and appeals procedures**

<i>Paper copy in Exams Policies folder</i>
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### **Accessing and printing secure files**

Question papers and pre-release materials issued by the awarding bodies must always be stored at the centre's registered address in a secure room with a secure storage facility (exams room's safe). The secure room must only be used for the purpose of administering secure examination materials, with access restricted to two to six key holders only. (The exams officer must be one of the key holders.)

#### **Exams officer**

- ▶ Maintain the integrity and security of the electronic question paper during the downloading, printing, and collating process.
- ▶ Files must only be accessed and downloaded within a secure environment for the use of the candidate(s) who have been entered for the examination
- ▶ Files must be stored locally only for the purpose of printing and must then be deleted immediately from the downloads folder and deleted items folder.
- ▶ Create only necessary hard copies of the files and destroy any unneeded hard copies once printing has been completed.



- ▶ Once the exam papers are printed, they must be sealed within a non-transparent envelope marked clearly with the day, date, subject, unit/component, candidates names and tier of entry on the outside. The envelope must be stored securely by the EO or authorised staff in the exams room's safe.

### **Dispatch of exam scripts**

#### **Exams officer**

- Identifies and confirms arrangements for the dispatch of candidate exam scripts with the DfE 'yellow label service' (OCR functional Skills dispatched 2 class Signed for)

### **Estimated grades (GCSE)**

#### **Head of department**

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

#### **Exams officer**

- ▶ Submits estimated grade information to 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**

#### **Principal**

- ▶ 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 school assessed marks prior to marks being submitted to awarding bodies

#### **Team Leader**

- ▶ Ensures teaching staff assess and authenticate candidates' work to the awarding body requirements
- ▶ Ensures teaching staff assess endorsed components according to awarding body requirements
- ▶ Ensures teaching staff provide marks for internally assessed components and grades for endorsements of qualifications to the EO to the internal deadline
- ▶ Ensures teaching staff provide required samples of work for moderation and sample recordings for monitoring to the EO to the internal deadline

#### **Exams officer**

- ▶ Submits marks, endorsement grades and samples to awarding bodies/moderators/monitors to meet the external deadline
- ▶ Keeps a record to track what has been sent
- ▶ Logs moderated samples returned to the school
- ▶ 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 invigilation handbook and trains/updates invigilator annually
- ▶ Deploys invigilators effectively to exam rooms throughout an exam series (including the provision of a roving invigilator to regularly enter and observe the rooms where a candidate and invigilator [acting as a practical assistant, reader or scribe] are accommodated on a 1:1 basis)
- ▶ Allocates invigilators to exam rooms (or where supervising candidates due to a timetable variation) according to the required ratios
- ▶ Liaises with the SENCo regarding the facilitation and invigilation of access arrangement candidates

#### **SENCo**

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

#### **Invigilators**

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

### **JCO inspection visit**

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

- ▶ Will accompany the Inspector throughout the visit

### **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**

*Learners must bring with them valid photo ID unless photo ID cards are provided by the EO.*

*Tutors are required to ensure learners understand what is a valid form of ID and the School provides a current photograph, endorsed on the back by Tutors where learners have no current photo i.d.,*

*Invigilators required to check ID provided and ensure students ID is validated.*

*If a student arrives without valid ID a tutor can verify ID, student must provide ID prior to departing examination conditions.*

*Invigilators must establish the identity of all candidates sitting examinations.*

*...In cases where it is impossible to identify a candidate due to the wearing of religious clothing, such as a veil, the candidate should be approached by a member of staff of the same gender and taken to a private room where they should be politely asked to remove the religious clothing for identification purposes. Schools must inform candidates in advance of this procedure and well before their first examination.*

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

- ▶ Ensures invigilators are aware of the procedure
- ▶ Provides seating plans for exam rooms according to JCQ and awarding body requirements

### **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**

#### **Head of department**

- ▶ Ensures that at least two and no more than six members of authorised staff handle electronic question paper materials.
- ▶ Ensures that authorised staff are familiar with the most recent instructions issued by the relevant awarding bodies.
- ▶ Ensures that accounts used to access materials are audited regularly. Any unused or unneeded accounts must be closed promptly, for example when a staff member has left the school or changed roles.
- ▶ Ensures that passwords used to access secure material are strong and changed regularly.

#### **Exams officer**

- ▶ Has a process in place to record confidential materials delivered to the school and issued to authorised staff
- ▶ Has in place a recording system to track confidential materials taken from or returned to secure storage throughout the time the material is confidential
- ▶ Receives, checks and securely stores question papers and other exam materials according to JCQ and awarding body requirements

#### **Reception staff**

- ▶ Follow the process to record confidential materials delivered to the school and issued to authorised staff

#### **Teaching staff**

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

## **Timetabling and rooming**

### **Exams officer**

- ▶ Produces a master school exam timetable for each exam series
- ▶ Identifies and resolves candidate exam clashes (only applying overnight supervision arrangements in rare and exceptional circumstances and as a last resort)
- ▶ Identifies exam rooms and specialist equipment requirements
- ▶ Allocates invigilators to exam rooms (or where supervising candidates due to a timetable variation) 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

### **Access Arrangements Advisor**

- ▶ Liaises with the EO regarding rooming of access arrangement candidates
- ▶ Liaises with other relevant school staff to ensure appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates, including private candidates, to exams

**Site staff** N/A

## **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 have been met and they must not leave the secure room any earlier than 60 minutes prior to the awarding body's published starting time for the examination
- ▶ Will inform the JCQ School Inspection Service using the JCQ *Alternative Site* form of any alternative sites that will be used to conduct timetabled examination components of the qualifications listed in the JCQ regulations
- ▶ Liaise with site staff where alternative sites are used for Functional Skills and ESOL exams (to ensure exam rooms are set up according to JCQ and awarding body requirements)

## **Transferred candidate arrangements**

### **Exams officer**

- ▶ Liaises with the host or entering school, as required
- ▶ Processes requests to the awarding body deadline
- ▶ Where relevant (for an internal candidate) informs the candidate of the arrangements that have been made for their transferred candidate arrangements

## **Internal exams**

### **Exams officer**

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

### **Access Arrangements Co-ordinator**

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

### **Teaching staff**

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

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

### **Access arrangements**

#### **Exams officer**

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

### **Candidate absence**

#### **Candidate absence policy**

Invigilator must notify reception and EO if candidate is absent. Attempts will be made to contact learner.

Tutors are advised of absent candidates and discuss with candidate/arrange another possible time/day to carry out exam (non-GCSE)

Invigilators have a copy of the School's Late arrivals policy

### **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 according to the school's policy

### **Candidate behaviour**

See *Irregularities* below.

### **Candidate belongings**

See *Unauthorised materials* below.

### **Candidate late arrival**

#### **Exams officer**

- ▶ Ensures that candidates who arrive very late for an exam are reported to the awarding body as soon as practically possible after the exam has taken place
- ▶ Warns candidates that their work may not be accepted by the awarding body

#### **Invigilators**

- ▶ Are informed of the policy/process for dealing with late/very late arrival candidates through training
- ▶ Ensure that relevant information is recorded on the exam room incident log

### **Candidate late arrival policy**

School will allow late arrival to sit an exam, as per JCQ regulations.  
 Invigilator to ensure late arrivals do not disrupt examinations already in place. Students are requested to arrive 30 minutes before exam start time

### **Conducting exams**

#### **Principal**

- ▶ 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 secure storage
- ▶ Attaches erratum notices received to relevant exam question paper packets
- ▶ Collates attendance registers and examiner details in date order
- ▶ Regularly checks mail or inbox for updates from awarding bodies
- ▶ In order to avoid potential breaches of security, ensures prior to question paper packets being opened that another member of staff or an invigilator checks the time, date and paper details **and a log of the check kept**
- ▶ Where allowed by the awarding body, only releases exam papers and materials to teaching departments for teaching and learning purposes after the published finishing time of the exam, or until any clash candidates have completed the exam

## **Exam rooms**

### **Principal**

- ▶ Ensures that prior to exams commencing, revision or coaching sessions for candidates will not be held in the designated exam room(s)
- ▶ Ensures only authorised school staff are present in exam rooms. Tutors are informed that they are not allowed to enter the exam room
- ▶ Ensures information relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates

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

*Clear bottles only no labels, food allowable but no labels and noisy items (crisps, wrappers etc)*

*All at discretion of EO or Invigilator unless medically required which will be agreed in advance with the SENCO.*

### **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)
- ▶ Ensures sole invigilators have an appropriate means of summoning assistance
- ▶ Ensures invigilators understand how to deal with candidates who may need to leave the exam room temporarily
- ▶ Provides authorised exam materials which candidates are not expected to provide themselves
- ▶ Ensures invigilators and candidates are aware of the emergency evacuation procedure
- ▶ Ensures invigilators are aware of arrangements in place for a candidate with a disability who may need assistance if an exam room is evacuated

### **Senior leaders**

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

### **Emergency evacuation policy**

*LAL-GY-011                      Invigilators have their own copy*

*Paper copy in Exams policy file*

### **Exams Officer/Invigilators**

- ▶ Ensure exam rooms are available and set up as requested /required
- ▶ Ensure grounds or school 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 as instructed in training/update events and briefing sessions

### **Candidates**

- ▶ Are required to remain in the exam room for the full duration of the exam

## **Irregularities**

### **Principal**

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

### **Managing behaviour**

Invigilator has mobile phone to contact EO in event of disruption. Where possible two invigilators are used. EO ensures invigilators are trained to deal with incidents in a calm and swift manner to minimise disruption to main body students.

### **Senior leaders**

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

### **Exams officer**

- ▶ Provides an exam room incident log in all exam rooms for recording any incidents or irregularities
- ▶ Actions any required follow-up and reports to awarding bodies as soon as practically possible after the exam has taken place

### **Invigilators**

- ▶ Record any incidents or irregularities on the exam room incident log (for example, late/very late arrival, candidate or school staff suspected malpractice, candidate illness, 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 school or candidates
- ▶ Submits requests to awarding bodies to the external deadline

### **Special consideration policy**

*Hard Copy in Exams Policies Folder*

## **Candidates**

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

## **Unauthorised materials**

### **Arrangements for unauthorised materials taken into the exam room**

*Hard Copy in Exams Policies Folder*

*The invigilator, prior to the examination starting, must ensure that candidates have removed their wrist watches, and any electronic items are switched off and collected.*

*Tutors are required to ensure learners are aware of the regulations regarding no wristwatches, the removal of mobile phones/other electronic items*

## **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 school 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 enquiries and ensures candidates are informed of the periods during which school staff will be available so that they may plan accordingly

#### **Exams officer**

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

## Results day programme

For GCSE results day a member of the SLT is available. Results are downloaded from awarding body and given to students in person (or emailed) on the day stipulated by the exam board.

For functional skills, results are viewed by tutors on exam board websites and conveyed to learners. Results are recorded on MIS, paper certificates are distributed on arrival at the school.

*Tutors are expected to inform candidates of the results/certification process prior to each exam session*

### SLT

- ▶ Ensure the school is open and accessible to school staff and candidates, as required

### Accessing results

#### Exams officer

- ▶ Informs 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
- ▶ 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 school staff on issue of results date

### Post-results services

#### Principal

- ▶ Ensures an **internal appeals procedure** is available where candidates disagree with any school decision not to support a clerical check, a review of marking, a review of moderation or an appeal
- ▶ Understands that in the event of an awarding body initiating an *extended review of marking*, candidates' 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 collect candidate informed consent (**after** the publication of results) and fees where relevant
- ▶ Submits requests to awarding bodies to meet the external deadline
- ▶ Tracks requests to conclusion and informs candidates and relevant school staff of outcomes
- ▶ Updates school 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**

#### **MIS Officer**

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

### **Certificates**

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

#### **Issue of certificates procedure**

EO processes certificates as they arrive and checks accuracy Certificate details are recorded on MIS system, providing a log of entry/exit dates. Certificates are posted to learners within 5 working days of receipt
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## Candidates

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

### Retention of certificates policy

Unclaimed or uncollected certificates are returned to EO and stored securely.  
After 12 months unclaimed certificates are destroyed via confidential waste

## 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 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 school's records management policy
- ▶ Provides an exams archiving policy that identifies information held, retention period and method of disposal

### Exams archiving policy

*LAL-GY- 037*

*Also Hard Copy in Exams Policies Folder*