



Castle Newnham School

TRADITIONAL VALUES, BRIGHT FUTURES, ONE JOURNEY

Examinations Policy

Governors' Committee:	Curriculum and Standards
Adopted by the Governing Body on:	
Signed: (Chair of Committee)	
Signed: (Federation Principal)	
Proposed date of review:	September 2022



Castle Newnham Exams Policy

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Key staff involved in the exams policy

Head of Centre – Federation Principal	Ruth Wilkes
Vice Principal - curriculum	Jenni Gayter
Assistant Headteacher – Inclusion and SEND (AHT)	Claire Kerridge
Exams Officer and Data Manager (EO)	Debbie Taylor
Senior Leadership Team	Ruth Wilkes Jenni Gayter Nik Maund Ali Boston Claire Kerridge Lauren Crowley Jon Mills



A. PURPOSE AND AIM

Castle Newnham is committed to ensuring the administration and management of exams is conducted efficiently and effectively and in the best interest of the candidates. This policy aims to ensure that:

- All exams and assessments are conducted in accordance with JCQ and awarding body regulations and guidance, thus maintaining the integrity and security of the exam/assessment system at all times.
- The exams process is outlined and documented and all other relevant exams related policies and procedures are clearly signposted.
- All aspects of the exam process is communicated to staff so they understand their roles and responsibilities and are well informed and supported.
- Candidates (and their parents/carers) understand the exam process and what is expected of them.

This policy will be made available to staff through the school's internal communication system and will be available on the school website.

The examinations policy will be reviewed annually by the Senior Leadership Team (SLT)/Exams Officer/Governors following public examinations.

Where reference is made to JCQ regulations/guidelines, further details can be found at www.jcq.org.uk

B. RESPONSIBILITIES AND ROLES OVERVIEW

Federation Principal

- Understands the contents, refers to and directs relevant centre staff to the 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*
- Has overall responsibility for the school as an exams centre and ensures the school has appropriate accommodation to support the size of cohorts being taught including that for candidates requiring access arrangements for exams and assessments.
- Responds to the National Centre Number Register 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.
- Ensures the relevant policies and procedures are in place and available to staff and candidates (and where relevant their parents/carers).
- Ensures a named member of staff acts as the Special Educational Needs Co-ordinator.
- Ensures centre staff are supported and appropriately trained to undertake key tasks within the exams process.
- 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 key holders
 - 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).
- Ensures that all relevant policies and procedures are in place and available to staff and candidates (including candidates parents/carers). These policies will include:
 - Complaints and Appeals policy
 - Disability Policy – Exams
 - Access Arrangements policy
 - Exams Contingency policy
 - Emergency Evacuation policy and procedure
 - Internal Appeals procedures
 - Child Protection/safeguarding policy
 - Data Protection (GDPR) policy
- Ensures staff are only entered for qualifications through the centre as a last resort where the member of centre staff is unable to find another centre
- Ensures the relevant awarding bodies are informed of any declaration/conflict of interest where a candidate is being taught, prepared, entered or sitting exams where a relevant member of centre staff has a personal connection to the candidate.
- 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.
- Delegates to the Vice Principal – Curriculum such duties as they regard suitable.

Vice Principal – Curriculum

- Line manages the Exams Officer
- Ensures the exams officer (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 centre staff undertake key tasks within the exams process and meet internal deadlines set by the EO.

Exams Officer

- Understands the contents of annually updated JCQ publications including:
 - General regulations for approved centres
 - Instructions for conducting examinations
 - Suspected Malpractice in Examinations and Assessments
 - Post-results services (PRS)
- Is familiar with the contents of annually updated information from awarding bodies on administrative procedures, key tasks, key dates and deadlines
- Ensures key tasks are undertaken and key dates and deadlines met
- With the Vice Principal, 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 Federation Principal 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)



Assistant Headteacher – Inclusion and SEND (AHT)

- Is familiar with the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:
 - Access Arrangements and Reasonable Adjustments
- Leads on the access arrangements and reasonable adjustments process (referred to in this policy as ‘access arrangements’).
- Acts as the qualified access arrangements assessor, and takes the lead 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.

Heads of Departments (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 AHT.
- 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 AHT.
- 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
- Sign a confidentiality and security agreement and confirm whether they have any current maladministration/malpractice sanctions applied to them.

Reception staff

- Support the EO in 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.

C. THE EXAM CYCLE

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

- planning



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

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

PLANNING ROLES AND RESPONSIBILITIES

Information sharing

Vice Principal - Curriculum

- Directs relevant centre staff to annually updated JCQ publications including General Regulations; Instructions for Conducting Exams; Access Arrangements; Suspected Malpractice in Examinations and Assessments and Instructions for Conducting Non-Examination Assessments (and the instructions for conducting coursework).

Exams Officer

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

Information gathering

Exams Officer

- Undertakes an annual information gathering exercise in preparation for each new academic year to ensure data about all qualifications being delivered is up to date and correct.
- Collates all information gathered into one central point of reference.
- Researches awarding body guidance to identify administrative processes, key tasks, key dates and deadlines for all relevant qualifications.
- Produces an annual exams plan of key tasks and key dates to ensure all external deadlines can be effectively met; informs key centre staff of internal deadlines.
- Collects information to enable for preparation and conduct of internal exams.

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.

ACCESS ARRANGEMENTS

Federation Principal



- 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 of the appointed assessor but that the correct procedures are followed as per Chapter 7 of the JCQ publication Access Arrangements and Reasonable Adjustments.
- Ensures the AHT is fully supported in effectively implementing access arrangements and reasonable adjustments once approved.

AHT

- 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 **data protection notices** from candidates where required.
- With the EO, 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 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.
- Has in place, as part of the Disability Policy – Exams, a policy covering the use of Word Processors within the centre and the criteria used by the centre to award and allocate word processors for exams.
- Ensures criteria for candidates granted **separate invigilation within the centre** is clear, meets JCQ regulations and best meets the needs of individual candidates and remaining candidates in main exam rooms

Senior Leaders, Heads of Departments, Teaching staff

- Support the AHT in determining and implementing appropriate access arrangements

INTERNAL ASSESSMENT AND ENDORSEMENTS

Federation Principal

- 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.
- Ensures a non-examination assessment policy is in place for GCSE qualifications which include components of non-examination assessment.



- 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.

Heads of Departments

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

Teaching staff

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

Exams Officer

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

INVIGILATION

Vice Principal - Curriculum

- With the EO recruits, trains and deploys 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 officer

- With the Vice Principal, 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 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.

D. ENTRIES

ESTIMATED ENTRIES

Exams Officer

- 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.

Heads of Departments

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

FINAL ENTRIES

- Candidates are selected for their exams by SLT; HoDs and subject teachers.
- Candidates or parents/carers can request a subject entry, change of level or withdrawal which will be considered by the school.
- The centre will only accept entries from private candidates or act as an exams centre for other organisations in exceptional circumstances which will be authorised by the Governors.

Exams officer

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

Heads of Departments

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

ENTRY FEES

- The centre will pay all normal fees on behalf of the candidates.
- Resit fees are paid by the candidate unless otherwise agreed by the school.
- Parents/carers and candidates will be charged if they do not attend an exam or do not meet the necessary coursework requirements without medical evidence or evidence of other mitigating circumstances.

LATE ENTRIES

- Candidates or departments will not be charged for changes of tier, withdrawals made by the proper procedures or alterations arising from administrative processes provided these are made within the time allowed by the awarding bodies.
- Late entry or amendment fees will be paid by the centre.

Exams officer

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

Head of department

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

RESIT ENTRIES

- Resit fees are paid by the candidate unless otherwise agreed by the school.

CANDIDATE STATEMENTS OF ENTRY

Exams officer

- Provides candidates with statements of entry for checking.

Teaching staff

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

Candidates



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

E. PRE-EXAM: ROLES AND RESPONSIBILITIES

ACCESS ARRANGEMENTS

AHT

- 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 officer

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



ACCESS TO SCRIPTS, REVIEWS OF RESULTS AND APPEALS PROCEDURES

The policy/procedure for how the school deals with candidates' requests for access to scripts, reviews of results and appeals to awarding bodies is a separate document that is available on the school shared drive and the school website. Information will be also be provided to candidates in the information handbook issued before they sit their first exams.

DISPATCH OF EXAM SCRIPTS

Exams Officer

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

INTERNAL ASSESSMENTS AND ENDORSEMENTS

Federation Principal

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

AHT

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

Teaching staff

- Support the AHT 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.

Heads of Departments

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

Exams Officer

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

Candidates

- Authenticate their work as required by the awarding body.



INVIGILATION

Exams Officer

- Provides an annually reviewed/updated invigilator handbook to invigilators, trains new invigilators on appointment and updates experienced invigilators annually.
- Deploys invigilators effectively to exam rooms throughout an exam series (including the provision of a roving invigilator where a candidate and invigilator [acting as a practical assistant, reader or scribe] are accommodated on a 1:1 basis to enter the room at regular intervals in order to observe the conducting of the exam, ensuring all relevant rules are being adhered to and supporting the practical assistant/reader and/or scribe in maintaining the integrity of the exam).
- Allocates invigilators to exam rooms (or where supervising candidates due to a timetable clash) according to the required ratios.
- Liaises with the AHT regarding the facilitation and invigilation of access arrangement candidates

AHT

- 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 officer or Vice Principal – Curriculum will check the identification documents of the inspector and will accompany them throughout the visit.

AHT, Exams Officer or Vice Principal – curriculum 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 officer

- Ensures a procedure is in place to verify candidate identity which includes the production of photo identity cards for candidates produced from the school's MIS system.
- 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 Officer

- 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 Officer

- Produces a master centre exam timetable for each exam series.
- Identifies and resolves candidate exam timetable clashes according to the regulations (only applying overnight supervision arrangements in rare and exceptional circumstances and as a last resort).
- 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 AHT regarding rooming of access arrangement candidates.

AHT

- 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 officer

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



TRANSFERRED CANDIDATE ARRANGEMENTS

Exams officer

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

INTERNAL EXAMS

Exams Officer

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

AHT

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

Teaching staff

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

F. EXAM TIME: ROLES AND RESPONSIBILITIES

ACCESS ARRANGEMENTS

Exams Officer

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

CANDIDATE ABSENCE

The Exams Officer will be notified of any absent candidates by the invigilators upon completion of the attendance register and seating plan. The EO will check the candidate has not been withdrawn from the exam and will liaise with SLT regarding contacting home. Updates will be passed back to the EO, invigilators and SLT.

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

- As stated in the JCQ ICE regulations – *“The head of centre has the authority to remove a candidate from the examination room, but should only do so if the candidate would disrupt others by remaining in the room.”*
- Any candidates causing disruption in the exam room will be dealt with according to the school’s Behaviour Policy.

CANDIDATES BELONGINGS

- Candidates will be requested to deposit their belongings in a container provided for the purpose which will be then be stored in the main office during the course of an examination. Any unauthorised items taken into the exam room will be removed by the invigilator and placed in the provided container at the front of the exam room where access to them can be controlled.
- Wristwatches will be allowed in the exam room provided they are not smart watches. They must be removed before the start of the exam and placed on the candidate’s desk.
- Food and drink will not be allowed in the exam except in the case of medical conditions. Each case will be considered separately by the EO and all food and drink will be free of wrappers and labels and checked prior to each exam by the EO or lead invigilator. Candidates who are exempt from the food and drink rule will be clearly marked on the seating plan by the EO and invigilators will be briefed before the exam commences.

CANDIDATE LATE ARRIVAL

- Candidates who arrive late for an exam will be allowed into the centre to sit the examination and will be given the full time allowed for the exam, however, the candidate will be warned that the awarding body concerned may not accept their work.
- The candidate’s new start and finish times will be written clearly on the exam whiteboard/flip chart by the invigilator.
- The EO will ensure that invigilation is in place for the duration of the candidate’s exam.

CANDIDATE VERY LATE ARRIVAL

- JCQ regulations state that a candidate will be considered very late if they arrive more than one hour after the awarding body’s published starting time for an examination which lasts one hour or more, i.e. after 10.00am for a morning examination or after 2.30pm for an afternoon examination.
- For examinations lasting less than one hour, a candidate will be considered very late if they arrive after the awarding body’s published finishing time for the examination.

Vice Principal – Curriculum

- Will advise parents/carers of candidates who are going to arrive ‘very late’ for an exam to keep the candidate under supervision at all times until they are handed over to a member of school staff. Parents/carers will be instructed to remove all internet enabled devices (e.g. mobile phones, tablets, laptops, PC or smart watches from the candidate and personally escort the pupil to school. The parent/carer will be asked to complete the form stating the reason for the candidate’s late arrival, the time they were supervised from and who by.



- Will clarify to the parents/carers and the candidate that the awarding body may not accept their work.

Exams Officer

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

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

Federation Principal

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

Exams officer

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

DISPATCH OF EXAM SCRIPTS

Exams officer

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

EXAM PAPERS AND MATERIALS

Exams officer

- Organises exam question papers and associated confidential resources in date order in 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 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

Federation Principal

- 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.

Exams Officer

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

Site staff

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

Invigilators

- Conduct exams in every exam room as instructed in training/update events and briefing sessions.

Candidates

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

IRREGULARITIES

Federation Principal

- 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 Officer**

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

Invigilators

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

SPECIAL CONSIDERATION**Exams Officer**

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

Candidates

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

INTERNAL EXAMS**Exams Officer**

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

Invigilators

- Conduct internal exams as briefed by the EO.

G. RESULTS AND POST RESULTS: ROLES AND RESPONSIBILITIES

A programme for results day will be included in the candidates' handbooks that will be given to all year 11 students. A copy of the finalised programme will also be provided with their exam timetable and will be published on the school website.

INTERNAL ASSESSMENT**Heads of Departments**

- 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**Senior Leaders**

- Identify centre staff who will be involved in the main summer results day(s) and their role.
- Ensures senior members of staff are accessible to candidates after the publication of results so that results may be discussed and decisions made on the submission of any



requests for post-results services and ensures candidates are informed of the periods during which centre staff will be available so that they may plan accordingly.

Exams Officer

- Works with senior leaders to ensure procedures for managing the main summer results day (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

Federation Principal

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

Exams Officer

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

POST-RESULTS SERVICES

Federation Principal

- 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 Officer

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

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

CERTIFICATES

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

They will be given out to candidates at an awards ceremony, details of which will be sent out to candidates in good time.

Replacement certificates may be issued if the candidate agrees to pay the costs incurred.

The school will retain unclaimed certificates for a period of three years before destroying them in a confidential manner.

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 photographic ID evidence on collection of certificates.

H. EXAMS REVIEW: ROLES AND RESPONSIBILITIES**Exams Officer**

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

Senior leaders

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

I. RETENTION OF RECORDS: ROLES AND RESPONSIBILITIES**Exams officer**



- Keeps records as required by JCQ and awarding bodies for the required period.
- Keeps records as required by the centre's records management policy.
- Provides an exams archiving policy that identifies information held, retention period and method of disposal (appendix I).

J. APPENDIX I

Exams archiving policy

The purpose of this policy is to:

- identify exams-related information/records held by the exams office
- identify the retention period
- determine the action required at the end of the retention period and the method of disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Access arrangements information	Any hard copy information kept by the EO relating to an access arrangement candidate.	To be returned to AHT as records owner at end of the candidate's final exam series.	
Alternative site arrangements	Any hard copy information on an alternative site arrangement. Notifications submitted online via CAP.		
Attendance register copies		To be retained for one year	Confidential waste/shredding
Awarding body administrative information	Any hard copy publications provided by awarding bodies.	To be retained until the current academic year update is provided.	
Candidates' scripts	Any unwanted copies of scripts returned to the centre through the Access to Scripts (ATS) service.	To be retained securely until the awarding body's earliest date for confidential disposal of unwanted scripts. <i>Where teachers have used copies of candidates' scripts for teaching and learning purposes but no longer wish to retain them, they must ensure that the scripts are disposed of in a confidential manner.</i> [Reference PRS 6]	Confidential disposal
Candidates' work	Non-examination assessment work returned to the centre by	To be logged on return to the centre and immediately returned to subject staff as records owner.	Returned to candidates or safe disposal



Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
	the awarding body at the end of the moderation period.	To be stored safely and securely along with work that did not form part of the moderation sample (including materials stored electronically) <i>until the deadline for a review of moderation has passed or until a review of moderation, an appeal or a malpractice investigation has been completed, whichever is later (for the exam series).</i> [Reference GR 3]	
Certificates	Candidate certificates issued by awarding bodies.	Certificates will be kept for a minimum of three years.	Confidential destruction
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	Will be kept for four years as per JCQ regulations.	Confidential destruction
Certificate issue information	A record of certificates that have been issued.	Will be kept for four years.	Confidential destruction
Confidential materials: initial point of delivery logs	Logs recording awarding body confidential exam materials received at the initial point of delivery in the centre to the point where materials are securely issued to an authorised member of staff.	Will be kept for 2 years.	Confidential destruction
Confidential materials: receipt, secure movement and secure storage logs	Logs recording the receipt, checking, secure movement and secure storage of confidential exam materials.	Will be kept for 2 years.	Confidential destruction
Dispatch logs	Proof of dispatch of exam script packages to awarding body examiners covered by the DfE (Standards & Testing Agency) yellow label service	Will be kept for 2 years.	Confidential destruction



Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Entry information	Any hard copy information relating to candidates' entries.	Will be kept for 2 years.	Confidential destruction
Exam question papers	Question papers for timetabled written exams.	<i>For confidentiality purposes question papers must not be released to centre personnel for use in accordance with the above licence until after the awarding body's published finishing time for the examination or, in the case of a timetable variation, until all candidates within the centre have completed the examination. This does not restrict access to question papers by authorised centre personnel for the purpose of conducting examinations.</i> [Reference GR 6]	Issued to subject staff
Exam room checklists	Checklists confirming exam room conditions and invigilation arrangements for each exam session.	Will be kept for 2 years.	Confidential destruction
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms for each exam session.	Will be kept for 2 years.	Confidential destruction
Exam stationery	Awarding body exam stationery provided solely for the purpose of external exams.	<i>Unused stationery will be returned to the centre's secure storage facility until needed for a future examination. Surplus stationery must not be used for internal school tests, mock examinations and non-examination assessments.</i> <i>Any surplus or out-of-date stationery will be confidentially destroyed.</i> [Reference ICE 30]	Confidential destruction
Examiner reports		To be immediately provided to head of department as records owner.	



Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Finance information	Copy invoices for exams-related fees.	To be returned to Finance department as records owner at the end of the academic year.	
Invigilation arrangements	See <i>Exam room checklists</i>		
Invigilator and facilitator training records		<p><i>A record of the content of the training given to invigilators must be retained on file until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.</i></p> <p><i>A record of the content of the training given to invigilators and those facilitating an access arrangement for a candidate under examination conditions must be retained on file until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.</i></p> <p>[Reference <u>ICE 12, 13</u>]</p>	Confidential destruction
JCQ publications	Any hard copy publications provided by JCQ.	To be retained until the current academic year update is provided.	Confidential destruction
Moderator reports		To be immediately provided to head of department as records owner.	
Moderation returns logs	Logs recording the return of candidates' work to the centre by the awarding body at the end of the moderation period	Will be kept for 2 years.	Confidential destruction
Overnight supervision information	JCQ form <i>Timetable variation and confidentiality declaration for overnight supervision</i> for any candidate eligible for these arrangements.	<i>...keep for inspection all completed forms available in your centre until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later. Forms may be stored electronically or in hard copy paper format and must</i>	Confidential destruction



Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		<p><i>not be sent to an awarding body, unless specifically requested;</i></p> <p>[Reference ICE 8]</p>	
Post-results services: confirmation of candidate consent information	Hard copy or email record of required candidate consent	<p><i>Consent forms or e-mails from candidates must be retained by the centre and kept for at least six months following the outcome of the clerical re-check or review of marking or any subsequent appeal. The awarding bodies reserve the right to inspect such documentation.</i></p> <p>ATS consent to be retained for at least six months from the date consent given.</p> <p>[Reference PRS 4, appendix A and B]</p>	Confidential destruction
Post-results services: requests/outcome information	Any hard copy information relating to a post-results service request (RoRs, appeals, ATS) submitted to an awarding body for a candidate and outcome information from the awarding body.	Will be kept for 2 years.	Confidential destruction
Post-results services: tracking logs	Logs tracking to resolution all post-results service requests submitted to awarding bodies.	Will be kept for 2 years.	Confidential destruction
Private candidate information	Any hard copy information relating to private candidates' entries.	Will be kept for 2 years.	Confidential destruction
Proof of postage – candidates' work	Proof of postage of sample of candidates' work submitted to awarding body moderators.	<p><i>(Centres not involved in the secure despatch of exam scripts service:</i></p> <p><i>a) must obtain proof of postage/despatch for each packet of scripts, which must be retained on the centre's files until the results are published, in case of loss or damage. (Proof of postage will provide</i></p>	Confidential destruction



Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
	(Proof of postage of candidates' scripts to awarding body examiners/markers)	<p><i>evidence that the candidates' scripts have left the centre. This is taken to indicate that the scripts were written at the appointed time and that, should the scripts not be received by the awarding body/examiner, then special consideration may be possible.)</i></p> <p>[Reference ICE 29])</p> <p>Will be kept for 2 years.</p>	
Resolving timetable clashes information	Any hard copy information relating to the resolution of a candidate's clash of timetabled exam papers	Will be kept until end of exam series or until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential destruction
Results information	Broadsheets of results summarising candidate final grades by subject by exam series.	Records for current year plus previous 6 years to be retained as a minimum.	Confidential destruction
Seating plans	Plans showing the seating arrangements of all candidates for every exam taken.	<p><i>...keep signed records of the seating plan, the invigilation arrangements and the centre's copies of the attendance registers for each examination. The awarding bodies may need to refer to these records. You must keep them until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.</i></p> <p>[Reference ICE 6]</p>	Confidential destruction
Special consideration information	Any hard copy information relating to a special consideration request and supporting evidence submitted to an awarding body for a candidate.	<p><i>Where a candidate is present but disadvantaged for a timetabled written examination a proportion of cases will be sampled for quality assurance purposes. A centre may be asked by an awarding body to provide evidence in support of an application. The centre must retain evidence</i></p>	Confidential destruction



Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		<p><i>supporting an on-line special consideration application until after the publication of results. Where a candidate is absent from an examination for an acceptable reason a proportion of cases will be sampled for quality assurance purposes. A centre may be asked by an awarding body to provide evidence in support of an application. The centre must retain evidence supporting a candidate's absence from an examination until after the publication of results.</i></p> <p>[Reference SC 6]</p>	
Suspected malpractice reports/outcomes	Any hard copy information relating to a suspected or actual malpractice investigation/report submitted to an awarding body and outcome information from the awarding body.	Will be kept for 3 years.	Confidential destruction
Transferred candidate arrangements	Any hard copy information relating to a transferred candidate arrangement. Applications submitted online via CAP.	Will be kept for 2 years.	Confidential destruction
Very late arrival reports/outcomes	Any hard copy information relating to a candidate arriving very late to an exam. Reports submitted online via CAP.	Will be kept for 2 years.	Confidential destruction