



# Ark Charter Academy

## *Exam Policy* *2021/22*

Approved/Agreed by		
Head of Centre	SLT Exams	Exams Officer
Date of next review		October 2022

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## Purpose of the policy

The purpose of this exams policy is:

- to ensure the planning, management and administration of exams is conducted efficiently and in the best interests of candidates;
- to ensure the operation of an efficient exams system with clear guidelines for all relevant staff.

It is the responsibility of everyone involved in the centre's exam processes to read, understand and implement this policy.

The exams policy will be reviewed every year by the Exams Officer and Head of Centre.

Where references are made to JCQ regulations/guidelines, further details can be found at [www.jcq.org.uk](http://www.jcq.org.uk).

## Exam Roles and responsibilities

### Head of Centre:

The **head of centre** is the individual who is accountable to the awarding bodies for ensuring that the centre is always compliant with the published JCQ regulations and awarding body requirements to ensure the security and integrity of the examinations/assessments. **It is the responsibility of the head of centre to ensure that all staff comply with the instructions in this booklet.** Failure to do so may constitute malpractice as defined in the JCQ publication *Suspected Malpractice: Policies and Procedures, 1 September 2021 to 31 August 2022*: <https://www.jcq.org.uk/exams-office/malpractice> (ICE Introduction)

- 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)
  - A guide to the special consideration process (SC)
- Ensures the centre has appropriate accommodation to support the size of the cohorts being examined, including appropriate accommodation for candidates requiring Access Arrangements (AAs).
- Takes responsibility for responding to the National Centre Number (NCN) Register annual update by the end of October each year and understands that this responsibility cannot be delegated to a member of SLT, Exams Officer or any other member of staff.
- Has in place a written escalation process should the SLT responsible for exams, or the Head of Centre be absent.

### Escalation Process

- If the SLT responsible for exams (Zack Morgan) is absent, any queries or decisions must be deferred to the Head of Centre (Fiona Chapman).

- If the Head of Centre is absent, responsibility for implementing JCQ regulations and requirements relating to exams will be escalated to the Executive Principal (Peter Haylock)
- Provides fully qualified teachers to mark non-examination assessments, and/or fully qualified assessors for the verification of centre assessed components.
- Has in place a member of SLT who will provide support and guidance to the Exams Officer and ensure that the integrity and security of examinations and assessments is maintained throughout an exam series.
- Enables the EO and SENCo to attend appropriate training and other events in order to facilitate the effective delivery of exams and assessments within the centre.
- Appoints a SENCo who will determine appropriate arrangements for candidates with learning difficulties and disabilities.
- Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the EO.
- Makes sure that a teacher, tutor or a senior member of centre staff who teaches the subject being examined, is not an invigilator during the timetabled written examination.
- 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 understanding them and seeking reasonable adjustments for candidates with disabilities.
- Complies with local health and safety rules which are in place and that the centre is adequately covered for public liability claims.
- Takes all reasonable steps to maintain the integrity of the exams/assessments, including the security of all assessment materials, by ensuring:
  - The location of the 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
  - The relevant awarding body is immediately informed if the security of the 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
- Obtains written approval from the relevant awarding body before permitting a third party to deliver any part of a qualification including assessments.
- Takes all reasonable steps to prevent the occurrence of any malpractice or maladministration before, during and after examinations have taken place. Investigates any irregularities and immediately 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.
- Ensures all policies and procedures are; in place, current and actively referred to, as required by JCQ and the awarding bodies.
- 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).
- 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 (only as last resort) which includes internally assessed components.
- A candidate is being taught and prepared for a qualification which includes internally assessed components by a member of centre staff with a personal connection to the candidate.
- Maintains records that confirm the measures taken/protocols on place to mitigate any potential risk to the integrity of the qualification affected by the above, and where
  - A member of exams office staff have a personal connection to a candidate being entered for exams and assessments at the centre or another centre.
  - A member of centre staff is taking a qualification at the centre (only as a last resort) which does not include internally assessed components.
  - A member of centre staff is taking a qualification at another centre.
- Ensures members of centre staff do not advise parents/candidates to contact awarding bodies/JCQ directly nor provide them with postal addresses/email addresses of awarding body or JCQ personnel.
- Co-operates fully with the JCQ Centre Inspection Service or an awarding body when subject to an inspection, an investigation or an unannounced visit. Complies with all requests for information/documentation made by said inspector as soon as reasonably possible.

### **Exams Officer:**

- Understands the contents of annually updated JCQ publications including:
  - General regulations for approved centres (GR)
  - Instructions for conducting examinations (ICE)
  - Suspected Malpractice – Policies and Procedures (SM)
  - Post-Results services (PRS)
  - A guide to the special consideration process (SC)
- Completes/submits the NCN Registers 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.
- Manages the administration of internal and external *exams*.
- Advises the senior leadership team, HoD/Fs and other relevant staff on exam timetables and procedures as set by the various awarding bodies
- Identifies and manages exam timetable clashes.
- Ensures with HoD/Fs that the necessary NEAs are completed and submitted on time and in accordance with JCQ guidelines.
- Tracks, dispatches, and stores returned coursework / controlled assessments for the appropriate time before returning to HoD/Fs.
- Maintains systems and processes to support the timely entry of candidates for their exams.
- Supports the SENCo in making applications for special consideration following the regulations in the AA JCQ publication and in administering AAs during examinations and assessments.
- Receives, checks and stores securely all exam papers and completed scripts and ensures that scripts are dispatched as per the guidelines.

- Brief 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.
- Trains and deploys a team of internal/external invigilators; appoints Lead invigilators, as required and keeps a record of the content of training provided.
- Works with the SENCo to train and deploy a team of internal/external facilitators and keep records of the content of training provided.
- Arranges for dissemination of exam results and certificates to candidates and completes, in consultation with the SLT, any post results service requests.
- Supports the HoC 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 before the published deadline for entries.

### **Senior Leadership Team (SLT):**

- Are familiar with the contents, refer to and direct 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)
  - A guide to the special consideration process (SC)

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

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

#### Access Arrangements and Reasonable Adjustments (AA)

- Leads on the access arrangements and reasonable adjustments process and is therefore responsible for the timely identification and testing of candidates' requirements to ensure that they are in place for all exams and assessments as laid out in the Access Arrangements Policy.
- 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.
- Processes any necessary applications in order to gain approval (if required) from JCQ and any other awarding bodies (as required) no later than the published deadline.
- Works with the Exams Officer to provide the AAs required by candidates, including Facilitators and appropriate rooming of candidates.
- Presents all required evidence, when requested by a JCQ inspector i.e. evidence of Assessor's qualifications, Candidate's complete AA files

### **Heads of Department/Faculty (HoD/F):**

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

- Ensure teaching staff keep themselves updated with awarding body subject and teacher-specific information and attend relevant awarding body training events to confirm effective delivery of qualifications.
- Guidance and pastoral oversight of candidates who are unsure about exams entries or amendments to entries.
- Accurate completion of entry and all other mark sheets and adherence to deadlines as set by the Exams Officer.
- Accurate completion of NEA mark sheets and declaration sheets.
- Decisions on post-results requests.

#### **Teachers:**

- Undertake key tasks, as detailed in this policy, within the exam process and meet internal deadlines set by the EO and SENCo.
- Supplying information on entries, coursework and controlled assessments as required by the head of department and/or exams officer.
- Flagging to the SENCo Candidates who may need AAs and supplying appropriate information and evidence to support with the testing process.
- Keep updated with awarding body subject and teacher-specific information to confirm effective delivery of qualifications.
- Attend relevant awarding body training and update events.

#### **Lead invigilator/invigilators:**

- Attend/undertake training, updates/briefings and review sessions as required.
- Assisting the Exams Officer in the efficient running of exams according to JCQ regulations.
- Collection of exam papers and other material from the exams office before the start of the exam, where required.
- Assisting with preparation of the exam room for the relevant exam.
- Collection of all exam papers in the correct order at the end of the exam and ensuring their return to the exams office.

#### **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.

#### **IT staff:**

- Support the EO in relevant matters relating to exam IT equipment i.e. Computers, projectors and screens in the exam rooms. Laptops and exam/assessment specific logins.

#### **Candidates:**

- Understanding NEA and other assessment regulations and signing a declaration that authenticates the coursework as their own.

- Ensure they conduct themselves in all exams and NEAs according to the JCQ regulations.
- Ensure they attend a required examinations and assessments, unless genuinely unwell (a Dr's note should be provided)

## Qualifications offered

The qualifications offered at this centre are decided by the *Principal*.

The types of qualifications offered are *GCSE, Technical Award (NCFE), ASDAN and Entry Level Functional Skills*.

## The exam cycle

Internal exams (mocks) and assessments are scheduled termly.

External GCSE exams are scheduled in the summer series only. External assessments (NCFE) are scheduled in November and March.

Internal exams are held under external exam conditions.

The Principal decides which exam series are used in the centre.

## Planning: roles and responsibilities

### Information sharing

#### **Head of Centre**

- Directs relevant centre staff to annually updated JQC publications including GR, ICE, AA, SM, NEA & SC

#### **Exams Officer**

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

### Information gathering

#### **Exams Officer**

- Researches awarding body guidance to identify administrative processes, key tasks, key dates and deadlines for all relevant qualifications.
- Produces an annual Key Dates calendar to ensure all external deadlines can be effectively met.
- Collects information on the internal exams to enable planning and preparation.

### **Head of Department/Faculty**

- Responds (or ensures subject lead/teachers respond) to requests from the EO on information gathering.
- Meets the internal deadlines as set by the EO.
- 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.

### **Access arrangements**

#### **Head of Centre**

- Ensures there is appropriate accommodation for candidates requiring AAs in the centre for all examinations and assessments.
- Ensures a written process is in place (Access Arrangement Assessment Doc) to not only check the qualifications of the appointed assessor, but that the correct procedures are followed as per chapter 7 of the JCQ AA publication.
- Ensures the SENCo is fully supported in effectively implementing AAs and reasonable adjustments once approved.

#### **SENCo**

- Arranges for the assessment of candidates to identify AA requirements.
- Gathers evidence to support the need for AAs for a candidate.
- Informs subject teachers of candidates with special educational needs and any special arrangements or support that individual candidates will need during the course.
- Liaises with teaching staff to gather evidence of normal way of working of an affected candidate.
- Determines candidate eligibility for arrangements/adjustments that are centre-delegated.
- Gather signed Personal data consent, Privacy Notice and Data Protection confirmation forms from candidates who require AAs
- With the support of the EO, 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 (& NCFE) 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 AA candidates

- Ensures staff appointed as Facilitators for AA candidates are appropriately trained and keeps a record of the content of training provided to facilitators for the required period.
- Works with the EO to ensure invigilators fully understand the respective facilitator roles and what is and what is not permissible in the exam room.
- Works with the HoC & EO to arrange appropriate rooming for AA candidates.
- Provides and annually reviews a centre policy on the use of word processors in exams and assessments. Word Processor Policy (exams) is held on the network in <T:\Staff\Exams\2021-22\Charter Policies> and is available at <http://charteracademy.org.uk/>
- Ensures criteria for candidates granted separate or small room invigilation is clear, meets JCQ regulations and best meets the needs of the individual candidates and remaining candidates in the main exam room.

### **SLT, HoD/Fs and Teachers**

- Support the SENCo in determining and implementing appropriate access arrangements.
- Provide a statement and/or evidence of classwork and exams, which details the access arrangement needs and normal way of working for candidates as requested by the SENCo.

### **Internal assessment and endorsements**

#### **Head of Centre**

- Ensures arrangements are in place to co-ordinate and standardise all marking of centre-assessed components and ensures that the candidates' centre-assessed work is produced, authenticated and marked, or assessed and quality assured in accordance with the awarding bodies' instructions.
- Ensures that teaching staff, in accordance with awarding bodies' instructions, return all subject-specific forms by the required date.
- Provides fully qualified teachers to mark non-examination assessments, and/or fully qualified assessors for the verification of centre-assessed components
- Ensures an internal appeals procedure relating to internal assessment decisions is in place for a candidate to appeal against and request a review of the centre's marking.
- Ensures a non-examination assessment (NEA) policy is in place for qualifications which include components of non-examination assessment. NEA Policy is held on the network in <T:\Staff\Exams\2021-22\Charter Policies>
- Ensure 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.

#### **SLT**

- 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.

### **HoD/Fs**

- Ensures teaching staff delivering GCSE specifications, which include an NEA component, follow JCQ's NEA publication and the awarding body's specification.
- 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 assessments are followed.
- Ensure candidates are aware of JCQ and awarding body information for candidates on producing work that is internally assessed (non-examination assessments, social media) prior to assessments taking place.
- Ensure candidates are informed of their centre assessed marks as a candidate may request a review of the centre's marking before marks are submitted to the awarding body.

### **Exams Officer**

- Identifies relevant key dates and administrative processes that need to be followed in relation to internal assessment.
- Signposts HoD/Fs to relevant JCQ information for candidates documents that are annually updated.

### **Invigilation**

Invigilators and facilitators will be used as per JCQ guidance for internal as well and external exams.

External staff may be used as invigilators and facilitators, however the lead invigilator in each room must be a member of Charter Academy staff.

### **Head of Centre**

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

### **Exams Officer**

- Recruits additional invigilators where required to effectively cover all exam periods throughout the academic year.
- Provides training for new invigilators on the instructions for conducting exams and an annual update for the existing invigilation team so that they are aware of any changes.
- Ensures invigilators supervising AA candidates understand their role and the role of each facilitator assigned to a specific candidate according to the rules and regulations of the access arrangement.
- Ensures invigilators are aware of the access arrangement(s) candidates in their room have been awarded. These should be marked on the seating plans as well as the candidate's ID cards.

## **Entries: roles and responsibilities**

### **Estimated entries**

#### **Exams Officer**

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

#### **HoD/Fs**

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

### **Final entries**

Requests from candidates or parents/carers for subject entry, tier change or withdrawal will be assessed by SLT and HoD/F, who will then inform EO of decision. The EO will not take requests directly from candidates or parent/carer.

Charter Academy does not accept entries from private candidates or act as an Exams Centre for other organisations.

#### **Exams Officer**

- Requests final entry information from HoD/Fs in a timely manner to ensure awarding external deadlines are met.
- Informs HoD/Fs deadlines for entry and tier amendments to avoid Very Late and Amendment Fees.
- Confirms with HoD/Fs final entry information that has been submitted to awarding bodies.
- Ensures as far as possible that entry processes minimise the risk of entries being missed or inaccurately submitted.

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

1. Entry list is initially created from class lists as shown on CCR! and entry codes taken from exam board specs as listed on Courses List
  2. Entry list is given to HoD/F to confirm candidates to be entered, tiers and entry codes. HoD/F sign and date to confirm any amendments to be made before returning list to EO.
  3. EO populates Bromcom data sheets from the signed off Entry lists.
  4. Data sheet is given to HoD/F for re-checking and final sign off before returning to EO.
  5. EO submits final entries to the boards via A2C.
- Observes each awarding body's terms and conditions for the entry and withdrawal of candidates for their examinations and assessments.

### **HoD/Fs**

- Provides information requested from the EO by the internal deadline
- Informs the EO immediately, or at latest prior to deadline, of any subsequent changes to final entry information, which includes:
  - Changes to candidate personal details
  - Amendments to existing entries i.e. units or tier changes
  - Withdrawals of existing entries
  - Late entries
- Checks Entry list and subsequent Data sheet provided by the EO and confirms information is correct.
- Obtains written authorisation from a member of SLT for any entries or amendments made after the published deadlines.

### **Exam fees**

- Exam entry fees are paid by the centre, unless otherwise agreed.
- Late entry, Very Late entry and Amendment fees are paid by the centre, unless otherwise agreed.
- Fee reimbursements may be sought from candidates if:
  - They fail to sit an exam
  - They do not meet the necessary NEA requirements, without medical evidence or evidence of other mitigating circumstances, thus making achieving a result impossible.

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

### **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 (e.g. Exam Handbook, individual timetable) is adapted where this may be required for a disabled candidate to access it.
- Allocates appropriately trained facilitators, who fully understand the JCQ requirements and rules of the access arrangements they will be facilitating, for those candidates with AAs agreed.

## **Briefing candidates**

### **Exams Officer**

- Issues individual exam timetable information to candidates and informs candidates of any designated contingency day awarding bodies My identify in the event of national or significant local disruption to exams.
- Prior to exams issues relevant JCQ information for candidates documents (Exam Handbook)
- Issues centre exam information to candidates including information on:
  - Individual timetable clashes
  - Arriving late for an exam
  - Absence or illness during exams
  - Food & drink in exam rooms
  - Unauthorised items in exam rooms
  - Results day
  - Post results services
  - When and how certificates will be issued

## **Dispatch of exam scripts**

### **Exams Officer**

- Identifies and confirms arrangements for the dispatch of candidate exam scripts with the DfE 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 AAs 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.

### **HoD/Fs**

- 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 in order that they can be given to the EO by the required deadline.
- Ensures teaching staff provide required samples of work and/or recordings for in order that they can be given to the EO by the required deadline.

### **Exams Officer**

- Submits marks, endorsement grades and samples to awarding bodies/moderators to meet the external deadline.
- Keeps a record to track what has been sent
- Logs moderated samples returning 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 and updates experienced invigilators on any regulation changes and any changes to centre specific processes.
- Deploys invigilators, effectively and according to the required ratios, to exam rooms throughout exam series.
- Acts as or deploys a roving invigilator for exam rooms where a candidate and invigilator (also acting as a facilitator) are accommodated on a 1:1 basis.
- Liaises with the SENCo regarding the facilitation and invigilation of AA candidates.

## **SEnCo**

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

## **JCQ (or equivalent) inspection visit**

### **Head of Centre**

- Allows all exam rooms, paperwork and secure storage facilities to be open to inspection.

### **Exams Officer or Exams 2nd**

- Will accompany the Inspector throughout the visit.
- Will allow the Inspector to access the secure storage facilities

### **SEnCo or SLT responsible (in the absence of the SENCo)**

- Will meet with the inspector, when requested, to provide documentary evidence regarding AA candidates and address any questions the inspector may raise.

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

### **Exams Officer**

- Provides seating plans for exam rooms according to JCQ requirements, including the identification of AAs for candidates
- Ensures the following procedure is followed to verify candidate identity:

#### **Verifying candidate identity procedure**

- Student ID cards will be put on all exam desks according to the seating plan. The ID card will show an up to date photo of the candidate along with their full legal name and candidate number.
- A register will be taken during line-up by a senior member of staff, using a copy of the seating plan, as a means of calling candidates in to be seated,

verifying identities and providing accurate attendance data to the Attendance Officer.

- Where it is impossible to identify a candidate due to the wearing of religious clothing, such as a veil, the candidate will be taken to a private area by the Lead Invigilator (or SLT if LI is not of the same gender) where they will be asked to remove the religious clothing briefly for accurate identification.
- Once the exam has started the Lead Invigilator in each exam room will also complete a register on a copy of the seating plan and amend as necessary in the event of candidates arriving late or having to leave the exam.

## **Invigilators**

- Follow the procedure for verifying candidate identity.
- Seat candidates in exam rooms according to the seating plan provided by the EO

## **Security of exam materials**

### **Exams Officer**

- Confirms that appropriate arrangements are in place to ensure that confidential materials are only handed over to those authorised by the HoC.
- Ensures access to the secure room is restricted and staff named and approved by the Head of Centre are accompanied by a keyholder at all times. There must be between two and six keyholders only, each of whom must fully understand their responsibilities as a key holder to the secure storage facility.
- Has a process in place to demonstrate the receipt, secure movement and 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 and that appropriate arrangements are in place for confidential materials to be immediately transferred to the secure storage facility (exam safe).
- Ensures the exam safe contains only current and live confidential material.
- Ensures that exam stationary (e.g. answer booklets) are stored in the secure room, if no space in the exam safe.
- 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 the centre until the point materials are issued to either the EO, Exams Second for transferral to the secure storage facility.

## **Teaching Staff**

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

## **Timetabling and rooming**

### **Exams Officer**

- Produces a master centre exam timetable for each external exam series.
- Identifies and resolves candidate exam timetable clashes according to the regulations (Only applying overnight supervision arrangements as a last resort)
- Identifies exam rooms and specialist equipment requirements.
- Allocates invigilators to exam rooms.
- Liaises with site staff to ensure exam rooms are set up according to JQC and awarding body requirements.
- Liaises with SENCo regarding rooming of AA candidates.

### **SENCo**

- Liaises with the EO regarding rooming of AA 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 and maintained throughout exam season 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 AB website where a qualification sits outside the scope of CAP) of any alternative sites that will

be used to conduct timetables examination components of the qualification listed in the JCQ regulations.

### **Centre consortium arrangements**

#### **Exams Officer**

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

#### **HoD/Fs**

- Informs the EO of any joint teaching or assessment arrangements in place and where the centre is acting as the consortium co-ordinator to meet awarding body deadline.

### **Transferred candidate arrangements**

#### **Exams Officer**

- Liaises with the host or entering centre, as required.
- Processes requests for Transferred candidate arrangements through CAP to meet the awarding body deadline.
- Where necessary, informs the candidate of the arrangements that have been made for their transferred candidate arrangements.

### **Mock exams**

#### **Exams Officer**

- Prepares for the conduct of internal exams under external conditions (where applicable)
- Provides seating plans for exam rooms
- Arranges invigilation (where applicable)

#### **SENC<sub>o</sub>**

- Liaises with teaching staff to make appropriate arrangements for AA candidates
- Arranges Facilitators for AA candidates

#### **HoD/Fs**

- Provide exam papers and materials to the EO the day before the scheduled mock exam.
- Support the SENCo in making appropriate arrangements for AA candidates.

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

### **Access arrangements**

#### **Exams Officer**

- Provides cover sheets for AA candidates' scripts where required for particular arrangements.
- Applies for approval through AAO if a situation arises where a candidate needs emergency access arrangements for an exam.

### **Candidate absence**

#### **Candidate absence policy**

If a candidate is absent for an exam:

- On completion of exam breakfast register or afternoon exam register, absentees will receive a phone call home by a HOY or Attendance Officer to establish the reason for absence. Staff will then be deployed where necessary to collect the candidate and escort them to school.
- If the candidate has a legitimate reason for absence: special consideration will be applied for on behalf of the candidate, provided they meet the minimum criteria and supply any relevant evidence as requested by the EO.
- If the candidate does not give a legitimate reason: the candidate will be marked as absent and receive an X for that paper and may be charged the entry fee for those exams missed.

#### **Invigilators**

- Are informed of the candidate absence policy.
- Ensure that candidates confirmed as absent are clearly marked on the seating plan and attendance register.

#### **Candidates**

- Must inform the school as soon as possible if they are unable to sit an exam.
- May be charged the cost of entry for any unauthorised absence from exams.

### **Candidate late arrival**

#### **Exams Officer**

- Ensures that candidates who arrive very late for an exam are reported to the awarding body by submitting a report through CAP to timescale.
- Warns candidates that their script may not be accepted by the awarding body.

### **Invigilators**

- Are informed of the policy for dealing with late or very late candidates.
- Ensure that relevant information is recorded on the exam room log and they are marked 'L' on the seating plan.

### **Candidate late arrival policy**

If a candidate is late to an exam:

- They will be escorted to the exam room by either the EO or SLT and handed over to the Lead Invigilator to seat and start without disturbing other candidates.
- They will be given the full time allowed by the awarding body (AB).

A candidate is considered as 'very late' if they arrive more than 1 hour after the AB's published start time for an exam over 1 hour long or after the AB's published finish time for exams less than 1 hour long.

If a candidate is very late to an exam:

- They will only be allowed to sit the exam if the school is satisfied that they have not had access to their mobile phone or any device with internet access since the AB's published start time for the exam.
- Their script will be sent to the AB/examiner in the normal way.
- A VLA report will be submitted on CAP (within 7 days) detailing; the reason for lateness, their actual start and finish times, and any other relevant information.
- Will be made aware that the AB may or may not accept their script based on the evidence supplied in the VLA report.

### **Conducting exams**

#### **Head of Centre**

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

#### **Exams Officer**

- Ensures exam are conducted according to JCQ and awarding body instruction.

### **Dispatch of exam scripts**

#### **Exams Officer**

- Despatches 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 material in date order in the secure storage facility.
- Attaches erratum notices received to relevant sealed exam question paper packets.
- Collates attendance registers and examiner details in date order.
- Regularly checks mail or email inbox for updates from awarding bodies.
- In order to avoid potential breaches of security, ensures prior to question papers packets being opened that another member of exams staff (SLT responsible, Exams second, or invigilator) checks the day, date, time, subject, unit/component and tier of entry if appropriate, immediately before a question paper packet is opened or placed in the red bag to be opened in the exam room.
- Ensures this additional/second check (which takes place in the secure room if a question paper packet has to be split or in the exam room if not) is recorded.
- Where allowed by the AB, only releases exam papers and materials to HoD/Fs 24 hours after the published time of the exam.

## **Exam rooms**

### **Head of Centre**

- Ensures that on the day of the exam, internal tests, mock exams, revision sessions for the exam candidates will not be held in the designated exam rooms.
- 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.

### **Exam Room Food & Drink Policy**

- No food is permitted in the exam room.
- Water is permitted in clear plastic bottles, with the label removed. No other drinks are allowed in the exam room.

### **Policy on candidates leaving the exam room temporarily**

- If a candidate has to leave the exam room for any reason (i.e. illness, toilet, pre-authorised AAs) during the exam, it is at the discretion of the Lead Invigilator and they must be accompanied by an invigilator at all times.
- The escorting Invigilator must not be the candidate's subject teacher or a subject expert for the examination in question.

- Candidates will not be allowed to go to the toilet in the first or the last 30 minutes of an exam.
- If a toilet break has been authorised by the Lead Invigilator, the candidate will be escorted, in silence, to the nearest toilet. Then returned, in silence, to the exam room.
- Only in rare circumstances (i.e. illness) and at the discretion of the EO or HoC, unless due to a pre-authorised AA, will the candidate be allowed to make up their lost time.

### **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 basis (including the arrangements in place for any transferred candidates and AA candidates)
- Ensures sole invigilators have an appropriate means of summoning assistance i.e. Radios, or mobile phone (on silent) if at an alternative site.
- 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.

### **Head of Centre**

- 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**

The emergency evacuation policy is held on the network in T:\Staff\Exams\2021-22\Charter Policies and is available at <http://charteracademy.org.uk/>

### **Site staff**

- Ensure exam rooms are available and set up and maintained as required 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 ICE and/or awarding body requirements and as instructed by the centre in training 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.
- Are required to attend each exam in correct dress as set out in the school's Uniform Policy.

## **Irregularities**

### **Head of Centre**

- Ensures (as required by 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 in the exam room**

- Where a candidate is being disruptive, the invigilator will warn the candidate that if the behaviour continues they may be removed from the exam room and the awarding body will be informed and may decide to penalise them, which could result in disqualification.
- The Invigilator must record the disruptive behaviour and the warning given on the exam room incident log.
- If the behaviour continues, the Invigilator will contact the EO for next steps.
- The Head of Centre has the authority to remove a candidate from the examination room but should only do so if the candidate would disrupt others by remaining in the room.

### **Senior Leadership**

- 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 Abs as soon as practically possible after exam has taken place.

## **Invigilators**

- Record any incidents or irregularities on the exam room incident log i.e. late/very late arrival, suspected malpractice, candidate illness, candidates needing to leave the exam room temporarily (toilet breaks etc.), disruption or disturbance to the exam, emergency evacuation.

## **Malpractice**

The Head of Centre, in consultation with the SLT responsible, will investigate any suspected malpractice (either by centre staff, candidates, or invigilators)

## **Special consideration**

### **HoD/F**

- Provide signed evidence to support eligible applications for special considerations.

### **Exams Officer**

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

### **Candidates**

- Should a candidate be unable to attend an exam due to illness, bereavement or other trauma or in instances where a candidate feels they have been disadvantaged or disturbed during an exam, then it is the candidate's responsibility to alert the Lead Invigilator, EO or Head of Centre.
- Provide appropriate evidence to support special consideration applications, where required.

## **Unauthorised items**

Candidate personal belongings remain their own responsibility and the centre accepts no liability for their loss or damage.

### **Arrangements for unauthorised items in the exam room**

- Candidates must leave any unauthorised materials in their bags i.e. Watches, revision notes etc.
- All bags and coats are to be left at the front of the exam room on entry.
- Mobile phones must be switched off and placed in the Mobile phone storage boxes before entry to the exam room. Mobile phones **must not** be left in bags or coats.

### **Invigilators**

- Are informed of the arrangements through training.

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

### **Internal assessment**

#### **HoD/Fs**

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

### **Managing results day**

#### **Head of Centre**

- Identify centre staff who will be involved in the main summer results day 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 SLT to ensure procedures for managing the main summer result day are in place.

#### **Site Staff**

- Ensure the centre is open and accessible to centre staff and candidates as required.

### **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.
- Accesses results from awarding bodies under restricted release of results.
- Resolves any missing or incomplete results with Abs.
- Issues statement of results to candidates on issue of results date.
- Provides summaries of results for relevant centre staff on issue of result date.

## **Post-results services**

The cost of centre agreed Post-results services such as Reviews of Results (RoR) and Access to Scripts (ATS) will be paid by the centre.

### **Head of Centre**

- Ensures an internal appeals procedure is available where a candidate disagrees 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 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 increased).

### **Exams Officer**

- Provides information to candidates and staff on the services provided by ABs and the fees charged
- Publishes internal deadlines for requesting the services to ensure the external deadlines can be met.
- Provides a process to record requests for services and to collect candidate informed consent (after the publication of results).
- Submits requests to ABs to meet the relevant external deadline.
- Tracks requests to conclusion and informs candidates and relevant centre staff of outcomes.
- Updates centre results information (MIS), where applicable.

### **HoD/Fs**

- Meet internal deadlines to request the services and gain relevant candidate informed consent. A request for a re-moderation of internally assessed work may be submitted without the consent of the group of candidates.
- Submit request to EO for ATS to support a RoR or to support teaching and learning by the internal deadline.
- Make decisions on whether to make an application for a RoR, in conjunction with Senior Leadership.

### **Candidates**

- Meet internal deadlines to request services and provide informed consent.
- If a candidate's request for a RoR is not supported, the candidate may appeal and the centre will respond by following the process in the Internal Appeals Procedure (IAP) document.

## **Analysis of results**

### **Data 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.

## **Certificates**

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

Where practicable, candidates will be invited to attend an awards evening in November to collect their certificates, which have been collated into presentation files. If the candidate cannot attend this event, they can collect from school after the awards evening or allocate a representative to collect on their behalf by prior arrangement with the EO. When collecting certificates the candidate or allocated representative must show a valid form of identification. In extreme circumstances only and with prior authorisation will certificates be posted to candidates.

Alternativity, if it is not deemed safe to hold an awards evening due to the need to restrict access to site, all certificate presentation files will be posted out to candidates' home address. Messages will be sent home prior to dispatch to confirm postal addresses.

Any unclaimed certificates will be retained in the centre for 5 years, at which point they will be logged and destroyed.

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

### **Exams Officer**

- Keeps records as required by JCQ and ABs for the required period.
- Keeps records as required by the centre's records management policy.