



## **Exams Policy**

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Responsibility of: Exams Manager

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## **Purpose of the policy**

RHSC is committed to ensuring that the exams management and administration process is run effectively and efficiently and in compliance with the published JCQ regulations and awarding body requirements. This exam policy will ensure that:

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

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

The relevant parts of the policy will be communicated to relevant centre staff via staff briefings and department meetings via HoDs, and to students via their exams booklet and assemblies. This policy is posted to RHSC websites.

## **Roles and responsibilities overview**

### **Head of centre**

- ▶ Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:
  - [General regulations for approved centres](#) (GR)
  - [Instructions for conducting examinations](#) (ICE)
  - [Access Arrangements and Reasonable Adjustments](#) (AA)
  - [Suspected Malpractice – Policies and Procedures](#)(SM)
  - [Instructions for conducting non-examination assessments](#) (NEA) (and the instructions for conducting coursework)
  - [A guide to the special consideration process](#) (SC)
- ▶ Ensures the centre has appropriate accommodation to support the size of the cohorts being taught including appropriate accommodation for candidates requiring access arrangements for exams and assessments.

### **National Centre Number Register**

- Takes responsibility for confirming, on an annual basis, that they are aware of and adhering to the latest version of the JCQ's regulations by responding to the head of centre's declaration which is managed as part of the National Centre Number Register (NCNR) annual update
- Understands that this responsibility cannot be delegated to a member of the senior leadership team or the examinations officer, and acknowledges that failure to respond to the NCNR annual update, and/or the head of centre's declaration, will result in:
  - the centre status being suspended
  - the centre not being able to submit examination entries
  - the centre not receiving or being able to access question papers

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

- ▶ Retains a workforce of an appropriate size and competence, including sufficient managerial and other resources, to undertake the delivery of the qualification as required by an awarding

body. This includes taking reasonable steps to ensure occupational competence where this is required for the assessment of specific qualifications

- ▶ Provides fully qualified teachers to mark non-examination assessments, and/or fully qualified assessors for the verification of centre-assessed components
- ▶ Enables the relevant senior leader(s), the examinations officer (EO) and the SENCo to receive appropriate training and support in order to facilitate the effective delivery of examinations and assessments within the centre, and ensure compliance with the published JCQ regulations
- ▶ Appoints a SENCo who will determine appropriate arrangements for candidates with learning difficulties and disabilities

### **Internal governance arrangements**

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

### **Escalation Process**

The member of the SLT who provides support and guidance to the Exams Manager and ensures that the integrity and security of examinations is maintained throughout an examination series is Mr. Paul Beale.

In the absence of Mr Beale, the Head of Centre, Mr. Tim Gibbs will assume this responsibility.

In the absence of Mr Gibbs, Mrs Jennifer Fletcher will assume the Head of Centre exam responsibilities, including deputising for Mr Beale as above.

- ▶ Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the EO
- ▶ Makes sure that a teacher, a tutor or a senior member of centre staff who teaches the subject being examined, is not an invigilator during an examination

### **Delivery of qualifications**

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

### **Public liability**

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

### **Security of assessment materials**

- Takes all reasonable steps to maintain the integrity of the examinations/assessments, including the security of all assessment materials, by ensuring:
  - the location of the centre's secure storage facility in a secure room solely assigned to examinations for the purpose of administering secure examination materials
  - appropriate arrangements are in place to ensure that confidential materials are only handed over to authorised members of centre staff
  - access to the secure room and secure storage facility is restricted to the authorised two to six keyholders (ensuring only persons authorised by the head of centre and the

exams officer are allowed access to the centre's secure storage facility as one of the two to six key holders)

- the relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk
- that arrangements are in place to check that the correct question paper packets are opened by authorised members of centre staff
- Makes arrangements to receive, check and store question papers and examination material safely and securely at all times and for as long as required in accordance with the current JCQ publication Instructions for conducting examinations
- Makes arrangements to receive and issue material received from the awarding bodies to staff and candidates, and notify them of any advice and instructions relevant to the examinations and assessments
- Allows candidates access to relevant pre-release materials on, or as soon as possible after, the date specified by the awarding bodies
- Obtains written approval from the relevant awarding body before permitting a third party to deliver any part of a qualification including assessments
- Through taking an ethical approach and working proactively to avoid malpractice among students and staff takes all reasonable steps to prevent the occurrence of any malpractice/maladministration before, during the course of and after examinations have taken place
- Ensures irregularities are investigated and informs the awarding bodies of any cases of alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, are reported to the awarding body immediately
- Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place (that allow the senior leadership team to act immediately in the event of an emergency or staff absence)

### **Exam contingency plan**

Can be found in Exam Policies folder in the Exams Office.

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

### **Internal appeals procedures**

Can be found in Exam Policies folder in the Exams Office and on RHSC websites

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

### **Equalities policy (exams)**

Can be found in Exam Policies folder in the Exams Office.

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

### Complaints procedure (exams)

Can be found in Exam Policies folder in the Exams Office and on RHSC websites

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

### Safeguarding policy

Can be found in Exam Policies folder in the Exams Office and on RHSC website

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

### Data protection policy

General policy can be found on Synergy Trust's website. GDPR Policy (exams) can be found in the Exams Policies Folder in the Exams Office

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

### Access arrangements policy

Can be found in the Exams Policies folder in the Exams Office and SENCo office

### Conflicts of interest

- ▶ Ensures the relevant awarding bodies are informed of any **Conflict of Interest** where
  - a member of centre staff is taking a qualification at the centre which includes internally assessed components/units (taking at the centre as a last resort where unable to find an alternative centre)
  - a candidate is being taught and prepared for a qualification which includes internally assessed components/units by a member of centre staff with a personal connection to the candidate
- ▶ Maintains records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected by the above, and where
  - a member of exams office staff has a personal connection to a candidate being entered for exams and assessments at the centre or at another centre
  - a member of centre staff is taking a qualification at the centre which does not include internally assessed components/units (taking at the centre as a last resort where unable to find an alternative centre)
  - a member of centre staff is taking a qualification at another centre
- ▶ 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

The Exams Officer will inform the awarding bodies, before the associated entries are submitted, of any members of centre staff who are sitting examinations and assessments that include internally assessed components, or teaching and preparing members of their family for examinations and assessments that include internally assessed components. This will be done via their online forms and conflict of interest email addresses. Records of what has been reported will be kept in the policies folder in the Exams Office.

If a member of staff is taking an exam at RHSC, they will be treated as any other candidate and will not have access to examination materials. Their internally assessed component will

be marked as usual, but moderated by an external teacher with no relationship to the candidate.

If a member of staff is teaching or preparing close family/friends for examinations and assessments, they will not be allowed to mark any internally assessed components. If the exam has pre-release materials the teacher must sign a document to say that they will not share this information with the candidate and be warned of the consequences of doing so. The Head of Centre will also sign to say they are satisfied that this will happen. Alternatively they will not be allowed access to pre-release materials.

The Exams Officer will maintain records of **all centre staff** who have relatives or close friends taking examinations at RHSC or elsewhere, and all centre staff who are taking qualifications at RHSC without internally assessed components and any qualification elsewhere. These records will be kept in the policies folder of the Exams Office.

AT RHSC teachers do not have access to examination materials except pre-release materials (Art, MFL) If a candidate is entered for an exam at RHSC (or elsewhere using the same exam board as RHSC) with pre-release materials, the same process as above will take place.

If the relative/friend is a member of the Exams staff (including invigilators) then that person will not have unaccompanied access to exam materials at any time prior to the start of an exam.

- ▶ Ensures members of centre staff do **not** forward e-mails and letters from awarding body or JCQ personnel without prior consent to third parties or upload such correspondence onto social media sites and applications
- ▶ Ensures members of centre staff do **not** advise parents/candidates to contact awarding bodies/JCQ directly nor provide them with addresses/email addresses of awarding body examining/assessment or JCQ personnel

### Centre Inspections

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

### Exams officer

- ▶ Understands the contents of annually updated JCQ publications including:
  - [General regulations for approved centres](#)
  - [Instructions for conducting examinations](#)
  - [Suspected Malpractice – Policies and Procedures](#)
  - [Post-results services](#) (PRS)
  - [A guide to the special consideration process](#)
- Completes/submits the National Centre Number Register annual update (administered on behalf of the JCQ member awarding bodies by OCR <https://ocr.org.uk/administration/ncn-annual-update/>) by the end of October each year
- ▶ 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
- ▶ Ensures invigilators supervising access arrangement candidates and those acting as a facilitator supporting access arrangement candidates fully understand the respective role and what is and what is not permissible in the exam room
- ▶ Supports the head of centre in ensuring that awarding bodies are informed of any Conflict of Interest declared by members of centre staff and in maintaining records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected the published deadline for entries
- ▶ Briefs other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials on the requirements for maintaining the integrity and confidentiality of the exam materials

### **Senior leaders (SLT)**

- ▶ Are familiar with the contents, refer to and direct relevant centre staff to annually updated JCQ publications including:
  - [General regulations for approved centres](#)
  - [Instructions for conducting examinations](#)
  - [Access Arrangements and Reasonable Adjustments](#)
  - [Suspected Malpractice – Policies and Procedures](#)
  - [Instructions for conducting non-examination assessments](#) (and the instructions for conducting coursework)
  - [A guide to the special consideration process](#)

### **Special educational needs co-ordinator (SENCo)**

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

### **Senior Leaders**

- ▶ Ensure teaching staff undertake key tasks, as detailed in this policy, within the exams process (exam cycle) and meet internal deadlines set by the EO and 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**

- ▶ Undertake key tasks, as detailed in this policy, within the exams process and meet internal deadlines set by the EO 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**

- ▶ Attend/undertake training, update, briefing and review sessions as required
- ▶ Provide information as requested on their availability to invigilate
- ▶ Sign a confidentiality and security agreement and confirm whether they have any current maladministration/malpractice sanctions applied to them

## Reception staff

- ▶ Support the EO in the receipt and dispatch of confidential exam materials and follow the requirements for maintaining the integrity and confidentiality of the exam materials

## Site staff

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

## Candidates

Where applicable in this policy, the term 'candidates' refers to candidates and/or their parents/carers.

## The exam cycle

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

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

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

## Planning: roles and responsibilities

### Information sharing

#### Head of centre

- ▶ Directs relevant centre staff to annually updated JCQ publications including [GR](#), [ICE](#), [AA](#), [SM](#) and [NEA](#) (and the instructions for conducting coursework)

#### Exams officer

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

### Information gathering

#### Exams officer

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

#### Head of department

- ▶ Responds (or ensures teaching staff respond) to requests from the EO on information gathering

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

## Access arrangements

### Head of centre

- ▶ Ensures there is appropriate accommodation for candidates requiring access arrangements in the centre for all examinations and assessments
- ▶ Ensures a written process is in place to not only check the qualification(s) of the appointed assessor(s) but that correct procedures are followed as per Chapter 7 of the JCQ publication 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 requirements
- ▶ Gathers **evidence** to support the need for access arrangements for a candidate
- ▶ Liaises with teaching staff to gather evidence of **normal way of working** of an affected candidate
- ▶ Determines candidate eligibility for arrangements or adjustments that are centre-delegated
- ▶ Gathers signed **Personal data consent, Privacy Notice (AAO) and Data Protection confirmation form** from candidates where required
- ▶ Applies for approval through *Access arrangements online* (AAO), via the Centre Admin Portal (CAP) where required or through the awarding body where qualifications sit outside the scope of AAO
- Keeps a file for each candidate for JCQ inspection purposes containing all the required documentation
- ▶ Employs good practice in relation to the Equality Act 2010
- ▶ Liaises with the EO regarding exam time arrangements for access arrangement candidates
- ▶ Provides and annually reviews a centre policy on the use of word processors in exams and assessments

### Exams Officer

- ▶ Ensures staff appointed to facilitate access arrangements for candidates are appropriately trained and understand the rules of the particular arrangement(s) and keeps a record of the content of training provided to facilitators for the required period

#### Word processor policy (exams)

Can be found in the Exams Policies folder in the Exams Office and SENCo office

- ▶ Ensures criteria for candidates granted **separate invigilation within the centre** is clear, meets JCQ regulations and best meets the needs of individual candidates and remaining candidates in main exam rooms

#### Separate invigilation within the centre

Separate invigilation and/or a small room will be allowed if the SENCo agrees that:

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

- it is the candidate's normal way of working within the centre.

For example, in the case of separate invigilation, the candidate's difficulties are established within the centre and known to a Form Tutor, a Head of Year, the SENCo or a senior member of staff with pastoral responsibilities.

## **Internal assessment and endorsements**

### **Head of centre**

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

- Ensures arrangements are in place to co-ordinate and standardise all marking of centre-assessed components and ensures that candidates' centre-assessed work is produced, authenticated and marked, or assessed and quality assured in accordance with the awarding bodies' instructions (including where relevant, private candidates)
- Ensures that teaching staff, in accordance with awarding bodies' instructions, return all subject-specific forms by the required date
- ▶ Provides fully qualified teachers to mark non-examination assessments
- ▶ Ensures an **internal appeals procedure** relating to internal assessment decisions is in place for a candidate (or parent/carer) to appeal against and request a review of the centre's marking (see Roles and responsibilities overview)
- ▶ Ensures a **non-examination assessment policy** is in place for new GCE and GCSE qualifications which include components of non-examination assessment (For CCEA GCSE centres this would be a controlled assessment policy)

#### **Non-examination assessment policy**

Can be found in Exam Policies folder in the Exams Office

- ▶ Ensures any irregularities relating to the production of work by candidates are investigated and dealt with internally if discovered prior to a candidate signing the authentication statement (where required) or reported to the awarding body if a candidate has signed the authentication statement

### **Senior leaders**

- ▶ Ensure teaching staff have the necessary and appropriate knowledge, understanding, skills, and training to set tasks, conduct task taking, and to assess, mark and authenticate candidates' work
- ▶ Ensure appropriate internal moderation, standardisation and verification processes are in place
- ▶ Ensures teaching staff delivering AQA Applied General qualifications, OCR Cambridge Nationals and Entry Level Certificates or Project qualifications follow JCQ [Instructions for conducting coursework](#) and the specification provided by the awarding body
- ▶ Ensures teaching staff delivering GCE & GCSE specifications (which include components of non-examination assessment) follow JCQ [Instructions for conducting non-examination assessments](#) and the specification provided by the awarding body
- ▶ For other qualifications, ensures teaching staff follow appropriate instructions issued by the awarding body
- ▶ Ensures teaching staff inform candidates of their centre assessed marks as a candidate may request a review of the centre's marking before marks are submitted to the awarding body

### **Teaching staff**

- ▶ Ensure appropriate instructions for conducting internal assessment are followed

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

#### **Exams officer**

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

#### **Invigilation**

##### **Head of centre**

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

##### **Exams officer**

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

##### **Estimated entries**

##### **Exams officer**

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

##### **Head of department**

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

##### **Final entries**

##### **Exams officer**

- ▶ Makes candidates aware of the JCQ [Information for candidates – Privacy Notice](#) at the start of a vocational qualification or when entries are being processed for a general qualification

- ▶ Requests final entry information from HoDs in a timely manner to ensure awarding body external deadlines for submission can be met
- ▶ Informs HoDs of subsequent deadlines for making changes to final entry information without charge
- ▶ Confirms with HoDs final entry information that has been submitted to awarding bodies
- ▶ Ensures as far as possible that entry processes minimise the risk of entries or registrations being missed reducing the potential for late or other penalty fees being charged by awarding bodies
- ▶ Observes each awarding body's terms and conditions for the entry and withdrawal of candidates for their examinations and assessments

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

HoDs are issued with class lists per qualification/unit and given deadline to return them to EO. EO makes entries and prints off an entry list which is signed by HoD.

### **Head of department**

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

### **Entry fees**

RHSC will pay for exam entries from the exams budget. Candidates re-sitting, all private candidates and students that do not attend exams without a valid reason will be charged entry fees. Non-attending students will be reported to Finance who will raise an invoice for exam fees.

### **Late entries**

#### **Exams officer**

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

#### **Head of department**

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

### **Re-sit entries/private candidates**

Re-sits will only be allowed in exceptional circumstances to College students. This will be managed by subject HoDs. The only private candidates accepted at RHSC are ex-College students who have recently left. Candidates will complete an external exam entry form and will be charged the cost of entry and an administration charge of £25. This must be paid before entries are made. No private candidates will be accepted at the school

## **Candidate statements of entry**

### **Exams officer**

- ▶ Provides candidates with statements of entry for checking

### **Teaching staff**

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

### **Candidates**

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

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

### **Access arrangements**

#### **SENCo**

- ▶ Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access to exams/assessment for candidates where they are disabled within the meaning of the Equality Act (unless a temporary emergency arrangement is required at the time of an exam)
- ▶ Ensures a candidate is involved in any decisions about arrangements, adjustments and /or adaptations that may be put in place for him/her
- ▶ Ensures exam information (JCQ information for candidates information, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it
- ▶ 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

#### **Exams Officer**

- Allocates appropriately trained centre staff to facilitate access arrangements for candidates in exams and assessments (ensuring that the facilitator appointed meets JCQ requirements and fully understands the rule of the particular access arrangement)

### **Briefing candidates**

#### **Exams officer**

- ▶ Issues individual exam timetable information to candidates and informs candidates of any contingency day awarding bodies may identify in the event of national or 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
  - ▶ what equipment is/is not provided by the centre
  - ▶ food and drink in exam rooms
  - ▶ wrist watches in exam rooms
  - ▶ when and how results will be issued and the staff that will be available
  - ▶ the post-results services and how the centre deals with requests from candidates
  - ▶ when and how certificates will be issued



## Access to scripts, review of results and appeals procedures

Candidates, including external candidates are informed about post results services via the Exam Information booklet which is issued before the exams start. The relevant forms and written process will be sent out at the end of the exam season and be available in the Exams Office and on RHSC intranet. These detail the process, fees and deadlines. On results days teaching and exams staff will be on hand to assist. Outcomes will be emailed directly to students (and a parent if under 18). Appeals procedures are detailed in the Internal Appeals Procedure available on RHSC website and in the policies folder in the Exams Office.

### **Dispatch of exam scripts**

#### **Exams officer**

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

### **Internal assessment and endorsements**

#### **Head of centre**

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

#### **SENCo**

- ▶ 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

#### **Head of department**

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

#### **Exams officer**

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

#### **Candidates**

- ▶ Authenticate their work as required by the awarding body



## **Invigilation**

### **Exams officer**

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

### **SEnCo**

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

### **Invigilators**

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

## **JCQ Centre Inspections**

### **Exams officer**

- ▶ Will accompany the Inspector throughout a visit

### **SEnCo or relevant Senior leader** (in the absence of the SEnCo)

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

## **Seating and identifying candidates in exam rooms**

### **Exams officer**

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

#### **Candidate identification procedure**

All students' identity is verified at initial registration. All students have an exam card which details name, centre number, exam number and a colour photo. These are placed on desks before the exam according to the seating plan. During the exam an invigilator will verify the identity of each candidate using their exam cards. External/private candidates will be asked to provide photo ID which will be checked when entered for an exam and before each exam starts.

Access arrangements will be detailed on seating plans.

- ▶ Ensures invigilators are aware of the procedure
- ▶ Provides seating plans for exam rooms according to JCQ and awarding body requirements (and ensures candidates with access arrangements are identified on the seating plan 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 EO

- ▶ Seat candidates in exam rooms as instructed by the EO/on the seating plan

## **Security of exam materials**

### **Exams officer**

- ▶ Confirms appropriate arrangements are in place to ensure that confidential materials are only handed over to those authorised by the head of centre – Exams Manager and Exams Assistant.
- ▶ Ensures only persons authorised by the head of centre and the exams officer are allowed access to the centre's secure storage facility as one of the two to six key holders.
- ▶ 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 Reception staff within the centre and that appropriate arrangements are in place for confidential materials to be immediately transferred to the secure storage facility by site staff 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 an area that can be controlled to prevent unauthorised personnel accessing live assessment materials and ensuring only authorised members of centre staff have access to electronic question papers)

### **Reception staff**

- ▶ Follow the process to log confidential materials delivered to/received by the centre to the point materials are issued to site staff for transferral to the secure storage facility and Exams staff.

### **Teaching staff**

- ▶ Adhere to the process to record the secure movement of confidential materials taken from or returned to secure storage throughout the time the material is confidential

## **Timetabling and rooming**

### **Exams officer**

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

### **Overnight supervision arrangements policy**

Before overnight supervision is considered, the EO will meet with the affected student to discuss arrangements for taking all the clash exams in one day. This must be the preferred options, so all that can be done in terms of rooming and timings of exams to enable this for the student must be considered. Unless there is a documented health or emotional reason why the student is unable to take all the exams in one day, they will be expected to do so.

If overnight supervision is used as a last resort, the preference would for this to be under the supervision of a member of staff. If this is not possible, the student and supervisor (parent or other nominated person) must meet with the EO and Head so that they are satisfied that regulations below are followed and that the JCQ overnight declaration and supervision forms are signed and retained.

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

### **Site staff**

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

### **Alternative site arrangements**

#### **Exams officer**

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

### **Transferred candidate arrangements**

#### **Exams officer**

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

### **Internal exams**

#### **Exams officer**

- ▶ Prepares for the conduct of internal exams under external conditions
- ▶ 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 teaching staff to make appropriate arrangements for access arrangement candidates

### **Teaching staff**

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

## Exam time: roles and responsibilities

### Access arrangements

#### Exams officer

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

### Candidate absence

#### Candidate absence policy

Invigilators will inform the EO/Attendance Officer of absent candidates before the start of an exam, but they will not be allowed to delay the start of an exam. If a candidate is absent from an exam and has not notified RSHC, they will be phoned immediately by the AO/College admin to see if they are coming. Absences are reported to HoDs, SLT and Heads of Centre each day.

#### Invigilators

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

#### Candidates

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

### Candidate late arrival

#### Exams officer

- ▶ Ensures that candidates who arrive very late (over 1 hour) for an exam are reported to the awarding body by submitting a *report on candidate admitted very late to examination room* through CAP to timescale
- ▶ Warns candidates that their script may not be accepted by the awarding body

#### Invigilators

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

#### Candidate late arrival policy

Students are allowed to enter the exam room and have the full time for the exam if they are up to one hour late, but must report to EO first. They will not be allowed access to the exam room if they are not accompanied by the EO. Persistently late candidates will be reported to the SLT. Candidates arriving over one hour late will still be allowed to sit the exam for its full

duration but will be informed that the “very late” arrival will be reported to the awarding body and their paper may not be marked.

## **Conducting exams**

### **Head of centre**

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

### **Exams officer**

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

## **Dispatch of exam scripts**

### **Exams officer**

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

## **Exam papers and materials**

### **Exams officer**

- ▶ Organises exam question papers and associated confidential resources in date order in the secure storage facility.
- ▶ Attaches erratum notices received to relevant exam question paper packets
- ▶ Collates attendance registers and examiner details in date order
- ▶ Regularly checks mail or email inbox for updates from awarding bodies
- ▶ In order to avoid potential breaches of security, ensures 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 additional/second check is recorded
- ▶ Where allowed by the awarding body, only releases exam papers and materials to teaching departments for teaching and learning purposes after the published finishing time of the exam, or until any 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 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 and drink policy (exams)**

Food (small sweets) is allowed into the exam room but must be unpackaged. Clear water bottles are allowed.

## Leaving the exam room policy

Candidates will be allowed to leave the room temporarily to go to the toilet. They will be accompanied by an invigilator and the time used will be noted on the incident log and added at the end of the exam. Some students have rest breaks and these may also be taken outside the exam room (for example if a diabetic student need to check their bloods etc.). Time used will be noted and added at the end of the exam. If a student is distressed and/or disturbing others, it may also be appropriate for an invigilator to take them outside the exam room. In this instance the EO should be notified to make a decision on how to proceed. Time of leaving and returning to the exam room must be noted on the incident log.

### Exams officer

- ▶ Ensures exam rooms are set up and conducted as required in the regulations
- ▶ Provides invigilators with appropriate resources to effectively conduct exams
- Briefs invigilators on exams to be conducted on a session by session basis (including the arrangements in place for any transferred candidates and access arrangement candidates)
- ▶ Ensures sole invigilators have an appropriate means of summoning assistance (if this is a mobile phone, instructs the invigilator that 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.
- ▶ Provides authorised exam materials which candidates are not expected to provide themselves
- ▶ Ensures invigilators and candidates are aware of the emergency evacuation procedure
- ▶ Ensures invigilators are aware of arrangements in place for a candidate with a disability who may need assistance if an exam room is evacuated

### Senior leaders

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

## Emergency evacuation policy

Can be found in the Exam Policy folder in the Exams Office

### Site staff

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

### Invigilators

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

### Candidates

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

## **Irregularities**

### **Head of centre**

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

### **Managing behaviour policy**

If candidates are being disruptive they will be warned by the invigilator that they may be removed from the exam room. If it continues and they are affecting other students, they will be escorted from the room to the EO office and Head of Centre informed. This will be recorded on the incident log. The EO/Head/SLT member will attempt to resolve the situation by talking to the student and/or re-rooming. If, however the disruption continues the EO will explain that they will contact the awarding body and that the student could be disqualified from the exam.

### **Senior leaders**

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

### **Exams officer**

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

### **Invigilators**

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

## **Special consideration**

### **Senior leaders**

- Provide signed evidence to support eligible applications for special consideration

### **Exams officer**

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

### **Candidates**

- ▶ Provide appropriate evidence to support special consideration applications, where required

## **Unauthorised items**

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

The invigilator will tell the students to take watches off and put them on their desks and hand in any unauthorised items at the start of the exam. Unauthorised items will be kept at the front of the room until the exam has finished. Bags will not be allowed in the exam room.

### **Invigilators**

- ▶ Are informed of the arrangements through training



## **Internal exams**

### **Exams officer**

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

### **Invigilators**

- ▶ Conduct internal exams as briefed by the EO

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

### **Internal assessment**

#### **Head of department**

- ▶ 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 leaders**

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

#### **Exams officer**

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

#### **Results day programme**

Students will be invited to come to RHSC on the morning of results days to pick up their results. They may nominate someone to pick up their results for them by email or signed letter. No results will be given out by phone. On results day, all information on post results services will be available.

#### **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 officer**

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



- ▶ Provides summaries of results for relevant centre staff on issue of results date

## **Post-results services**

### **Head of centre**

- ▶ Ensures an **internal appeals procedure** is available where candidates disagree with any centre decision not to support a clerical re-check, a review of marking, a review of moderation or an appeal
- ▶ Ensures that senior members of centre staff are available immediately after the publication of results
- ▶ Understands that if the centre has concerns about one of its component/subject cohorts, then requests for reviews of marking should be submitted for all candidates believed to be affected (candidate consent is required as marks and subject grades may be lowered, confirmed or raised)

### **Exams officer**

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

### **Teaching staff**

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

### **Candidates**

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

## **Analysis of results**

### **Data Manager/SLT**

- ▶ 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*

## **Certificates**

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

### **Certificate issue procedure**

Certificates are issued to candidates at presentation evenings. Records are kept of which students have collected their certificates. Remaining certificates are stored securely and can be picked up by student or nominated representative upon the production of photo ID. A signed record is kept of certificate collection.

### **Candidates**

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

### **Certificate retention policy**

Certificates are retained securely for 2 years in the Exams Office and are then destroyed securely. A record is kept of which certificates have been destroyed.

### **Retention of records: roles and responsibilities**

#### **Exams officer**

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

### **Exams archiving policy**

Can be found in the Data Protection Policy (exams) and Examination Archiving Policy, both in the policies folder in the Exams Office.