

# Norfolk County Council

## Adult Learning

### Exams Procedure

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## Key staff involved in the exams procedure

Role	Name(s)
Head of centre	Denise Saadvandi
Exams officer line manager	(Senior leader) Andrew Blaxter
Exams officer	Clare Parsons
ALS lead/SENCo	Myomey Stanford/Timothy Ritchie
Senior leader(s)	Denise Saadvandi, Sarah Rhoden, John Morgan, Andrew Blaxter, Carl Fiander and Amanda Reeve

## Purpose of the procedure

The centre is committed to ensuring that the exams management and administration process is run effectively and efficiently and in compliance with the published JCQ regulations and awarding body requirements.

This exam procedure will ensure that:

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

This procedure 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 procedure will be communicated to all relevant centre staff.

Any updates to this procedure will be made available to staff either by weekly staff briefing, email or staff meetings.

This procedure will be stored electronically on the service's SharePoint site where it is accessible by all staff.

## Roles and responsibilities overview

**The head of centre** is the individual who is accountable to the awarding bodies for ensuring that the centre is always compliant with the published

JCQ regulations and awarding body to ensure the security and integrity of the examinations/assessments.

**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.

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

## Head of centre responsibilities

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

**It is the responsibility of the head of centre to ensure that all staff comply with the instructions in this booklet.** Failure to do so may constitute malpractice as defined in the JCQ publication [Suspected Malpractice: Policies and Procedures](#), 1 September 2022 to 31 August 2023: ([ICE](#) Introduction)

## Head of centre

- a) Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:
  - a. [General Regulations for Approved Centres](#) (GR)
  - b. [Instructions for Conducting Examinations](#) (ICE)
  - c. [Access Arrangements and Reasonable Adjustments](#) (AA)
  - d. [Suspected Malpractice - Policies and Procedures](#) (SM)
  - e. [Instructions for conducting non-examination assessments](#) (NEA) (and the instructions for conducting coursework)
  - f. [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 and/or practical assessments

- Where/if using a third party to deliver any part of a qualification (including its assessments) at the centre:
  - maintains oversight of, and responsibility for, the delivery of the qualification in accordance with JCQ regulations and awarding body requirements
  - has in place a written agreement with the third party to ensure there is a shared understanding of the arrangement and will manage the risk of failure by the third party to deliver the expected service
  - ensures that a copy of the written agreement is available for inspection if requested by the awarding body

## **Recruitment, selection and training of staff**

- a) Retains a workforce of an appropriate size and competence, including sufficient managerial and other resource, to undertake the delivery of the qualification as required by an awarding body. This includes taking reasonable steps to ensure occupational competence where this is required for the assessment of specific qualifications
- b) Provides fully qualified teachers to mark non-examination assessments, and/or fully qualified assessors for the verification of centre-assessed components
- c) Enables the relevant senior leader(s), the examinations officer (EO) and the ALS lead/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
- d) Appoints an ALS lead/SENCo who will determine appropriate arrangements for candidates with learning difficulties and disabilities
- e) Ensures that the ALS lead/SENCo has sufficient time to both manage the access arrangements process within the centre and familiarise him/herself with the JCQ publication *Access arrangements and Reasonable adjustments*
- f) Ensures that the examinations officer is line managed and actively supported by a member of the senior leadership team who has a good working knowledge of the examination system

## **Internal governance arrangements**

Has in place a written escalation process should the head of centre, or a member of the senior leadership team with oversight of examination administration, be absent

## **Escalation Process**

This plan examines potential risks and issues that could cause disruption to the exams process at Adult Learning. By outlining actions/procedures to be invoked in case of disruption it is intended to mitigate the impact these disruptions have on our exam process.

This plan also confirms Adult Learning is compliant with the JCQ regulation (section 5.3, General Regulations for Approved Centres 2022-2023) that the centre has in place a written examination contingency plan which covers all aspects of examination administration. This will allow members of the senior leadership team to act immediately in the event of an emergency or staff absence. The examination contingency plan should reinforce procedures in the event of the centre being unavailable for examinations, or on results day, owing to an unforeseen emergency.

It is the responsibility of the head of centre to ensure that his/her centre has in place a written escalation process should the head of centre, or a member of the senior leadership team with oversight of examination administration, to be absent ([GR 5.3](#))

Refer to [GR](#) (section 5.3d)

Has in place a member of the senior leadership team who will provide support and guidance to the examinations officer and ensure that the integrity and security of examinations and assessments is maintained throughout an examination series

Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the EO

Makes sure that a teacher, a tutor, or a senior member of centre staff who teaches the subject being examined, is not an invigilator during the examination

### **Delivery of qualifications**

- a) Delivers qualifications, as required by the awarding body, in accordance with relevant equality legislation. This includes but is not limited to ensuring that qualifications are made available to all candidates capable of undertaking them and seeking reasonable adjustments for disabled candidates
- b) Enables candidates to receive sufficient and up to date laboratory experience, or relevant training where required by the subject concerned

### **Public liability**

Complies with local health and safety rules which are in place and that the centre is adequately covered for public liability claims

### **Security of assessment materials**

Takes all reasonable steps to maintain the integrity of the examinations/assessments, including the security of all assessment materials, by ensuring:



- a. The location of the centre's secure storage facility in a secure room which must only be used for the purpose of administering secure examination materials
  - b. The secure room only contains exam-related material
  - c. There are between two and six keyholders only, each of whom must fully understand their responsibilities as a key holder to the secure storage facility
  - d. Access to the secure room and secure storage facility is restricted to the authorised two to six keyholders and staff approved by the head of centre are accompanied by a keyholder at all times
  - e. Appropriate arrangements are in place to ensure that confidential examination materials are only handed over to authorised members of centre staff
  - f. Appropriate arrangements are in place for handling secure electronic materials
  - g. The relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk
  - h. That when it is permitted to remove question papers packets from secure storage, and to avoid potential breaches of security, arrangements are in place to carefully check and record that the correct question paper packets are opened  
(If it is ever subsequently identified following this check that the wrong question paper packet has been opened, it will be resealed and the incident reported to the relevant awarding body's Malpractice Investigation Team immediately)
- Make arrangements to receive, check and store question papers and examination material safely and securely at all times and for as long as required in accordance with the current JCQ publication Instructions for conducting examinations
  - Makes arrangements to receive and issue material received from the awarding bodies to staff and candidates, and notify them of any advice and instructions relevant to the examinations and assessments
  - Allows candidates access to relevant pre-release materials on, or as soon as possible after, the date specified by the awarding bodies

## Malpractice

- 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 and after assessments have taken place
- Ensures any person involved in administering, teaching, or completing examinations/assessments is advised that where malpractice is suspected, or alleged, personal data about them will be provided to the awarding body (or bodies) whose examinations/assessments are involved. Personal data about them may also be shared with other awarding bodies, the

qualifications regulator, or professional bodies in accordance with the JCQ publication *Suspected Malpractice – Policies and Procedures*

- Ensures irregularities are investigated and informs the awarding bodies immediately of any alleged, suspected, or actual incidents of malpractice or maladministration, involving a candidate or a member of staff by completing the appropriate documentation
- As required by an awarding body, ensures evidence of any instances of alleged or suspected malpractice (which includes maladministration) is gathered in accordance with the JCQ publication *Suspected Malpractice – Policies and Procedures* and provides such information and advice as the awarding body may reasonably require

## **Policies/procedures**

Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place (that allow the senior leadership team to act immediately in the event of an emergency or staff absence)

## **Exam Contingency Plan**

A copy of the exam contingency plan will be available with all Exam Policies books, and an electronic copy will be held by the Exams Officer for reference.

It is the responsibility of the head of centre to ensure that his/her centre... has in place the following policies available for inspection... a written examination contingency plan which covers all aspects of examination administration. This will allow members of the senior leadership team to act immediately in the event of an emergency or staff absence. The examination contingency plan should reinforce procedures in the event of the centre being unavailable for examinations, or on results day, owing to an unforeseen emergency ([GR](#) 5.3)

Refer to [GR](#) (section 5.3x)

## **Lockdown Procedure (Exams)**

A copy of the exam contingency plan will be available with all Exam Policies books, and an electronic copy will be held by the Exams Officer for reference.

Ensures an internal appeals procedures is in place and drawn to the attention of candidates and (where relevant) their parents/carers

## **Internal Appeals Procedures**

A copy of the internal appeals procedure will be available with all Exams

Policies books, and an electronic copy will be held by the Exams Officer for reference.

#### Internal Appeals Procedure (Internal assessment decisions)

The centre will have in place and be available for inspection purposes, a written internal appeals procedure relating to internal assessment decisions and to ensure that details of this procedure are communicated, made widely available and accessible to all candidates...

Refer to [GR](#) (section 5.7f)

#### Internal Appeals Procedure (Reviews of Results/Appeals)

...have available for inspection purposes and draw to the attention of candidates and their parents/carers, a written internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support a clerical re-check, a review of marking, a review of moderation or an appeal...

Refer to [GR](#) (section 5.13h)

Ensures the centre's equalities procedure demonstrating the centre's compliance with relevant legislation is in place and details the processes followed in respect of identifying the need for, requesting, and implementing access arrangements

#### **Equalities Procedure**

A copy of the equalities procedure will be available with all Exam Policies books, and an electronic copy will be held by the Exams Officer for reference.

It is the responsibility of the head of centre to ensure that his/her centre has in place the following policies available for inspection... a written equalities procedure ...delivers qualifications, as required by the awarding body, in accordance with relevant equality legislation. This includes but is not limited to ensuring that qualifications are made available to all candidates capable of undertaking them and seeking reasonable adjustments for disabled candidates. The head of centre/senior leadership team will recognise its duties towards disabled candidates, including private candidates, as defined under the terms of the Equality Act 2010†. This must include a duty to explore and provide access to suitable courses, through the access arrangements process submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates.

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

Refer to [GR](#) (sections 5.3x, 5.4)

Ensures a complaints and appeals procedure covering general complaints regarding the centre's delivery or administration of a qualification is in place and drawn to the attention of candidates and their parents/carers

### **Complaints and Appeals Procedure (Exams)**

A copy of the complaints and appeals procedure will be available with all Exam Policies books, and an electronic copy will be held by the Exams Officer for reference

The centre will draw to the attention of candidates and their parents/carers their written complaints and appeals procedure which will cover general complaints regarding the centre's delivery or administration of a qualification  
Refer to [GR](#) (section 5.8e)

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

### **Child Protection/Safeguarding Procedure (Exams)**

A copy of the safeguarding procedure will be available with all Exams Policies books, and an electronic copy will be held by the Exams Officer for reference.

There is a Disclosure and Barring Service (DBS) process in place for existing and new recruitment this is available on the Adult Learning SharePoint site this data is reported on and checked by SLT to ensure DBS clearance and satisfies current legislation requirements.

It is the responsibility of the head of centre to ensure that his/her centre... has in place the following policies available for inspection... a written child protection/safeguarding procedure, including Disclosure and Barring Service (DBS) clearance, which satisfies current legislative requirements.

Safeguarding is mandatory training for all staff and must be renewed every two years.

Refer to [GR](#) (section 5.3x)

Ensures the centre has a data protection procedure in place that complies with General Data Protection Regulation and Data Protection Act 2018 regulations

### **Data Protection Procedure (Exams)**

A copy of the data protection procedure will be available with all Exams Policies books, and an electronic copy will be held by the Exams Officer for reference.

It is the responsibility of the **head of centre** to ensure that his/her centre

has in place the following policies available for inspection... a written data protection procedure ([GR 5.3](#))

The centre will ensure that all candidate data where required by the awarding body has been supplied to the awarding bodies within the terms of the General Data Protection Regulation, the Data Protection Act 2018 and the Freedom of Information Act 2000, and that candidates have been properly informed that this data has been transferred to the awarding bodies (see section 6, for more information)... ([GR 5.8](#))

Refer to [GR](#) (sections 5.3x, 5.8d)

Consideration may also need to be given to the centre's procedure on sharing candidates' results and other exams related information with those with parental responsibility and third parties

### **Legislation on sharing information**

Under the principles of the General Data Protection Regulations 2018 and the Data Protection Act 2018, children and young adults can assume control over their personal information and restrict access to it from the age of 13. This suggests that candidate consent should be sought to share results or other exams-related information with a third party.

Other legislation and guidance may need to be considered regarding sharing information with parents, as example information from the DfE for schools regarding parental responsibility and school reports on pupil performance:

- a) [Understanding and dealing with issues relating to parental responsibility](#)
- b) [School reports on pupil performance: guidance for headteachers](#)

### **Publication of exam results**

Refer to ICO (Information Commissioner's Office) [Schools, universities, and colleges](#) information and [Exam results](#)

### **Whistleblowing Policy (Exams)**

NCC has a whistleblowing policy but exams do not have one.

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

### **Access Arrangements Procedure**

A copy of the access arrangements procedure will be available with all Exams Policies books, and an electronic copy will be held by the Exams Officer for reference.

There is no current JCQ regulation for centres to specifically have an Access arrangements procedure in place through it might be good practice to bring all aspects of the process together in one place thereby confirming the centre

complies.

The head of centre/senior leadership team will have a written process in place to not only check the qualification(s) of their assessor(s) but that the correct procedures are followed as in Chapter 7 of the JCQ publication Access Arrangements and Reasonable Adjustments... ([GR 5.4](#))

### **Conflicts of interest**

- a) Ensures the relevant awarding bodies are informed before the published deadline for entries for each examination series of any potential conflict of interest where:
  - a. a member of centre staff is taking a qualification at the centre which includes internally assessed components/units (noting that being entered by the centre must be as last resort where unable to find an alternative centre)
  - b. a candidate is being taught and prepared for a qualification which includes internally assessed components/units by a member of centre staff with a close relationship to the candidate
- b) Maintains clear 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. A member of exams office staff has a close relationship to a candidate being entered for exams and assessments at the centre or at another centre
  - b. 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)
  - c. A member of centre staff is taking a qualification at another centre

### **Conflicts of Interest Procedure (Exams)**

It is the responsibility of the head of centre to ensure that his/her centre manages Conflicts of Interest by informing the awarding bodies, before the published deadline for entries, of:

- a) Any members of centre staff who are taking qualifications at their own centre which include internally assessed components/units.
- b) Any members of centre staff who are teaching and preparing members of their family (which includes stepfamily, foster family, and similar close relationships) or close friends and their immediate family (e.g., son/daughter) for qualifications which include internally assessed components/units

And

Maintains clear records of all instances where:

- a) Exams office staff have members of their family (which includes stepfamily, foster family, and similar close relationships) or close friends and their immediate family (e.g., son/daughter) being entered for examinations and assessments either at the centre itself or other centres
- b) Centre staff are taking qualifications at their centre which do not include internally assessed components/units
- c) Centre staff are taking qualifications at other centres

The head of centre must ensure that the records include details of the measures taken to mitigate any potential risk to the integrity of the qualifications affected.

The records may be inspected by a JCQ Centre Inspector and/or awarding body staff.

They might be requested in the event of concerns being reported to an awarding body. The records must be retained until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.

Heads of centre should note that entering members of centre staff for qualifications at their own centre must be as a last resort in cases where the member of centre staff is unable to find another centre.

The head of centre is responsible for ensuring that proper protocols are in place to prevent the member of centre staff having access to examination materials prior to the examination and that other centre staff are briefed on maintaining the integrity and confidentiality of the examination materials.

The head of centre **must** ensure that during the examination series the member of centre staff is treated in the same way as any other candidate entered for that examination, does not have access to examination materials and does not receive any preferential treatment. ([GR 5.3](#))

## National Centre Number Register

- Provides contact details and an address to which all correspondence in connection with the administration of examinations and assessments can be directed which must be the registered address of the centre
- Ensures the National Centre Number Register annual update is responded to by the end of October
- Takes responsibility for confirming, on an annual basis, that they are both aware of and adhering to the latest version of the JCQ's regulations. This confirmation is managed as part of the National Centre Number Register (NCNR) annual update
- Understands that this responsibility cannot be delegated to a member of the senior leadership team or the examinations officer, and acknowledges that failure to respond to the NCNR annual update, and/or the head of centre's declaration, will result in:



- the centre status being suspended
  - the centre not being able to submit examination entries
  - the centre not receiving or being able to access question papers
- and ultimately, awarding bodies could withdraw their approval of the centre

## Centre inspections

- a) Co-operates with the JCQ Centre Inspection Service, an awarding body, or a regulatory authority when subject to an inspection, an investigation, or an unannounced visit, and takes all reasonable steps to comply with all requests for information or documentation made by an awarding body or regulatory authority as soon as is practical
- b) Allows all venues used for examinations and assessments, paperwork, and secure storage facilities to be open to inspection
- c) Understands the JCQ Centre Inspector will identify him/herself with a photo ID card and must be accompanied throughout his/her tour of the premises, including inspection of the centre's secure storage facility

## Exams officer

- a) Understands the contents of annually updated JCQ publications including:
  - a. [General Regulations for Approved Centres](#)
  - b. [Instructions for Conducting Examinations](#)
  - c. [Suspected Malpractice - Policies and Procedures](#)
  - d. [Post-results services](#) (PRS)
  - e. [A guide to the special consideration process](#)
- b) Completes/submits the National Centre Number Register [annual update](#) (administered on behalf of the JCQ member awarding bodies by OCR by the end of October each year)
- c) Confirms the details or informs the awarding bodies of any changes to the centre's contact details through the National Centre Number Register
- d) Informs the National Centre Number Register Team **immediately** (e-mail address – [ncn@ocr.org.uk](mailto:ncn@ocr.org.uk) if any changes occur after the National Centre Number Register annual update has taken place
- e) (where it may be applicable) Informs the National Centre Number Register Team no later than 6 weeks prior to moving to a new address or a re-location of the secure storage facility
- f) Informs the National Centre Number Register Team immediately of any other changes in circumstances that could affect the centre's status
- g) Is familiar with the contents of annually updated information from awarding bodies on administrative procedures, key tasks, key dates, and deadlines
- h) Ensures key tasks are undertaken and key dates and deadlines met
- i) 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
- j) Works with the ALS lead/SENCo 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
- k) Supports the head of centre in ensuring that awarding bodies are informed (where required) 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 for each examination series
  - l) 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

Are familiar with the contents, refer to and direct relevant centre staff to annually updated JCQ publications including:

- a) [General Regulations for Approved Centres](#)
  - b) [Instructions for Conducting Examinations](#)
  - c) [Access Arrangements and Reasonable Adjustments](#)
  - d) [Suspected Malpractice - Policies and Procedures](#)
  - e) [Instructions for conducting non-examination assessments](#) (and the instructions for conducting coursework)
  - f) [A guide to the special consideration process](#)
- Ensure 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 ALS lead/SENCo
  - Ensure teaching staff keep themselves updated with awarding body subject and teacher-specific information to confirm effective delivery of qualifications
  - Ensure teaching staff attend relevant awarding body training and update events

### Additional Learning Support (ALS) lead/Special educational needs co-ordinator (SENCo)

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

## Teaching staff

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

## Invigilators

- a) Attend/undertake training (on the current regulations), annual update, briefing and review sessions as required
- b) Provide information as requested on their availability to invigilate
- c) 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 procedures, 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:

- a) Planning
- b) Entries
- c) Pre-exams
- d) Exam time
- e) Results and post-results

This procedure identifies roles and responsibilities of centre staff within this

cycle.

## **Planning: roles and responsibilities**

### **Information sharing**

Head of centre

Directs relevant centre staff to annually updated JCQ publications including [GR, ICE, AA, SM, NEA \(and the \*Instructions for conducting coursework\*\) and SC](#)

Exams officer

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

### **Information gathering**

Exams officer

- a) 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
- b) Collates all information gathered into one central point of reference
- c) Research awarding body guidance to identify administrative processes, key tasks, key dates, and deadlines for all relevant qualifications
- d) 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
- e) Collects information on internal exams to enable preparation for and conduct of (insert the titles these internal exams are referred to in the centre)

Senior leaders

- a) Respond (or ensure teaching staff respond) to requests from the EO on information gathering
- b) Meet the internal deadline for the return of information
- c) Inform 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
- d) Note the internal deadlines in the annual exams plan and directs teaching staff to meet these

## Access arrangements

### Head of centre

- a) Ensures there is appropriate accommodation for candidates requiring access arrangements in the centre for all examinations and assessments
- b) 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](#)
- c) Ensures the ALS lead/SENCo is fully supported in effectively implementing access arrangements and reasonable adjustments once approved

### ALS lead/SENCo

- a) Assesses candidates (or works with the appropriately qualified assessor as appointed by the head of centre) to identify access arrangements/reasonable adjustments requirements
- b) Gathers **evidence** to support the need for access arrangements for a candidate
- c) Liaises with teaching staff to gather evidence of **normal way of working** of an affected candidate
- d) Determines candidate eligibility for arrangements or adjustments that are centre delegated
- e) Gathers signed **Personal data consent**, forms from candidates where required and ensures Data protection confirmation(s) by the examinations officer or SENCo are completed
- f) 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
- g) Keeps a file for each candidate for JCQ inspection purposes containing all the required documentation (if documentation is stored electronically, an e-folder must be created for each individual candidate. The candidate's e-folder must hold each of the required documents for inspection)
- h) Employs good practice in relation to the Equality Act 2010
- i) Liaises with the EO regarding exam time arrangements for access arrangement candidates
- j) 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
- k) 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
- l) Liaises with the relevant member of the senior leadership team on the centre's policy on the use of word processors in examinations

### Word Processor Process (Exams)

A copy of the word processor procedure will be available with all Exams Policies books, and an electronic copy will be held by the Exams Officer for reference.

A centre must have a procedure on the use of word processors. A word processor cannot simply be granted to a candidate because he/she now wants to type rather than write in examinations or can work faster on a keyboard, or because he/she uses a laptop at home.

The use of a word processor must reflect the candidate's normal way of working within the centre. For example, where the curriculum is delivered electronically, and the centre provides word processors to all candidates.

The centre may wish to set out the particular types of candidates which it considers would benefit from the use of a word processor. For example, a candidate with access arrangements in place identified by the tutor and confirmed by the ALS Lead/SENCo.

A member of the centre's senior leadership team must produce a statement for inspection purposes which details the criteria the centre uses to award and allocate word processors for examinations.

Refer to [GR](#) (section 5.3x) and [AA](#) (section 5.8.4)

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

### **Separate Invigilation Process**

Please refer to the procedure regarding access arrangements.

The ALS Lead/SENCo must make their decision based on:

- a) Whether the candidate has a substantial and long-term impairment which has an adverse effect

And

The candidate's normal way of working within the centre

For example, in the case of separate invigilation, the candidate's difficulties are established within the centre (see Chapter 4, paragraph 4.1.4) and known to a Form Tutor, a Head of Year, the ALS Lead/SENCo or a senior member of staff with pastoral responsibilities.

Separate invigilation reflects the candidate's normal way of working in internal school tests and mock examinations as a consequence of a long-term medical condition or long term social, mental, or emotional needs. ([AA](#) 5.16)

The ALS Lead/SENCo, or an equivalent member of staff within a FE college, must ensure that the proposed access arrangement

does not disadvantage or advantage the candidate. ([AA](#) 4.2.1)

A candidate may only take their examinations under separate invigilation within the centre where he/she has an established difficulty - see section 5.16 of the JCQ publication Access Arrangements and Reasonable Adjustments...

Where candidates are subject to separate invigilation within the centre, the regulations and guidance within this booklet must always be adhered to. This is particularly so in relation to accommodation and invigilation arrangements (see sections 11 and 12). ([ICE](#) 14)

Refer to [AA](#) (sections 4.2.1, 5.16) and [ICE](#) (section 14.18)

### **Why have a procedure on this?**

In certain circumstances, a candidate with 'an established difficulty' may be eligible to take exams under separate invigilation. Centres may also receive requests from candidates (and/or parents/carers) to take their exams under separate invigilation (in a separate room with 1:1 invigilation). Having a documented procedure ensures:

- a) The criteria for candidates granted separate invigilation within the centre is clear and complies with JCQ regulations
- b) The centre can demonstrate the procedure if asked/challenged by a candidate (and/or parent/carer)

The may also be useful to include within this, the centre's procedure for candidates seated in a 'small' room, 'access arrangements' room etc. (i.e., taking exams separate to the main cohort)

### **Senior leaders, Teaching staff**

Support the ALS lead/SENCo in determining and implementing appropriate access arrangements/reasonable adjustments

Provide a statement for inspection purposes which details the criteria the centre uses to award and allocate word processors for examinations

### **Internal assessment and endorsements**

Head of centre

### **Controlled assessments, coursework, and non-examination assessments**

- a) Ensures arrangements are in place to co-ordinate and standardise all marking of centre- assessed components and ensures that candidates' centre-assessed work is produced, authenticated, and marked, or assessed and quality assured in accordance with the awarding bodies' instructions (including where relevant, private candidates)
- b) Ensures that teaching staff, in accordance with awarding bodies' instructions, return all subject-specific forms by the required date
- c) Provides fully qualified teachers to mark non-examination assessments, and/or fully qualified assessors for the verification of centre-assessed

components

- d) 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)
- e) Ensures a non-examination assessment procedure 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 procedure)

### **Non-examination Assessment Process**

A copy of the non-examination assessment procedure will be available with all Exams Policies books, and an electronic copy will be held by the Exams Officer for reference.

The centre will... have in place and be available for inspection purposes, a written procedure with regard to the management of GCE and GCSE non-examination assessments; (For CCEA GCSE centres this would be a written controlled assessments procedure.) ([GR](#) 5.7)

The JCQ requires each centre to have a non-examination assessment procedure in place:

- a) To cover procedures for planning and managing non-examination assessments.
- b) To define staff roles and responsibilities with respect to non-examination assessments
- c) To manage risks associated with non-examination assessments

A JCQ Centre Inspector will ask the examinations officer to confirm that such a procedure is in place. The guidance provided in this document will help the head of centre to ensure that the centre's procedure is fit for purpose. The procedure will need to cover all types of non-examination assessment.

Additionally, each centre must have available for inspection an internal appeals procedure relating to internal assessment decisions. ([NEA](#) 1)

Refer to [GR](#) (sections 5.3x, 5.7) and [NEA](#) (section 1)

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

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



- c) Ensure teaching staff delivering AQA Applied General qualifications, OCR Cambridge Nationals, Entry Level Certificate or Project qualifications (and CCEA GCE unitised AS and A-level qualifications and follow JCQ [Instructions for conducting coursework](#) and the specification provided by the awarding body
- d) Ensure teaching staff delivering reformed 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
- e) For other qualifications, ensure teaching staff follow appropriate instructions issued by the awarding body
- f) Ensure 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

- a) Ensure appropriate instructions for conducting internal assessment are followed
- b) 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
- c) 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

- a) Identifies relevant key dates and administrative processes that need to be followed in relation to internal assessment
- b) Signposts teaching staff to relevant JCQ [Information for candidates documents](#) that are annually updated

#### Invigilation

##### Head of centre

- a) Ensures relevant support is provided to the EO in recruiting, training, and deploying a team of invigilators
- b) 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 (and not taking on its own an assurance from a recruitment agency, that this is the case)
- c) 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



- a) Recruits additional invigilators where required to effectively cover all exam periods/series' throughout the academic year
- b) Collects information on new recruits to identify if they have invigilated previously and if any current maladministration/malpractice sanctions are applied to them
- c) Provides training for new invigilators on the current instructions for conducting examinations 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
- d) 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)
- e) Ensures invigilators are briefed on the access arrangement candidates in their exam room and made aware of the access arrangement(s) awarded (ensuring these candidates are identified on the seating plan) and confirms invigilators understand what is and what is not permissible
- f) Collects evaluation of training to inform future events

## **Entries: roles and responsibilities**

### **Estimated entries**

Exams officer

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

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

This centre does not deliver any qualifications that require estimated entries.

Makes candidates aware of the Jcq **Information for candidates – Privacy Notice** at the start of a course leading to a vocational qualification or when entries are submitted to awarding bodies for processing for general qualifications

Senior leaders

- a) Provide entry information requested by the EO to the internal deadline
- b) Inform the EO immediately of any subsequent changes to entry information

### **Final entries**

Exams officer

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

- c) Confirms with HoDs final entry information that has been submitted to awarding bodies
- d) 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
- e) Observes each awarding body's terms and conditions for the entry and withdrawal of candidates for their examinations and assessments, and observes any regulatory requirements for the qualification

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

The exams officer sends class lists to all tutors to confirm candidate details who confirm details and tier information by a set date to ensure entries are submitted on time.

Senior leaders

- a) Provide information requested by the EO to the internal deadline
- b) Inform 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
- c) Check final entry submission information provided by the EO and confirms information is correct

### **Entry fees**

The exams officer will liaise with the finance officer if entry fees are required.

### **Late entries**

Exams officer

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

Senior leaders

- a) Minimise 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**

Re-sit fees are generally only for GCSE's and there are a low number that

usually opt for a resit.

### **Private candidates**

Entries (and any corresponding access arrangements) from private candidates are managed and costed on an individual basis depending on the individual arrangements and corresponding costs of the candidate. Candidates need to contact the Exams Officer in the first instance

### **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.

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

#### **Access arrangements and reasonable adjustments**

ALS lead/SENCo

- b) 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)
- c) Ensures a candidate is involved in any decisions about arrangements, adjustments and /or adaptations that may be put in place for him/her
- d) Ensures exam information (JCQ information for candidates documents, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it
- e) 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 access arrangement)
- f) 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

- a) Issues individual exam timetable information to candidates and informs candidates of any designated contingency day awarding bodies may identify in the event of national or significant local disruption to exams
- b) Prior to exams issues relevant JCQ information for candidates documents
- c) Where relevant, issues relevant awarding body information to candidates
- d) Issues centre exam information to candidates including information on:
  - a. Exam timetable clashes
  - b. Arriving late for an exam
  - c. Absence or illness during exams
  - d. What equipment is/is not provided by the centre
  - e. Food and drink in exam rooms
  - f. Unauthorised items in exam rooms
  - g. When and how results will be issued and the staff that will be available
  - h. The post-results services information and how the centre will deal with requests from candidates
  - i. When and how certificates will be issued

## Access to Scripts, Reviews of Results and Appeals Procedures

A copy of the post-results procedures will be available with all Exams Policies books, and an electronic copy will be held by the Exams Officer for reference.

As a suggestion only, procedures might detail how candidates are informed (before they sit their exams) of:

when, where and with whom they will have the opportunity to discuss their results

- a) the arrangements for post-results services, including:
  - a. how they request a service
  - b. when they will be informed of
  - c. the services that will be made available by the awarding bodies
  - d. the deadlines that have to be met
  - e. the fees that will be charged
  - f. how they are informed of the outcome of their request
  - g. 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

The centre will... have in place written procedures for how it will deal with candidates' requests for access to scripts, clerical re-checks, reviews of marking, reviews of moderation and appeals to the awarding bodies. Details of these procedures must be made widely available and accessible to all candidates. Candidates must be made aware of the arrangements for post-

results services before they sit any examinations and the accessibility of senior members of centre staff immediately after the publication of results... ([GR](#) 5.13)

The centre will... treat all candidates equally, including private candidates, throughout the examination process. This would also extend to post-results services and appeals ([GR](#) 5.6)

Refer to [GR](#) (sections 5.13, 5.6j)

## **Dispatch of exam scripts**

Exams officer

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

## **Estimated grades**

Senior leaders

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

Exams officer

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

## **Internal assessment and endorsements**

Head of centre

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

ALS lead/SENCo

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

Teaching staff

- a) Support the ALS lead/SENCo in implementing appropriate access arrangements for candidates undertaking internal assessments and practical endorsements
- b) Assess and authenticate candidates' work
- c) Assess endorsed components

- d) Ensure candidates are informed of centre assessed marks prior to marks being submitted to awarding bodies

#### Senior leaders

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

#### Exams officer

- a) Submits marks, endorsement grades and samples to awarding bodies/moderators/monitors to meet the external deadline
- b) Keeps a record to track what has been sent
- c) Logs moderated samples returned to the centre
- d) 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

- a) Provides an annually reviewed/updated invigilator handbook to invigilators, trains new invigilators on the current regulations on appointment and updates experienced invigilators on an annual basis any regulation changes and any changes to centre-specific processes
- b) 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, ensure all relevant rules are being adhered to and to support the practical assistant/reader and/or scribe in maintaining the integrity of the exam)
- c) Allocates invigilators to exam rooms (or where supervising candidates due to a timetable clash) according to the required ratios
- d) Liaises with the ALS lead/SENCo regarding the facilitation and invigilation of access arrangement candidates

#### ALS lead/SENCo

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

Invigilators

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

### **JCQ Centre Inspections**

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

Will accompany the Inspector throughout a visit

**ALS lead/SENCo** or relevant **Senior leader** (in the absence of the ALS lead/SENCo)

- a) Will meet with the inspector when requested to provide documentary evidence regarding access arrangement candidates and address any questions the inspector may raise
- b) 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 officer

Ensures a procedure is in place to verify the identity of all candidates

#### **Candidate Identification Procedure**

All identification is checked by way of photographic ID by an invigilator and marked on the attendance register this includes a private / external candidate.

The centre will... verify the identity of all students that they enter for examinations or assessments. The centre must be satisfied that all candidate identities have been checked, whether as part of the initial registration process, or in the case of private candidates through a verification process which involves photo-ID ([GR 5.6](#))

The centre will... have in place written procedures to verify the identity of all candidates at the time of the examination or assessment... ([GR 5.9](#))

Invigilators must establish the identity of all candidates sitting examinations.

A private/external candidate or a transferred candidate who is not known to the school or college must show photographic documentary evidence to prove that he/she is the same person who entered/registered for the examination/assessment, e.g., passport or photographic driving licence.

Where it is impossible to identify a candidate due to the wearing of religious clothing, such as a veil, the candidate should be approached by a member



of staff of the same gender and taken to a private room where they should be politely asked to remove the religious clothing for identification purposes. Centres must inform candidates in advance of this procedure and well before their first examination.

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

Invigilators must be informed of those candidates with access arrangements and must be made aware of the access arrangement(s) awarded. ([ICE](#) 16)

Refer to [GR](#) (sections 5.6i, 5.9d) and [ICE](#) (section 16)

- a) Ensures invigilators are aware of the procedure
- b) 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 and invigilators are informed of those candidates with access arrangements and made aware of the access arrangement(s) awarded)

#### Invigilators

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

#### Security of exam materials

##### Exams officer

- a) Confirms appropriate arrangements are in place to ensure that confidential materials are only handed over to those authorised by the head of centre
- b) Ensures access to the secure room is restricted and staff approved by the head of centre are accompanied by a keyholder at all times. There must be between two and six keyholders only, each of whom must fully understand their responsibilities as a key holder to the secure storage facility
- c) Has a process in place to demonstrate the receipt, secure movement, and secure storage of confidential exam materials within the centre
- d) 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 to 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
- e) Ensures the secure storage facility contains only current and live confidential material (ensuring that past examination question papers, internal tests and mock examinations are not kept in the centre's secure storage facility)
- f) 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)
- g) Ensures the integrity and security of any electronic question paper is maintained during the downloading, printing, and collating process (ensuring printing is carried out in an area that can be controlled to prevent unauthorised personnel accessing live assessment materials and ensuring only authorised members of centre staff have access to electronic question papers)

#### 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 transferal to 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

- a) Produces a master centre exam timetable for each exam series
- b) Identifies and resolves candidate exam timetable clashes according to the regulations (only applying overnight supervision arrangements as a last resort, once all other options have been exhausted and according to the centre's procedure)

### Overnight Supervision Arrangements Procedure

Overnight supervision arrangements should only be applied as a last resort and once all other options have been exhausted...

...candidates may, at the centre's discretion, be allowed to take an examination the following morning, including Saturdays (see paragraph 8.5). Candidates are not allowed to take examinations on an earlier day than that scheduled on the timetable...

The overnight supervision arrangements must ensure that the candidate does not have advance warning of the content of the examination deferred until the following morning. This means the candidate must not meet or communicate with anyone who may have knowledge of the content. This includes any form of electronic communication/storage device, e.g., telephone (both landline and mobile), e-mail, internet, and social media. It also extends to television and radio, which could report key details of the day's examinations.

The JCQ Overnight Supervision and Overnight Supervision Declaration forms must be completed

before the overnight supervision is to commence. The JCQ Overnight

Supervision form is completed

online using the Centre Admin Portal (CAP). The JCQ Overnight Supervision Declaration form is

downloaded from the Centre Admin Portal (CAP) for signing by the candidate, the supervisor, and the head of centre. ([ICE](#) 8)

Refer to [ICE](#) (section 8)

Why have a procedure on this?

Allowing a candidate to take an exam paper the following morning due to an eligible overnight supervision arrangement is at the discretion of the centre.

Having a documented procedure ensures:

the correct procedure is followed

appropriate arrangements are put in place

candidates (and/or parents/carers) understand when, or indeed if, appropriate arrangements can/will be made

the centre can demonstrate the procedure if asked/challenged by a candidate (and/or parent/carer)

- a) Identifies exam rooms and specialist equipment requirements
- b) Allocates invigilators to exam rooms (or where supervising candidates due to an exam timetable clash) according to required ratios
- c) Liaises with site staff to ensure exam rooms are set up according to JCQ and awarding body requirements
- d) Liaises with the ALS lead/SENCo regarding rooming of access arrangement candidates

ALS lead/SENCo

- a) Liaises with the EO regarding rooming of access arrangement candidates
- b) 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

- a) (Where/if applicable to the centre) Ensures question papers will only be taken to an alternative site where the published criteria for an alternative site arrangement have been met
- b) Will inform the JCQ Centre Inspection Service to timescale by submitting a JCQ Alternative Site arrangement notification using CAP (or

through the awarding body where a qualification may sit outside the scope of CAP) of any alternative sites that will be used to conduct timetabled examination components of the qualifications listed in the JCQ regulations

### **Centre consortium arrangements**

Exams officer

(Where/if applicable to the centre) Processes applications for Centre Consortium arrangements using CAP to the awarding body deadline (or through the awarding body where a qualification may sit outside the scope of CAP)

Senior leaders

(Where/if applicable to the centre) Inform the EO of any joint teaching arrangements in place and where the centre is acting as the consortium co-ordinator

### **Transferred candidate arrangements**

Exams officer

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

### **Internal exams**

Exams officer

- a) Prepares for the conduct of internal exams under external conditions (where applicable to the centre)
- b) Provides a centre exam timetable of subjects and rooms
- c) Provides seating plans for exam rooms
- d) Requests internal exam papers from teaching staff
- e) Arranges invigilation (where applicable to the centre)

ALS lead/SENCo

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

Teaching staff

- a) Provide exam papers and materials to the EO
- b) Support the ALS lead/SENCo in making appropriate arrangements for access arrangement candidates

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

#### **Access arrangements**

Exams officer

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

#### **Candidate absence**

##### **Candidate Absence Procedure**

Candidates should inform their tutor or the exams officer as a matter of urgency if they will be absent from their scheduled examination. Advice will be given to the candidate about the impact of the absence on their outcome for the examination and evidence for special consideration should be gathered at this point is relevant.

Once candidates are seated and have started the examination, complete the attendance register. This will allow for the identification of absent candidates who can be contacted as to their whereabouts. ([ICE](#) 22)

Refer to [ICE](#) (section 22)

#### **Why have a procedure on this?**

Centres will likely have different strategies for dealing with unauthorised absences from exams. Having a documented procedure ensures:

- a) Candidates are aware of what they need to do if they are likely to be absent from an exam
- b) Staff involved in the exams process understand how absent candidates who have not contacted the centre regarding their absence will be managed at the time of the exam
- c) The centre can demonstrate the procedure if asked/challenged by a candidate (and/or parent/carer)

Invigilators

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

#### Candidates

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

#### **Candidate behaviour**

See Irregularities below.

#### **Candidate belongings**

See Unauthorised items below.

#### **Candidate late arrival**

##### Exams officer

- a) 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 using CAP to timescale
- b) Warns candidates that their script may not be accepted by the awarding body

##### Invigilators

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

#### **Candidate Late Arrival Process**

Late arrivals in examinations are handled on a case-by-case basis. This will depend on the availability of the venue and staff, including invigilators, being available to allow the full allocated time for the examination. Additionally, for controlled examinations such as GCSEs, consideration will be made based on how late after the published start time the candidate arrives and if adequate supervision has been in place. Every effort will be made to allow the candidate to sit the examination where criteria have been met.

A candidate who arrives after the start of the examination may be allowed to enter the examination room and sit the examination. This is entirely at the discretion of the centre.

A candidate who arrives late and is permitted by the centre to sit the examination, must be allowed the full time for the examination. ([ICE 21](#))

Refer to [ICE](#) (section 21)

## **Why have a process on this?**

Permitting candidates who arrive after the start of an exam to enter the exam room and sit the exam is at the centre's discretion. Having a documented procedure ensures:

- a) Candidates are aware of what will or won't happen should they arrive late
- b) Staff involved in the exams process understand how this will be managed at the time of the exam
- c) The centre can demonstrate the procedure if asked/challenged by a candidate (and/or parent/carer)

## **Conducting exams**

Head of centre

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

Exams officer

- a) Ensures exams are conducted according to JCQ and awarding body instructions
- b) 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

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

## **Exam papers and materials**

Exams officer

- a) Organises exam question papers and associated confidential resources in date order in the secure storage facility
- b) Attaches erratum notices received to relevant sealed question paper packets
- c) Collates attendance registers and examiner details in date order
- d) Regularly checks mail or email inbox for updates from awarding bodies
- e) In order to avoid potential breaches of security, ensures care is taken to ensure the correct question paper packets are opened by ensuring a member of centre staff, additional to the person removing the papers from secure storage, e.g., an invigilator, checks the day, date, time, subject, unit/component, and tier of entry, if appropriate, immediately before a

- question paper packet is opened
- f) Ensures this additional/second check is recorded
  - g) 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

- a) Ensures that internal tests, mock exams, revision, or coaching sessions are not conducted in a room 'designated' as an exam room
- b) Ensures that when a room is 'designated' as an exam room it is not used for any purpose other than conducting external exams
- c) Ensures only approved centre staff (who have not taught the subject being examined) are present in exam rooms to perform permitted tasks
- d) Ensures the centre's procedure relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates
- e) Ensures the centre's procedure on candidates leaving the exam room temporarily is clearly communicated to candidates

## **Food and Drink Process (Exams)**

Candidates are advised about what they can bring to the examination room with their examination entry information pack.

Food and drink may be allowed in the examination room at the discretion of the head of centre. However, this is on the condition that any food or drink brought into the examination room whether by the candidate or the centre is free from packaging and all labels are removed from drink containers ([ICE](#) 18)

Refer to [ICE](#) (section 18)

## **Why have a process on this?**

Allowing food and drink in an exam room is at the head of centre's discretion. Having a documented procedure ensures:

- a) Candidates are clear on what is or what is not allowed
- b) Staff involved in the exams process are aware of what is and what is not allowed and how this will be managed at the time of the exam
- c) The centre can demonstrate the procedure if asked/challenged by a candidate (and/or parent/carer)

## **Leaving the Examination Room Process**



Candidates are advised of this by the invigilator at the beginning of the exam.

Candidates who are allowed to leave the examination room temporarily must be accompanied by a member of centre staff. This must not be the candidate's subject teacher or a subject expert for the examination in question. Those candidates may be allowed extra time at the discretion of the centre to compensate for their temporary absence. ([ICE 23](#))

Refer to [ICE](#) (section 23)

### **Why have a Procedure on this?**

Allowing time to be compensated where a candidate leaves the exam room temporarily, accompanied by a member of centre staff, is at the discretion centre. Having a documented procedure ensures:

- a) Candidates are aware of the centre's arrangements where time may or may not be compensated for any temporary absence from the exam room
- b) Staff involved in the exams process understand how this will be managed at the time of the exam
- c) The centre can demonstrate the procedure if asked/challenged by a candidate (and/or parent/carer)

#### **Exams officer**

- a) Ensures exam rooms are set up and conducted as required in the regulations
- b) Provides invigilators with appropriate resources to effectively conduct exams
- c) 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)
- d) Ensures sole invigilators have an appropriate means of summoning assistance (if this is a mobile phone, instructs the invigilator that the mobile phone is only allowed to be used for this specific purpose and that it must be on silent mode)
- e) 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
- f) 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
- g) Provides authorised exam materials which candidates are not expected to provide themselves
- h) Ensures invigilators and candidates are aware of the emergency evacuation procedure
- i) 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

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

## Emergency Evacuation Process (Exams)

A copy of the emergency evacuation procedure will be available with all Exams Polices books, and an electronic copy will be held by the Exams Officer for reference. A copy of the emergency evacuation process will be present in all examination rooms.

When dealing with emergencies, staff must be aware of the centre's procedure and, where appropriate, any instructions from relevant local or national agencies. Reference should also be made to the following [document](#).

Centres must have a written centre procedure for dealing with an emergency evacuation of the examination room, which will be subject to inspection by the JCQ Centre Inspection Service. ([ICE](#) 25)

Refer to [ICE](#) (section 25)

## Site staff

- a) Ensure exam rooms are available and set up as requested by the EO
- b) Ensure grounds or centre maintenance work does not disturb exam candidates in exam rooms
- c) 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

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

## Irregularities

### Head of centre

Ensures (as required by an awarding body) 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

### **Managing Behaviour Process (Exams)**

Where a candidate is being disruptive, the invigilator must warn the candidate that he/she may be removed from the examination room. The candidate must also be warned that the awarding body will be informed and may decide to penalise them, which could include disqualification.

The invigilator must record what has happened...

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. ([ICE](#) 24)

Refer for prompt to [ICE](#) (section 24)

### **Why have a process on this?**

Having a documented procedure /procedure on how behaviour in exam rooms is managed ensures staff conducting exams understand the process to be followed and candidates are aware of the possible consequences of any disruptive actions.

Senior leaders

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

Exams officer

- a) Provides an exam room incident log in all exam rooms for recording any incidents or irregularities
- b) 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**

Senior leaders

Provide signed evidence to support eligible applications for special consideration

Exams officer

- a) Processes eligible applications for special consideration to awarding bodies
- b) Gathers evidence which may need to be provided by other staff in centre or candidates
- c) Submits requests to awarding bodies to the external deadline

Candidates

Provide appropriate evidence to support special consideration applications, where required

### **Unauthorised items**

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

Candidates are advised to ensure that they do not bring any unauthorised materials into the examination room. Where this cannot be avoided, all items are placed well out of reach of the candidates and within the supervision of the invigilator.

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.

Potential technological/web enabled sources of information such as... are not permitted... ideally, all unauthorised items are left outside of the examination room... any pencil cases taken into the examination room must be see-through... any unauthorised items that have been taken into the examination room must be placed out of reach of the candidates (and not under their desks) before the examination starts. This would normally be at the front of the examination room or a similar arrangement that enables the invigilator to control access to the items... If candidates have access to unauthorised items in the examination room this may be considered as malpractice. They could be subject to penalties in accordance with the JCQ publication Suspected Malpractice in Examinations and Assessments: Policies and Procedures...

Prior to the examination starting, the invigilator must ensure that candidates have removed their wrist watches, placing them on their desks.

A head of centre may, if he/she so wishes, prohibit candidates bringing a

wristwatch into the examination room. In this case candidates would be required to leave their watches outside of the examination room. ([ICE](#) 18)

Refer for prompt to [ICE](#) (section 18)

Invigilators

Are informed of the arrangements through training.

### **Internal exams**

Exams officer

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

Invigilators

Conduct internal exams as briefed by the EO

### **Results and post-results: roles and responsibilities**

#### **Internal assessment**

Senior leaders

- a) 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
- b) Ensures work is returned to candidates after the retention period or disposed of according to the requirements

#### **Managing results day(s)**

Senior leaders

- a) Identify centre staff who will be involved in the main summer results day(s) and their role
- b) Ensures senior members of staff are accessible to candidates immediately 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(s) (a results day programme) are in place

#### **Results day programme**

Results may be collected from the centre at the times specified to the candidates by the examination officer. After this time, results are sent to the candidates by first class post. Information about post-results services is included with the results information. (You may also need to signpost here to other sections of this procedure, for example Data Protection procedure and Access to Scripts, Reviews of Results and Appeals Procedures)

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

- a) 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
- b) Understands that it is not permitted to withhold provisional results from candidates under any circumstances

Exams officer

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

## Post-results services

Head of centre

- a) Ensures an **internal appeals procedure** is available where candidates disagree with any centre decision not to support a clerical re-check, a review of marking, a review of moderation or an appeal
- b) Ensures that senior members of centre staff are available immediately after the publication of results
- c) 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)

Exams officer

- a) Provides information to candidates and staff on the services provided by awarding bodies and the fees charged (see also above **Briefing candidates** and **Access to Scripts, Reviews of Results and Appeals Procedures**)
- b) Publishes internal deadlines for requesting the services to ensure the external deadlines can be effectively met
- c) Provides a process to record requests for services and to collect candidate informed consent (**after** the publication of results) and fees where relevant
- d) Submits requests to awarding bodies to meet the external deadline for the particular service
- e) Tracks requests to conclusion and informs candidates and relevant centre staff of outcomes
- f) Updates centre results information, where applicable

#### Teaching staff

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

#### Candidates

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

### Analysis of results

#### Head of Service

- a) Provides analysis of results to appropriate centre staff
- b) Provides results information to external organisations where required
- c) Undertakes the secondary school and college (key stage 4/16-18) performance tables [June and September checking exercise \(where applicable\)](#)

#### Certificates

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

### Certificate Issue Procedure and Retention Procedure

Certificates are sent to the candidates when received from the awarding bodies. The date of sending is recorded on the learner record on centre MIS. (to support this detail, refer to the requirements in [GR 5.14](#))

#### Candidates

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

## **Exams review: roles and responsibilities**

Exams officer

- a) 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
- b) 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 officer

- a) Keeps records as required by JCQ and awarding bodies for the required period
- b) Keeps records as required by the centre's records management procedure
- c) Provides an exam archiving procedure that identifies information held, retention period and method of disposal

## **Exams Archiving Procedure**

Saved in the Policies file and an electronic version saved.

## **Appendices**

All documents listed are available in the Exams Policies and Procedures book for reference and inspection