

THE SALTERNS ACADEMY TRUST: ADMIRAL LORD NELSON SCHOOL

Examination Policy



Author:	S Power
Position:	Examinations Manager
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Article 28: 'Children and young people have the right to education no matter who they are: regardless of race, gender or disability; if they're in detention, or if they're a refugee'

1. Key Staff Involved

Role	Name(s)
Headteacher:	C Doherty
Senior Leader:	M Hutton
Examinations Manager:	S Power
SENCO:	S Fenner
Chair of the Local Governing Body:	J Beecher/ N Waites

2. Governing Body Statement

The Governors will ensure that:
The Planning and management of all exams is conducted in the best interest of candidates and in full compliance with the published JCQ regulations and awarding body requirements.

3. Purpose of the policy

The operation of the exam system will be efficient and effective with clear guidelines for all relevant staff.

The centre is committed to ensuring that the examinations and assessments management and administration process is run effectively and efficiently. This policy will ensure that:

- all aspects of the centre's exam process is documented, supporting the centre's contingency plan, and other relevant exams-related policies and procedures are signposted to
- the workforce is well informed and supported
- all centre staff involved in the 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 process and what is expected of them

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

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

4. Roles and responsibilities overview

Head of centre

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

The head of centre cannot also be the examinations officer. A head of centre and an examinations officer are two distinct and separate roles.

Head of centre

(GR 1)

Heads of centre must ensure that senior leadership teams and exam office personnel familiarise themselves with the entire contents of the current [General Regulations for Approved Centres](#) (GR) booklet. In particular, heads of centre must familiarise themselves with paragraphs 5.1, 5.3 and 5.4.

Heads of centre must ensure that relevant members of staff respond promptly to actions raised by the JCQ Centre Inspection Service. Failure to do so could result in the centre not receiving or being able to access question papers and other confidential assessment materials. Ultimately, awarding bodies could withdraw approval of the centre.

Heads of centre must ensure that relevant members of staff respond promptly to requests for information from awarding bodies relating to the administration and conducting of examinations/assessments.

It is the responsibility of the head of centre to ensure that all staff comply with the instructions in the Instructions for conducting examinations document. Failure to do so may constitute malpractice as defined in the JCQ document *Suspected Malpractice: Policies and Procedures, 1 September 2025 to 31 August 2026*:

(GR 5.1)

The head of centre must ensure:

- compliance with the published JCQ regulations and awarding body requirements to deliver the qualification(s)
- appropriate controls are in place which ensure accurate data is submitted to the awarding bodies by the required deadlines, e.g. registrations, entries, learner claims, centre assessed marks or modified papers
- all reasonable steps are taken to respond promptly to requests for information or documentation made by an awarding body or regulatory authority
- they understand the contents, and directs relevant centre staff to current JCQ documents including:
 - Access Arrangements and Reasonable Adjustments (AARA)
 - AI Use in Assessments: Your role in protecting the integrity of qualifications
 - Guidance for centres on cyber security
 - General regulations for approved centres (GR)
 - Instructions for conducting coursework (ICC)
 - Instructions for conducting examinations (ICE)
 - Instructions for conducting non-examination assessments (NEA) (GCSE and Vocational Qualifications)
 - Notice to Centres – Informing candidates of their centre-assessed marks
 - Plagiarism in Assessments – Guidance for Teachers/Assessors
 - Suspected Malpractice in Examinations and Assessments (SMPP)
 - A guide to the special consideration process
- the centre has appropriate accommodation to support the size of the cohorts being taught including appropriate accommodation at the registered address for candidates requiring access arrangements and/or practical assessments

- Where/if using a third party to deliver any part of a qualification (including the assessments or the administration) at the centre:
 - Maintain oversight of, and responsibility for, the delivery and administration of the qualification in accordance with JCQ regulations and awarding body requirements
 - a robust written agreement is in place with the third party (unless exclusions apply) that includes provisions which ensure that qualifications are delivered in a way that complies with their agreement with the awarding body, 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 a copy of the written agreement is available for inspection if requested by the awarding body.
 - Monitors delivery by the third party to maintain compliance with the published JCQ regulations and awarding body requirements, ensuring the security and integrity of examinations and assessments
 - Ensures sufficient managerial and other resources are in place to resolve any issues
- that relevant members of staff respond promptly to requests and/ or actions raised by the JCQ Centre Inspection Service, understanding that failure to do so could result in penalties (**see National Centre Number Register and other information requirements** section)
- 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
- 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 (including third party applications)
- members of centre staff do not advise parents/candidates to contact awarding bodies/JCQ directly nor provide them with the names, addresses and contact details (including email addresses) of examiners, moderators, external verifiers and any other awarding body examining/assessment personnel/JCQ personnel

Resilience and contingency arrangements

(GR 3.16-19)

The centre must ensure they are familiar with the regulators' guidance and/or awarding body guidance on ensuring resilience in the qualifications system. Centres should consider putting in place a process for gathering and securely retaining evidence of candidate performance in line with the published guidance.

In the unlikely event that the government determines that examinations cannot go ahead, the centre will need evidence of candidate assessment performance such as mock examinations, to enable alternative methods of awarding grades.

The centre must have an up to date written contingency plan.

The contingency plan must cover all aspects of examination/assessment administration and delivery. Senior leaders must have robust contingency arrangements in place that will minimise the risk to examination/assessment administration and delivery and any adverse impact on candidates.

The plan must cover the following scenarios:

- the head of centre, relevant senior leader(s) with oversight of examination and assessment administration, SENCo (or equivalent role), examinations officer or any other key staff essential to the examination process being absent at a critical stage of the examination cycle
- the potential impact of other events such as flooding which could lead to all or parts of the centre becoming unavailable
- potential issues with the centre's IT systems.

As part of its contingency plan the centre must identify an alternative site if examinations cannot be conducted at the registered address. Larger centres may require more than one potential alternative site or different sites for different year groups.

The centre must have at least one senior member of staff (senior designated contact) who is available to manage emergency requests from awarding bodies that are results related during the summer holidays. However, a number of contacts can be provided to reduce the risk of this falling on one individual throughout the summer holidays.

The centre must ensure where candidates' work is produced electronically it is backed-up and should consider the contingency of candidates' work being backed-up on two separate devices, including one off-site back-up via the Cloud. The centre must implement appropriate security arrangements which protect candidates' work in the event of IT system corruption and cyber-attacks.

Cyber security

(GR 3.20-21)

The head of centre must ensure there are procedures in place to maintain the security of user accounts by:

- providing training for authorised staff on the importance of creating strong unique passwords and keeping all account details secret
- providing training for staff on awareness of all types of social engineering/ phishing attempts
- enabling additional security settings wherever possible
- ensuring that all members of centre staff who access awarding bodies' online systems undertake annual cyber security training

The training must include:

- the importance of creating strong, unique passwords for all accounts
- keeping all account details strictly confidential
- the critical role of Multi-Factor Authentication (MFA) in protecting against unauthorised access
- how to properly set up and use MFA for both centre and awarding bodies' systems
- an awareness of all types of social engineering/phishing attempts
- the importance of staff quickly reporting any suspicious activity, events, incidents and encouraging a safe and supportive reporting culture.

Certificates of completed staff cyber training must be downloaded and held on file for inspection. The NCSC training resource provides a certificate of completion of cyber training.

- developing and maintaining a comprehensive cyber security policy for the centre. The National Cyber Security Centre (NCSC) provides resources to assist centres in creating such policies
- implementing and enforcing robust security measures, including:
 - mandatory MFA for all accounts and systems containing exam-related information, including those that interface between awarding body and centre systems, to enhance security and protect sensitive data
 - regularly reviewing and updating security settings to align with current best practices
- updating any passwords that may have been exposed
- setting up secure account recovery options
- reviewing and managing connected applications
- monitoring accounts and regularly reviewing account access, including removing access when no longer required
- ensuring authorised members of staff securely access awarding bodies' online systems in line with awarding body regulations regarding cyber security and the JCQ document *Guidance for centres on cyber security*
Authorised staff will have access, where necessary, to a device which complies with awarding bodies' multi-factor authentication (MFA) requirements.
- reporting any actual or suspected compromise of an awarding body's online systems immediately to the relevant awarding body

Cyber Security Policy

Recruitment, selection, training and support

(GR 5.3)

The Centre must:

- Retain a workforce of an appropriate size and competence, including sufficient managerial and other appropriate resources, to undertake the delivery and administration of the qualification as required by the awarding body. This includes taking reasonable steps to ensure occupational competence where this is required for the assessment of specific qualifications
- The centres contingency planning must include succession arrangements for members of staff involved in examination and assessment administration

- Provide fully qualified teachers/assessors for the verification and marking of centre assessed components
- Ensure that teaching staff do not use artificial intelligence (AI) as the sole means of marking candidates' work
- Enable the relevant senior leader(s), teachers, the examinations officer and the SENCo (or equivalent role) to receive appropriate training and support to facilitate the effective delivery of examinations and assessments within the centre, and ensure compliance with the published JCQ and awarding body regulations
- Ensures the SENCo (or equivalent role), the centres appointed access arrangements assessor and the examinations officer undertake regular CPD, such as attending an annual update course
- Ensure that the SENCo (or equivalent role) understands the JCQ document [Access Arrangements and Reasonable Adjustments](#) and is given sufficient time to manage the access arrangements process within the centre
- Ensure that the examinations officer understands relevant awarding body and JCQ documentation and has sufficient time to perform their role
- Ensure that any member(s) of the senior leadership team who are responsible for examination administration familiarise themselves with relevant awarding body and JCQ documentation (This will ensure the examinations officer and the SENCo are supported as well as ensuring effective centre decision making in line with the published regulations)
- Ensure that teachers understand the relevant awarding body and JCQ documentation for the qualifications they are delivering to ensure they are delivered in line with the relevant regulations

External and Internal governance arrangements

(GR 5.3)

The Centre must:

- Have in place a written escalation process should the head of centre, or a member of the senior leadership team with oversight of examination and assessment administration be absent
- Have in place a member of the senior leadership team who has a good working knowledge of the examination system, will provide effective line management support and supervision of the examinations officer to and ensure that the integrity and security of examinations and assessments is maintained throughout an examination series
- Ensure centre staff undertake key tasks within the exams process and meet internal deadlines set by the examinations manager.
- Be able to confirm to an awarding body the external governance arrangements so that the awarding body has confidence in the integrity of centre activities such as the delivery of qualifications and the conducting of examinations and assessments

Delivery of Qualifications

(GR 5.3)

The Centre must:

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

Public Liability

(GR 5.3)

The Centre must:

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

Conflicts of interest

(GR 5.3) See **Policies** below)

Controlled assessments, coursework and non-examination assessments

(GR 5.3)

The Centre must:

- Have in place arrangements to co-ordinate and standardise all marking of centre-assessed components and to ensure that candidates' centre-assessed work is produced, authenticated and marked, or assessed and quality assured in accordance with the awarding bodies' instructions (This applies to both internal and private candidates)
- Submits, in accordance with awarding bodies' instructions, information they may reasonably require in relation to their examinations and assessments, returning all subject-specific forms by the required date

Security of assessment materials

(GR 5.3)

The Centre must:

- Take all reasonable steps to maintain the integrity of the examinations and assessments, including the security of all assessment materials, by ensuring:
 - that assessment materials supplied to the centre by the awarding body, including pre-release materials and set assignments, and information about their contents are only shared with appropriate centre staff and candidates and are not shared outside the centre
 - reporting immediately to the awarding body/bodies any potential or actual breach of examination or assessment materials
 - 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*
 - access, download, print (where appropriate) and store electronic assessment materials safely and securely at all times in accordance with section 4 of the current JCQ document *Instructions for conducting examinations*
 - 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
 - Provide candidates access to relevant pre-release materials on, or as soon as possible after, the date specified by the awarding bodies

National Centre Number Register and other information requirements

(GR 5.3)

The Centre must:

- Provides contact details as follows:
 - a physical address to which all examination and assessment materials will be despatched – this must be the registered address of the centre
 - a landline telephone number – this must be the number of the main office/ switchboard of the centre
 - a contact email address for communications – this must be the email address of the person or team responsible for the administration of examinations (Personal email addresses such as 'Yahoo', 'Hotmail' and 'Gmail' are not acceptable)
Note: Except for WJEC, if this is a shared email account it must not be used to access awarding body secure websites
 - the name of the head of centre and their email address
 - senior designated contact details (this might include a personal mobile number and/or email address) (These must be the contact details of someone who can be reached in an emergency if the centre is closed over the summer and who can mobilise resources to respond to the issue)

- Completes the National Centre Number Register annual update by the end of October every year even if there are no changes to centre details
 - informs the National Centre Number Register Team immediately (email address – ncn@ocr.org.uk) if any changes occur after the National Centre Number Register annual update has taken place (This must be on centre headed stationery which can be sent as an email attachment including the signature of the head of centre)
 - informs the National Centre Number Register Team (email address – ncn@ocr.org.uk) of any changes to relevant contact details no later than 6 weeks prior to moving to a new address or re-locating of the secure storage facility (This must be on centre headed stationery which can be sent as an email attachment)
 - informs the National Centre Number Register Team immediately of any other changes in circumstances that could affect the centre's status
 - completes the Head of Centre Declaration, to the National Centre Number Register request confirming that they are aware of and adhering to the latest versions of the JCQ regulations, and does so no later than the end of October every year
 - responds to any other reasonable requests made by the National Centre Number Register Team
- (GR 1.9) Understands that the responsibility for completing the Head of Centre declaration survey 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, the head of centre's declaration, and/or requests or actions raised by the JCQ Centre Inspection Service 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

(GR 5.3)

The Centre must:

- Co-operate with the JCQ Centre Inspection Service, an awarding body or a regulatory authority when subject to an inspection, an investigation or unannounced visit and/or requests for information within the stipulated timeframe
- Allows all venues used for examinations and assessments, paperwork and secure storage facilities to be open for inspection
- Understands the JCQ Centre Inspector will identify themselves with a formal identity document with a photo ID card and **must** be accompanied throughout their tour of the premises, including inspection of the centre's secure storage facility

Policies and Procedures

(GR 5.3)

- Has in place the following written policies for inspection that must be reviewed and updated annually by a member of the senior leadership team and communicated within the centre:
 - Child Protection and Safeguarding Policy – <https://alns.co.uk/school-policies/>
 - Complaints Policy (Exams) – See appendix 1
 - Conflict of Interest Policy – See appendix 2
 - Data Protection Policy - <https://alns.co.uk/school-policies/>
 - Equalities Policy – <https://alns.co.uk/school-policies/>
 - Exam Contingency Plan - See appendix 3
 - Internal Appeals Procedure (Exams) – See appendix 4

- Malpractice Policy (Exams) - see appendix 5
- Non-examination Assessment (including controlled assessments and coursework) Policy - see appendix 6
- Whistleblowing Policy - <https://alns.co.uk/school-policies/>
- Word Processor Policy (Exams)
- Examination Access Arrangements Policy – <https://alns.co.uk/school-policies/>

The head of centre/senior leadership team will:

- appoint a SENCo, or an equivalent member of staff, to coordinate the access arrangements process within the centre and determine appropriate arrangements for candidates with learning difficulties and disabilities, candidates for whom English is an additional language and those with a temporary illness or temporary injury
- ensure that learners have the correct information and advice on their selected qualification(s) in an accessible format and that the qualification(s) meet their needs (The recruitment process must include the centre assessing each potential learner and making justifiable and professional judgements about the learner's potential to complete the examinations/assessments successfully and achieve the qualification(s). The centre's assessment must identify, where appropriate, the support that will be made available to the learner to facilitate access to examinations/assessments)
- recognise its duties towards disabled candidates, including private candidates, ensuring compliance with all aspects of the Equality Act 2010[†], particularly Section 20 (7) (This must include a duty to explore and provide access to suitable courses, to submit applications for reasonable adjustments through the access arrangements process and to make reasonable adjustments to the services the centre provides to disabled candidates. Where the centre is under a duty to make a reasonable adjustment, the centre must not charge a disabled candidate any additional fee in relation to the adjustment or aid) [†]or any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect
- ensure that the SENCo undertakes the necessary and appropriate steps to gather a picture of need and demonstrate normal way of working for a private candidate, such as a distance learner or a home educated student (The centre, where required, must lead on the assessment process. The candidate must be assessed by the centre's appointed assessor. In some instances, depending on their needs, the candidate may have to be assessed away from the centre, for example at home. The centre must comply with the obligation to identify the need for, request and implement access arrangements)
- ensure that where a candidate with a learning difficulty requires an assessment of their needs, they are assessed by an appropriately qualified assessor as appointed by the head of centre (Evidence of the assessor's qualification(s) must be held on file for inspection)
- have a written process in place to check the qualification(s) of their assessor(s) and that the correct procedures are followed as in Chapter 7 of the JCQ document *Access Arrangements and Reasonable Adjustments* - Such a policy would also provide the opportunity to record the qualification(s) of the appointed assessor(s) and that the correct procedures are followed
- assist the awarding bodies in the discharge of their duty to make reasonable adjustments by requesting access arrangements, where required, and fully support the SENCo in effectively implementing those arrangements once approved

Malpractice (GR 5.11)

The centre will:

- take all reasonable steps to prevent the occurrence of any malpractice (which includes maladministration) before, during and after assessments have taken place
- inform the awarding 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 current JCQ document *Suspected Malpractice - Policies and Procedures* and provides such information and advice as the awarding body may reasonably require
- (GR 6.2) 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 document *Suspected Malpractice – Policies and Procedures*

Personal data

(GR 6.6, 6.8)

It is the responsibility of centres to inform candidates of the processing that the centre undertakes. For example, that the centre will provide relevant personal data including name, date of birth, gender to the awarding bodies for the purpose of examining and awarding qualifications.

Materials which are submitted by candidates for assessment may include any form of written work, audio and visual materials, computer programs and data ("Student Materials"). Awarding bodies may use the Student Materials to evaluate candidates' performance in the relevant assessment. They may also use the Student Materials for other purposes as outlined in their privacy policies and in accordance with their terms. Candidates should be directed to the relevant awarding body's privacy notice if they require further information about how their Student Materials may be used by the awarding body.

Where a centre or third party is in possession of any Student Materials for the purposes of candidate assessment, the Student Materials will be held on behalf of the awarding body.

Exams officer (EO)

- Understands the contents of annually updated JCQ documents including:
 - General regulations for approved centres
 - Instructions for conducting examinations
 - Suspected Malpractice in Examinations and Assessments
 - Post-Results Services (PRS)
 - A guide to the special consideration process
- Completes/submit the National Centre Number Register annual update (administered on behalf of the JCQ member awarding bodies by Cambridge OCR) by the end of October every year even if there are no changes to confirm the centre's contact details or informs of any changes (and follows the process (in GR 5.3) if any changes occur after the annual update has taken place)
- 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 (or equivalent role) 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 internal records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications 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 materials on the requirements for maintaining the integrity and security of confidential examination/assessment materials

Senior leaders (SLT)

- Are familiar with the contents, refer to and direct relevant centre staff to current JCQ documents including:
 - Access Arrangements and Reasonable Adjustments (AARA)
 - AI Use in Assessments: Your role in protecting the integrity of qualifications
 - Guidance for centres on cyber security

- General regulations for approved centres (GR)
- Instructions for conducting coursework (ICC)
- Instructions for conducting examinations (ICE)
- Instructions for conducting non-examination assessments (NEA) (GCSE and Vocational Qualifications)
- Notice to Centres – Informing candidates of their centre-assessed marks
- Plagiarism in Assessments – Guidance for Teachers/Assessors
- Suspected Malpractice in Examinations and Assessments (SMPP)
- A guide to the special consideration process
- [Post-Results Services](#)
- Ensures teaching staff undertake key tasks, as detailed in this policy, within the exams process (exam cycle) and meet internal deadlines set by the EO and SENCo (or equivalent role)
- Ensures teaching staff keep themselves updated with awarding body subject and teacher-specific information to confirm effective delivery of qualifications
- Ensures teaching staff attend relevant awarding body training and update events

Special educational needs co-ordinator (SENCo) or equivalent role

- Understands with the contents, refers to and directs relevant centre staff to current 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
(GR 5.4)
- Ensures any applications for access arrangements or reasonable adjustments are submitted by the published deadline (The SENCo will hold on file appropriate documentary evidence to substantiate such an arrangement, which is open to inspection. For those qualifications covered by Access Arrangements Online, a JCQ Centre Inspector will sample a centre's applications)
- Ensures a file is presented which must contain for each online application the downloaded approval for the respective arrangement(s), and supporting evidence of need (This information must be readily available for inspection at the venue where the candidate is taking the examination(s))
- Ensures requests for modified papers are submitted by the published deadline
- Ensures there are appropriate resources in place at the time of examinations/assessments to meet candidates' needs, e.g. sufficient readers and scribes

Teaching staff

- Undertake key tasks, as detailed in this policy, within the exams process and meet internal deadlines set by the EO and SENCo (or equivalent role)
- 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), 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 materials and follow the requirements for maintaining the integrity and security of confidential examination/assessment 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.

5. The exam cycle

The exams management and administration process that needs to be undertaken for each **exam series** is referred to as the **exam cycle** and relevant tasks which need to be undertaken before, during and after an exam series 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.

5a. Planning: roles and responsibilities

Secure materials

Head of centre

(GR 3.6)

- Ensures the centre has a secure storage facility in a room solely assigned to examinations

(ICE 3.1)

The secure room and the secure storage facility

Question papers and pre-release materials issued by the awarding bodies must always be stored at the centre's registered address in a secure room with a secure storage facility, e.g. safe or security cabinet

The secure room must only be used for the purpose of administering secure examination materials.

The secure storage facility

Access to the secure storage facility **must** be restricted to two to six key holders, one of whom **must** be the exams officer. The two to six key holders **must** either be permanent member of staff or a member of staff who has a formal contract of employment and is subject to standard HR policies and procedures.

The secure room must be accessible throughout an examination series for the storage of question papers and be available for inspection.

When the secure storage facility is being accessed for the storage and preparation of secure assessment materials the door to the secure room **must** be closed.

Information sharing

Head of centre

Directs relevant centre staff to annually updated JCQ documents including GR, ICE, AARA, SMPP, ICC and NEA and SC

Exams officer

- Signposts relevant centre staff to JCQ documents and awarding body documentation relating to the examination/assessment process that has been updated
- Signposts relevant centre staff to JCQ information that must 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 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 the centre has documented processes in place relating to access arrangements and reasonable adjustments
- Ensures the SENCo (or equivalent role) is fully supported in effectively implementing access arrangements and reasonable adjustments once approved

SEnCo (or equivalent role)

- Assesses candidates (or works with the appropriately qualified assessor as appointed by the head of centre) to identify access arrangements/reasonable adjustments 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** for a candidate
- Determines candidate eligibility for arrangements or adjustments that are centre-delegated
- Informs relevant candidates that an application for access arrangements will be processed using *Access Arrangements Online (AAO)*, complying with the UK GDPR and the Data Protection Act 2018
- Applies for **approval** using AAO via the Centre Admin Portal (CAP), where required or through the awarding body where any 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 thoroughly 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
- 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
- Liaises with the relevant member of the senior leadership team on the centre's policy on the use of word processors in examinations
- Ensures criteria for candidates granted **alternative rooming arrangements** is clear, meets JCQ regulations and best meets the needs of individual candidates and remaining candidates in main exam rooms

Examination Access Arrangements Policy – <https://alns.co.uk/school-policies/>

Senior Leaders, Curriculum Leaders, Teaching staff

- Support the SENCo (or equivalent role) in determining and implementing appropriate access arrangements/reasonable adjustments

- Produce a word processor policy specific to the centre, which details the criteria the centre uses to award and allocate word processors for examinations

Internal assessment and endorsements including controlled assessments, coursework and non-examination assessments and portfolios of evidence

Head of centre

- Ensures that where candidates are taking non-examination assessments, teaching staff check that the tasks and approach being taken are appropriate and in line with ethical standards and the centre's safeguarding responsibilities
- Ensures awarding bodies are notified of a consortium of centres with joint teaching arrangements for qualifications (This will allow the candidates for each specification to be treated as a single group for the moderation of centre- assessed work. This is only required if two or more member centres will be entering candidates for work that is centre-assessed)
- Ensures only current assessment materials/tasks are used to assess candidates' knowledge and skills (in cases where the awarding body provides such material)
- Before submitting marks to the awarding body ensures candidates are informed of their centre-assessed marks and allows a candidate to request a review of the centre's marking
- Ensures that all associated administrative tasks are completed in an accurate and timely manner, e.g. marks are correctly calculated, recorded and submitted by the published date (It is the responsibility of the centre to carefully check the marks it is submitting to an awarding body)
- Ensures submission of centre-assessed marks and moderation samples, if required by the awarding body, by the published date (It is the responsibility of the centre to ensure that moderators receive the correct samples of work to review)
- Ensures a written internal appeals procedure relating to internal assessment decisions is in place and ensures that details of this procedure are communicated, made widely available and accessible to all candidates
- Ensures a written policy regarding the management of non-examination assessments, including controlled assessments and coursework is in place which includes details of how candidates work will be authenticated
- Ensures that where candidates' work is backed-up and considers the contingency of candidates' work being backed-up on two separate devices, including one off-site back-up via the Cloud (Implementing appropriate security arrangements which protect candidates' work in the event of IT system corruption and cyber-attacks)

Non-examination Assessment Policy - see appendix 6

Senior leaders/Curriculum 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 GCSE specifications and Vocational and Technical Qualifications which include components of non-examination assessment follow JCQ [Instructions for conducting non-examination assessments](#) and the specification provided 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 (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 is maintained at all times
- Ensures that, wherever possible the following individuals are not assigned as invigilators during an examination: a teacher, teaching assistant, tutor or senior member of centre staff who teaches the subject being examined or a learning support assistant who has supported one or more candidates

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 or malpractice sanctions are applied to them
- Provides thorough training for new invigilators on the current instructions for conducting examinations and an 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 and registrations: Roles & Responsibilities

Head of centre

- Ensures the centre's obligations as detailed in the regulations are met. (With reference to [GR 5.6 Entries and registrations](#))

Estimated entries

Exams officer

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

Senior Leader

Provides entry information requested by the EO to the internal deadline

Informs the EO immediately of any subsequent changes to entry information

Final entries

Head of centre

- Ensures appropriate controls are in place which allow accurate data to be submitted to the awarding bodies, e.g. registrations, entries, learner claims

Exams officer

- Requests final entry/ registration information from senior leaders (or relevant roles) in a timely manner to ensure awarding body external deadlines for submission can be met
- Informs senior leaders (or relevant roles) of subsequent deadlines for making changes to final entry information without charge
- Submits registrations, examination entries and certification claims by the deadline(s) and complies with the requirements of the specification including any terminal rules which need to be met at the point of certification
- Confirms with senior leaders 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 registration entry and timely withdrawal of candidates for their examinations and assessments, and observes any regulatory requirements for the qualification

Senior Leader/Curriculum Leaders

- 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

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

Senior Leader/Curriculum Leaders

- 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

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

5b. Pre-exams: roles and responsibilities

Head of centre

- Ensures the centre's obligations as detailed in the regulations are met. (With reference to [GR 5.8 Candidate information](#))

Access arrangements and reasonable adjustments

SENCo (or equivalent role)

- Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access to exams/assessments for candidates with learning difficulties or disabilities, those for whom English is an additional language and those with a temporary illness or
- Ensures a candidate is involved in any decisions about arrangements, adjustments and /or adaptations that may be put in place for them
- Ensures exam information (JCQ information for candidates documents, individual exam timetable, etc.) is adapted where this may be required for a 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 students) 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 sessions awarding bodies may identify in the event of national or local disruption to exams
- Prior to exams issues relevant JCQ information for candidates documents (coursework, non-examination assessments, on-screen tests, social media and written examinations) and awarding body privacy notices
- 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 exams rooms
 - when and how results will be issued and the staff that will be available
 - the 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 Procedure – appendix 7

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

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

SENCo (or equivalent role)

- 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

Senior Leader/Curriculum Leaders

- 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 Arrangements

Exams officer

- Provides an annually reviewed/updated invigilator handbook to invigilators, trains new invigilators on the current regulations on appointment and updates the existing invigilation team on any regulation changes and any changes to centre-specific arrangements
- 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, prompter, reader or scribe] are accommodated on a one to one basis to enter the room at regular intervals in order to observe the conducting of the exam, ensuring all relevant rules are being adhered to and supporting the practical assistant/prompter/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 (or equivalent role) regarding the facilitation and invigilation of access arrangement candidates

SEnCo (or equivalent role)

- 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
- **SEnCo** (or equivalent role) 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 - see appendix 8

- 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 provided by the EO which details how the identity of all candidates sitting exams will be confirmed
- 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 the confidential exam materials are only handed over to authorised members of staff
- Ensures access to the secure room is restricted and staff approved by the head of centre are accompanied by a keyholder at all times.
- 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 for 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 packaging 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 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 secure environment at the centre to prevent unauthorised personnel accessing live assessment materials and ensuring only authorised members of centre staff have access to electronic question paper materials) A minimum of two and a maximum of six members of centre staff should be authorised to handle secure electronic materials, one of whom must be the exams officer. Other members of centre staff may assist with printing and collation provided they are under supervision.
- Ensures that the question paper is printed correctly, is of good quality and is collated in the right order

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

- 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 as a last resort, once all other options have been exhausted and according to the centre's policy)
- Identifies exam rooms and specialist equipment requirements
- Allocates invigilators to exam rooms (or where supervising candidates due to an exam timetable clash) according to required ratios
- Liaises with site staff to ensure exam rooms are set up according to JCQ and awarding body requirements
- Liaises with the SENCo (or equivalent role) regarding rooming of access arrangement candidates

SEnCo (or equivalent role)

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

Site staff

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

Alternative site arrangements

Exams officer

- Ensures question papers will only be taken to an alternative site where the published criteria for an alternative site arrangement has been met
- Will inform the JCQ Centre Inspection Service to timescale by submitting a JCQ Alternative Site form online 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

Transferred candidate arrangements

Exams officer

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

Internal exams/assessments

Exams officer

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

SEnCo (or equivalent role)

- 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 (or equivalent role) in making appropriate arrangements for access arrangement candidates

5c. Exam time: roles and responsibilities

Head of centre

- Ensures the centre's obligations as detailed in the regulations are met. (With reference to [GR 5.9 Conducting examinations and assessments](#))

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
 - Liaises with the SENCo to apply for approval through AAO where required or through the awarding body where qualifications sit outside the scope of AAO

Candidate Absence Policy – see appendix 8

Invigilators

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

Candidates

- Are 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* through 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

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 the secure storage facility
- 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 second pair of eyes check is recorded
- Ensures question papers are always kept in their sealed packets until the second pair of eyes check and log have been completed
- Ensures the second pair of eyes check takes place immediately before each question paper packet is opened in the designated examination room
- If the question paper packet needs to be split for different rooms on one or more sites or for an access arrangement, ensures the check takes place in the secure room
- Ensures unused question papers are not released to any individual until 24 hours after the awarding body's published finishing time for the examination (Where a candidate is sitting an examination scheduled for the afternoon session on the following morning under an overnight supervision arrangement, unused question papers for that examination must not be released to any individual until the candidate has completed that examination)

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 conduction external exams
- Ensures only authorised centre staff (who have not taught the subject being examined) 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 candidates

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 in 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
- Ensure a procedure is in place in case of an emergency evacuation (lockdown)

Emergency Evacuation Policy (Exams) – see appendix 9

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 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 (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

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

Senior leaders

- Support eligible applications for special consideration by authorising appropriate evidence

Exams officer

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

Candidates

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

Unauthorised materials

- 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.

Invigilators

- Are informed of the arrangements through training

Internal exams/assessments

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

Head of centre

- Ensures the centre's obligations as detailed in the regulations are met. (With reference to [GR 5.12 Results](#), [5.13 Post-results services and appeals](#), [5.14 Certificates](#))

Internal assessment

Senior Leader/Curriculum 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) are in place

Site staff

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

Accessing results

Head of centre

- Ensures results are kept entirely confidential and restricted to key members of staff until the official dates and times of release of results to candidates
- Understanding that it is not permitted to withhold provisional results from candidates under any circumstances

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
- Ensures that senior members of centre staff are available immediately after the publication of results
- Understands that if the centre has concerns about one of its component/subject cohorts, then requests for review 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 the 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

Headteacher/Senior Leader/Exams officer

- Provide analysis of results to appropriate centre staff
- Provide results information to external organisations where required
- Undertake the DFE School and College Checking Exercises (where applicable to the centre)

Certificates

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

Certificate Issue Procedure and Retention Policy - see appendix 10

6. Retention of records: roles and responsibilities

Exams officer

- Keeps records as required by JCQ and awarding bodies for the required period
- Keeps records as required by the centre's records management policy
- Provides an exams archiving policy that identifies information held, retention period and method of disposal. See appendix 11.