

# Examinations Policy



**Title:** Examinations Policy

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Staff area of Intranet

Student and Public area of Intranet

**This process is reviewed annually to ensure compliance with current regulations**

**Key Staff involved in the exams policy**

| Role                                        | Name(s)        |
|---------------------------------------------|----------------|
| Head of Centre                              | Joel Wirth     |
| Exams Managers Line Manager (Member of SLT) | Chris Walls    |
| Examinations Manager                        | Sarah Maddison |
| SENCo                                       | Susan Miles    |

## **Purpose of the Policy**

Thomas Rotherham College is committed to ensuring that the examinations/assessments management and administration process is run effectively and efficiently and in compliance with the published Joint Council of Qualifications (JCQ) regulations and Awarding Body requirements.

The exam policy will ensure that:

- all aspects of the centre's exam process are documented, supporting the centre's contingency plan, and other relevant exam-related policies and procedures are signposted so 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 always maintaining the integrity and security of the examination/assessment system
- 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.

## **Roles and Responsibilities Overview**

**The Head of Centre** is the individual who is accountable to the awarding bodies for ensuring that the centre is always compliant with the published JCQ regulations and awarding body 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 college is always compliant in meeting those published JCQ regulations and awarding body requirements.

**The Examinations Manager** 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 must not normally appoint themselves as the Examinations Manager/Officer.** A head of centre and an examinations manager are two distinct and separate roles.

The Head of Centre and/or Examinations Manager/Officer may operate across more than one centre. In such cases the head of centre must ensure there is suitable senior leadership team 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.

## **Head of Centre Responsibilities**

Head of Centre must ensure that senior leadership teams and exam office personnel familiarise themselves with the entire contents of JCQ *General Regulations for Approved Centres* booklet. In particular, heads of centre must familiarise themselves with sections 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.

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

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

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. entries, internally assessed marks
- all reasonable steps are taken to respond promptly to requests for information or documentation made by an awarding body or regulatory authority

## Head of Centre

Understands the contents, refers to and directs relevant centre staff to annually updated JCQ document including:

- General Regulations for Approved Centres
- Instructions for Conducting Exams
- Access Arrangements and Reasonable Adjustments
- Suspected Malpractice - Policies & Procedures
- Instructions for Conducting Coursework
- Instructions for Conducting Non-examination Assessments
- A Guide to the Special Consideration Process

Ensures the centre has appropriate accommodation to support the size of the cohorts being taught including appropriate accommodation for candidates requiring access arrangements for exams and assessments

- 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 (unless exclusions apply) to ensure there's 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
- 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 [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 and 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 bodies of JCQ without prior consent to third parties or upload such correspondence onto social media sites and applications (including third party applications)
- Ensures member 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

The centre must ensure they are familiar with the regulators' 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 of a national incident preventing examinations from taking place, centres will need evidence of candidate assessment performance such as mock exams, 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, examinations manager/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 their contingency plan centres must identify an alternative site to be used 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 that candidates' work is backed-up and should consider the contingency of candidates' work being backed-up on two separate devices, including one off-site back-up. Centres must implement appropriate security arrangements which protect candidates' work in the event of IT system corruption and cyber-attacks.

## Cyber security

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

- ensuring that all centre staff who access awarding bodies online systems undertake annual cyber security training, which must include:
  - the importance of creating strong, unique passwords for all accounts
  - keeping account details strictly confidential
  - the critical role that Multi-Factor Authentication (MFA) plays 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 or incidents and encouraging a safe and supportive reporting culture

Certificates of completed staff cyber training must be held on file for inspection

- developing and maintaining a comprehensive cyber-security policy for the centre
- 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
  - regularly reviewing and updating security settings to align with current best practice
- Updating any passwords that may have been exposed
- 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

## Recruitment, Selection and Training of Staff

It is the responsibility of the **head of centre** to ensure that the centre:

- 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
- Ensures that teaching staff do not use artificial intelligence (AI) as the sole means of marking candidates' work
- Enables the relevant senior leader(s), the examinations officer (EO) and the SENCo to receive appropriate training and support in order to facilitate the effective delivery of examinations and assessments within the centre, and ensure compliance with the published JCQ and awarding body regulations
- Ensure that the SENCo, AA Assessor and Exams Officer all undertake regular CPD
- Ensures 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
- Ensures that the examinations officer understands relevant awarding body and JCQ documentation and has sufficient time to perform their role
- Ensures 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)
- Ensures 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

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

### Escalation Process

- Has 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 manager/officer to 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 EM
- Can confirm to an awarding body the external governance arrangement 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

- Makes sure that a teacher, tutor or a senior member of centre staff who teaches the subject being examined or a Learning Support Assistant who has supported one or more candidates, is not an invigilator during the examination

### **Delivery of Qualifications**

- Delivers qualifications, as required by the awarding body and 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 and implementing reasonable adjustments for disabled candidates
- Enables candidates to receive sufficient and up to date practical experience, or relevant training where required by the subject concerned

### **Public Liability**

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

### **Conflicts of Interest**

- See **Policies** below

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

- Has 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**

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

- Provides candidates access to relevant pre-release materials on, or as soon as possible after, the date specified by the awarding bodies
- check and record that the correct question papers packets are opened

## National Centre Number Register and other information requirements

- 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)
- Responds to the National Centre Number Register annual update by the end of October every year
  - informs the National Centre Number Register Team immediately (email 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 (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](mailto: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
  - responds, by completing the Head of Centre Declaration, to the National Centre Number Register request for confirmation 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
- Understands that this 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, 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
- 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 themselves with a formal identity document and *must* be accompanied throughout their tour of the premises, including inspection of the centre's secure storage facility

## **Policies & Procedures available for inspection**

- Has in place the following policies for inspection that must be reviewed and updated annually:

### **Child Protection/Safeguarding Policy**

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

### **Complaints Policy (Exams)**

- Ensures a complaints policy 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

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

- Manages conflicts of interest by informing the awarding bodies before the published deadline for entries for each examination series of any potential conflict of interest where:
  - any members of centre staff who are taking a qualification at this centre which includes internally assessed components/units\*
  - any members of centre staff who are teaching and preparing members of their family (which includes stepfamily, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) for qualifications which include internally assessed components/units, *and*

maintains internal records (that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected) of all instances where:

- exams office staff have members of their family (which includes stepfamily, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) being entered for examinations and assessments either at this centre or other centres
  - centre staff are taking qualifications at this centre which do not include internally assessed components/units\*
  - centre staff are taking qualifications at other centres
- Retains records of all conflicts of interest including details of the measures taken to mitigate any potential risk to the integrity of the qualifications affected (The records may be inspected by a JCQ Centre Inspector and/or awarding body staff. They might be requested in the event of concerns being reported to an awarding body. The records must be retained until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later)
- \*Notes that entering members of centre staff for qualifications at their own centre must be as a *last resort* in cases where the member of centre staff is unable to find another centre, and ensures:
  - proper protocols are in place to prevent the member of centre staff having access to examination materials prior to the examination and that other centre staff are briefed on maintaining the integrity and confidentiality of the examination materials

- during the examination series the member of centre staff is treated in the same way as any other candidate entered for that examination, does not have access to examination materials and does not receive any preferential treatment

### **Data Protection Policy (Exams)**

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

### **Equalities Policy**

- 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, requesting and implementing access arrangements

### **Contingency Plan**

- Ensures risks to the exams 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)
- All relevant centre staff must be familiar with the examination contingency plan. Consideration should be given as to how these arrangements will be communicated to candidates, parents and staff should disruption to examinations occur

### **Internal Appeals Procedures**

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

### **Malpractice**

- Through taking an ethical approach and working proactively to avoid malpractice among students and staff takes all reasonable steps to prevent the occurrence of any malpractice/maladministration before, during and after examinations have taken place
- Ensures any person involved in administering, teaching, or completing examinations/assessments is advised that where malpractice is suspected, or alleged, personal data about them will be provided to the awarding body (or bodies) whose examinations/assessments are involved. Personal data about them may also be shared with other awarding bodies, the qualifications regulator or professional bodies in accordance with the JCQ publication *Suspected malpractice – Policies and procedures*
- Ensures irregularities are investigated and informs the awarding bodies immediately of any cases of alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or member of staff, by completing the appropriate documentation
- As required by an awarding body, ensures evidence of any instances of alleged or suspected malpractice (which includes maladministration) is gathered in accordance with the JCQ publication *Suspected Malpractice – Policies and Procedures* and provides such information and advice as the awarding body may reasonably require

### **Non-examination Assessment Policy**

- Ensures a written policy regarding the management of non-examination assessments including controlled assessments and coursework, which includes details on how candidates' work will be authenticated

## Whistleblowing Policy (Exams)

- Ensures that the centre has a whistleblowing policy in place

## Word Processor Policy

- Ensures that the centre has a policy on the use of word processors in examinations in place

## Access Arrangements & Reasonable Adjustments

The head of centre/senior leadership team will:

- appoint a SENCo, or an equivalent member of staff, who will 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, as well as 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, through the access arrangements process submit applications for reasonable adjustments and make reasonable adjustments to the service 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 obtained before they assess candidates and held on file for inspection)
- have a written process in place to not only check the qualification(s) of their assessor(s) but that the correct procedures are followed as in Chapter 7 of the JCQ document *Access Arrangements and Reasonable Adjustments*
- 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

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
- 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

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 programmes 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 Manager Responsibilities

- Understands the contents of annually updated JCQ documents including:
  - General Regulations for Approved Centres
  - Instructions for Conducting Examinations
  - Suspected Malpractice – Policies & 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) by the end of October every year 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)
- 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 (email 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

- 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 Team immediately of any changes in circumstances that could affect the centres 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 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 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 materials on the requirements for maintaining integrity and security of confidentiality examination/assessment materials

### **Senior Leadership Team Responsibilities**

- Are familiar with the contents, refer to and direct relevant centre staff to annually updated JCQ documents including:
  - General Regulations for Approved Centres
  - Instructions for Conducting Examinations
  - Access Arrangements and Reasonable Adjustments
  - Suspected Malpractice – Policies & Procedures
  - Instructions for Conducting Coursework
  - Instructions for Conducting Non-examination Assessments
  - A Guide to the Special Consideration Process
  - Post Results Services
- Ensure teaching staff undertake key tasks, as detailed in this policy, within the exam process (exam cycle) and meet internal deadlines set by EM and 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

### **Special Educational Needs Co-ordinator (SENCo) Responsibilities**

- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ documents 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
  - 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), supporting evidence of need and a signed candidate data personal consent form (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

### Head of Faculty Responsibilities

- Ensures teaching staff undertake key tasks, as detailed in this policy, within the exams process (exam cycle) and meets internal deadlines set by the EM and SENCo
- Ensures teaching staff keep themselves updated with awarding body subject and teacher-specific information to confirm effective delivery of qualifications
- Ensures teaching staff attend relevant awarding body training and update events

### Teaching Staff Responsibilities

- Undertake key tasks, as detailed in this policy, within the exams process and meet internal deadlines set by The EM and 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 Responsibilities

- 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 Responsibilities

- Support the EM in the receipt and dispatch of confidential materials and follow the requirements for maintain the integrity and security of confidential examination/assessment materials

### Site Staff Responsibilities

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

## 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.

## PLANNING: ROLES AND RESPONSIBILITIES

### Head of Centre

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

### The secure room and the secure storage facility

#### The secure room

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

Access to the secure room *must* be restricted to two to six key holders, one of whom must be the exams manager/officer. The two to six key holders must be permanent members of staff or members of staff who have a formal contract of employment and are subject to standard HR policies and procedures...

#### 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 part of the exams team or the senior leadership team. A key holder from the exams team must be a 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.

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, NEA and SC

#### Exams Manager

- Signposts relevant centre staff to JCQ documents and awarding body documentation relating to the examination/assessment process that have 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 AB secure extranet sites

### Information Gathering

#### Exams Manager

- Undertakes an annual information gathering exercise in preparation for each new academic year to ensure data about all qualifications being delivered is up to date and correct
- Collates all information gathered into one central point of reference
- Researched 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/assessments to enable preparation for and conduct of Y13 mock exams and Y12 end of year assessments

## Head of Faculty

- Responds (or ensures teaching staff respond) to requests from the EM on information gathering
- Meets the internal deadline for the return of information
- Informs the EM 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 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 is fully supported in effectively implementing access arrangements and reasonable adjustments once approved

### SENCo

- 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
- Gathers signed **personal data consent, privacy notice (AAO) and data protection confirmation** forms from candidates where required
- Applied for **approval** using **Access Arrangements Online (AAO)** via the **Centre Admin Portal (CAP)**, where required or through the AB 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 an 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 EM 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 the facilitators for the required period
- Works with the EM 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
- Annually reviews the centre policy on the use of word processors in exams and assessments
- 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 the main exam rooms

### Senior Leadership Team/Head of Faculties/Teaching Staff

- Support the SENCo in determining and implementing appropriate access arrangements/reasonable adjustments
- Provides an annually reviewed and updated word processor policy, specific to the centre, which details the criteria the centre uses to award and allocate word processor for examinations

## **Internal Assessment and Endorsements**

### **Head of Centre**

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

- 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
- Ensures that 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 (Implementing appropriate security arrangements which protect candidates' work in the event of IT system corruption and cyber-attacks)

### **Senior Leadership Team/Head of Faculties**

- Ensure teaching staff have the necessary and appropriate knowledge, understanding, skills and training to set tasks, conduct tasks taking, and to assess, mark and authenticate candidates' work (including where relevant, private candidates)
- Ensure appropriate internal moderation, standardisation and verification processes are in place
- Ensures teaching staff delivering relevant qualifications follow *JCQ Instructions for conducting coursework* and the specification provided by the awarding body
- Ensure teaching staff delivering GCE and 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
- Ensure teaching staff delivering qualifications which include (wholly or in part) units of coursework follow JCQ *Instructions for conducting coursework* and the specification provided by the awarding body
- For other qualifications, ensure teaching staff follow appropriate instructions issued by the awarding body
- Ensure teaching staff inform candidates of their centre assessed marks as a candidate may request a review of the centre's marking before marks are submitted to the awarding body

## Teaching Staff

- Ensure appropriate instructions for conducting internal assessments are followed
- Ensure candidates are aware of JCQ and awarding body information for candidates on producing their work that is internally assessed (coursework, non-examination assessments, social media) prior to assessments taking place
- Ensure that 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 Manager

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

## Invigilation

### Head of Centre

- Ensures relevant support is provided to the EM 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 (and not taking on its own an assurance from a recruitment agency, that this is the case)
- Ensures that, wherever possible a teacher, a teaching assistant, a tutor or a senior member of centre staff who teaches the subject being examined or a Learning Support Assistant who has supported one or more candidates is not an invigilator during the examination

### Exams Manager

- Recruits additional invigilators where required to effectively cover all exam periods/series throughout the year
- Collects information on new recruits to identify if they have invigilated previously and if any current maladministration/malpractice sanctions are applied
- Provides thorough training for new invigilators on the current instructions for conducting exams 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 a 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 room and made aware of the access arrangement(s) awarded (ensuring these candidates are identified on the seating plan) and confirms invigilators understand what is and what is not permissible

## Entries: Roles and Responsibilities

### Head of centre

- Ensures the centre's obligations as detailed in the regulations are met.

## **Estimated Entries**

### **Exams Manager**

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

### **Head of Faculty**

- Provide entry information requested by the EM to the internal deadline
- Inform the EM 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., entries

### **Exams Manager**

- Requests final entry information from HoFs in a timely manner to ensure awarding body external deadlines for submission can be met
- Inform HoFs 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 HoFs 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**

Classlists will be sent out to Heads of Faculty to enable them to indicate which students need to be entered for external assessments – and details of the assessment to be entered. Spreadsheets will be created for HOF Checking Purposes. All entries will be sent by submission via A2C with the exception of boards that do not support this facility (NCFE and OCR Vocational Qualifications)

### **Head of Faculty**

- Provide information requested by the EM to the internal deadline
- Inform EM 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
- Check final entry submission information provided by the EM and confirms information is correct

## **Entry Fees**

- College will pay for one exam entry per subject for all students on courses.
- If the student fails to attend for any part of the examination (including submission of coursework) then they will reimburse the College for exam fees paid following receipt of an invoice (other than for medical reasons with an accompanying Doctor's note).
- The individual student must pay the second and subsequent entry fees for an examination. These fees are not returnable.
- In cases of hardship the student should arrange an appointment with Student Services who will discuss payment options. Students who wish to appeal against a decision about fees should submit their case, in writing, to the Head of Centre stating any extenuating circumstances

## **Late Entries**

### **Exams Manager**

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

### **Head of Faculty**

- Minimise the risk of late entries by:
  - Following procedures identified by the EM in relation to making final entries
  - Meeting internal deadlines identified by the EM for making final entries

## **Re-sit Entries**

- Re-sit entries for all students are the responsibility of the individual. Entries must be made on the official form which are available from the EM. Students who have not submitted payment and an entry form by the College's entry date will not be entered for the exam.

## **Private Candidates**

- The College will not accept external entries for non-TRC students. Ex TRC students will be accepted as External Candidates for the qualification fee plus a fee of £25 (per subject) to cover Administration costs, providing the College has other entries for the subject in the particular season.

## **Pre-Exams: Roles and Responsibilities**

### **Head of centre**

- Ensures the centre's obligations as detailed in the regulations are met.

## **Access Arrangements and Reasonable Adjustments**

### **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 candidate's 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 candidates) and that the candidate is assessed by the centre's appointed assessor

## **Briefing Candidates**

### **Exams Manager**

- Issues/emails individual exam timetable information to candidates and informs candidates of any designated contingency sessions awarding bodies may identify in the event of national or significant 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
  - unauthorised items in exam rooms
  - when and how results will be issued
  - the post-results services and how the centre deals with requests from candidates

## **Dispatch of Exam Scripts**

### **Exams Manager**

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

## **Internal Assessment and Endorsements**

### **Head of Centre**

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

### **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

### **Senior Leadership Team/Head of Faculty**

- Ensure teaching staff assess and authenticate candidates' work to the awarding body requirements
- Ensure teaching staff assess endorsed components according to awarding body requirements

- Ensure teaching staff provide marks for internally assessed components and grades for endorsements of qualifications to the EM to the internal deadline
- Ensure teaching staff provide required samples of work for moderation and sample recordings for monitoring to the EM to the internal deadline

### **Exams Manager**

- 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 Manager**

- Provides an annually reviewed/updated invigilator handbook to invigilators, trains new invigilators on appointment and updates the existing invigilation team on 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, prompter, 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 EM 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 Manager**

- Will accompany the Inspector throughout the visit.

#### **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 & Identifying Candidates in Exam Rooms**

### **Exams Manager**

- Ensures a procedure is in place to verify the identity of all candidates. The procedure is that all students must have their Student ID cards on their exam table. If for some reason they have forgotten this, they should have a temporary ID and the student's teacher will verify that they are the student on the seating plan
- Ensures invigilators are aware of the above 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 and invigilators are informed of those candidates with access arrangements and made aware of the access arrangement(s) awarded)

### **Invigilators**

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

## **Security of Exam Materials**

### **Exams Manager**

- Confirms appropriate arrangements are in place to ensure that confidential materials are only handed over to those authorised by the head of centre
- Ensures access to the secure room is restricted and staff approved by the head of centre are always accompanied by a keyholder.
- 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
- 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 a 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)
- At least two and no more than 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.

### **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 Manager**

- Produces a master centre exam timetable for each exam series
- Identifies and resolves candidate exam timetable clashes according to the regulations
- 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

### **SEnCo**

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

### **Overnights Supervision Arrangements policy**

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

Where a candidate is entered for three or more examinations timetabled for the same day and the total duration of the papers is:

- More than six hours for GCE examinations including approved extra time allowances and/or supervised rest breaks; or
- More than five and a half hours for GCSE examinations including approved extra time allowances and/or supervised rest breaks.

Candidates may, at the centre's discretion, be allowed to take an examination the **following morning**, which includes Saturdays.

The centre will appoint an invigilator to supervise the candidate at all times while they are on college premises sitting exams

Supervision of the candidate on journeys to and from the centre will be undertaken by the candidate's parent/carer.

The EM will ensure the ***Timetable Variation and Confidentiality Declaration for Overnight Supervision*** form is completed no later than 23 hours prior to the overnight supervision commencing. The EM will liaise with the parent/carer with regard to arrangements for the following morning and also the security of the exam.

## **Alternative Site Arrangements**

### **Exams Manager**

- Ensures question papers will only be taken to an alternative site where the published criteria for an alternative site arrangement have 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

## **Centre Consortium Arrangements**

### **Exams Manager**

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

### **Senior Leadership Team**

- Inform the EM of any joint teaching arrangements in place and where the centre is acting as the consortium co-ordinator

## **Transferred Candidate Arrangements**

### **Exams Manager**

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

## **Internal Exams/Assessments**

### **Exams Manager**

- 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**

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

### **Teaching Staff**

- Provide exam papers and materials to the EM
- Support the SENCo in making appropriate arrangements for access arrangement candidates (if required)

## **Exam Time: Roles and Responsibilities**

### **Head of centre**

Ensures the centre's obligations as detailed in the regulations are met.

## **Access Arrangements**

### **Exams Manager**

- Provides cover sheets for access arrangement candidates' scripts where required for particular arrangements
- Has a process in place to deal with emergency/temporary access arrangements as they arise at the time of exams

## **Candidate Absence**

The invigilators and exams staff will identify missing candidates (where teaching staff have not done so and inform curriculum departments, who will contact the candidates. Provided the candidates arrive within 1 hour of the published start time of the exam they will be allowed to sit the examination

### **Invigilators**

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

### **Candidates**

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

## **Candidate Behaviour**

- See *Irregularities below*

## **Candidate Belongings**

- See *Unauthorised Items Below*

## **Candidate Late Arrival**

### **Exams Manager**

- Ensures that candidates who arrive very late for an exam are reported to the awarding body by submitting a report on candidate admitted very late to examination room 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 Policy**

### **Candidate Late Arrival Policy**

Candidates who are running late for their exam should call the colleges main reception as soon as possible and advise them why they are late, and give their expected time of arrival.

All candidates who arrive late/very late should report to main reception as soon as they arrive.

Candidates should not go straight to the exam venue but wait to be escorted by the EM or a member of SLT.

College will normally allow late/very late candidates into the exam venue to sit the examination. The candidate will be given the full time allowed for the exam however, if the candidate is very late (after 1 hour of the official start time) they will be warned that the exam board may not accept their work. EM to inform the awarding body regarding the very late arrival of candidates using the appropriate process

## **Conducting Exams**

### **Head of Centre**

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

### **Exams Manager**

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

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

## **Exam Papers and Materials**

### **Exams Manager**

- Organises exam question papers and associated confidential resources in date order in the secure storage facility
- Attaches erratum notices received to relevant sealed 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 care is taken to ensure the correct question paper packets are opened by ensuring a member of centre staff, additional to the person removing the papers from secure storage, e.g. an invigilator, checks the day, date, time, subject, unit/component and tier of entry, if appropriate, immediately before a question paper packet is opened
- Ensures this second pair of eyes check is recorded
- Where allowed by the awarding body, only releases exam papers and materials to teaching departments for teaching and learning purposes no earlier than 24 hours after the published finishing time of the exam, or until any timetable clash candidates have completed the exam

## **Exam Rooms**

### **Head of Centre**

- Ensures that internal tests, mock exams, revision or coaching sessions are not conducted in a room 'designated' as an exam room
- Ensures that when a room is 'designated' as an exam room it is not used for any purpose other than conducting external exams
- Ensures only approved centre staff (who have not taught the subject being examined) are present in exam rooms to perform permitted tasks
- 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

## **Food & Drink in Exams**

Water can be brought into the exam/assessment room, but it must be in a clear bottle, the label removed and, on the floor, next to candidates' desks.

Food can only be brought in if this has been arranged as an access arrangement and is for medical reasons

## **Leaving the Examination Room**

Candidates are expected to remain in the examination room for the full duration of the exam.

Candidates who are allowed to leave the examination room temporarily will be accompanied by a member of centre staff or an invigilator. This must not be the candidate's subject teacher or a subject expert for the examination in question.

Candidates will only be time compensated where a genuine medical condition or illness exists.

## **Exams Manager**

- Ensures exam rooms are set up and conducted as required in the regulations
- Provides invigilators with appropriate resources to effectively conduct exams
- Briefs invigilators on exams to be conducted on a session-by-session basis (including the arrangements in place for any transferred candidates and access arrangement candidates)
- Ensures sole invigilators have an appropriate means of summoning assistance (if this is a mobile phone, instructs the invigilator that this must be 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
- 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 Leadership Team**

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

## **Site Staff**

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

## **Invigilators**

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

## **Candidates**

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

## **Irregularities**

### **Head of Centre**

- Ensures (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 Leadership Team**

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

### **Exams Manager**

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

### **Invigilators**

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

## **Special Considerations**

### **Senior Leadership Team**

- Provide signed evidence to support eligible applications for special consideration

### **Exams Manager**

- 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 applications, where required

## **Unauthorised Items**

Candidates will familiarise themselves with the Information for Candidates documents provided at the beginning of each academic year.

**Mobile Phones/iPods/MP3/4 players or similar devices and Watches** are **NOT ALLOWED** in the exam/assessment room, even if switched off and in a bag. Phones should preferably be left at home but if a phone has been brought in then it must be handed in to reception **before** going to the exam room. The college is **NOT** insured or responsible for any phones handed in.

Pencil cases must be see-through. Calculators must be cleared of all stored memory; lids must be left in their bag.

If a candidate has any unauthorised material on their person once they have taken their seat, they must attract an invigilators attention immediately.

### **Invigilators**

- Are informed of the arrangements through training

### **Internal Exams**

#### **Exams Manager**

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

#### **Invigilators**

- Conduct internal exams as briefed by the EM

### **Results and Post – Results: Roles and Responsibilities**

### **Internal assessment**

#### **Senior Leadership Team**

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

### **Managing Results Day(s)**

#### **Senior Leadership Team**

- Identify centre staff who will be involved in the main summer results day(s) and their role
- Ensures senior members of staff are accessible to candidates after the publication of results so that results may be discussed, and decisions made on the submission of any requests for post-results services and ensures candidates are informed of the periods during which centre staff will be available so that they may plan accordingly

#### **Exams Manager**

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

#### **Site Staff**

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

## Accessing Results

### Head of Centre

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

### Exams Manager

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

## 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 components/subject cohorts, then requests for reviews of marking should be submitted for all candidates believed to be affected (candidate consent is required)

### Exams Manager

- Provides information to all candidates and staff on the services provided by awarding bodies and the fees charged
- 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

### Head of Faculty/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

### Exams Manager

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

- Undertakes the [secondary school and college \(key stage 4/16-18\) performance tables June and September checking exercise \(where applicable\)](#)

## **Certificates**

Certificates are provided to centres by awarding bodies after results have been confirmed. Candidates can come into College in December to collect their certificates, otherwise they will be posted out by tracked mail to the address that currently held on the college system

Certificates returned to college due to non-delivery must be collected by the student within 12 months. Unclaimed certificates will be confidentially destroyed after 12 months.

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

## **Retention of Records: Roles and Responsibilities**

### **Exams Manager**

- 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

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|-------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Policy Review Frequency</b>      | Annual                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>Policy to be approved by</b>     | SLT                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| <b>Date of Review</b>               | September 2025                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| <b>Key Updates at latest review</b> | <p><b>Resilience and contingency arrangements</b></p> <ul style="list-style-type: none"> <li>The centre must ensure they are familiar with the regulators' 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 of a national incident preventing examinations from taking place, centres will need evidence of candidate assessment performance such as mock exams, to enable alternative methods of awarding grades</li> </ul> <p><b>Cyber security</b></p> <p>The head of centre must ensure there are procedures in place to maintain the security of user accounts by:</p> <ul style="list-style-type: none"> <li>ensuring that all centre staff who access awarding bodies online systems undertake annual cyber security training, which must include: <ul style="list-style-type: none"> <li>the importance of creating strong, unique passwords for all accounts</li> <li>keeping account details strictly confidential</li> <li>the critical role that Multi-Factor Authentication (MFA) plays in protecting against unauthorised access</li> <li>how to properly set up and use MFA for both centre and awarding bodies' systems</li> <li>an awareness of all types of social engineering/phishing attempts</li> <li>the importance of staff quickly reporting any suspicious activity, events or incidents and encouraging a safe and supportive reporting culture</li> </ul> </li> </ul> <p>Certificates of completed staff cyber training must be held on file for inspection</p> <ul style="list-style-type: none"> <li>developing and maintaining a comprehensive cyber-security policy for the centre</li> <li>implementing and enforcing robust security measures including: <ul style="list-style-type: none"> <li>mandatory MFA for all accounts and systems containing exam-related information, including those that interface between awarding body and centre systems</li> <li>regularly reviewing and updating security settings to align with current best practice</li> </ul> </li> </ul> |

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|--------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                            | <ul style="list-style-type: none"> <li>• Ensure that the SENCo, AA Assessor and Exams Officer all undertake regular CPD</li> <li>• Ensures a written policy regarding the management of non-examination assessments including controlled assessments and coursework, which includes details on how candidates' work will be authenticated</li> </ul> |
| <b>Approved by Chair</b>                   |                                                                                                                                                                                                                                                                                                                                                      |
| <b>Next Review</b>                         | September 2026                                                                                                                                                                                                                                                                                                                                       |
| <b>Lead Professional / External Review</b> | Sarah Maddison / Chris Walls                                                                                                                                                                                                                                                                                                                         |
| <b>Communication</b>                       | Policy Acceptance                                                                                                                                                                                                                                                                                                                                    |
| <b>Document Location</b>                   | Policy Acceptance, Every Compliance System, Website                                                                                                                                                                                                                                                                                                  |
| <b>PA/HR Officer</b>                       | Katie Holland                                                                                                                                                                                                                                                                                                                                        |