



# SIR THOMAS RICH'S Examinations Policy

**Date reviewed: February 2018**

**Responsibility: The School's Examinations Officer under the supervision of the Senior Management Team (SMT) draws up and implements the Examinations Policy. The Governors' Curriculum and Evaluation Committee reviews the policy and monitors its implementation. This policy is reviewed annually.**

This policy is part of the Examinations Suite of policies. The Examinations Suite of policies details the School's procedures relating to external examinations and the assessments related to these. For the School's general assessment policies, please refer to the Assessment Recording and Reporting Policy (school website: [About Us – Governors and Policies](#)).

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## 1. Purpose of the plan

The centre is committed to ensuring that the management and administration process relating to external examinations is run effectively and efficiently. This *Examinations Policy* will ensure that:

- all aspects of the school's external examination process is 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 centres](#) 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 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 by e-mail and will also be posted on the school website ([About Us – Governors and Policies](#)).

## 2. Roles and responsibilities overview

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

***The head of centre may not appoint themselves as the examinations officer.*** [GR1]

### 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)
  - [Instructions for conducting controlled assessment and coursework](#) (CA)
- Ensures the National Centre Number Register Annual Update (administered on behalf of the JCQ member awarding bodies by OCR) is responded to and approves the Head of Centre formal declaration
- Ensures the exams officer (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
- 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 EO
- Ensures *"that a teacher 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 examination or on-screen test;"* [ICE 6]
- Ensures security within the examination process is managed according to JCQ and awarding body regulations, guidance and instructions
- Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place:

a) **Exam contingency plan**

*"It is the responsibility of the head of centre to ensure that his/her centre: ...has in place a written examination contingency plan/examinations policy which covers all aspects of examination administration. This will allow members of the senior leadership team to have a robust contingency plan in place, minimising risk to examination administration, should the examinations officer be absent at a crucial stage of the examination cycle. (The examination contingency plan/examinations policy should also reinforce procedures in the event of the centre being unavailable for examinations owing to an unforeseen emergency.)"* [GR5]

**Exam contingency plan** posted on the school website (About Us – Governors and Policies).

- Ensures required internal appeals procedures are in place:

b) **Internal appeals procedures**

*"The centre agrees to...have in place, and be available for inspection purposes, a **written** internal appeals procedure relating to internal assessment decisions and to ensure that details of this procedure are made widely available and accessible to all candidates; (A centre may place its internal appeals procedure on the school/college website or alternatively, the document may be made available to candidates upon request.)"*

[GR5]

*"The centre agrees to...have available for inspection purposes and draw to the attention of candidates and their parents/carers, a written internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support an enquiry about results or an appeal;"*

[JCQ [Post-results services](#) 5.14]

**Internal appeals procedures** posted on the school website ([About Us – Governors and Policies](#)).

- Ensures a disability policy for exams showing the centre's compliance with relevant legislation is in place:

c) **Disability policy (exams)**

*"The centre agrees to...recognise its duties towards disabled candidates as defined under the terms of the Equality Act 2010<sup>†</sup>. This must include a duty to explore and provide access to suitable courses, submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates. A written disability policy setting out how the centre seeks to comply with the Equality Act 2010<sup>†</sup> and fully supporting disabled candidates must be available for inspection purposes.*

*†or any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect "*

[GR5]

**Disability policy (exams)** posted on the school website ([About Us – Governors and Policies](#)).

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

## d) Access arrangements policy

*"...with its obligations in respect of identifying the need for, requesting and implementing access arrangements."* [GR

5.5]

*"The centre agrees to... have a written process in place to not only check the qualification(s) of their specialist assessor(s) but that the assessment process is administered correctly;"* [GR

5.4]

**Access arrangements policy** posted on the school website ([About Us – Governors and Policies](#)).

- Ensures staff are only entered for qualifications through the centre where entry through another centre is not available
- Ensures the appropriate steps are taken where a candidate being entered for exams is related to a member of centre staff

*"The **examinations officer or quality assurance co-ordinator** is the person appointed by a head of centre to act on behalf of the centre in matters relating to the administration of awarding body examinations and assessments."* [GR 1]

### 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
- Trains a team of internal/external invigilators

### 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](#)
  - [Instructions for conducting controlled assessment and coursework](#)
- Recruit a team of internal/external invigilators

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

- Is familiar with 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')
- 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 Centre Inspector, evidence of the assessor's qualification

### Assistant SENCO

- Is familiar with the contents of:
  - [Access Arrangements and Reasonable Adjustments](#)
- Assists with the access arrangements and reasonable adjustments process (referred to in this policy as 'access arrangements')
- Works with the person appointed, on matters relating to assessing candidates and the administration of the assessment process

#### **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

#### **Administration Officer (exams)**

- Deploys a team of internal/external invigilators

#### **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.

### **3. 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.

### **4. Planning: roles and responsibilities**

#### **a) Information sharing**

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

- Directs relevant centre staff to annually updated JCQ publications including [GR](#), [ICE](#), [AA](#), [SMEA](#) and [NEA](#) and [CA](#)

#### **Exams officer**

- Signposts relevant centre staff to JCQ publications and awarding body documentation relating to the exams process that has been updated
- Signposts relevant centre staff to JCQ information that should be provided to candidates
- As the centre administrator, approves relevant access rights for centre staff to access awarding body secure extranet sites

### **b) 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

#### **Assistant Timetabler**

- Collects information on internal exams to enable their preparation, for them to be conducted and produces internal exam timetables

#### **Head of department**

- 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

### **c) Access arrangements**

#### **SENCo**

- Assesses candidates (or works with the appointed access arrangements assessor) 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 the **normal way of working** of an affected candidate
- Determines candidate eligibility for arrangements or adjustments that are centre-delegated
- Gathers signed **data protection notices** from candidates where required
- Applies for **approval** through *Access arrangements online* (AAO), where required or through the awarding body where qualifications sit outside the scope of AAO
- 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
- Ensures staff appointed to facilitate access arrangements for candidates are appropriately trained and understand the rules of the particular arrangement(s)

- Provides and annually reviews a centre policy on the **use of word processors** in exams and assessments

#### **Assistant SENCO**

- Gathers **evidence** to support the need for access arrangements for a candidate
- Liaises with teaching staff to gather evidence of the **normal way of working** of an affected candidate
- Produces Individualised Education Programmes (IEP) for affected candidates
- Liaises with the EO regarding exam time arrangements for access arrangement candidates

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

*"It is strongly recommended that a centre has a policy on the use of word processors which it can articulate to parents/carers. Principally, that a word processor cannot simply be granted to a candidate because he/she now wants to type rather than write or can work faster on a keyboard, or because he/she uses a laptop at home.*

*The use of a word processor must reflect the candidate's normal way of working within the centre and be appropriate to the candidate's needs..."*

[AA5.8]

Sir Thomas Rich's School will allow some pupils to use a word processor in public examinations. In order to qualify for this arrangement the following criteria must be met:

- There must be a good reason for the use of the word processor, for example illegible handwriting, or an exceptionally slow handwriting speed, or a compelling medical reason
- Laptop use must be agreed by the SENCo and the relevant Head of Year
- The pupil must commit to using a laptop for all subjects where he or she wishes to use it for public examinations. Laptop use must therefore be the pupil's **usual way of working** in class
- The pupil must utilise the laptop for classroom tests where appropriate
- Parents will need to provide their son or daughter with a laptop for use in class
- The School will provide a laptop or computing facilities for mock and public examinations.

Laptop use cannot simply be granted to a candidate because he/she prefers to type rather than write or can work faster on a keyboard, or because he/she uses a laptop at home.

**Word processor policy (exams)** contained in the **Access Arrangements (Examinations) policy (6.)** posted on the school website ([About Us – Governors and Policies](#)).



- 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

## ii) Separate invigilation within the centre

[See [AA](#) 5.16 plus centre-determined criteria]

A decision where an exam candidate may be approved separate invigilation within the centre will be based on whether the candidate

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

5.16}

[AA

Candidates diagnosed with a physical disability, sensory impairment, developmental condition (e.g. ASD or ADHD) or a medical or mental health condition, may be eligible for separate invigilation within the centre. The centre requires a letter from either a Consultant, Psychiatrist or a recommendation from CYPS in order to facilitate this arrangement.

Candidates with a medical or mental health condition may occasionally be eligible to sit examinations in a smaller room. In order to qualify for this arrangement there must be a thoroughly documented history of need (within School) and compelling written evidence from an outside agency.

**Separate invigilation within the centre** contained in the **Access Arrangements (Examinations) policy (7.)** posted on the school website ([About Us – Governors and Policies](#)).

## Senior Leaders, Head of department, teaching staff

- Support the SENCo and Assistant SENCO in identifying and implementing appropriate access arrangements

## d) Internal assessment

### Head of centre

- Ensures an **internal appeals procedure** is in place for a candidate (or parent/carer) to appeal against an internally assessed marks (see Roles and responsibilities overview)

### i) Internal appeals procedure

*"The centre agrees to...have in place, and be available for inspection purposes, a **written** internal appeals procedure relating to internal assessment decisions and to ensure that details of this procedure are made widely available and accessible to all candidates; (A centre may place its internal appeals procedure on the school/college website or alternatively, the document may be made available to candidates upon request.)"*

[GR5]

*"The centre agrees to...have available for inspection purposes and draw to the attention of candidates and their parents/carers, a written internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support an enquiry about results or an appeal;"*

[JCQ [Post-results services](#) 5.14]

**Internal appeals procedures** posted on the school website ([About Us – Governors and Policies](#)).

- Ensures a policy for the **management of controlled assessment** is in place for legacy GCSE qualifications, identifying staff responsibilities and examining potential risks

## ii) Controlled assessment policy

*"The centre agrees to...have in place, and be available for inspection purposes, a **written** policy with regard to the management of GCSE controlled assessments"* [GR5]

*Controlled assessment policy* posted on the school website ([About Us – Governors and Policies](#)).

- Ensures a **non-examination assessment policy** is in place for new GCE and GCSE qualifications

## iii) Non-examination assessment policy

The purpose of this policy, as defined by JCQ, is to

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

[NEA – The basic principles, page 4]

*Non-examination assessment policy* posted on the school website ([About Us – Governors and Policies](#)).

- 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 legacy GCSE qualifications follow JCQ [Instructions for conducting controlled assessments](#) and the specification provided by the awarding body
- Ensures teaching staff delivering legacy GCE unitised AS and A-level qualifications and Entry Level or Project qualifications follow JCQ [Instructions for conducting coursework](#) and the specification provided by the awarding body
- Ensures teaching staff delivering new GCE & GCSE specifications 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

### Exams officer

- Identifies relevant key dates and administrative processes that need to be followed in relation to internal assessment

## e) **Invigilation**

### **Head of centre**

- Ensures relevant support is provided in recruiting invigilators and to the EO, and the Administration Officer (exams), in training, and deploying, a team of invigilators respectively
- Determines if additional invigilators will be deployed in practical exams in addition to the subject teacher

### **Senior Leaders**

- Recruit 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

### **Administration Officer (exams)**

- Collects information on new recruits to identify if they have invigilated previously and if any current maladministration/malpractice sanctions are applied to them

## 5. **Entries: roles and responsibilities**

### a) **Estimated entries**

#### **Exams officer**

- Requests estimated or early entry information, where this may be required by awarding bodies, from Data Lead and HoDs in a timely manner to ensure awarding body external deadlines for submission can be met

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

- GCE and GCSE subject titles, unit titles, course and unit codes are collected from HoDs in September of the exam cycle
- Student numbers taking each course are collected from the Data Lead in September of the exam cycle
- Estimated entries are submitted using Awarding Bodies secure online websites by 10<sup>th</sup> October deadline

#### **Data Lead**

- Provides information requested by the EO to the internal deadline

#### **Head of department**

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

## **b) Final entries**

### **Exams officer**

- Requests final entry information from HoDs in a timely manner to ensure awarding body external deadlines for submission can be met
- Informs HoDs of subsequent deadlines for making changes to final entry information without charge
- Checks with HoDs that final entry information to be submitted to awarding bodies is correct
- Checks with individual students that their entry information to be submitted to awarding bodies is correct
- 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

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

- Private entries and resit information are collected from individual students in November
- The exam season and basedata are set up in December
- Private entries and resits are entered into the season on an individual basis in December
- Marksheets are created for each set and course in December showing expected individual entries
- Marksheets are passed to HoDs for checking and amending if necessary in January
- Individual Statements of Entry are passed to each student for checking of personal details and entries in mid-January and are amended if necessary
- Final entries are submitted by EDI in February before the 21<sup>st</sup> February deadline

### **Head of department**

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

**c) Exam entry fees**

- GCSE initial registration and entry exam fees are paid by the centre
- Modular AS/A2 and reformed A level initial registration and entry exam fees are paid by the centre
- Private candidates, accepted at the discretion of the Head of Centre, must pay all fees relating to their entry including invigilation costs and speaking examinations as appropriate
- Candidates or departments will not be charged for changes of tier, withdrawals made by the proper procedures or alterations arising from administrative processes, provided these are made before the time late fees are charged by the awarding bodies
- Late entries will be charged to departments or candidates as appropriate
- Reimbursement will be sought from candidates who fail to sit an exam or meet the necessary coursework requirements
- Retake fees for first and any subsequent retakes are paid by candidates
- Candidates must pay the fee for priority photocopies or return of an original script following release of results
- Candidates must pay the fee for an enquiry about a result, should the Centre not uphold the enquiry, and the candidate insist on pursuing the enquiry

**Exams officer**

- Has clear entry procedures in place to minimise the risk of late entries

**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

**d) Transfer of credit**

**Exams officer**

*"Arrangements for GCE AS candidates transferring between specifications or awarding bodies midway through a unitised GCE A-level course (having completed and certificated a GCE AS award)"*

[JCQ [GCE AS Transfer of Credit arrangements 2016/17](#)]

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

**Head of Sixth Form**

- Identifies affected candidates to the EO

**e) Candidate statements of entry**

**Exams officer**

- Provides candidates with statements of entry for checking

**Form tutors**

- 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

## 6. Pre-exams: roles and responsibilities

### a) 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 and their parents/guardians are involved in any decisions about arrangements, adjustments and /or adaptations that may be put in place for him/her
- Ensures exam information (JCQ information for candidates information, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it
- Allocates appropriately trained centre staff to facilitate access arrangements for candidates in exams and assessments

### b) Briefing candidates

#### Exams officer

- Issues individual exam timetable information to candidates
- Issues relevant JCQ and awarding body information to HoDs, teaching staff, or form tutors as appropriate for dissemination to candidates
- Issues other relevant JCQ and awarding body information to candidates in a briefing session
- Issues centre 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 centre
  - food and drink in exam rooms
  - when and how results will be issued and the staff that will be available
  - the post-results services and how the centre deals with requests from candidates
  - when and how certificates will be issued

## i) Access to scripts, enquiries about results and appeals procedures

*"The centre agrees to... have in place written procedures for how it will deal with candidates' access to scripts, enquiries about results and appeals to the awarding bodies and to ensure that details of these procedures are made widely available and accessible to all candidates. Candidates must be made aware of the arrangements for post-results services before they sit any examinations and the accessibility of senior members of centre staff immediately after the publication of results;"*  
[GR 5]

- Candidates will receive individual results slips on results days in person at the centre / by post to their home addresses (candidates to provide sae)
- Arrangements for the school to be open on results days are made by the head of centre
- The provision of staff on results days is the responsibility of the head of centre
- The centre certifies legacy subject AS grades at the end of year 12
- Enquiries about Results (EAR) may be requested by candidates via the EO if there are reasonable grounds for believing there has been an error in marking. Signed consent by candidates is mandatory for EAR services 1 or 2. If a result is queried, the EO, teaching staff and head of centre will investigate the feasibility of asking for a review of marking at the centre's expense. Advice regarding an EAR is available from the EO
- Candidates may also ask the EO to request a priority photocopy of a script, within three working days' of the results release date at their own expense, to help them decide whether to pursue an EAR service 2
- When the centre does not uphold an EAR service 2, a candidate may still apply to have an enquiry carried out as explained in the *Internal appeals procedures*. If a candidate requires this against the advice of subject staff, they will be charged
- EAR service 3 may be requested by HoDs if there are reasonable grounds for believing there has been an error in external moderation. Signed consent by candidates is not required. EAR service 3 is at the discretion of the head of centre and is at the expense of the centre
- Candidates or centre staff may request copies of the original scripts, at their own or departmental expense respectively, for help with retakes or for teaching purposes. For the latter, the signed consent of candidates must be obtained. Requests for copies of original scripts prohibit any subsequent EAR for that paper and must be requested by 21<sup>st</sup> September via the EO
- the accessibility of senior members of centre staff for discussion of any of the above is contained in a letter that accompanies individual results slips

*Internal appeals procedures* posted on the school website  
(<https://strschool.co.uk/about/governors>).

## c) Dispatch of exam scripts

### Exams officer

- Identifies and confirms arrangements for the dispatch of candidate exam scripts with the DfE 'yellow label service' or the awarding body where qualifications sit outside the scope of the service

## **d) Estimated grades**

### **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

## **e) Internal assessment**

### **Head of centre**

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

### **SENCO**

- Ensures teaching staff implement appropriate access arrangements for candidates undertaking internal assessments

### **Assistant SENCO**

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

### **Teaching staff**

- Support the SENCO in implementing appropriate access arrangements for candidates undertaking internal assessments
- Ensure candidates are informed of internal assessment decisions prior to marks being submitted to awarding bodies

### **Head of department**

- Ensures teaching staff provide marks for internally assessed components of qualifications to the internal deadline
- Ensures teaching staff authenticate candidates' work to the awarding body requirements
- Ensures teaching staff provide required samples of work for moderation to the internal deadline
- Submits marks and samples to awarding bodies/moderators to meet the external deadline

### **Exams officer**

- Ensures marks and samples are submitted to awarding bodies/moderators to meet the external deadline
- 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



## f) Invigilation

### Exams officer

- Briefs invigilators on invigilation requirements
- Ensures invigilators are deployed effectively to exam rooms throughout an exam series according to the required ratios (including the provision of a roving invigilator to check the rooms where a candidate and invigilator are accommodated on a 1:1 basis)
- Liaises with the Assistant SENCO regarding the facilitation and invigilation of access arrangement candidates

### Administration Officer (exams)

- Deploys invigilators effectively to exam rooms throughout an exam series according to the required ratios (including the provision of a roving invigilator to check the rooms where a candidate and invigilator are accommodated on a 1:1 basis)

### SENCo

- Ensures the facilitation and invigilation of access arrangement candidates is carried out

### Invigilators

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

## g) JCQ inspection visit

### Exams officer or Senior leader

- Accompanies *“the Inspector **throughout** the course of his or her centre visit, including inspection of the centre’s secure storage facility.”* [[ICE](#) Introduction]

## h) Seating and identifying candidates in exam rooms

### Exams officer

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

### i) Verifying candidate identity procedure

*“The centre agrees to... have in place **written** procedures to verify the identity of **all** candidates at the time of the examination or assessment;”*

[[GR](#) 5]

- Internal candidates wear full school uniform into exam venues
- Heads of Year and/or Senior Management Team visually verify the identity of internal candidates
- EO/Invigilators verify the identity of private (external) candidates using the candidates’ photographic ID such as a valid driving licence or passport

- 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

## **i) Security of exam materials**

### **Exams officer**

- Has a process in place to log confidential materials delivered to the centre 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 log confidential materials delivered to the centre and issued to authorised staff

### **Teaching staff**

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

## **j) Timetabling and rooming**

### **Exams officer**

- Produces a master centre exam timetable for each exam series
- Identifies and resolves candidate exam clashes
- Identifies exam rooms and specialist equipment requirements
- Ensures invigilators are allocated to exam rooms according to required ratios
- Liaises with site staff to ensure exam rooms are set up according to JCQ and awarding body requirements
- Liaises with the SENCO/Assistant SENCO regarding rooming of access arrangement candidates

### **SENCO/Assistant SENCO**

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

### **Site staff**

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

## **k) Transferred candidate arrangements**

### **Exams officer**

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

## l) Internal exams

### Assistant Timetabler

- Provides a centre exam timetable of subjects and rooms

### Administration Officer (exams)

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

### SENCO/Assistant SENCO

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

### Teaching staff

- Provide exam papers and materials to the Administration Officer (exams) by the internal deadline
- Support the SENCO/Assistant SENCO in making appropriate arrangements for access arrangement candidates

Further information on the timing and assessment of internal examinations can be found in the Assessment, Recording and Reporting Policy ([About Us – Governors and Policies](#)).

## 7. Exam time: roles and responsibilities

### a) 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

### b) Candidate absence

#### i) Candidate absence policy

**"Advice:** it is good practice for a centre to have a policy for late and absent candidates.

Invigilators **must** be made aware of this policy."

[ICE14]

- Candidate numbers and name cards on unoccupied desks are checked against individual venue examination registers by invigilators to confirm absence
- Absentees are reported to the EO and Head of Year/Senior Management team who pass the names on to reception staff
- Reception staff phone parents/guardians to determine the reason for absence or whether the candidate is late
- In the event of confirmed absence, the invigilators and EO are informed and the candidate is recorded as absent on the attendance register
- In the event of absence due to illness, the parents/guardian are asked to arrange for appropriate information to be sent to the EO so that Special Consideration may be considered and, if appropriate, applied for
- In the event the candidate is late, reception staff detain the candidate on arrival and inform the EO who will deal with the situation in accordance with JCQ *Instructions for Conducting*

Examinations and awarding body regulations for late/very late candidates (see *Candidate late arrival 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

## **c) Candidate behaviour**

See *Irregularities* below.

## **d) Candidate belongings**

See *Unauthorised materials* below.

## **e) 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

## **i) Candidate late arrival policy**

**"Advice:** it is good practice for a centre to have a policy for late and absent candidates.

Invigilators **must** be made aware of this policy.

**Advice:** Centres should have their own internal procedures for dealing with candidates who persistently arrive late for examinations.

The exams officer may need to liaise with a senior member of staff who has pastoral responsibilities."

[ICE14]

- In the event that a candidate is late, reception staff detain the candidate on arrival and inform the EO who will deal with the situation in accordance with JCQ *Instructions for Conducting Examinations (Section 14)* or CIE awarding body regulations as appropriate for candidates defined therein as 'late'/'very late'
- Candidates considered 'late' will be briefed and escorted into the venue by the EO and will be allowed the full time for the examination
- Candidates considered 'very late' will be allowed to sit the examination *if possible* but will be warned that the awarding body may not accept their work. A report will be submitted to the awarding body by the EO in accordance with JCQ *Instructions for Conducting Examinations (Section 14)* or CIE awarding body regulations as appropriate. If permitted to sit the candidate will be briefed and escorted into the venue by the EO and will be allowed the full time for the examination
- Persistently late candidates will be referred to the Head of Centre

## **f) 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

## **g) Dispatch of exam scripts**

### **Exams officer**

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

## **h) 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
- 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

## **i) Exam rooms**

### **Head of centre**

- Ensures only approved centre staff are present in exam rooms
- Ensures information relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates

## i) Food and drink in exam rooms

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

[ICE 11]

- No food is permitted in an examination room during an examination, except in the case of a diabetic student who may have a sugary food such as some biscuits or chocolate
- A non-sugary drink, sugary in the case of a diabetic student, is permitted in a clear see-through container free from packaging and labels

### Exams officer

- Ensures exam rooms are set up as required in JCQ/awarding body regulations
- Provides invigilators with appropriate resources to effectively conduct exams
- Briefs invigilators on exams to be conducted on a session by session basis
- Ensures sole invigilators have an appropriate means of summoning assistance
- 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

## ii) Emergency evacuation policy

*"...You **must** have a **written** centre policy for dealing with an emergency evacuation of the examination room, which will be subject to inspection by the JCQ Centre Inspection Service."*

[ICE18]

- A copy of the centre's **Emergency evacuation procedure** is contained as a loose sheet inside the JCQ booklet *Instructions for conducting examinations*
- Invigilators are trained in this procedure and understand the actions they must take in the event of a fire alarm or other emergency that leads to an evacuation of the exam room

**Emergency evacuation procedure** is available to all staff and for inspection on request. For safety reasons, it is not posted on the school website.

### Site staff

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

### Invigilators

- Conduct exams in every exam room 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 unless an emergency evacuation occurs

## **j) Irregularities**

### **Head of centre**

- Ensures any cases of suspected malpractice (by centre staff, candidates, invigilators) are investigated and reported to the awarding body as required
- The head of centre has the authority to remove a candidate from the examination room, but should only do so if the candidate would disrupt others by remaining in the room [\[ICE17\]](#)

### **Senior leaders**

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

### **Exams officer**

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

### **Invigilators**

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

## **k) Malpractice**

*See Irregularities above.*

## **l) 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

### **i) Special consideration procedure**

- |  |
|--|
| <ul style="list-style-type: none"><li>• Should a candidate be too ill to sit an exam, suffer bereavement or other trauma or be taken ill during the exam itself, it is the candidate's responsibility to alert the centre, or the exam invigilator, to that effect</li><li>• Any special consideration claim must be supported by appropriate evidence within five days of the exam, for example a letter from the candidate's doctor</li><li>• The exams officer will then apply for special consideration online to the relevant awarding body within seven days of the candidate's final exam</li></ul> |
|--|

### **Candidates**

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

## m) **Unauthorised materials**

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

*"...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."*

*"Advice: You may wish to ask candidates to place their watches on their desk in sight of the invigilator prior to the examination commencing."* [ICE11]

- Unauthorised materials such as iPod, mobile phones, MP3/4 players, smartwatches, and any potential technological/web enabled sources of information should not be brought into exam venues. Their possession is considered a serious offence and could result in disqualification from an examination and overall qualification
- Part of the briefing before every examination is to remind candidates of the above, that they should check their pockets in case they have a prohibited item in their possession that they might have forgotten about, and that such equipment must be switched off and handed in to an invigilator
- Items handed in are stored at the front of the exam venue
- Watches should be placed on the candidates' desks in sight of the invigilator prior to the examination commencing
- It is the candidates' responsibility to collect items handed in at the end of the examination
- Any uncollected items are handed in to lost property

#### **Invigilators**

- Are informed of the arrangements through training

## n) **Internal exams**

#### **Administration officer (exams)**

- The administration officer (exams) briefs invigilators on conducting internal exams
- Invigilators return candidate scripts to the staff room for teaching staff to collect for marking

#### **Invigilators**

- Conduct internal exams as briefed by the administration officer (exams)



## 8. Results and post-results: roles and responsibilities

### a) 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

### b) Managing results day(s)

#### Head of Centre

- Ensures results are downloaded, imported and individual statements of results are produced the day before results days
- Ensures candidates will receive individual statements of results on results days in person at the centre/by post to their home addresses (candidates to provide sae)
- Arranges for the school to be open on results days
- Arranges for the provision of staff on results days to distribute results to candidates and offer advice as may be needed

#### Senior leaders

- Ensures senior members of staff are accessible to candidates after the publication of results

#### Network manager/Data Lead

- Downloads and imports results and produces 2 copies of individual results, 1 for distribution to candidates and 1 for school records, are produced the day before results days

#### Exams officer

- Works with senior leaders to ensure procedures for managing the main summer results day(s) (a results day programme) are in place
- Is available for discussion of enquiries about results

#### Site staff

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

### c) Accessing results

#### Network manager/Data Lead

- Accesses results from awarding bodies under restricted release of results, where this is provided by the awarding body

#### Exams officer

- Informs candidates in advance of when and how results will be released to them
- Resolves any missing or incomplete results with awarding bodies
- Ensures statements of results are issued to candidates on results dates
- Provides summaries of results for relevant centre staff

## d) Post-results services

### Head of centre

- Ensures **internal appeals procedures** are available where candidates disagree with a centre decision
  - not to support an enquiry about results
  - not to appeal against the outcome of an enquiry about results

(Ofqual has announced a series of changes to reviews of marking and appeals which may affect the centre's internal appeals procedures during 2016/17)

### Exams officer

- Provides information to candidates and staff on the services provided by awarding bodies and the fees charged (see also above *Briefing candidates* and *Access to scripts, enquiries about results and appeals procedures*)
- Publishes internal deadlines for requesting the services to ensure the external deadlines can be effectively met
- Provides a process to record requests for services and collect candidate informed consent and fees where relevant
- Submits requests to awarding bodies to meet the external deadline
- Tracks requests to conclusion and informs candidates and relevant centre staff of outcomes
- Updates centre results information, where applicable

### Teaching staff

- Meet internal deadlines to request the services
- Identify the budget to which fees should be charged

### Candidates

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

## e) Analysis of results

### Data Lead

- 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 September checking exercise*

## f) **Certificates**

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

### i) **Issue of certificates procedure**

- EO checks certificates following successful enquiries about results are correct and returns any necessary for replacement by awarding bodies
- Administration Officer (exams) collates and distributes certificates from the awarding bodies
- Certificates are posted (recorded delivery) or collected and signed for
- Certificates are not withheld from candidates who owe fees

### **Candidates**

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

### ii) **Retention of certificates policy**

- The centre retains certificates for six years after which they are archived

## 9. **Review: roles and responsibilities**

### **Exams officer**

- Provides SMT 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

### **Senior leaders**

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

## 10. **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

## 11. **Beyond the scope of this policy**

The following required policies are considered beyond the scope of the exams policy but should be read in conjunction with this policy. All of these can be found on the school website at ([About Us – Governors and Policies](#)).

**Child Protection and Safeguarding Policy**

**Data protection policy**

**Staff Recruitment and Selection Policy**