

Exams Policy 2023–24

For the attention of: All Staff
Produced by: Group Exams Manager
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Vision, Purpose & Values

Our Vision

Our students will be recognised locally & nationally for their positive impact on the communities and industries in which they choose to work.

Our Purpose

To inspire our students to gain the skills, knowledge and behaviours they need to be resilient and thrive in an ever-changing world.

Our Values

Excellence: A culture of creativity, high expectations, ambition and aspiration

Respect: Showing fairness, courtesy and mutual respect to each other and our environment

Integrity: Honesty, openness and trust at the heart of College life

Diversity: Celebrating diversity and inclusivity as a key to our success

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1. Key Staff Involved in the Policy

Role
Head of Centre
Principal Sixth Form
Principal FE
Group Exams Manager
Exams Office Staff
Head of ALS FE
Manager ALS Sixth Form

2. Purpose of the Policy

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

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

This policy will be communicated to all relevant centre staff via the Staff Intranet.

3. Roles and Responsibilities Overview

The head of centre is the individual who is accountable to the awarding bodies for ensuring that the centre is always compliant with the published JCQ regulations and awarding body requirements to ensure the security and integrity of the examinations/assessments. This individual must have the authority to

deploy the necessary resources to ensure that the centre is always compliant in meeting those published JCQ regulations and awarding body requirements.

Heads of centre must ensure that senior leadership teams and exam office personnel familiarise themselves with the entire contents of JCQ General Regulations for Approved Centres booklet. In particular, heads of centre must familiarise themselves with sections 5.1, 5.3 and 5.4.

Heads of centre must ensure that relevant members of staff respond promptly to requests for information from awarding bodies relating to the administration and conducting of examinations/assessments. ([GR, section 1](#))

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

***The headteacher/Principal on site (the head of centre)** may not appoint themselves as the examinations officer. A head of centre and an examinations officer are two distinct and separate roles.*

The head of centre and/or examinations officer may operate across more than one centre. In such cases the head of centre must ensure there is suitable senior leadership team support in place, so they can meet their obligations across all centres for which they are responsible. The head of centre must ensure that these arrangements are covered by their examination contingency plan. ([GR, section 2](#))

Head of Centre

Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:

- [General regulations for approved centres](#) (GR)
- [Instructions for conducting examinations](#) (ICE)
- [Access Arrangements and Reasonable Adjustments](#) (AA)
- [Suspected Malpractice in Examinations and Assessments](#) (SMEA)
- [Instructions for conducting non-examination assessments](#) (NEA) (and the [instructions for conducting coursework](#))

Ensures the centre has appropriate accommodation to support the size of the cohorts being taught including appropriate accommodation for candidates requiring access arrangements for exams and assessments.

Takes responsibility for responding to the National Centre Number Register annual update (administered on behalf of the JCQ member awarding bodies by OCR ocr.org.uk/administration/stage-1-preparation/ncn-annual-update/) by the end of October each year confirming they are both aware of and adhering to the latest version of the JCQ regulations and signs and returns the head of centre's declaration which is then kept on file for inspection purposes.

- The Head of Centre Declaration is available on the exams page of the staff intranet below:
- <https://drive.google.com/drive/folders/1NNi7ghRM3MwM8buSNAX3Wp5gEzD>
WzCLT this is a link to policies
- Ensures the Exams office staff (EO) receives appropriate support from relevant centre staff and enables the EO to attend appropriate training and other events in order to facilitate the effective delivery of exams and assessments within the centre (as example, EO networking events and relevant events offered by awarding bodies, MIS providers and other external providers)
- Ensures a named member of staff acts as the Special Educational Needs Co-ordinator (SENCo)
- 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 timetabled written examination or on-screen test..."* [ICE 12]
- Ensures confidentiality and security within the examination process is compliant with and managed according to JCQ and awarding body regulations, guidance and instructions including
 - the location of the centre's secure storage facility in a secure room solely assigned to examinations for the purpose of administering secure examination materials
 - appropriate arrangements are in place to ensure that confidential materials are only delivered to authorised members of centre staff
 - access to the secure room and secure storage facility is restricted to the authorised 2-4 keyholders
 - the relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk
 - that arrangements are in place to check that the correct question paper packets are opened by authorised members of centre staff

- Takes all reasonable steps to prevent the occurrence of any malpractice (which includes maladministration) before, during the course of and after examinations have taken place
- Ensures irregularities are investigated and informs the awarding bodies of any cases of alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, are reported to the awarding body immediately
- Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place (that allow the head of centre to act immediately in the event of an emergency or staff absence)
 - *The Exams contingency plan is available on the exams page of the staff intranet below:*
 - <https://drive.google.com/drive/folders/INNi7ghRM3MwM8buSNAX3Wp5gEZDWzclT>
- Ensures required internal appeals procedures are in place and drawn to the attention of candidates and (where relevant) their parents/carers
 - *The Exams internal appeals procedure is available on the exams page of the staff intranet below:*
 - <https://drive.google.com/drive/folders/INNi7ghRM3MwM8buSNAX3Wp5gEZDWzclT>
 - *It is also available to Students on the centre's website*
- Ensures the centre's disability policy demonstrating the centre's compliance with relevant legislation is in place and details the processes followed in respect of identifying the need for, requesting and implementing access arrangements
 - *The Disability Policy relating to exams is available on the exams page of the staff intranet below:*
 - <https://drive.google.com/drive/folders/INNi7ghRM3MwM8buSNAX3Wp5gEZDWzclT>
- Ensures a *complaints and appeals procedure* covering general complaints regarding the centre's delivery or administration of a qualification is in place and drawn to the attention of candidates and their parents/carers
 - *The complaints and appeals procedure is available on the centre's website below:*
 - <https://www.windsor-forest.ac.uk/contact/>
- Ensures the centre has a child protection/safeguarding policy in place, including Disclosure and Barring Service (DBS) clearance, which satisfies current legislative requirements
 - *The child protection/safeguarding policy is available on the Staff intranet below:*

- https://drive.google.com/drive/folders/1agZR9j4WwFH_3QHbMOOawa28JG6aDdmO
- Ensures the centre has a data protection policy in place that complies with General Data Protection Regulation and Data Protection Act 2018 regulations
 - *The data protection policy is available on the staff intranet below:*
 - https://drive.google.com/drive/folders/1HOFWD3u5CqAz_IU0QfwyDLYZwcsasF5/
- Ensures the centre has documented processes in place relating to access arrangements and reasonable adjustments
 - *These processes are available on the exams page of the staff intranet below:*
 - https://drive.google.com/drive/folders/1HOFWD3u5CqAz_IU0QfwyDLYZwcsasF5/
- Ensures members of centre staff do **not** forward e-mails and letters from awarding body or JCQ personnel without prior consent to third parties or upload such correspondence onto social media sites and applications
- Ensures members of centre staff do **not** advise parents/candidates to contact awarding bodies/JCQ directly nor provide them with addresses/email addresses of awarding body examining/assessment or JCQ personnel

Exams Office Staff

- 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 \(PRS\)](#)
- Are familiar with the contents of annually updated information from awarding bodies on administrative procedures, key tasks, key dates and deadlines
- Ensures key tasks are undertaken and key dates and deadlines met
- Recruits, trains and deploys a team of internal/external invigilators; appoints lead invigilators, as required and keeps a record of the content of training provided to invigilators for the required period
- Supports the head of centre in ensuring that awarding bodies are informed of any declaration/conflict of interest involving candidates and relevant members of centre staff before the published deadline for entries
- Briefs other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials on the requirements for maintaining the integrity and confidentiality of the exam materials

Senior Leaders (SLT)

- Are familiar with the contents, refer to and direct relevant centre staff to annually updated JCQ publications including:
 - [General regulations for approved centres](#)
 - [Instructions for conducting examinations](#)
 - [Access Arrangements and Reasonable Adjustments](#)
 - [Suspected Malpractice in Examinations and Assessments](#)
 - [Instructions for conducting non-examination assessments](#) (and the [instructions for conducting coursework](#))

Head/Managers of ALS

- Are familiar with the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:
 - [Access Arrangements and Reasonable Adjustments](#)
- Lead on the access arrangements and reasonable adjustments process (referred to in this policy as 'access arrangements')
- If not the qualified access arrangements assessor, works with the person appointed, on all matters relating to assessing candidates and ensures the correct procedures are followed
- Presents when requested by a JCQ Centre Inspector, evidence of the assessor's qualification

Assistant Principals, Directors and Heads 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 Director of ALS
- Ensures teaching staff keep themselves updated with awarding body subject and teacher-specific information to confirm effective delivery of qualifications
- Ensures teaching staff attend relevant awarding body training and update events

Teaching Staff

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

Invigilators

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

Reception Staff

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

Estates Staff

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

Candidates

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

4. 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.

INFORMATION SHARING

Head of Centre

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

Exams Office Staff

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

INFORMATION GATHERING

Exams Office Staff

- 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 Principals, Directors and Heads of Department (HoD)

- 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

Head of centre

- Ensures there is appropriate accommodation for candidates requiring access arrangements in the centre for all examinations and assessments
- Ensures a written process is in place to not only check the qualification(s) of the appointed assessor(s) (Recruitment and Selection procedure can be found in staff links <https://drive.google.com/drive/u/0/search?q=recruitment%20policy>) but that the correct procedures are followed as per Chapter 7 of the JCQ publication Access Arrangements and Reasonable Adjustments. Requirements are:

Extract from JCQ Requirements

- an access arrangements assessor who has successfully completed a post-graduate course at or equivalent to Level 7, including at least 100 hours relating to individual specialist assessment†. An access arrangements assessor may conduct assessments to be recorded within Part 2 of Form 8; and/or
- †The reference to at least 100 hours relating to individual specialist assessment would include lecture, seminar and tutorial time, study time, assessment time and time spent completing assignments. Courses which are accredited at AMBDA or APC Level would meet this requirement, as would post-graduate courses at or equivalent to Level 7 which provide a qualification in access arrangements assessment.
- a specialist teacher assessor with a current SpLD Assessment Practising Certificate, as awarded by BDA, the Dyslexia Guild or Patoss and listed on the SASC website, who may conduct assessments to be recorded within Part 2 of Form 8 and where necessary undertake full diagnostic assessments; and/or
 - an appropriately qualified psychologist registered with the Health & Care Professions Council who may conduct assessments to be recorded within Part 2 of Form 8 and where necessary undertake a full assessment.
- 7.3.4 An access arrangements assessor must have successfully completed a post-graduate course at or equivalent to Level 7, including at least 100 hours relating to individual specialist assessment, which must include training in all of the following:
- the theoretical basis underlying psychometric tests, such as the concepts of validity and reliability; standard deviations and the normal curve; raw scores, standard scores, quotients, percentiles and age equivalent scores; the concept of statistically significant discrepancies between scores; standard error of measurement and confidence intervals;
 - the appropriate use of nationally standardised tests for the age group being tested;
 - the objective administration of attainment tests which can be administered individually. This must include tests of reading accuracy, reading comprehension, reading speed and spelling. Appropriate methods of assessing writing skills, including speed, must also be covered;
 - the appropriate selection and objective use of tests of cognitive skills (see paragraph 7.5.11);
 - the ethical administration of testing including the ability to understand the limitation of their own skills and experience, and to define when it is necessary to refer the candidate to an alternative professional.

- Ensures the Head of ALS and managers are fully supported in effectively implementing access arrangements and reasonable adjustments once approved

Head of ALS

- Assesses candidates (or works with the appropriately qualified assessor as appointed by the head of centre) to identify access arrangements requirements
- Gathers **evidence** to support the need for access arrangements for a candidate
- Liaises with teaching staff to gather evidence of **normal way of working** of an affected candidate
- Determines candidate eligibility for arrangements or adjustments that are centre-delegated
- Gathers signed **data protection notices** from candidates where required
- Works with the exams office staff to obtain **approval** through *Access arrangements online* (AAO) via the Centre Admin Portal (CAP), where required

or through the awarding body where qualifications sit outside the scope of AAO

- Keeps 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) and keeps a record of the content of training provided to facilitators for the required period
- Provides and annually reviews a centre policy on the **use of word processors** in exams and assessments

INTERNAL ASSESSMENT AND ENDORSEMENTS

Head of Centre

- Provides fully qualified teachers to mark non-examination assessments
- Ensures an **internal appeals procedure** relating to internal assessment decisions is in place for a candidate to appeal against and request a review of the centre's marking.

The Internal appeals procedure is available on the exams page of the staff intranet below:

<https://drive.google.com/drive/folders/1NNi7ghRM3MwM8buSNAX3Wp5gEZDWzCLT>

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

The non-examination assessment policy is available on the exams page of the staff intranet below:

<https://drive.google.com/drive/folders/1NNi7ghRM3MwM8buSNAX3Wp5gEZDWzCLT>

- Ensures any irregularities relating to the production of work by candidates are investigated and dealt with internally if discovered prior to a candidate signing the authentication statement (where required) or reported to the awarding body if a candidate has signed the authentication statement

Assistant Principals and Directors

- Ensure teaching staff have the necessary and appropriate knowledge, understanding, skills, and training to set tasks, conduct task taking, and to

assess, mark and authenticate candidates' work (including where relevant, private candidates)

- Ensure appropriate internal moderation, standardisation and verification processes are in place

Head of Department

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

Teaching staff

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

Exams Office Staff

- Identifies relevant key dates and administrative processes that need to be followed in relation to internal assessment
- Signposts teaching staff to relevant JCQ *information for candidates* documents that are annually updated

INVIGILATION

Head of Centre

- Ensures relevant support is provided to the EO in recruiting, training and deploying a team of invigilators

- Ensures, if contracting supply staff to act as invigilators 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 to ensure the supervision of candidates is maintained at all times

Exams Office Staff

- Recruits additional invigilators where required to effectively cover all exam periods/series' throughout the academic year
- Provides a training event for new invigilators on the instructions for conducting exams and an annual update event for the existing invigilation team so that they are aware of any changes.
- Ensures invigilators supervising access arrangement candidates understand their role (and the role of a facilitator who may be supporting a candidate) and the rules and regulations of the access arrangement(s)
- Ensures invigilators are briefed on the access arrangement candidates in their exam room (and that these candidates are identified on the seating plan) and confirms invigilators understand what is and what is not permissible
- Collects evaluation of training to inform future events

ESTIMATED ENTRIES

Exams Office Staff

- Requests estimated or early entry information, where this may be required by awarding bodies, from HoDs in a timely manner to ensure awarding body external deadlines for submission can be met
- Makes candidates aware of the JCQ Information for candidates – Privacy Notice at the start of a vocational qualification or when entries are being processed for a general qualification

Head of Department

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

FINAL ENTRIES

Exams Office Staff

- Requests final entry information from HoDs in a timely manner to ensure awarding body external deadlines for submission can be met
- Informs HoDs of subsequent deadlines for making changes to final entry information without charge

- Confirms with HoDs final entry information that has been submitted to awarding bodies
- Ensures as far as possible that entry processes minimise the risk of entries or registrations being missed reducing the potential for late or other penalty fees being charged by awarding bodies

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:
 - amendments to existing entries
 - withdrawals of existing entries
- Checks final entry submission information provided by the EO and confirms information is correct

LATE ENTRIES

Exams Office Staff

- 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

RE-SIT ENTRIES

Exams Office Staff

- Implement and charge for resits where applicable. The College reserves the right to apply this when a student is re-sitting following a failure, attempting to improve grades or resitting due to previous failure to attend.
- Fees will normally be charged at the same rate as the awarding body.
- Depending on arrangements a further administration fee of £25 may be applied to each candidate.

EPA Resits, see End Point Assessments section below

EXTERNAL EXAM CANDIDATES

Exams Office Staff

- Accept and process GCE and GCSE External applicants as below:

<https://drive.google.com/drive/folders/INNi7ghRM3MwM8buSNAX3Wp5gEZDWzcl>
I

END POINT ASSESSMENTS

Apprenticeship End Point Assessment costs:

The cost of an End Point Assessment (EPA) for Apprenticeship standards will have already been accounted for within the learner's funding. The cost on the first EPA assessment is paid directly to the End Point Assessment Organisation (EPAO) by the college.

Apprenticeship End Point Assessment resit costs:

In the event an apprentice failing their full End Point Assessment (EPA), or part of the End Point Assessment, the resit cost will not be paid by the centre. This resit cost would need to be paid by the employer or the apprentice. All apprenticeship standards come with different resit costs which will be discussed with employers and apprentices.

The centre would only be willing to pay the re-sit cost in exceptional circumstances, dependent on EPAO feedback and reasoning.

Appealing End Point Assessment results and cost:

All feedback received from the EPAO will be reviewed by the apprentice's assessor, relevant curriculum team members and the Head of Apprenticeships. Should the apprentice and those mentioned feel the grade given by the EPAO is not appropriate then the college can appeal this grade directly with the EPAO.

Dependent on the feedback, and reasoning for appeal the cost of paying for the re-sit cost will be discussed and decided.

If the apprentice or employer wish to appeal the final End Point Assessment grading, irrespective of college feedback the appeals cost will not be paid by the college. This appeals cost would need to be paid by the employer or the apprentice. All apprenticeship standards come with different appeals costs which will be discussed with employers and apprentices.

Exams office staff

- Liaise with the EPA coordinator and HOD to ensure entries are made timely
- Liaise with the EPA coordinator and HOD to ensure EPAs are conducted in line with the EPAO and awarding body's regulations
- Liaise with the EPA coordinator and HOD to manage any resit costs

TRANSFER OF GCE AS CREDIT

Exams Office Staff

- Provides information to relevant centre staff/candidates on transferring credit for a GCE AS award between specifications and/or awarding bodies

- Meets the awarding body deadline for requesting transfer of credit

Teaching staff

- Identify any affected candidates to the EO prior to the internal deadline set by the EO

CANDIDATE STATEMENTS OF ENTRY

Exams Office Staff

- 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

ACCESS ARRANGEMENTS

Head/managers of ALS

- Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access to exams/assessments for candidates where they are disabled within the meaning of the Equality Act (unless a temporary emergency arrangement is required at the time of an exam)
- Ensures a candidate is involved in any decisions about arrangements, adjustments and /or adaptations that may be put in place for him/her
- Ensures exam information (JCQ information for candidates information, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it
- Allocates appropriately trained centre staff to facilitate access arrangements for candidates in exams and assessments (ensuring that the facilitator appointed meets JCQ requirements and fully understands the rule of the particular access arrangement)
- Where relevant, ensures the necessary and appropriate steps are undertaken to gather an appropriate picture of need and demonstrate normal way of working for a private candidate (including distance learners and home educated candidates) and that the candidate is assessed by the centre's appointed assessor

BRIEFING CANDIDATES

Exams Office Staff

- Issues individual exam timetable information to candidates and informs candidates of any contingency day awarding bodies may identify in the event of national or local disruption to exams
- Prior to exams issues relevant JCQ information for candidates documents
- Where relevant, issues relevant awarding body information to candidates
- Issues centre exam information to candidates including information on:
 - exam timetable clashes
 - arriving late for an exam
 - absence or illness during exams
 - what equipment is/is not provided by the centre
 - exam day instructions
 - food and drink in exam rooms
 - wrist watches in exam rooms
 - when and how results will be issued and the staff that will be available
 - the post-results services and how the centre deals with requests from candidates
 - when and how certificates will be issued

DISPATCH OF EXAM SCRIPTS

Exams Office Staff

- 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

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 Office Staff

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

INTERNAL ASSESSMENT AND ENDORSEMENTS

Head of Centre

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

Director of ALS

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

Teaching Staff

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

Head of Department

- 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 Office Staff

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

Candidates

- Authenticate their work as required by the awarding body

INVIGILATION

Exams Office Staff

- Provides an annually reviewed/updated invigilator handbook to invigilators, trains new invigilators on appointment and updates experienced invigilators annually
- Deploys invigilators effectively to exam rooms throughout an exam series (including the provision of a roving invigilator where a candidate and invigilator [acting as a practical assistant, reader or scribe] are

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

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

Head /managers of ALS

- 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

JCQ INSPECTION VISIT

Exams Office Staff or Senior Leader

Will accompany the Inspector throughout the visit

"It is the responsibility of the head of centre to ensure that his/her centre...allows all venues used for examinations and assessments, paperwork and secure storage facilities to be open to inspection. (JCQ Centre Inspectors will identify themselves with a photo ID card.) The Inspector must be accompanied throughout his/her tour of the premises, including inspection of the centre's secure storage facility" [[ICE 5](#)]

Head /managers of ALS or relevant **Senior leader** (in the absence of the Director of ALS)

Will meet with the inspector when requested to provide documentary evidence regarding access arrangement candidates and address any questions, the inspector may raise.

SEATING AND IDENTIFYING CANDIDATES IN EXAM ROOMS

Exams Office Staff

- Ensures a procedure is in place to verify candidate identity including private candidates
- Ensures invigilators are aware of the procedure

- Provides seating plans for exam rooms according to JCQ and awarding body requirements (and ensures candidates with access arrangements are identified on the seating plan)

Invigilators

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

SECURITY OF EXAM MATERIALS

Exams Office Staff

- Has a process in place to demonstrate the receipt, secure movement and secure storage of confidential exam materials within the centre
- Ensures a log is kept at the initial point of delivery recording confidential materials received and signed for by authorised staff within the centre and that appropriate arrangements are in place for confidential materials to be placed in the secure storage facility
- Ensures the secure storage facility contains only current and live confidential material (including live confidential exam stationery provided by the awarding body for the use of candidates in their assessment)

Reception Staff

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

Teaching Staff

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

TIMETABLING AND ROOMING

Exams Office Staff

- Produces a master centre exam timetable for each exam series
- Identifies and resolves candidate exam timetable clashes according to the regulations (only applying overnight supervision arrangements in rare and exceptional circumstances and as a last resort)
- Identifies exam rooms and specialist equipment requirements
- Allocates invigilators to exam rooms (or where supervising candidates due to an exam timetable clash) according to required ratios
- Liaises with Estates Staff to ensure exam rooms are set up according to JCQ and awarding body requirements

- Liaises with the Head/managers of ALS regarding rooming of access arrangement candidates

Head/managers of ALS

- 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

Estates Staff

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

ALTERNATIVE SITE ARRANGEMENTS

Exams Office Staff

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

CENTRE CONSORTIUM ARRANGEMENTS

Exams Office Staff

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

Head of Department

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

TRANSFERRED CANDIDATE ARRANGEMENTS

Exams Office Staff

- Liaises with the host or entering centre, as required
- Processes requests for *Transferred Candidate arrangements* through CAP to the awarding body deadline (or through the awarding body where a qualification may sit outside the scope of CAP)

- Where relevant (for an internal candidate) informs the candidate of the arrangements that have been made for their transferred candidate arrangements

ACCESS ARRANGEMENTS

Exams Office Staff

- 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

ABSENT CANDIDATES

Invigilators

- Are informed of the policy/process for dealing with absent candidates through training
- Ensure that confirmed absent candidates are clearly marked as such on the attendance register and seating plan

Candidates

- Are re-charged relevant entry fees for unauthorised absence from exams

CANDIDATE BEHAVIOUR

See *Irregularities* below.

CANDIDATE BELONGINGS

See *Unauthorised materials* below.

CANDIDATE LATE ARRIVAL

Exams Office Staff

- Ensures that candidates who arrive very late for an exam are reported to the awarding body through CAP to timescale
- 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

CONDUCTING EXAMS

Head of Centre

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

Exams Office Staff

- 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 Office Staff

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

EXAM PAPERS AND MATERIALS

Exams Office Staff

- Organise exam question papers and associated confidential resources in date order in the secure storage facility
- Attach erratum notices received to relevant exam question paper packets
- Collate attendance registers and examiner details in date order
- Regularly checks mail or email inbox for updates from awarding bodies
- In order to avoid potential breaches of security, ensures prior to question paper packets being opened that another member of staff or an invigilator checks day, date, time, subject, unit/component and tier of entry if appropriate, immediately before a question paper packet is opened
- Where allowed by the awarding body, only releases exam papers and materials to teaching departments for teaching and learning purposes after the published finishing time of the exam, or until any timetable clash candidates have completed the exam

EXAM ROOMS

Head of Centre

- Ensures that on the day of the exam, relevant internal tests, mock exams, revision or coaching sessions for the exam candidates will not be held in the designated exam room(s)
- Ensures only authorised centre staff are present in exam rooms
- Ensures the centre's policy relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates

Exams Office Staff

- Ensures exam rooms are set up and conducted as required in the regulations
- Provides invigilators with appropriate resources to effectively conduct exams
- Briefs invigilators on exams to be conducted on a session by session basis (including the arrangements in place for any transferred candidates and access arrangement candidates)
- Ensures sole invigilators have an appropriate means of summoning assistance
- 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

Estates 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

IRREGULARITIES

Head of Centre

- Ensures any cases of alleged, suspected or actual incidents of malpractice or maladministration before, during or after examinations/assessments (by

centre staff, candidates, invigilators) are investigated and reported to the awarding body **immediately**, by completing the appropriate documentation

Senior Leaders

- Ensure support is provided for the 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 Office Staff

- 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)

MALPRACTICE

See Irregularities above.

SPECIAL CONSIDERATION

Exams office staff

- 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

Candidates

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

INTERNAL ASSESSMENT

Head of Department

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

- Ensures work is returned to candidates or disposed of according to the requirements

MANAGING RESULTS DAY(S)

Senior Leaders

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

Exams Office Staff

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

Estates Staff

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

ACCESSING RESULTS

Head of Centre

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

Exams Office Staff

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

POST-RESULTS SERVICES

Head of Centre

- Ensures an **internal appeals procedure** is available where candidates disagree with any centre decision not to support a clerical check, a review of marking, a review of moderation or an appeal

- 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 Office Staff

- 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 centre staff of outcomes
- Updates centre results information, where applicable

Teaching staff

- Meet internal deadlines to request the services and gain relevant candidate informed consent
- Identify the budget to which fees should be charged

Candidates

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

ANALYSIS OF RESULTS

Exams Office Staff

- Produce and provide analysis reports to the embargo group
- Produce and provide analysis reports with accompanying grade boundaries and component marks to other relevant staff on results day

CERTIFICATES

Exams Office Staff

- Arrange an efficient method of dispatching certificates or arranging collection timely.

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

EXAMS REVIEW

Exams Office Staff

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

Senior Leaders

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

RETENTION OF RECORDS

Exams Office Staff

- Keep records as required by JCQ and awarding bodies for the required period