



**Queen Katharine**  
Academy

# Exams Policy

## 2022/23

This policy is reviewed annually to ensure compliance with current regulations

Approved/reviewed by	
Kirsty Cleworth Julie Aukland	
Date of next review	Oct 2023

## Key staff involved in the exams policy

Role	Name(s)
Head of Centre	Jane Driver
Exams Officer/Line Manager - SLT Link	Kirsty Cleworth (SLT)
Exams Officer Line Manager	Louise Setchfield Julie Aukland
SENCo	Jo Hammond
SLT member(s)	Lynn Mayes, Veronica Giaquinto, Jane Driver, Kirsty Cleworth, Jo Hammond, Damon Lewis, James Anderson

## Contents

Key staff involved in the exams policy.....	2
Purpose of the policy .....	6
Roles and responsibilities overview .....	6
National Centre Number Registration .....	7
Recruitment, selection, and training of staff.....	8
Internal governance arrangements .....	8
Escalation Process .....	8
Delivery of qualifications .....	8
Public liability .....	9
Security of assessment materials .....	9
Malpractice .....	9
Policies/procedures.....	10
Exam Contingency Plan.....	10
Lockdown Policy (Exams) .....	10
Internal Appeals Procedures .....	10
Equalities Policy .....	10
Complaints and Appeals Procedure (Exams) .....	11
Child Protection/Safeguarding Policy .....	11
Data Protection Policy (Exams) .....	11
Whistleblowing Policy (Exams) .....	11
Access arrangements policy.....	12
Conflicts of interest .....	12
Conflicts of Interest Policy (Exams) .....	12
National Centre Number Register .....	12
Centre inspections .....	13
The exam cycle .....	15
Planning: roles and responsibilities .....	15
Information sharing .....	15
Information gathering .....	16
Access arrangements.....	16
Word processor policy (exams).....	17
Separate invigilation within the centre .....	17
Internal assessment and endorsements.....	17
Non-examination Assessment Policy .....	18
Invigilation.....	19
Entries: roles and responsibilities .....	20
Estimated entries.....	20
Estimated entries collection and submission procedure .....	20

Final entries .....	20
Final entries collection and submission procedure .....	20
Entry fees .....	21
Late entries.....	21
Re-sit entries .....	21
Private candidates .....	21
Candidate statements of entry .....	21
Pre-exams: roles and responsibilities .....	22
Access arrangements and reasonable adjustments.....	22
Briefing candidates .....	22
Access to scripts, reviews about results and appeals procedures .....	22
Dispatch of exam scripts .....	23
Estimated grades.....	23
Internal assessment and endorsements.....	23
Invigilation.....	24
JCQ inspection visit.....	24
Seating and identifying candidates in exam rooms .....	25
Candidate Identification Procedure .....	25
Security of exam materials .....	26
Timetabling and rooming.....	26
Overnight Supervision Arrangements Policy .....	27
Alternative site arrangements .....	27
Centre consortium arrangements .....	28
Transferred candidate arrangements.....	28
Internal exams.....	28
Exam time: roles and responsibilities .....	28
Access arrangements.....	28
Candidate absence .....	29
Candidate Absence Policy .....	29
Candidate behaviour .....	29
Candidate belongings .....	29
Candidate late arrival.....	29
Candidate Late Arrival Policy .....	30
Conducting exams .....	30
Dispatch of exam scripts.....	30
Exam papers and materials.....	30
Exam rooms.....	30
Food and Drink Policy (Exams) .....	31
Leaving the Examination Room Policy.....	31

Emergency Evacuation Policy (Exams) .....	32
Irregularities .....	32
Managing Behaviour Policy (Exams) .....	32
Malpractice Policy (Exams) .....	33
Malpractice .....	33
Special consideration.....	33
Special Consideration Policy .....	34
Unauthorised materials .....	34
Arrangements for unauthorised materials taken into the exam room .....	34
Internal exams.....	34
Results and post-results: roles and responsibilities.....	35
Internal assessment.....	35
Managing results day(s).....	35
Results day programme .....	35
Accessing results .....	35
Post-results services .....	36
Analysis of results.....	36
Certificates .....	37
Certificate Issue Procedure and Retention Policy.....	37
Exams review: roles and responsibilities .....	37
Retention of records: roles and responsibilities.....	37
Exams Archiving Policy.....	37
Appendices .....	38

## Purpose of the policy

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 policy will ensure that:

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

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

This policy will be communicated to all relevant centre staff.

This policy will be communicated or brought to the attention of all those identified with roles and responsibilities within the policy by email, on the website, and hardcopy on request and is situated in the x-drive.

## Roles and responsibilities overview

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

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

**The Head of Centre may not appoint themselves as the examinations officer.** A Head of Centre and an examinations officer are two distinct and separate roles.

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:

<https://www.jcq.org.uk/exams-office/malpractice> (ICE Introduction)

### Head of Centre

- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:
  - [General regulations for approved centres](#) (GR)
  - [Instructions for conducting examinations](#) (ICE)
  - [Access Arrangements and Reasonable Adjustments](#) (AA)
  - [Suspected Malpractice in Examinations and Assessments](#) (SMEA)
  - [Instructions for conducting non-examination assessments](#) (NEA) (and the instructions for conducting coursework)
  - [A guide to 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 for exams and 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

### National Centre Number Registration

- 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
- Ensures that relevant members of staff respond promptly to actions raised by the JCQ Centre Inspection Service, understanding that failure to do so could result in the same penalties as listed in the previous bullet point
- Ensures that the centre promptly reports any incidents to the relevant awarding body/bodies which might compromise any aspect of assessment delivery such as a cyber-attack
- 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 emails 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 personnel or JCQ personnel

### Recruitment, selection, and training of staff

- 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
- Provides fully qualified teachers to mark non-examination assessments, and/or fully qualified assessors for the verification of centre-assessed components
- 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
- Appoints an ALS lead/SENCo who will determine appropriate arrangements for candidates with learning difficulties and disabilities
- 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*
- 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

See separate Policy stored on the x-drive of the school network

Refer to [GR](#) (section 5.3d **Internal governance arrangements**)

- 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

- 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
- Enables candidates to receive sufficient and up to date laboratory experience, or relevant training where required by the subject concerned
- ~~Where/if using a third party to deliver any part of a qualification 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 ensuring that a copy of the written agreement is available for inspection if requested by the awarding body

### 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:
  - the location of the centre's secure storage facility in a secure room solely assigned to examinations which must only be used for the purpose of administering secure examination materials
  - the secure room only contains exam-related material
  - 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
  - access to the secure room and secure storage facility is restricted to the authorised two to six keyholders and staff named and approved by the head of centre are accompanied by a keyholder at all times
  - appropriate arrangements are in place to ensure that confidential examination materials are only handed over to authorised members of centre staff
  - appropriate arrangements are in place for handling secure electronic materials
  - the relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk that when it is permitted to remove question papers paper 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)
- Makes 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 the course of and after examinations 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 of any cases immediately of any alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, ~~are reported to the awarding body immediately 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**

See separate Policy stored on the x-drive of the school network.

Refer to [GR](#) (section 5.3 **Policies available for inspection**)

#### **Lockdown Policy (Exams)**

See separate Policy stored on the x-drive of the school network.

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

#### **Internal Appeals Procedures**

See separate Policy stored on the x-drive of the school network.

Refer to [GR](#) (section 5.7) **Centre assessed work**, (section 5.13) **Post-results services and appeals**, (section 5.3) **Policies available for inspection**)

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

#### **Equalities Policy**

See separate Policy stored on the x-drive of the school network

Refer to [GR](#) (section 5.3) **Policies available for inspection**) and (5.4) **Access arrangements and reasonable adjustments**

- 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)

See separate Policy stored on the x-drive of the school network.

Refer to [GR](#) (section 5.8) **Candidate information**

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

## Child Protection/Safeguarding Policy

Please refer to the Child protection/safeguarding policy stored on our x-drive, or with the Principal's PA.

Refer to [GR](#) (section 5.3) **Policies available for inspection**

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

## Data Protection Policy (Exams)

Please refer to the Data Protection Policy stored on our x-drive or with the Principal's PA.

Refer to [GR](#) (section 5.3) **Policies available for inspection** and (5.8) **Candidate information**

### 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 taken into account regarding sharing information with parents, as example information from the DfE for schools regarding parental responsibility and school reports on pupil performance:

- Understanding and dealing with issues relating to parental responsibility  
[www.gov.uk/government/publications/dealing-with-issues-relating-to-parental-responsibility/understanding-and-dealing-with-issues-relating-to-parental-responsibility](http://www.gov.uk/government/publications/dealing-with-issues-relating-to-parental-responsibility/understanding-and-dealing-with-issues-relating-to-parental-responsibility)
- School reports on pupil performance: guidance for Headteachers  
[www.gov.uk/guidance/school-reports-on-pupil-performance-guide-for-headteachers](http://www.gov.uk/guidance/school-reports-on-pupil-performance-guide-for-headteachers)

### Publication of exam results

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

- Ensures the centre has a whistleblowing policy in place

## Whistleblowing Policy (Exams)

Please refer to the Whistleblowing Policy stored on our x-drive.

Refer to [GR](#) (section 5.3) **Policies available for inspection**

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

### Access arrangements policy

Please refer to the centre's separate Access Arrangements Policy (exams) situated either on our X-Drive, Website or with the Examinations Officer.

There is no specific JCQ regulation that refers to a 'policy' requirement in this respect though it might be good practice to bring all aspects of the process together in one place thereby confirming the centre complies with GR (section 5.4) **Access arrangements and reasonable adjustments**

### Conflicts of interest

- 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 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 a last resort where unable to find an alternative centre)
  - a candidate is being taught and prepared for a qualification which includes internally assessed components/units by a member of centre staff with a close relationship to the candidate
- 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 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
  - a member of centre staff is taking a qualification at the centre which does not include internally assessed components/units (noting that being entered by the centre must be as a last resort where unable to find an alternative centre)
  - a member of centre staff is taking a qualification at another centre

### Conflicts of Interest Policy (Exams)

Please refer to the Conflicts of Interest Policy stored on our x-drive.

There is no specific JCQ regulation that refers to a 'policy' requirement though this would confirm the centre is complying with the declaration and recording requirements outlined in GR (section 5.3) **Conflicts of interest**

### 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

- 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
- Allows all venues used for examinations and assessments, paperwork and secure storage facilities to be open to inspection
- 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

- Understands the contents of annually updated JCQ publications including:
  - General regulations for approved centres
  - Instructions for conducting examinations
  - Suspected Malpractice – Policies and Procedures
  - Post-Results Services (PRS)
  - A guide to the special consideration process
- Completes/submits the National Centre Number Register annual update (administered on behalf of the JCQ member awarding bodies by OCR <https://ocr.org.uk/administration/ncn-annual-update/>) by the end of October each year
  - Confirms the details or informs the awarding bodies of any changes to the centre's contact details through the National Centre Number Register
  - 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
  - (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
  - Informs the National Centre Number Register Team immediately of any other changes in circumstances that could affect the centre's status
- Is familiar with the contents of annually updated information from awarding bodies on administrative procedures, key tasks, key dates and deadlines
- Ensures key tasks are undertaken and key dates and deadlines met
- Recruits, trains and deploys a team of internal/external invigilators; appoints lead invigilators, as required and keeps a record of the content of training provided to invigilators for the required period
- Works with the 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

- 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
- 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 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)
  - [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 Supports (ALS) Lead/Special educational needs co-ordinator (SENCo)

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

### Senior leaders

- 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

### Teaching staff

- Undertake key tasks, as detailed in this policy, within the exams process and meet internal deadlines set by the EO and ALS Lead/SENCo

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

### **Invigilators**

- Attend/undertake training (**on the current regulations**), **annual** 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.

## **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**

#### **Head of Centre**

- Directs relevant centre staff to annually updated JCQ publications including [GR](#), [ICE](#), [AA](#), [NEA](#) (and the Instructions for Conducting Coursework) and [SC](#)

#### **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 on internal exams to enable preparation for and conduct of all Mock Exams

### **Senior Leaders**

- Responds (or ensures teaching staff respond) to requests from the EO on information gathering
- Meets the internal deadline for the return of information
- Informs the EO of any changes to information in a timely manner minimising the risk of late or other penalty fees being incurred by an awarding body
- Notes the internal deadlines in the annual exams plan and directs teaching staff to meet these

## Access arrangements

### **Head of Centre**

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

### **ALS Lead/SENCo**

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

- Liaises with the EO regarding exam time arrangements for access arrangement candidates
- 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 the training provided to facilitators for the required period
- Works with the EO to ensure invigilators and those acting as a facilitator fully understand the respective role and what is and what is not permissible in the exam room
- Provides and annually reviews a centre policy on the use of word processors in exams and assessments. 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 policy (exams)

Please refer to the separate Word Processor Policy that contains a statement which details the criteria the centre uses to award and allocate word processors for exams which is situated on our x-drive, with the SENCO or the Examinations Officer.

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 5.3) **Policies available for inspection** and [AA](#) (section 5.8)

- 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 within the centre

A decision where an exam candidate may be approved separate invigilation within the centre will be decided by the SENCo and based on for example

The candidate's difficulties are established within the centre (see Chapter 4, paragraph 4.1.4, page 16) and known to a Form Tutor, a Head of Year, the SENCo or a senior member of staff with pastoral responsibilities.

Refer to [AA](#) (sections 4.2, 5.16) and [ICE](#) (section 14.18)

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.

### Senior Leaders, Subject Lead, Teaching staff

- Support the 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

- 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)
- Ensures that teaching staff, in accordance with awarding bodies' instructions, return all subject-specific forms by the required date
- Provides fully qualified teachers to mark non-examination assessments, and/or fully qualified assessors for the verification of centre-assessed components
- Ensures an **internal appeals procedure** relating to internal assessment decisions is in place for a candidate to appeal against and request a review of the centre's marking (see Roles and responsibilities overview)
- Ensures a **non-examination assessment policy** is in place for GCE and GCSE qualifications which include components of non-examination assessment (For CCEA GCSE centres this would be a controlled assessment policy)

### Non-examination Assessment Policy

Please refer to the centre's separate Non-examination Assessment Policy situated either on our X-Drive, Website or with the Examinations Officer

The centre will... have in place and be available for inspection purposes, a written policy with regard to the management of GCE and GCSE non-examination assessments; (For CCEA GCSE centres this would be a written controlled assessments policy.) [GR](#) (Sections 5.3x 5.7)

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

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

A JCQ Centre Inspector will ask the examinations officer to confirm that such a policy is in place. The guidance provided in this document will help the Head of Centre to ensure that the centre's policy is fit for purpose. The policy 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.

Refer to [GR](#) (section 5.3) **Policies available for inspection**, (5.7) **Centre assessed work** 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

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

### **Teaching staff**

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

### **Exams 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**

#### **Head of Centre**

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

#### **Exams Officer**

- Recruits additional invigilators where required to effectively cover all exam periods/series' throughout the academic year
- Collects information on new recruits to identify if they have invigilated previously and if any current maladministration/malpractice sanctions are applied to them
- Provides training for new invigilators on the [current](#) instructions for conducting exam [inations](#) and an annual update for the existing invigilation team so that they are aware of any changes in a new academic year before they are allocated to invigilate an exam
- Ensures invigilators supervising access arrangement candidates understand their role (and the role of a facilitator who may be supporting a candidate) and the rules and regulations of the access arrangement(s)

- Ensures invigilators are briefed on the access arrangement candidates in their exam room (and that these candidates are identified on the seating plan) and confirms invigilators understand what is and what is not permissible
- Collects evaluation of training to inform future events

### **Entries: roles and responsibilities**

#### **Estimated entries**

##### **Exams Officer**

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

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

Exams Officer (EO) requests information from Subject Leads on Subject Curriculum Form in July of previous academic year.

- 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 and Subject Leads**

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

#### **Final entries**

##### **Exams Officer**

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

Spreadsheet of entry codes and class information sent to SLs for confirmation of entry and final entry lists sent to SLs to confirm and sign off as correct.

#### **Senior Leaders and Subject Leads**

- 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**

Entry Fees will normally be paid from Exams Budget unless otherwise directed by SLT.

Late Entry fees will generally be charged to Departments unless otherwise requested by SLT.

Students will be requested to pay for re-sit unless otherwise directed by SLT or SL.

### **Late entries**

#### **Exams Officer**

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

#### **Subject Lead**

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

### **Re-sit entries**

Students are required to complete re-sit request form with entry codes and get signed by SL.

Once payment has been made the re-sit form and receipt for payment needs to be given to EO before the entry will be made.

### **Private candidates**

The entry fee is payable by the candidate. (The EO will liaise with the SENCo regarding any access arrangements and reasonable adjustments required by a private candidate (including distance learners and home educated candidates))

### **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

- 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 documents, 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 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 designated 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
  - unauthorised items in exam rooms
  - when and how results will be issued and the staff that will be available
  - post-results services **information** and how the centre **will deal** with requests from candidates
  - when and how certificates will be issued

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

Access to scripts, reviews about results are made on the relevant form available on results days from Subject Leads, Head of Post 16. They need to be signed by SL or SLT and if payment required accompanied by a receipt and handed to the EO.

(This information should also be made available to private candidates)

“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]

“Senior members of centre staff must be accessible to candidates immediately after the publication of results so that results may be discussed, and decisions made on the submission of enquiries. Candidates must be informed of the periods during which centre staff will be available so that they may plan accordingly.” [PRS 4.1]

### **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**

#### **Subject Lead**

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

#### **Exams Officer**

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

### **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**

- Support the SENCo 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

### **Subject Lead**

- 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 the current regulations** on appointment and updates experienced invigilators on **an annual basis of** any regulation changes and any changes to centre-specific processes
- 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)
- Allocates invigilators to exam rooms (or where supervising candidates due to a timetable clash) according to the required ratios
- Liaises with the SENCo regarding the facilitation and invigilation of access arrangement candidates

#### **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 inspection visit**

#### **Exams Officer or Senior leader**

- Will accompany the Inspector throughout a visit

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

- Will meet with the inspector when requested to provide documentary evidence regarding access arrangement candidates and address any questions, the inspector may raise
- Ensures that information is readily available for inspection at the venue where the candidate is taking the exam(s)

**Seating and identifying candidates in exam rooms**

**Exams Officer**

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

**Candidate Identification Procedure**

Queen Katharine Academy students have a photo ID Card which is placed on the exam desk at the start of all exams. Failure to bring the ID will need the student to obtain verification from the Progress Leader.

QKA have implemented a new software package which prints student photos on the Exam Cards making it easier to identify students.

Private candidates will need to supply Photo ID such as Passport, Driving Licence

(Remember to include procedures for private/external or transferred candidates, those wearing religious clothing (such as a veil) and access arrangement candidates)

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 [\[GR 5.6i\]](#)

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

Invigilators must establish the identity of all candidates sitting examinations.

A private/external 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. [\[ICE Section 16\]](#)

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

- 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**

- Confirms appropriate arrangements are in place to ensure that confidential materials are only delivered to those authorised by the Head of Centre.
- Ensures access to the secure room is restricted and staff ~~named and~~ 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
- Has a process in place to demonstrate the receipt, secure movement and secure storage of confidential exam materials within the centre
- Ensures a log is kept at the initial point of delivery recording confidential materials received and signed for by authorised staff within the centre and that appropriate arrangements are in place for confidential materials to be immediately transferred 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
- Carefully checks question paper packets when they are removed from the dispatch packing and keeps a log of the check
- 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)
- 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)
- 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 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 and as a last resort, once all other options have been exhausted and according to the centre's policy).

### Overnight Supervision Arrangements Policy

QKA will only apply Overnight supervision arrangements 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, page 14). 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.

[\[ICE 8\]](#)

Allowing a candidate to take an exam paper the following morning (including a Saturday) due to an eligible overnight supervision arrangement is at the discretion of the centre. Having a documented policy 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

- 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 SENCo regarding rooming of access arrangement candidates

### ALS lead/SENCo

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

### Site staff

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

### Alternative site arrangements

#### Exams Officer

- (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 has been met

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

### **Transferred candidate arrangements**

#### **Exams Officer**

- (Where/if applicable to the centre) Liaises with the host or entering centre, as required
- 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)
- Where relevant (for an internal candidate) 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 (Where/if applicable to the centre)
- Provides a centre exam timetable of subjects and rooms
- Provides seating plans for exam rooms
- Requests internal exam papers from teaching staff
- Arranges invigilation (Where/if applicable to the centre)

#### **ALS Lead/SENCo**

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

#### **Teaching staff**

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

### **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/temporary access arrangements as they arise at the time of exams
  - applies for approval through AAO where required or through the awarding body where qualifications sit outside the scope of AAO

## **Candidate absence**

### **Candidate Absence Procedure**

The absent candidates will be notified to the appropriate Progress Leaders who will endeavour to contact the candidates immediately and every effort will be made to ensure the candidate is able to start the exam before the very late time frame begins.

Queen Katharine Academy will permit late candidates to enter the Exam Hall where it possible and for the candidate to be given the full time to complete their exam.

Very late candidates will be advised that the board may refuse to accept and mark the script. Very late is 1 hour after the national published start time – so 10.00 am. For morning exams and 2.30 pm for afternoon exams.

Advice: 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]

## **Invigilators**

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

## **Candidates**

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

## **Candidate behaviour**

See *Irregularities* below.

## **Candidate belongings**

See *Unauthorised materials* below.

## **Candidate late arrival**

### **Exams Officer**

- 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
- Warns candidates that their script may not be accepted by the awarding body

### **Invigilators**

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

## Candidate Late Arrival Procedure

Late candidates will be brought to the Exams Office where a member of the Exam Team will escort the candidate to the Exam Hall. The invigilator dealing with late arrivals will give the JCQ suggested announcement to the candidate to read, will check if the candidate has any banned items. The invigilator will then seat the candidate and write the seat number and the new start and finish time on the board and fill in any relevant paperwork for the EO to report to the awarding body via CAP.

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](#)]

## Conducting exams

### Head of Centre

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

### Exams Officer

- Ensures exams are conducted according to JCQ and awarding body instructions
- 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 secure storage
- Attaches erratum notices received to relevant sealed exam question paper packets
- Collates attendance registers and examiner details in date order
- Regularly checks mail or email inbox for updates from awarding bodies
- In order to avoid potential breaches of security, ensures prior to question paper packets being opened that another member of staff or an invigilator checks the day, date time, subject, unit/component and tier of entry if appropriate, immediately before a question paper packet is opened
- Ensures this additional/second check is recorded
- Where allowed by the awarding body, only releases exam papers and materials to teaching departments for teaching and learning purposes after the published finishing time of the exam, or until any clash candidates have completed the exam

## Exam rooms

### Head of Centre

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

### Food and Drink Procedure

Only water bottles with labels removed are permitted to be taken into exam venues. Food is not to be brought into exam venues unless for a medical need. In such an event QKA will ensure that food brought into the examination room by the candidate, or the centre is free from packaging and all labels are removed from drink containers. ICE Section 18

### Leaving the Examination Room Procedure

Candidates will not be permitted to temporarily leave the exam room unless they have a valid medical pass except in exceptional circumstances.

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. [\[ICE 23\]](#)

### 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 (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 kept** on silent mode)
- Ensures invigilators understand they must be vigilant and remain aware of incidents or emerging situations, looking out for malpractice or candidates who may be in distress, recording any incidents or issues on the exam room incident log
- Ensures invigilators understand how to deal with candidates who may need to leave the exam room temporarily and how this should be recorded on the exam room incident log
- Provides authorised exam materials which candidates are not expected to provide themselves
- Ensures invigilators and candidates are aware of the emergency evacuation procedure

- Ensures invigilators are aware of arrangements in place for a candidate with a disability who may need assistance if an exam room is evacuated

### Senior leaders

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

### Emergency Evacuation Policy (Exams)

Please refer to the centre's separate Emergency Evacuation Policy situated either on our X-Drive, Website or with the Examinations Officer.

Reference should also be made to the following document -

<https://www.gov.uk/government/publications/bomb-threats-guidance/procedures-for-handling-bomb-threats> ...You must have a written centre policy for dealing with an emergency evacuation of the examination room, which will be subject to inspection by the JCQ Centre Inspection Service." [ICE 25]

### Site staff

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

### Invigilators

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

### Candidates

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

### Irregularities

#### Head of Centre

- Ensures any cases of alleged, suspected or actual incidents of malpractice or maladministration before, during or after examinations/assessments (by centre staff, candidates, invigilators) are investigated and reported to the awarding body **immediately**, by completing the appropriate documentation

### Managing Behaviour Procedure (Exams)

The lead invigilator will send for the EO who will decide what action to take. If there is the need to request the removal of the candidate to protect the integrity of the exam and limit disruption to others, the EO will liaise with the SLT responsible for behaviour management in school.

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. [\[ICE\\_24\]](#)

## Malpractice Policy (Exams)

Please refer to the Child protection/safeguarding policy stored on our x-drive.

### Why have a policy on this?

Having a documented policy/procedure is a way of demonstrating how all reasonable steps are taken to prevent the occurrence of any malpractice (which includes maladministration) before, during and after examinations and how any alleged, suspected, or actual incidents of malpractice are reported and investigated according to the requirements

### 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, or needing to leave the exam room temporarily, disruption or disturbance in the exam room, emergency evacuation)

### Malpractice

See *Irregularities* above.

### 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

## Special Consideration Policy

Please refer to the centre's separate Special Consideration Policy situated either on our X-Drive, in the Exams Folder, Website or with the Examinations Officer.

### Candidates

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

### Unauthorised materials

#### Arrangements for unauthorised materials taken into the exam room

Any unauthorised materials including wrist watches are collected before the start of the exam and removed to the Exams Office. The candidates will be given a ticket to collect the items from the EO once the exam is finished.

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 - <http://www.jcq.org.uk/exams-office/malpractice>

The invigilator, prior to the examination starting, must ensure that candidates have removed their wrist watches.

A Head of Centre may, if he/she so wishes, prohibit candidates bringing a wristwatch into the examination room. Candidates would be required to leave their watches outside of the examination room. [ICE 18]

### Invigilators

- Are informed of the arrangements through training

### 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

## Results and post-results: roles and responsibilities

### Internal assessment

#### Senior Leaders

- 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 **after the retention period** or disposed of according to the requirements

### Managing results day(s)

#### Senior leaders

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

### Results day programme

Results will be given to candidates only. They will not be given to parents or carers unless the candidate has given the nominated person a letter authorising them to collect the results on their behalf.

Results will not be given by telephone or email. If candidates wish they can supply a Stamped Addressed Envelope and the results will then be posted.

Consideration should also be given to

Centres must make candidates aware of the arrangements for Reviews of Results before they sit any examination(s). These arrangements also extend to private candidates.

[\[PRS 4\]](#)

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...ensure that all candidates, including private candidates, are made aware that all post-results service requests must be made through the centre.

[\[GR 5.14\]](#)

#### Site staff

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

### Accessing results

#### Head of Centre

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

### **Exams 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**

#### **Head of Centre**

- 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
- 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**

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

#### **Curriculum Manager**

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

- Undertakes the DfE School and College Checking Exercises (where applicable to the centre) <https://tablechecking.education.gov.uk>

## **Certificates**

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

### **Certificate Issue Procedure and Retention Policy**

Certificates will be issued at presentation evening or directly to the candidate following the presentation evening by the Exams Office Staff when they will get the candidate's signature as proof of receipt as per requirements in [GR 5.14](#).

Queen Katherine Academy will retain the certificates for the required 1 year after issue and will make every effort to contact the candidate to collect.

The certificates will be securely destroyed once all efforts have been made but to no avail. An electronic spreadsheet of the certificates destroyed will be kept by the EO as per 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**

- 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 a 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**

- 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 exam archiving policy that identifies information held, retention period and method of disposal

### **Exams Archiving Policy**

Please refer to the centre's separate Exams Archiving Policy situated either on our X-Drive, Website or with the Examinations Officer.

## Appendices

There are no appendices