

Exams Policy

2020/21

This policy is reviewed annually to ensure compliance with current regulations

Approved/reviewed by	
Cathy Graham	
Date of next review	December 2020

Key staff involved in the exams policy

Role	Name(s)
Head of centre	Phil Rumsey
Exams manager line manager (Senior Leader)	Dave Robinson
Exams manager	Cathy Graham
Learning Manager	Julie Walkington
CMT member(s)	Rowan Johnson, Alice Thornton, Dave Robinson, Tania Exley Moore
MIS	Neal Mills, Kieran Moore
IT	Paul Atkinson
Estates	Kevin Leiper
Other	Richard Sales

Contents

Key staff involved in the exams policy	2
• Purpose of the policy.....	5
Roles and responsibilities overview.....	6
Head of centre declaration.....	6
Exam contingency plan	8
Internal appeals procedures	8
Disability policy	8
Complaints and appeals procedure.....	8
The College's Complaints and Appeals procedure	8
Child protection/safeguarding policy	8
Data protection policy	9
Access arrangements policy	9
The Exam Cycle.....	13
Planning: roles and responsibilities	13
Information sharing	13
Information gathering	13
Access arrangements.....	15
Separate invigilation within the centre.....	16
Internal assessment and endorsements	17
Invigilation.....	19
Estimated entries	20
Final entries	20
Entry fees	21
Late entries.....	21
Re-sit entries.....	21
Private candidates	21
Candidate statements of entry	22
Pre-exams: roles and responsibilities.....	23
Access arrangements.....	23
Briefing candidates prior to Exams	23
Dispatch of exam scripts	24
Internal assessment and endorsements	25
Invigilation.....	26
JCQ inspection visit.....	26
Seating and identifying candidates in exam rooms.....	26
Verifying candidate identity procedure	27
Security of exam materials	28

Timetabling and rooming	28
Alternative site arrangements	29
Transferred candidate arrangements	29
Internal exams	29
Exam time: roles and responsibilities	30
Access arrangements.....	30
Candidate absence	30
Candidate behaviour	30
Candidate belongings	30
Candidate late arrival	30
Conducting exams	31
Dispatch of exam scripts	32
Exam papers and materials	32
Exam rooms.....	32
Food and drink in exam rooms	32
Emergency evacuation policy	34
Irregularities.....	34
Malpractice	35
Special consideration	35
Unauthorised materials	35
Internal exams	36
Results and post-results: roles and responsibilities	37
Internal assessment.....	37
Managing results day(s)	37
Accessing results	Error! Bookmark not defined.
Post-results services	38
Analysis of results	39
Certificates.....	39
Issue of certificates procedure	39
Retention of certificates policy	39
Exams review: roles and responsibilities	39
Retention of records: roles and responsibilities	40

Purpose of this Policy

Scarborough Sixth Form College is committed to ensuring that the exams management and administration process is run effectively, efficiently and in compliance with the published JCQ regulations and awarding body requirements.

- This exam policy will ensure that:
- all aspects of the College's exam process is documented, supporting the exams contingency plan, and other relevant exams-related policies, procedures and plans are signposted within this document.
- 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, students and parents/carers via the exam section on the College website.

Roles and Responsibilities overview

- *“The head of centre is the individual who is accountable to the awarding bodies for ensuring that the centre is compliant with the published JCQ regulations and awarding body requirements in order to ensure the security and integrity of the examinations/assessments at all times.*
- *The examinations officer is the person appointed by the head of centre to act on behalf of, and be the main point of contact for, the centre in matters relating to the general administration of awarding body examinations and assessments.*
- *The head of centre may not appoint themselves as the examinations officer. A head of centre and an examinations officer are two distinct and separate roles.”* [GR 2]

Head of Centre

- Head of centre declaration

The Head of Centre Declaration form is stored in the Policy Folder which is located within the Exam Office. [GR 1]

This Declaration establishes that the Head of centre

- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:
 - General regulations for approved centres (GR)
 - Instructions for conducting examinations (ICE)
 - Access Arrangements and Reasonable Adjustments (AA)
 - Suspected Malpractice in Examinations and Assessments (SMEA)
 - Instructions for conducting non-examination assessments (NEA) (and the instructions for conducting coursework)
 - A guide to the special consideration process (SC)
- Ensures the centre has appropriate accommodation to support the size of the cohorts being taught including appropriate accommodation for candidates requiring access arrangements for exams and assessments
- Takes responsibility for responding to the National Centre Number Register annual update (administered on behalf of the JCQ member awarding bodies by OCR ocr.org.uk/administration/stage-1-preparation/ncn-annual-update/) 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
- Enables the relevant senior leader(s), the examinations officer and the SENCo to receive appropriate training and support in order to facilitate the effective delivery of examinations and assessments within the centre, and ensure compliance with the published JCQ regulations
- Ensures the exams manager (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 the Learning Support Manager acts as the Special Educational Needs Co-ordinator (Learning Manager)
- 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 subject department and/or preparing the candidates 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 Exams Safe is a secure storage facility within the Exams Office. The Exams Office is a secure room **solely** assigned to examinations for the purpose of administering secure examination materials
 - appropriate arrangements are in place to ensure that confidential materials are only delivered to authorised members of centre staff
 - access to the secure room and secure storage facility is restricted to the authorised 2-4 keyholders
 - the relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk
 - that arrangements are in place to check that the correct question paper packets are opened by authorised members of centre staff
- **Through taking an ethical approach and working proactively to avoid malpractice among students and staff takes all reasonable steps to prevent the occurrence of any malpractice/maladministration before, during the course of and after examinations have taken place**
- Ensures irregularities are investigated and informs the awarding bodies of any cases of alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, are reported to the awarding body immediately
- Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place (that allow the head of centre/senior leadership team to act immediately in the event of an emergency or staff absence)

Exam contingency plan

The College's Exam Contingency Plan is stored in the Policy Folder which is located within the Exam room. An electronic copy of this Policy is available to staff and students on the College website.

Internal appeals procedures

- The College's Internal Appeals Procedure is stored in the Policy Folder which is located within the Exam room. Staff draw the attention of students to this Policy when returning their NEA marks to students. An electronic copy of this Policy is available to staff, parent/carers and students on the College website. [\[GR 5.7\]](#) [\[GR 5.13\]](#)

Equality and Diversity Policy

- Ensures the centre's Equality and Diversity policy demonstrates 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 College's Equality and Diversity Policy is stored in the Exams Policy Folder which is located within the Exam room.
- This Policy ensures that the College recognises its duties towards disabled candidates as defined under the terms of the Equality Act 2010. The College will explore, identify and provide access to suitable courses by making reasonable adjustments to the service the centre provides to disabled candidates.

Complaints and appeals procedure

- The College's Complaints and Appeals procedure is stored in the Policy Folder which is located within the Exam room. An electronic copy of this Policy is available to staff, parent/carers and students on the College website.

Child protection/safeguarding policy

- The College's Child Protection & safeguarding Policy is stored in the Policy Folder which is located within the Exam room. . An electronic copy of this Policy is available to staff in the policy folder.
- Ensures the centre has a child protection/safeguarding policy in place, including Disclosure and Barring Service (DBS) clearance, which satisfies current legislative requirements [\[GR 5.3\]](#)

Data protection policy

- The College has a centre wide General Data Protection Policy in place that complies with General Data Protection Regulation and Data Protection Act 2018 regulations
- The GDPR (exams) is available from the exams office and on the College website.
- Ensures other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials are briefed on the requirements for maintaining the integrity and confidentiality of the exam materials
- Ensures members of centre staff do **not** forward e-mails and letters from awarding body or JCQ personnel without prior consent to third parties or upload such correspondence onto social media sites and applications
- Ensures members of centre staff do **not** advise parents/candidates to contact awarding bodies/JCQ directly nor provide them with addresses/email addresses of awarding body examining/assessment or JCQ personnel

Access arrangements policy

- The College's Access Arrangements Policy is stored in the Policy Folder which is located within the Exam room, and is available to staff and students and their parents/carers on the College website.

Conflict of interests

These may occur when

- a member of centre staff is taking a qualification at the centre which includes internally assessed components/units (taking at the centre as a last resort where unable to find an alternative centre)
- a candidate is being taught and prepared for a qualification which includes internally assessed components/units by a member of centre staff with a personal connection to the candidate

The Head of Centre will

- Maintain records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected by the above, and where
 - a member of exams office staff have a personal connection to a candidate being entered for exams and assessments at the centre or at another centre
 - a member of centre staff is taking a qualification at the centre which does not include internally assessed components/units (taking at the centre as a last resort where unable to find an alternative centre)
 - a member of centre staff is taking a qualification at another centre
- Ensures other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials are briefed on the requirements for maintaining the integrity and confidentiality of the exam materials
- Ensures staff are only entered for qualifications through the centre as a last resort where the member of centre staff is unable to find another centre

Exams Manager

- Understands the contents of annually updated JCQ publications including:
 - General regulations for approved centres
 - Instructions for conducting examinations
 - Suspected Malpractice in Examinations and Assessments
 - Post-results services (PRS)
- Is familiar with the contents of annually updated information from awarding bodies on administrative procedures, key tasks, key dates and deadlines
- Ensures key tasks are undertaken and key dates and deadlines met
- Recruits, trains and deploys a team of internal/external invigilators; appoints lead invigilators, as required and keeps a record of the content of training provided to invigilators for the required period
- Works with the Learning Manager to ensure invigilators supervising access arrangement candidates and those acting as a facilitator supporting access arrangement candidates fully understand the respective role and what is and what is not permissible in the exam room
- Supports the Head of Centre in ensuring that awarding bodies are informed of any Conflict of Interest declared by members of centre staff and in maintaining records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected before the published **deadline for entries**
- 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 (CMT)

- 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)

Learning Manager

- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including: Access Arrangements and Reasonable Adjustments
- Leads on the access arrangements and reasonable adjustments process (referred to in this policy as 'access arrangements')
- Presents when requested by a JCQ Centre Inspector, evidence of the assessor's qualification
- Applies for appropriate Access Arrangements with the appropriate Exam Board

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 Learning Manager
- 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 Learning Manager
- Keep updated with awarding body subject and teacher-specific information to confirm effective delivery of qualifications
- Attend relevant awarding body training and update events

Invigilators

- Attend/undertake training, update, briefing and review sessions as required
- Provide information as requested on their availability to invigilate
- Sign a confidentiality and security agreement and confirm whether they have any current maladministration/malpractice sanctions applied to them. These are kept in the Exams office and on their personnel file.

Reception staff

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

Site staff

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

Candidates

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

The Exam Cycle

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

1. Planning
2. Entries
3. Pre-exams
4. Exam time
5. Results and post-results

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

1. Planning: roles and responsibilities

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 Manager

- 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 manager

- Undertakes an annual information gathering exercise in preparation for each new academic year to ensure data about all qualifications being delivered is up to date and correct
- Collates all information gathered into one central point of reference
- Researches awarding body guidance to identify administrative processes, key tasks, key dates and deadlines for all relevant qualifications
- Produces an annual exams plan of key tasks and key dates to ensure all external deadlines can be effectively met; informs key centre staff of internal deadlines
- Collects information on internal exams to enable preparation for and manage the Internal Exams for students with Access Arrangements (within the end of year Internal Exams).
- Share the end of year Internal Exam timetable with teaching staff

Heads of departments

- 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
- Ensures teachers produce papers for mock exams and they manage the invigilation of these exams within classrooms (except for candidates with access arrangements other than 25% extra time).

Access arrangements

The centre Policy for Access Arrangements is stored in the Policy folder in the exams office and is available to students, parent/carers and staff on the College website.

Head of centre

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

Senior Leaders, Head of department, teaching staff

- Support the Learning Manager in determining and implementing appropriate access arrangements
- Provide a statement for inspection purposes which details the criteria the centre uses to award and allocate Access Arrangements for examinations

The Learning Manager

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

- Works with the EO to ensure invigilators and those acting as a facilitator fully understand the respective role and what is and what is not permissible in the exam room
- Provides and annually reviews a centre policy on the **use of word processors** in exams and assessments. This policy is stored in the Policy Folder in the exams office and is available to staff, students and their parent/carers on the College Website.

The Exams Manager

- 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
- 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
- Provides and annually reviews a centre policy on the **use of word processors** in exams and assessments. This policy is stored in the Policy Folder in the exams office and is available to staff, students and their parent/carers on the College Website

Separate invigilation within the centre

- The College's Separate Invigilation Policy is located within the Access

Internal assessment and endorsements

Head of centre

- Provides fully qualified teachers to mark non-examination assessments
- Ensures an **internal appeals procedure** relating to internal assessment decisions is in place for a candidate to appeal against and request a review of the centre's marking (see Roles and responsibilities overview)
- Ensures a **non-examination assessment policy** is in place for GCE and GCSE qualifications which include components of non-examination assessment (For CCEA GCSE centres this would be a controlled assessment policy)
- The College's Non-examination Assessment Policy is stored in the Policy Folder which is located within the Exam room. . An electronic copy of this Policy is available to staff and students on the College website. [\[GR 5.7\]](#)
- Ensures any irregularities relating to the production of work by candidates are investigated and dealt with internally if discovered prior to a candidate signing the authentication statement (where required) or reported to the awarding body if a candidate has signed the authentication statement

Senior leaders

- Ensure teaching staff have the necessary and appropriate knowledge, understanding, skills, and training to set tasks, conduct task taking, and to assess, mark and authenticate candidates' work (including where relevant, private candidates)
- Ensure appropriate internal moderation, standardisation and verification processes are in place

Heads of departments

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

Teaching staff

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

Exams manager

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

Invigilation

Head of centre

- Ensures relevant support is provided to the EO in recruiting, training and deploying a team of invigilators
- Ensures, if contracting supply staff to act as invigilators, that such persons are competent and fully trained, understanding what is and what is not permissible
- Determines if additional invigilators will be deployed in timed Art exams in addition to the subject teacher to ensure the supervision of candidates is maintained at all times

Exams manager

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

• **Entries: roles and responsibilities**

Estimated entries

Exams manager

- Requests estimated or early entry information, where this may be required by awarding bodies, from HoDs or MIS 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 this may be via the student exam handbook

Head of department

- Provides entry information requested by the EO to the internal deadline
- Informs the EO immediately of any subsequent changes to entry information
- Ensures that teaching staff make 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

Final entries

Exams manager

- Requests final entry information from HoDs/GSTs in a timely manner to ensure awarding body external deadlines for submission can be met
- Informs HoDs/GSTs 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
- Liaises with the Vice Principal regarding costs of late entries.

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
 - a. changes to candidate personal details
 - b. amendments to existing entries
 - c. withdrawals of existing entries
- Checks final entry submission information provided by the EO and confirms information is correct

Entry fees

- Once the GSTs have finalised the courses for a student, and entries made, the Principal will decide on an individual basis which costs to pass on to students.

Late entries

Exams manager

- Has entry procedures in place to minimise the risk of late entries
- Advises the principal of costs associated with a late entry on an individual basis.

Head of department

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

Re-sit entries

- Head of Department
- Reviews results and identifies candidates that would benefit from a re-sit opportunity
- Informs the Exams manager via email of the students name, student number and Qualification (including exam board and course name and code) and proposed timings for these exams.

Private candidates

- Recently left prior students are allowed to re sit exams at the Centre. They will need to pay for their exams costs plus any additional costs incurred by the College (e.g. extra invigilators) by 14th February in the year they sit their exam. In addition they will need to pay for any assessment needed for Access Arrangements.
- It is the responsibility of the individual to alert the Exams Manager to any potential Access Arrangements they may need in writing before 31st January of the year of their examination. The College cannot guarantee it will be able to facilitate Access Arrangements until an assessment is completed by the College's Learning Manager. All Access arrangements are subject to JCQ approval, and the candidate must pay for the assessment..
- Current staff's children can sit exams at the College on the understanding that entry fees, they will need to pay for their exams costs plus any additional costs incurred by the College (e.g. extra invigilators). In addition they will need to pay for any assessment needed for Access Arrangements.

- It is the responsibility of the individual to alert the Exams Manager to any potential Access Arrangements they may need in writing before 31st January of the year of their examination. The College cannot guarantee it will be able to facilitate Access Arrangements until an assessment is completed by the College's Learning Manager. All Access arrangements are subject to JCQ approval.
- The Exams Manager ensures relevant staff in the centre administer all aspects of the non-examination assessment process for a private candidate, according to the awarding body's specification
- The College will not accept External Candidates that apply after the Exam Board's cut-off date for application i.e. once late fees apply

Candidate statements of entry

Exams manager

- Reminds students to check their entries on the student portal.

Teaching staff/GSTs

- Ensure candidates check their entries
- Teaching staff to advise GSTs of any errors, GST to make the appropriate course amendments and advise the Exams Manager.

Candidates

- Confirm entry information is correct or notify their GST of any discrepancies

• Pre-exams: roles and responsibilities

Access arrangements

Learning Manager

- 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
- 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
- Ensures the AAO is in date for all candidates for all their Exam Boards and if necessary applies for renewals in a timely manner

Briefing candidates prior to Exams

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

- The College informs students of
- when, where and with whom they will have the opportunity to discuss their results
- The post-results services that will be made available to them by awarding bodies
 - How they request a service
 - The deadlines that have to be met
 - The fees that will be charged
 - How they are informed of the outcome of their request
 - the internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support a review of results or an appeal
- In addition
- The College will treat all candidates equally, including private candidates, throughout the examination process. This would also extend to post-results services and appeals.”
- Senior members of centre staff will be accessible to candidates immediately after the publication of results so that results may be discussed and decisions made on the submission of enquiries. Candidates will be informed of the periods during which centre staff will be available so that they may plan accordingly.”
- [
 - a. When and how certificates will be issued, and the College Archiving Policy for Certificates.
- **Dispatch of exam scripts**
- **Exams manager**
- Identifies and confirms arrangements for the dispatch of candidate exam scripts with the DfE (STA) ‘yellow label service’ or the awarding body where qualifications sit outside the scope of the service

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

Learning Manager

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

Teaching staff

- Support the Learning Manager 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 manager

- Keeps a record to track what has been sent
- Logs moderated samples returned to the centre
- Ensures teaching staff are aware of the requirements in terms of retention and subsequent disposal of candidates' work

Candidates

- Authenticate their work as required by the awarding body

Invigilation

Exams manager

- 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 Learning Manager regarding the facilitation and invigilation of access arrangement candidates

Learning Manager

- 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 manager or Senior leader

- Will accompany the Inspector throughout the visit [\[ICE 5\]](#)
- **Learning Manager** or Exam Officer or relevant **Senior leader** (in the absence of the Learning Manager)
- Will meet with the inspector when requested to provide documentary evidence regarding access arrangement candidates and address any questions, the inspector may raise
- Ensures that information is readily available for inspection at the venue where the candidate is taking the exam(s)

Seating and identifying candidates in exam rooms

Exams manager

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

- 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
- If necessary amend the seating plan
- Sign the seating plan to confirm it represents the exam session.

Verifying candidate identity procedure

- All internal candidates will have desk cards that display a photograph of the student and at the start and during the exam invigilators will visually check identification and raise any concerns to the Lead Invigilator/Exams Manager before the exam ends.
- Any external candidates will bring photographic ID on the day of the exam which will be checked by the exam team and the candidate escorted to the exam room
- All candidates must wear their lanyard or identification sticker.
- Students who wear a veil, or article of clothing that covers part or most of their face will be accompanied into a smaller private room where a member of staff (same sex as candidate) will ask them to briefly remove their veil for identification purposes. Candidates may replace their veil/clothing before leaving the private room.

Security of exam materials

Exams manager

- Confirms appropriate arrangements are in place to ensure that confidential materials are only delivered to those authorised by the head of centre
- Has a process in place to demonstrate the receipt, secure movement and secure storage of confidential exam materials within the centre
- Ensures a log is kept at the initial point of delivery recording confidential materials received and signed for by authorised staff within the centre and that appropriate arrangements are in place for confidential materials to be immediately transferred in the secure storage facility until they can be removed from the dispatch packaging and checked in the secure room before being returned to the secure storage facility in timetable order
- Ensures the secure storage facility contains only current and live confidential material (including live confidential exam stationery provided by the awarding body for the use of candidates in their assessment)
- Ensures that examination stationery, e.g. answer booklets and formula booklets are stored in the secure room (attempting to store this material in the secure storage facility, when sufficient space allows)

Reception staff

- Log and secure confidential materials delivered to the centre until the materials are issued to authorised staff for placing in the secure storage facility

Teaching Staff and Invigilators (practical exams/speaking etc)

- 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 manager

- Identifies and resolves candidate exam timetable clashes according to the regulations (only applying overnight supervision arrangements, once all other options have been exhausted and according to the centre's policy)
- Identifies exam rooms and specialist equipment requirements
- Allocates invigilators to exam rooms (or where supervising candidates due to an exam timetable clash) according to required ratios
- Liaises with site staff to ensure exam rooms are set up according to JCQ and awarding body requirements
- Liaises with the Learning Manager regarding rooming of access arrangement candidates

Learning Manager

- 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

Alternative site arrangements

Exams manager

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

Transferred candidate arrangements

Exams manager

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

Internal exams

Exams manager

- Arranges invigilation to facilitate any access arrangements for the end of year assessments.

Learning Manager

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

Teaching staff

- Provide exam papers and materials including arranging enlarged and coloured copies
- Support the Learning Manager in making appropriate arrangements for access arrangement candidates
- Invigilate assessments throughout the year, facilitating appropriate access arrangements.

4. Exam time: roles and responsibilities

Access arrangements

Exams manager

Provides cover sheets for access arrangement candidates' scripts where required for particular arrangements

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

Candidate absence

- Invigilators check who is present and missing at the start of the exam
- HODs will stand outside the main hall and an invigilator will leave the hall to inform them who is missing.
- HOD will contact missing students
- Invigilators in the smaller rooms will message the exams office with missing students.
- The exams office will inform HODs who is missing from the smaller rooms.

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**
- The re-charging of relevant entry fees for unauthorised absence from exams is at the discretion of the Head Of Centre.

Candidate behaviour

- See *Irregularities*.

Candidate belongings

- See *Unauthorised materials*.

Candidate late arrival

Exams manager

- Ensures that candidates who arrive very late for an exam are reported to the awarding body by submitting a report on candidate admitted very late to examination room through CAP to timescale
- Candidates will be given the full time to complete the exam paper, including any extra time that is authorised by JCQ.

- Warns candidates after the exam has finished that their script 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 manager

- Ensures exams are conducted according to JCQ and awarding body instructions
- 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 manager

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

Exam papers and materials

Exams manager

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

Exam rooms

Head of centre

- Ensures that internal tests, mock exams, revision or coaching sessions are not conducted in a room 'designated' as an exam room
- Ensures that when a room is 'designated' as an exam room it is not used for any purpose other than conducting external exams
- Ensures only authorised centre staff are present in exam rooms
- Ensures the centre's policy relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates

Food and drink in exam rooms

- Food is not allowed in the Exam room, except in the case of proven medical need.
- Water in a **completely clear bottle which has no labels** is allowed to be taken into the Exam room. [ICE 18]

Candidates leaving the exam room temporarily

Candidates may ask to temporarily leave the exam room for a valid reason (to go to the toilet/ unwell etc.). When this is the case candidates will be escorted by an appropriate member of staff.

Upon return to the examination room the candidate will be allowed their full remaining time (examination time for them is paused when they leave the room). A member of the invigilation team will advise them of their end time.

A note will be made on the exam room log sheet whenever a candidate temporarily leaves the exam room.

Exams manager

- 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, external candidates and access arrangement candidates)
- Ensures sole invigilators have an appropriate means of summoning assistance (this is usually a a mobile phone on silent mode)
- Ensures invigilators understand they must be vigilant and remain aware of incidents or emerging situations, looking out for malpractice or candidates who may be in distress, recording any incidents or issues on the exam room incident log
- Ensures invigilators understand how to deal with candidates who may need to leave the exam room temporarily and how this should be recorded on the exam room incident log
- Provides authorised exam materials which candidates are not expected to provide themselves
- Ensures invigilators and candidates are aware of the emergency evacuation procedure
- Ensures invigilators are aware of arrangements in place for a candidate with a disability who may need assistance if an exam room is evacuated

Senior leaders

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

Emergency evacuation policy

To comply with ICE regulations which states

centers 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.” [[ICE 25](#)]

The Evacuation Policy is stored in the exams office in the Policy Folder. Additional copies are kept in the exam trays so that invigilators have easy access to them. Invigilators are reminded of the procedures at the yearly update meetings.

Site staff

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

Invigilators

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

Candidates

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

Irregularities

Head of centre

- Ensures any cases of alleged, suspected or actual incidents of malpractice or maladministration before, during or after examinations/assessments (by centre staff, candidates, invigilators) are investigated and reported to the awarding body **immediately**, by completing the appropriate documentation
- The head of centre has the authority to remove a candidate from the examination room, but would only do so if the candidate would disrupt others by remaining in the room.”

[[ICE 24](#)]

Managing behaviour Policy

- Where a candidate is being disruptive, an invigilator will warn them that he/she may be removed from the examination room.
- The candidate will also be warned that the awarding body will be informed and may decide to penalise them, which could include disqualification.
- The invigilator will record what has happened on the exam room incident sheet

- The Head/CMT may remove a candidate from the exam room, but will only do so if the candidate would disrupt other my remaining in the room.

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 manager

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

Invigilators

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

Malpractice

- See *Irregularities* above.

Special consideration

Exams manager

- 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
- The Special Consideration Policy is stored in the Exams Office in the Policy folder and is available to staff, students and parent/carers on the College website.

Candidates

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

Unauthorised materials

- In the examination room candidates must not have access to items other than those stated in the instructions on the question paper, the stationery list or the specification for that subject.
- Any unauthorised items that have been taken into the examination room must be placed out of reach of the candidates (and not under their desks) before the

examination starts. This would normally be at the front of the examination room or to one side so that the invigilator can control access to the items.

- The invigilator, prior to the examination starting, must ensure that candidates have removed their wrist watches, placing them on their desks.
- All pencil cases must be clear
- If candidates have access to unauthorised items in the examination room this may be considered malpractice. They could be subject to penalties in accordance to JCQ regulation.

Invigilators

- Are informed of the arrangements through training
- Inform the exams office immediately they become aware of any possible cases

Internal exams

Exams manager

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

Invigilators

- Conduct internal exams as briefed by the EO

5 . Results and post-results: roles and responsibilities

Internal assessment

Head of department

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

Managing results day(s)

Head of Centre/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 manager

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

Site staff

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

Accessing results

Head of centre

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

Exams manager

- 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

Summer exam results access for students

- Results are available from 8.00 am at College
- If students are likely to be on holiday at results time they will need to inform their GST who will arrange for results to be emailed to them.
- Results will be available on student portals on the Friday after results day.

Term time results

- The exams manager will advise students how results will be shared for each exam, it is usually either by collection from the exams office or subject teacher.
- Ensure the centre is open and accessible to centre staff and candidates, as required for the collection of results

Post-results services

Head of centre

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

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

Teaching staff/HOD

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

Candidates

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

Analysis of results

MIS

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

- **Certificates**

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

Issue of certificates procedure

- Certificates are issued at the annual Awards evening.
- Students can give written consent for either certificates to be posted (Second Class Royal Mail) at their own risk, or for a nominated person to collect the certificates. The nominated person must bring photographic identification

Retention of certificates policy

- This is covered in the exams Archiving Policy.

Exams review: roles and responsibilities

Exams manager

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

Senior leaders

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

Retention of records: roles and responsibilities

Exams manager

- Keeps records as required by JCQ and awarding bodies for the required period (6 years)
- Keeps records as required by the centre's records management policy
- The Exams archiving policy is held in the Exam office Policy folder and is available to staff, students and parent/carers on the College website. Appendices