



SIR  
JAMES  
SMITH'S  
SCHOOL

Our young people invest in their futures

# EXAMINATIONS POLICY

**March 2026**

## Contents

Purpose of the policy .....	4
Roles and responsibilities overview .....	5
Recruitment, selection and training of staff .....	5
External and Internal governance arrangements .....	6
Delivery of qualifications .....	6
Public liability .....	6
Equalities Policy .....	6
Complaints and Appeals Procedure (Exams) .....	6
Child Protection/Safeguarding Policy .....	6
Data Protection Policy .....	6
Access Arrangements Policy .....	7
Security of assessment materials .....	7
Malpractice Policy (Exams) .....	9
Exam Contingency Plan .....	9
Internal Appeals Procedures .....	9
Conflicts of interest .....	9
Centre inspections .....	9
The exam cycle .....	12
Planning: roles and responsibilities .....	12
Information sharing .....	12
Information gathering .....	12
Access arrangements .....	12
Internal assessment and endorsements .....	13
Controlled assessments, coursework, and non-examination assessments .....	13
Invigilation .....	14
Entries: roles and responsibilities .....	16
Estimated entries .....	16
Final entries .....	16
Entry fees .....	16
Late entries .....	16
Re-sit entries .....	17
Private candidates .....	17
Candidate statements of entry .....	17
Pre-exams: roles and responsibilities .....	18
Access arrangements .....	18
Briefing candidates .....	18
Dispatch of exam scripts .....	19
Internal assessment and endorsements .....	19
Invigilation .....	20
JCQ Centre Inspections .....	20
Seating and identifying candidates in exam rooms .....	20

Security of exam materials .....	21
Timetabling and rooming .....	22
Alternative site arrangements .....	23
Transferred candidate arrangements .....	23
Exam time: roles and responsibilities .....	24
Access arrangements .....	24
Candidate absence .....	24
Candidate behaviour .....	24
Candidate belongings.....	24
Candidate late arrival.....	24
Conducting exams .....	25
Dispatch of exam scripts .....	25
Exam papers and materials .....	25
Exam rooms .....	26
Identifying Candidates.....	27
Irregularities .....	28
Malpractice .....	29
Special consideration.....	29
Unauthorised items .....	29
Internal exams (PPEs).....	30
Results and post-results: roles and responsibilities.....	31
Internal assessment.....	31
Managing results day(s).....	31
Accessing results .....	31
Post-results services.....	32
Analysis of results .....	32
Certificates.....	32
Exams review: roles and responsibilities.....	34
Retention of records: roles and responsibilities .....	34
Appendix 1 - Escalation Process .....	35
Appendix 2 - Internal Appeals Procedure .....	39
Appendix 3 - Equalities Policy .....	43
Appendix 4 - Complaints and Appeals (Exams) .....	49
Appendix 5 - Word Processor Policy.....	51
Appendix 6 – Emergency Evacuation Policy .....	53
Appendix 7 – Exams Archiving Policy.....	57
Appendix 8 – special consideration .....	59
Appendix 9 – Recognition of prior learning.....	63
Appendix 10 – MALPRACTICE AND MALADMINISTRATION .....	65

## Purpose of the policy

Sir James Smith's School is committed to ensuring that the exams management and administration process is run effectively and efficiently and in compliance with the published JCQ regulations and awarding body requirements.

This exam policy will ensure that:

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

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

This policy will be communicated to all relevant centre staff.

# Roles and responsibilities overview

## Head of Centre

### **Understands the contents, refers to:**

- 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.
- Ensures that relevant members of staff respond promptly to actions raised by the JCQ Centre Inspection Service, understanding that failure to do so could result in penalties.
- Ensures that the centre promptly reports any incidents to the relevant awarding body/bodies which might compromise any aspect of assessment delivery such as a cyber-attack.
- Ensures other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials are briefed on the requirements for maintaining the integrity and confidentiality of the exam materials.
- Ensures members of centre staff do not forward emails and letters from awarding body or JCQ personnel without prior consent to third parties or upload such correspondence onto social media sites and applications.
- Ensures members of centre staff do not advise parents/candidates to contact awarding bodies/JCQ directly nor provide them with addresses/email addresses of awarding body examining/assessment personnel or JCQ personnel.
- Has the authority to deploy the necessary resources to ensure that the centre is always compliant in meeting those published JCQ regulations and awarding body requirements.

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

- Retains a workforce of an appropriate size and competence, including sufficient managerial and other resource, to undertake the delivery of the qualification as required by an awarding body. This includes taking reasonable steps to ensure occupational competence where this is required for the assessment of specific qualifications.
- Provides fully qualified teachers to mark non-examination assessments, and/or fully qualified assessors for the verification of centre-assessed components.
- Enables the relevant senior leader(s), the examinations officer (EO) and the 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.
- Ensures that the SENCo has sufficient time to both manage the access arrangements process within the centre and familiarise themselves with the JCQ publication *Access Arrangements and Reasonable Adjustments*.
- Ensures that the examinations officer is line managed and actively supported by a member of the senior leadership team who has a good working knowledge of the examination system.

- Ensures that the examinations officer has sufficient time to perform their role and familiarise themselves with relevant awarding body and JCQ documentation.

#### **External and Internal governance arrangements**

- Has in place a written escalation process should the head of centre be absent. This is at **Appendix 1**
- Has in place a member of the senior leadership team who will provide support and supervision of the examinations officer to ensure that the integrity and security of examinations and assessments is maintained throughout an examination series.
- Can confirm to an awarding body the external governance arrangements so that the awarding body has confidence in the integrity of centre activities such as the delivery of qualifications and the conducting of examinations and assessments.
- Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the EO.
- Makes sure that a teacher, a teaching assistant, a tutor, or a senior member of centre staff who teaches the subject being examined, or a Learning Support Assistant who has supported one or more candidates is not an invigilator during 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 that the centre is adequately covered for public liability claims.

#### **Equalities Policy**

- In addition to the Academy's Equality Policy, this centre recognises its duties towards disabled candidates, including private candidates, as defined under the terms of the Equality Act 2010, and its duty to explore and provide access to suitable courses, through the access arrangements process submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates. A full Equalities Policy is at **Appendix 3**.

#### **Complaints and Appeals Procedure (Exams)**

- 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. This is at **Appendix 4**.

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

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

#### **Data Protection Policy**

- Ensures the centre has a data protection policy in place that complies with General Data Protection Regulation and Data Protection Act 2018 regulations.
- Ensures the centre has documented processes in place relating to access arrangements and reasonable adjustments.

## **Access Arrangements Policy**

- Ensures the SENCo will schedule the timely screening of candidates, by an appropriately qualified assessor, for exam access arrangements, to allow for appropriate support to become their 'normal way of working'.
- The qualifications of the assessor will be kept on record and produced on request during centre inspections.
- Procedures will be followed as per the guidance in JCQ's publication Access Arrangements and Reasonable Adjustments.

## **Exams officer**

- Understands the contents of annually updated JCQ publications and directs relevant centre staff to 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 by the end of October each year:
  - Confirms the details or informs the awarding bodies of any changes to the centre's contact details through the National Centre Number Register.
  - Informs the National Centre Number Register Team immediately ([ncn@ocr.org.uk](mailto:ncn@ocr.org.uk)) if any changes occur after the National Centre Number Register annual update has taken place.
- Is familiar with the contents of annually updated information from awarding bodies on administrative procedures, key tasks, key dates, and deadlines.
- Ensures key tasks are undertaken and key dates and deadlines met.
- Recruits, trains, and deploys a team of internal/external invigilators; appoints lead invigilators, as required, and keeps a record of the content of training provided to invigilators for the required period.
- Works with the SENCo to ensure invigilators supervising access arrangement candidates and those acting as a facilitator supporting access arrangement candidates fully understand the respective role and what is and what is not permissible in the exam room.
- Supports the head of centre in ensuring that awarding bodies are informed 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.
- 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.
- Makes correct and timely applications for centre approval to the exam boards when planning to deliver new qualifications.

## **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 which must only be used for the purpose of administering secure examination materials.
  - The secure room only contains exam-related material.
  - There are between two and six keyholders only, each keyholder must fully understand their responsibilities as a key holder to the secure storage facility.

- appropriate arrangements are in place to ensure that confidential examination materials are only handed over to authorised members of centre staff.
- appropriate arrangements are in place for handling secure electronic materials.
- access to the secure room and secure storage facility is restricted to the authorised two to six keyholders (the exams officer must be one of the keyholders) and staff approved by the head of centre are accompanied by a keyholder at all times).
- 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.
- that when it is permitted to remove question paper packets from secure storage, and to avoid potential breaches of security, arrangements are in place to carefully check and record that the correct question paper packets are opened. (If it is ever subsequently identified following this check that the wrong question paper packet has been opened, it will be resealed, and the incident reported to the relevant awarding body's Malpractice Investigation Team immediately)
- Makes arrangements to receive, check and store question papers and examination material safely and securely at all times and for as long as required in accordance with the current JCQ publication Instructions for conducting examinations.
- Makes arrangements to receive and issue material received from the awarding bodies to staff and candidates and notify them of any advice and instructions relevant to the examinations and assessments.
- Allows candidates access to relevant pre-release materials on, or as soon as possible after, the date specified by the awarding bodies.
- 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 any person involved in administering, teaching or completing examinations/assessments is advised that where malpractice is suspected, or alleged, personal data about them will be provided to the awarding body or bodies whose examinations/assessments are involved. Personal data about them may also be shared with other awarding bodies, the qualifications regulator or professional bodies in accordance with the HCQ publication *Suspected Malpractice – Policies and Procedures*.
- 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.
- As required by an awarding body, ensures evidence of any instances of alleged or suspected malpractice (which includes maladministration) is gathered in accordance with the JCQ publication *Suspected Malpractice- Policies and Procedures* and provides such information and advice as the awarding body may reasonably require.

## Malpractice Policy (Exams)

Our Malpractice Policy is set out in **Appendix 10**.

### Exam Contingency Plan

- The Exam Contingency Plan for the academic year is a separate policy. A 'step by step' version for running exams on exam days is available to staff and under constant review.
- Ensures keyholders know where to locate the Exam Contingency Plan.
- Ensures required internal appeals procedures are in place and drawn to the attention of candidates and (where relevant) their parents/carers.

### Internal Appeals Procedures

- In line with JCQ's regulations the centre has a written internal appeals procedure relating to internal assessment decisions and disputes when a candidate disagrees with a centre decision not to support a clerical re-check of a review of marking, a review of moderation or an appeal. This is at **Appendix 2**.
- 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.

### Conflicts of interest

- Ensures the relevant awarding bodies are informed before the published deadline for entries for each examination series of any potential **Conflict of Interest** where:
  - a member of centre staff is taking a qualification at the centre which includes internally assessed components/units (noting that being entered by the centre must be as a last resort where unable to find an alternative centre)
  - a candidate is being taught and prepared for a qualification which includes internally assessed components/units by a member of centre staff with a personal connection to the candidate
  - a member of centre staff is taking a qualification at another centre.
- 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.

### 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.

### **Senior leaders**

- 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
- 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.
- Ensure teaching staff keep themselves updated with awarding body subject and teacher-specific information to confirm effective delivery of qualifications.
- Ensure teaching staff attend relevant awarding body training and update events.

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

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

### **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**

- Understand the contents and refer to annually updated JCQ publications including:
  - Instructions for Conducting Examinations
- Attend/undertake training (on the current regulations), annual update, briefing and review sessions as required.
- Provide information as requested on their availability to invigilate.
- Sign a confidentiality and security agreement and confirm whether they have any current maladministration/malpractice sanctions applied to them.

### **Reception staff**

- Support the EO in the receipt and dispatch of confidential exam materials and follow the requirements for maintaining the integrity and confidentiality of the exam materials at the point of delivery/collection.

**Site staff**

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

# The Exam Cycle

The exams management and administration process that needs to be undertaken for each **exam series** is 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](#), [NEA](#) (and the instructions for conducting coursework) and [SC](#).

#### **Exams officer**

- Signposts relevant centre staff to JCQ publications and awarding body documentation relating to the exams process that have 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.
- Research 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)

#### **Senior leaders**

- Respond (or ensure teaching staff respond) to requests from the EO on information gathering.
- Meet the internal deadline for the return of information.
- Inform 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.
- Note the internal deadlines in the annual exams plan and directs teaching staff to meet these.

### **Access arrangements**

#### **Head of Centre**

- Ensures there is appropriate accommodation for candidates requiring access arrangements in the centre for all examinations and assessments.

- Ensures a written process is in place to not only check the qualification(s) of the appointed assessor(s) but that the correct procedures are followed as per Chapter 7 of the JCQ publication [Access Arrangements and Reasonable Adjustments](#).
- Ensures the 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 forms from candidates where required and ensures Data Protection confirmation by the SENCo are completed.
- Applies for approval through Access Arrangements Online (AAO) via the Centre Admin Portal (CAP), where required or through the awarding body where qualifications sit outside the scope of AAO.
- Keeps a file for each candidate for JCQ inspection purposes containing all the required documentation (if documentation is stored electronically, an e-folder must be created for each individual candidate. The candidate's e-folder must hold each of the required documents for inspection).
- Employs good practice in relation to the Equality Act 2010.
- Liaises with the EO regarding exam time arrangements for access arrangement candidates.
- Works with the EO to ensure invigilators and those acting as a facilitator fully understand the respective role and what is and what is not permissible in the exam room.
- Provides and annually reviews a centre policy on the **use of word processors** in exams and assessments. This is at **Appendix 5**.
- Ensures criteria for candidates granted **alternative rooming arrangements** is clear, meets JCQ regulations and best meets the needs of individual candidates and remaining candidates in main exam rooms:
  - Alternative rooming arrangements reflects the candidate's normal way of working in internal school tests and PPE examinations as a consequence of a long-term medical condition or long term social, mental or emotional needs (i.e., has an established and documented difficulty); or
  - Alternative rooming is required to accommodate an access arrangement (arranged or emergency) such as scribing, which would otherwise disturb the other candidates; and
  - The proposed access arrangement does not disadvantage or advantage the candidate.

#### **Senior Leaders, Teaching staff**

- Support the SENCo in determining and implementing appropriate access arrangements.
- Provide a statement for inspection purposes which details the criteria the centre uses to award and allocate word processors for examinations.

#### **Internal assessment and endorsements**

##### **Head of Centre**

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

- Ensures appropriate controls are in place which will allow accurate data to be submitted to the awarding bodies, e.g. internally assessed marks.
- 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 to appeal against and request a review of the centre's marking (see Roles and responsibilities overview). This is at **Appendix 2**.
- Ensures a **non-examination assessment policy** is in place for GCE and GCSE qualifications which include components of non-examination assessment (For CCEA GCSE centres this would be a controlled assessment policy).
- Ensures any irregularities relating to the production of work by candidates are investigated and dealt with internally if discovered prior to a candidate signing the authentication statement (where required) or reported to the awarding body if a candidate has signed the authentication statement.

### Senior Leaders

- Ensure teaching staff have the necessary and appropriate knowledge, understanding, skills, and training to set tasks, conduct task taking, and to assess, mark and authenticate candidates' work (including where relevant, private candidates).
- Ensure appropriate internal moderation, standardisation and verification processes are in place.
- Ensure teaching staff delivering AQA Applied General qualifications, OCR Cambridge Nationals, Entry Level Certificate or Project qualifications (and CCEA GCE unitised AS and A-level qualifications follow JCQ [Instructions for conducting coursework](#) and the specification provided by the awarding body.
- Ensure teaching staff delivering reformed 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, ensure teaching staff follow appropriate instructions issued by the awarding body.
- Ensure teaching staff inform candidates of their centre assessed marks as a candidate may request a review of the centre's marking before marks are submitted to the awarding body.

### Teaching staff

- Ensure appropriate instructions for conducting internal 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 (and not taking on its own an assurance from a recruitment agency, that this is the case).
- 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**

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

# Entries: roles and responsibilities

## Estimated entries

### Exams Officer

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

### Senior Leaders

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

## Final entries

### Exams Officer

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

### Senior Leaders

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

## Entry fees

- Exam fees will be charged to a common exam budget.
- Amendments or new entries that will incur a penalty charge will be confirmed with SLT first.

## Late Entries

### Exams Officer

- Has clear entry procedures in place to minimise the risk of late entries.
- Informs charges or other penalty fees to SLT before incurring those fees.

### Senior Leaders

- Minimise 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**

- Re-sits may be accommodated:
  - in the event of significant disruption to exams due to circumstances outside the control of the student and/or
  - where the school is at fault and has disadvantaged the candidate and, in either of these cases,
  - where the candidate has not completed the minimum amount of the qualification and satisfied the conditions for 'special consideration'

## **Exams officer**

- Liaises with SLT on costs and resources required.
- Liaises with exam boards for entry into next available exam series.
- Ensures candidates receive information, timetables and guidance in a timely manner, and that candidates also give relevant information to the exams officer in a timely manner which avoids incurring penalty fees.

## **SENCo**

- Ensures that supporting evidence for access arrangements remain valid and that exam board approved applications are made via AAO for a further two years.

## **Private candidates**

- The school does not accept private candidates.

## **Candidate statements of entry**

### **Exams officer**

- Provides candidates with statements of entry for checking.

### **Teaching staff**

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

### **Candidates**

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

# Pre-exams: roles and responsibilities

## Access arrangements

### SENDCo

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

- Ensures appropriately trained external invigilators are appointed to students with exam concessions.
- Ensures external invigilators are briefed on the specific requirements of the candidate.

## 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
  - items prohibited in exam rooms
  - when and how results will be issued and the staff that will be available
  - the post-results services information and how the centre will deal with requests from candidates
  - when and how certificates will be issued

- Ensures candidates are informed of the arrangements for post-results services (access to scripts, reviews of results and appeals procedures), including:
  - How they request a service:
    - A post-result form will accompany candidate results on Results Day. This will include fees.
    - This can be handed to the Exams officer on the same day or posted later (and before the deadline).
  - When they will be informed of the services that will be made available by the awarding bodies, deadlines that must be met, and under what circumstances fees would need to be met:
    - This will be communicated to candidates before their exams begin, as part of a larger pack of exam related information.
  - How they are informed of the outcome of their request:
    - Candidates will be asked to supply a contact address which can be either postal or email. The Exams officer will inform them of the outcome by their preferred method of communication.
- Where the school advises a candidate to request a post-result service, the fee will be paid by the school. Otherwise, the cost will be met by the candidate before the application is made by the Exams officer.

### **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**

KS4 PPE examinations are run under full JCQ conditions as far as is reasonably practicable. The JCQ Information for Candidates and Unauthorised Items posters are applied, invigilation mirrors external exams, and any suspected malpractice is handled in line with the Malpractice policy. This prepares candidates for the summer series and ensures normal way of working is evidenced for access arrangements.

#### **Head of Centre**

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

#### **SENDCo/Exams officer**

- Liaises with teaching staff to implement appropriate access arrangements for candidates undertaking internal assessments and practical endorsements.

#### **Teaching Staff**

- Support the SENCo in implementing appropriate access arrangements for candidates undertaking internal assessments and practical endorsements.
- Assess and authenticate candidates' work.
- Assess endorsed components.
- Ensure candidates are informed of centre assessed marks prior to marks being submitted to awarding bodies.

#### **Senior Leaders**

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

- Ensure teaching staff provide marks for internally assessed components and grades for endorsements of qualifications to the EO to the internal deadline.
- Ensure 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 secure retention and subsequent disposal of candidates' work.

#### **Candidates**

- Authenticate their work as required by the awarding body.

#### **Invigilation**

##### **Exams Officer**

- Trains new invigilators on appointment and updates experienced invigilators on any regulation 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 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 or Senior leader** (in the absence of the Exams officer):

- Will accompany the Inspector throughout a visit.
- Ensures that information is readily available for inspection.

##### **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**

##### **Senior Leaders**

- Ensures a procedure is in place to verify candidate identity:
  - Candidates are lined up in the main hall immediately prior to the exam in registration groups or option classes.

- Members of staff take a register and raise any concerns or queries at this time as to the identify of candidates.
- Candidates are then escorted to exam rooms under the supervision of staff and invigilators.

### **Exams Officer**

- Ensures a procedure is in place to verify candidate identity including private candidates:
  - Photographs of internal candidates are held in the invigilator folder in each exam room, along with names and exam numbers.
  - External candidates are required to bring photo ID with them to show to the lead invigilator before entering the exam room.
  - Where it is impossible to identify a candidate due to the wearing of religious clothing, such as a veil, the candidate should be approached by a member of staff of the same gender and taken to a private room where they should be politely asked to remove enough of the religious clothing to enable identification. The candidate can then replace their clothing and proceed as normal to sit the examination.
- Ensures invigilators are aware of the procedures outlined above.
- 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.
- Ensures access to the secure room is restricted and staff approved by the head of centre are accompanied by a keyholder at all times. There must be between two and six keyholders only (the exams officer must be one of the keyholders), each keyholder must fully understand their responsibilities as a keyholder to the secure storage facility.
- Has a process in place to demonstrate the receipt, secure movement, and secure storage of confidential exam materials within the centre.
- Ensures a log is kept at the initial point of delivery recording confidential materials received and signed for by authorised staff within the centre and that appropriate arrangements are in place for confidential materials to be immediately transferred to the secure storage facility until they can be removed from the dispatch packaging and checked in the secure room before being returned to the secure storage facility in timetable order.
- Carefully checks question paper packets when they are removed from the dispatch packing and keeps a log of the check.
- Ensures the secure storage facility contains only current and live confidential material (ensuring that past examination question papers, internal tests and PPE examinations are not kept in the centre's secure storage facility).
- Ensures that examination stationery, e.g., answer booklets and formula booklets are stored in the secure room (attempting to store this material in the secure storage facility, when sufficient space allows).

- Ensures the integrity and security of any electronic question paper is maintained during the downloading, printing, and collating process (ensuring printing is carried out in a secure environment to prevent unauthorised personnel accessing live assessment materials and ensuring only authorised members of centre staff have access to electronic question papers).
- At least two and no more than six members of centre staff should be authorised to handle secure electronic materials, one of whom must be the exams officer (for AQA examinations, one member of centre staff can be authorised to handle secure electronic material). Other members of centre staff may assist with printing and collation provided they are under supervision.

#### **Reception staff**

- Follow the process to log confidential materials delivered to/received by the centre to the point materials are issued to authorised staff for transferal to the secure storage facility.

#### **Teaching staff**

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

#### **Timetabling and rooming**

##### **Exams Officer**

- Produces a master centre exam timetable for each exam series.
- Identifies and resolves candidate exam timetable clashes according to the regulations (only applying overnight supervision arrangements as a last resort, once all other options have been exhausted and according to the centre's policy).
- Where the Head of Centre is satisfied that a candidate must take an examination on the following morning of an exam, and all other options have been exhausted, the Exams officer will:
  - Inform the candidate and parents of the overnight supervision arrangement to ensure that the candidate:
    - does not have advance warning of the content of the examination being deferred to the following morning;
    - does not meet or communicate with anyone who may have knowledge of the content. This includes any form of electronic communication/storage device, e.g., telephone (both landline and mobile), e-mail, internet, and social media, as well as television and radio.
- Completes the JCQ Overnight Supervision form online via the Centre Admin Portal (CAP) and ensuring it is signed by the candidate, the supervisor, and the head of centre.
- 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 have 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.

**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.
- Liaises with SENCo staff to make appropriate arrangements for access arrangement candidates.

**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

### Invigilators

- Complete the attendance register once the exam has begun and contact the Exams officer with a list of any absent candidates.

### Exams officer

- Prior to exams starting, inform candidates of the procedure to follow if they are unable to attend an exam or are too ill to attend an exam.
- Contact absent candidates, who have not contacted the school, via the contact details held by school.
- Liaise with school staff to arrange transport for candidate if necessary.
- Once the candidate has arrived, ensure that the rules for exam sessions and timings are adhered to.
- If the candidate arrives after the exam session (after 10.00am for a morning exam and after 2.30pm for an afternoon exam) the candidate will not be admitted to the exam.
- Absent candidates will be marked as 'absent' on the exam attendance register.
- Make application for 'special consideration' where a candidate has been unable to attend an exam due to circumstances beyond their control, along with supporting evidence from the candidate.

### Invigilators

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

## Candidates

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

## Candidate behaviour

See *Irregularities* below.

## Candidate belongings

See *Unauthorised items* below.

## Candidate late arrival

### Exams officer

- Candidates are 'very late' for an exam if they arrive after 10.00am for a morning exam and after 2.30pm for an afternoon exam.
- Ensures that candidates who arrive very late for an exam are reported to the awarding body by submitting a report on candidate admitted very late to examination room through CAP to timescale.
- Warns candidates that their script may not be accepted by the awarding body.

- Prior to exams starting, inform candidates of the procedure to follow if they are running late to an exam.
  - Inform candidates, prior to exams starting, of the consequences of being late to an exam: possible non-admittance to exam if resources do not allow for them to sit the full duration;
  - The exam board may not accept their exam script.
- Candidates must contact the school reception if they are unable to arrive to an exam on time.
- Contact absent candidates, who have not contacted the school, via the contact details held by school.
- Liaise with school staff to arrange transport for candidate if necessary.
- Late candidates must report to main reception before going to the exam room. The Exams officer will escort them to the exam room once they have given an account for being late.
- Candidate will be allowed the full duration of the exam, along with relevant access arrangements, only if resources allow for the whole exam to run in an appropriate setting.
- The candidate may be taken to a different exam room to that timetabled, to ensure uninterrupted supervision of their exam.
- Make application for 'special consideration' where a candidate has been disadvantaged in their exam, along with supporting evidence from the candidate.

### **Invigilators**

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

### **Conducting exams**

#### **Head of Centre**

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

#### **Exams Officer**

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

### **Dispatch of exam scripts**

#### **Exams Officer**

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

### **Exam papers and materials**

#### **Exams Officer**

- Organises exam question papers and associated confidential resources in date order in the secure storage facility.
- Attaches erratum notices received to relevant 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 requesting 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 on the 'second pair of eyes' form, within the exams cupboard.

- Ensures that where question paper packets are opened prior to an exam (to allocate papers to different exam rooms), that this is done within the exam cupboard and that loose papers/opened packets are securely resealed in envelopes before leaving the exams cupboard.
- 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, PPE exams, revision, or coaching sessions are not conducted in a room 'designated' as an exam room (i.e., for the duration that an invigilator is in the room from setting up to closing down).
- 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 on candidates leaving the exam room temporarily is clearly communicated to candidates:
  - Candidates are allowed to temporarily leave the room for comfort breaks under the supervision of a member of centre staff. This time will not be added to the duration of the exam.
  - Candidates will be compensated for leaving the room where it is necessary to attend to a medical matter (either pre-agreed or emergency), under the supervision of a member of centre staff.
  - Where a medical emergency has resulted in a candidate having to leave the room temporarily, an application for 'special consideration' will be made by the exams officer.
  - Where a candidate is causing a disturbance, the invigilator will request support from the Exams officer to remove the candidate from the examination room. If appropriate, the candidate may return to complete the exam. This time will not be compensated. An incident log will be completed by the invigilator and a report of malpractice will be sent to the exam board by the Exams officer. This may result in the candidate being disqualified.
  - All incidents of candidates temporarily leaving the room will be recorded by the invigilator on the seating plan including time the candidate left and re-entered the room and will complete an incident log if necessary.
- Ensures the centre's policy on candidates leaving the exam room prematurely and not returning is clearly communicated to candidates:
  - Candidates must be kept under exam conditions and staff supervision whilst they are outside the exam room until 10:00am for morning exams and 2:30pm for afternoon exams to avoid breaching exam board regulations.
- Ensures the centre's policy relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates:
  - Food and drink may be allowed in the examination room at the discretion of the head of centre (e.g., for medical reasons). This is on the condition that any food or drink brought into the examination room, whether by the candidate or the centre, is free from packaging and all labels are removed, and must be agreed with the head of centre prior to the exam.
  - Plain water in clear bottles is allowed in the examination room. All labels must be removed. Water is also available within the examination room and candidates can ask invigilators for water.
  - Water bottles with excessively wide or deep lids are discouraged and will be checked by an invigilator if brought into the exam room.

## **Exams Officer**

- Ensures exam rooms are set up and conducted as required in the regulations.
- Provides invigilators with appropriate resources to effectively conduct exams.
- Briefs invigilators on exams to be conducted on a session-by-session basis (including the arrangements in place for any transferred candidates and access arrangement candidates).
- Ensures sole invigilators have an appropriate means of summoning assistance (if this is a mobile phone, instructs the invigilator that the mobile phone is only allowed to be used for this specific purpose and that it must be kept on silent mode).
- Ensures invigilators understand they must be vigilant and remain aware of incidents or emerging situations, looking out for malpractice or candidates who may be in distress, recording any incidents or issues on the exam room incident log.
- Ensures invigilators understand how to deal with candidates who may need to leave the exam room temporarily and how this should be recorded on the exam room incident log.
- Provides authorised exam materials which candidates are not expected to provide themselves.
- Ensures invigilators and candidates are aware of the emergency evacuation procedure.
- Ensures invigilators are aware of arrangements in place for a candidate with a disability who may need assistance if an exam room is evacuated.

## **Senior Leaders**

- Ensure a documented **emergency evacuation procedure** for exam rooms is in place. This is at **Appendix 6**.
- Ensure arrangements are in place for a candidate with a disability who may need assistance if an exam room is evacuated.

## **Site staff**

- Ensure exam rooms are available and set up as requested by the 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 by the centre in training/update and briefing sessions.

## **Candidates**

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

## **Identifying Candidates**

### **Head of centre**

- Ensures there is a procedure in place for the identification of exam candidates for each scheduled exam taking place.

### **Senior Leaders**

- Oversee the procedure in place for the identification of exam candidates for each scheduled exam taking place.
- Liaise with EO to ensure the procedure is fit for purpose and amended/updated accordingly.

## Exams Officer

- Actions the procedure for the identification of exam candidates for each scheduled exam taking place:
  - Provides written instructions to staff for the lining up procedure
  - Provides class lists for pre-exam registration
  - Ensures that the lining up procedure is documented in the Safeguarding Plan and staff are notified of their roles and responsibilities
  - Candidates are registered by school staff just before the exam starts and are immediately called forward to their exam rooms once registration is complete.

## Invigilators

- Supervise the candidates from registration to the exam room in the order of the seating plan.

## 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.
- Has authority to remove a candidate from the examination room if the candidate would disrupt others by remaining in the room.

### Senior leaders

- Educate students of the meaning of malpractice and consequences via assemblies and directed tutor time.
- Provide a process for preparing students to settle immediately before entering their exam room.
- 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.

### Teaching staff

- Are aware of their awarding body's guidance on malpractice and the correct centre/student declarations that must be submitted to the awarding bodies.
- Are particularly aware of the opportunities for misuse of AI in assessments and communicate to students the consequences of inappropriate AI use to learners.

### Exams officer

- Communicates with parents and students the exam warning posters and specific messages about inappropriate use of AI and consequences of malpractice – via noticeboards and messages home.
- Provides a process for allowing students to hand in unauthorised items before entering exam.
- Ensures the 'Invigilator Announcement' is consistently read prior to each exam.
- Uses PPE examinations to reinforce the understanding of malpractice and consequences, and the opportunity to practise good habits in preparation for the summer exams.
- 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 incident has taken place/been reported.

## **Invigilators**

- Record any incidents or irregularities on the exam room incident log (for example, late/very late arrival, candidate, or centre staff suspected malpractice, candidate illness or needing to leave the exam room temporarily, disruption or disturbance in the exam room, emergency evacuation).
- Will warn a disruptive candidate that he/she may be removed from the examination room and that the awarding body will be informed and may decide to penalise them and could include disqualification.

## **Malpractice**

See *Irregularities* above.

## **Special consideration**

### **Exams Officer**

- Processes eligible applications for special consideration to awarding bodies.
- Ensures special consideration is applied for in the following circumstances:
  - Where a candidate provides evidence of illness resulting in them being absent from an exam;
  - Where a candidate provides evidence of a recent incident or situation that disadvantages them in an exam (and that meets the JCQ criteria for making an application);
  - Where an exam is significantly disrupted, and other avenues of compensation are exhausted (e.g., extra time added to exam duration);
  - Where an exam is unable to run to timetable due to circumstances outside the control of the candidates (e.g., local/national event).
- 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**

- In the examination room candidates must not have access to items other than those stated in the instructions on the question paper, the stationery list, or the specification for that subject.
- Potential technological/web enabled sources of information such as watches and mobile phones are not permitted in the examination room. This information is displayed on the 'unauthorised items' poster outside each exam room.
- Candidate belongings not allowed in the exam must be left outside the exam room.
- Pencil cases taken into the exam room must be clear and see-through.
- Unauthorised items taken into the exam room will be placed out of reach of the candidates before the examination starts. Mobile phones and watches that have been taken into the exam room will be placed inside a named envelope and left with LRC staff for the candidate to collect after the exam.
- Candidates will be informed before the start of the examination that being in possession of unauthorised item/s will be considered as malpractice and subject to penalties in accordance with the JCQ publication *Suspected Malpractice in Examinations and Assessments: Policies and Procedures*.
- Where candidates are found to be in possession of any unauthorised items once the exam has started, the invigilator will ask the candidate to hand the item to them. The candidate will continue with their

exam as timetabled, and their script will be sent with the rest of the cohort. The invigilator will complete an incident log and the Exams officer will make a full report to the awarding body (malpractice report).

- The candidate involved in malpractice will be offered the opportunity to write a supporting statement to be included in the malpractice report to the exams board. This must be completed as soon as possible after the exam.
- The Exams officer will inform the candidate and family of the incident and explain that a report of malpractice will be sent to the awarding body. The Exams officer will inform the candidate of the awarding body's decision as soon as it is received by the school. The Exams Officer will implement any decisions made by the awarding body as necessary.

#### **Invigilators**

- Are informed of the arrangements outlined above through training.
- Are responsible for recording any incidents on the Incident log as near to the time of the incident as possible.

#### **Internal exams (PPEs)**

##### **Exams Officer**

- Briefs invigilators on conducting internal exams.
- Builds a PPE timetable based on information supplied by Subject Leads and Senior leaders.
- Organises appropriate rooms with regard to supporting students with access arrangements, in addition to the use of the main hall.
- Co-ordinates papers from Subject Leads along with instructions and additional resources.
- Returns candidate scripts to teaching staff for marking.

##### **Subject Leaders**

- Supplies the EO with PPE exam papers with timings, additional resources and instructions.

##### **Invigilators**

- Conduct internal exams as briefed by the EO.

# Results and post-results: roles and responsibilities

## Internal assessment

### Senior Leaders

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

## Managing results day(s)

### Senior Leaders

- Identify centre staff who will be involved in the main summer results day(s) and their role.
- Ensures senior members of staff are accessible to candidates 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.
- Ensures results are printed and placed correctly and securely in envelopes.
- Ensures that, where candidates have their results collected by a third party, a signed permission form has been completed by the candidate.
- Ensures that uncollected results are posted first class in the afternoon.
- Makes available information and forms for Reviews of Results and appeals procedures to candidates.
- Makes available Access to Scripts information to teachers.

### 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 components/subject cohorts, then requests for reviews of marking should be submitted for all candidates believed to be affected (candidate consent is required as marks and subject grades may be lowered, confirmed, or raised).

### Exams Officer

- Provides information to candidates and staff on the services provided by awarding bodies and the fees charged (see also above **Briefing candidates** and **Access to Scripts, 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 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

### Senior Leaders/Exams officer

- Provides analysis of results to appropriate centre staff.
- Provides results information to external organisations where required.
- Undertakes the DfE School and College Checking Exercises (where applicable to the centre) <https://tableschecking.education.gov.uk>.

## Certificates

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

### Exams officer

- Ensures receipt of certificates at the centre and returns acknowledgements as requested by awarding bodies.
- Checks that all students have a certificate awarded as expected.
- Undertakes to correct errors on certificates such as name and date of birth.
- Ensures certificates are kept securely until collected by candidate or person nominated by candidate.

- Ensures that candidates who are no longer local or able to collect their certificates in person are posted their certificates using a tracked method (e.g., courier).

**School Secretary/receptionist**

- Ensures candidate, or nominated third party, signs for certificates on collection.
- Ensures record is kept of collections with date and signature of member of staff handing certificates over.

**Candidates**

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

## Exams review: roles and responsibilities

### Exams Officer

- Provides SLT with an overview of the exam year, highlighting what went well and what could be developed/improved in terms of exams management and administrative processes within the stages of the exam cycle.
- Evaluates feedback from staff, candidates, and invigilators to inform an exam review.

### Senior Leaders

- Work with the EO to produce a plan to action any required improvements identified in the review.

## Retention of records: roles and responsibilities

### Exams Officer

- Keeps records as required by JCQ and awarding bodies for the required period.
- Keeps records as required by the centre's records management policy.
- Provides an **exam archiving policy** that identifies information held, retention period and method of disposal. This is at **Appendix 7**.

*If you would like this in a different format, please contact the school.*

*Reviewed by – Susie Ballerstedt/Marc Cooper*

*March 2026*

*Next Review date March 2027*

# Appendix 1 - ESCALATION PROCESS

## Purpose of the process

To confirm the main duties and responsibilities to be escalated should the head of centre, or a member of the senior leadership team with oversight of examination administration, be absent.

## Before examinations (Planning)

In the event of the absence of the head of centre or the member of senior leadership with oversight of examination administration, responsibility for implementing JCQ regulations and requirements relating to activity prior to examinations will be escalated to Cameo Woudberg (Assistant Headteacher: Inclusion) in terms of exam access arrangements and reasonable adjustments, and Sam Joyce (Assistant Headteacher: Raising Standards) in terms of all aspects of exam administration listed below.

To support understanding of the regulations and requirements, the following JCQ publications will be referenced:

- General Regulations for Approved Centres
- Instructions for conducting examinations (ICE)
- Access Arrangements and Reasonable Adjustments
- Instructions for conducting coursework
- Instructions for conducting non-examination assessments
- Suspected Malpractice – Policies and Procedures
- A guide to the special consideration process

## Main duties and responsibilities relate to:

- Centre status
- Confidentiality
- Communication
- Recruitment, selection, and training of staff
- Internal governance arrangements
- Delivery of qualifications
- Public liability
- Conflicts of interest
- Controlled assessments, coursework, and non-examination assessments
- Security of assessment materials
- National Centre Number Register
- Centre inspections

Additional JCQ publication for reference:

- JCQ Centre Inspection Service Changes
- Policies available for JCQ inspection

Specific JCQ publications for reference:

- General Regulations for Approved Centres (section 5)
- Instructions for conducting examinations (section 25)

- Access Arrangements and Reasonable Adjustments (section 5)
- Personal data, freedom of information and copyright

Additional JCQ publication for reference:

- Information for candidates – Privacy Notice

#### Centre-specific information for reference

- School-specific contingency plan/s filed in SJS Exams team in Microsoft Teams.
- Year 10 and Year 11 Access Arrangements list on W: drive | Staff | SEND
- Exams Policy in SJS Exams team in Microsoft Teams as well as the school's public website.

### **Before examinations (Entries and Pre-exams)**

In the event of the absence of the head of centre or the member of senior leadership with oversight of examination administration, responsibility for implementing JCQ regulations and requirements relating to entries and exam preparation will be escalated to Cameo Woudberg (Assistant Headteacher: Inclusion) in terms of exam access arrangements and reasonable adjustments, and Sam Joyce (Assistant Headteacher: Raising Standards) in terms of all aspects of exam administration listed below.

To support understanding of the regulations and requirements, sections of relevant JCQ publications will be specifically referenced including:

- General Regulations for Approved Centres (section 5)
- Instructions for conducting examinations (sections 1-15)
- Access Arrangements and Reasonable Adjustments (sections 6-8)

#### **Main duties and responsibilities relate to:**

- Access arrangements and reasonable adjustments
- Entries

Additional JCQ publications for reference:

- Key dates
- Guidance Notes for Transferred Candidates
- Alternative Site guidance notes
- Guidance notes for overnight supervision of candidates with a timetable variation

- Centre assessed work

Additional JCQ publication for reference:

- Guidance Notes – Centre Consortium Arrangements

- Candidate information

Additional JCQ publications for reference:

- Information for candidates' documents
- Exam Room Posters

#### Centre-specific information for reference

- School-specific contingency plan/s filed in SJS Exams team in Microsoft Teams.
- Year 10 and Year 11 Access Arrangements list on Curriculum Sharepoint.
- Exams Policy in SJS Exams team in Microsoft Teams as well as the school's public website.

## During examinations (Exam time)

In the event of the absence of the head of centre or the member of senior leadership with oversight of examination administration, responsibility for implementing JCQ regulations and requirements relating to during exam time will be escalated to Cameo Woudberg (Assistant Headteacher: Inclusion) in terms of exam access arrangements and reasonable adjustments, and Sam Joyce (Assistant Headteacher: Raising Standards) in terms of all aspects of exam administration listed below.

To support understanding of the regulations and requirements, sections of relevant JCQ publications will be specifically referenced including:

- General Regulations for Approved Centres (sections 3, 5)
- Instructions for conducting examinations (sections 16-31)
- Access Arrangements and Reasonable Adjustments (section 8)
- A guide to the special consideration process (sections 2-7)

### Main duties and responsibilities relate to:

- Conducting examinations and assessments  
Additional JCQ publication for reference:
  - Guidance Notes – Very Late Arrival
- Malpractice
- Retention of candidates' work

### Centre-specific information for reference

- Invigilator lone working guidance
- Access Arrangements (guidance for Invigilators)
- Access Arrangements (guidance for TAs)
- School-specific contingency plan/s filed in SJS Exams team in Microsoft Teams.
- Year 10 and Year 11 Access Arrangements list on Curriculum Sharepoint.

## After examinations (Results and Post-Results)

In the event of the absence of the head of centre or the member of senior leadership with oversight of examination administration, responsibility for implementing JCQ regulations and requirements relating to after examinations will be escalated to Cameo Woudberg (Assistant Headteacher: Inclusion) in terms of exam access arrangements and reasonable adjustments, and Sam Joyce (Assistant Headteacher: Raising Standards) in terms of all aspects of exam administration listed below.

To support understanding of the regulations and requirements, sections of relevant JCQ publications will be specifically referenced including:

- General Regulations for Approved Centres (section 5)

### Main duties and responsibilities relate to:

- Results  
Additional JCQ publication for reference:
  - Release of Results notice

- Post-results services and appeals

Additional JCQ publications for reference:

- Post-Results Services
- JCQ Appeals Booklet (A guide to the awarding bodies' appeals processes)

- Certificates

#### Centre-specific information for reference

- Request for Review of Result.

## Appendix 2 - INTERNAL APPEALS PROCEDURE

### Appeals procedure against internal assessment decisions

Sir James Smith's School is committed to ensuring that internal assessments (includes controlled assessments, coursework, and portfolios of evidence) are marked and administered fairly, consistently and in accordance with the awarding body specifications and subject-specific associated documents.

This is ensured by:

- Subject staff having the necessary and appropriate knowledge, understanding, skills, and training in this activity.
- Subject staff authenticating candidates' work according to the requirements of the relevant awarding body.
- A process of internal moderation and standardisation led by Heads of Department/nominated subject staff.

An appeal against internal assessment decisions can be made, based on the above not being fulfilled.

All appeals must follow the procedure detailed below.

**Note** - *appeals may only be made against the centre's marking/assessment process not against the mark submitted by the centre for moderation by the awarding body.*

1. Candidates will be informed of their internally assessed marks no later than 5 working days before the deadline for submitting these marks to the awarding bodies.
2. Appeals should be made as early as possible and **no later than 5 working days before** the deadline for submitting marks to awarding bodies.
3. Appeals should be made using the **internal appeals form** completed by the candidate (or parent/carer)
4. The head of centre will appoint a member of the senior leadership team, who is not involved in the assessment process for that subject to conduct the investigation.
5. The purpose of the appeal will be to decide whether the process used for the internal assessment conformed to the published requirements as detailed in the awarding body specification(s) and/or subject-specific associated documents.
6. The appellant will be informed in writing of the outcome of the appeal, including any relevant correspondence with the awarding body and any changes made to internal assessment procedures.
7. The outcome of the appeal will be made known to the head of centre and will be logged as a complaint. A written record will be kept and made available to the awarding body upon request. Should the appeal bring any significant irregularity in procedures to light, the awarding body will be informed.

After candidates' work has been internally assessed, it is moderated by the awarding body to ensure consistency in marking between centres. The moderation may lead to mark changes. This process is outside the control of Sir James Smith's School and is not covered by this procedure. It is not possible to appeal the marks once moderated by the awarding body.

## Appeals procedure against centre decisions not to support an enquiry about results

Following the issue of results, the general qualification awarding bodies offer [post-results services](#). Full details of these services, internal deadlines for requesting a service and fees charged will be provided by the exams officer on request.

Post-results services may be requested by centre staff or candidates (or their parents/carers) if there are reasonable grounds for believing there has been an error in marking.

When Sir James Smith's School does not uphold a request from a candidate, the candidate may pay the appropriate fee, and a request will be made to the awarding body on the candidate's behalf.

If the candidate (or their parent/carer) believes there are grounds to appeal against the centre's decision not to support an enquiry, an appeal can be submitted to the centre using the internal appeals form at least one week prior to the internal deadline for submitting an enquiry about results to the exam board.

## Appeals procedure following the outcome of an enquiry about results

Where the head of centre remains dissatisfied after receiving the outcome of a post-results service from an awarding body, an appeal will be made to the awarding body, following the guidance in the JCQ publications *Post-results services* <http://www.jcq.org.uk/exams-office/post-results-services> and *A guide to the awarding bodies' appeals processes* <http://www.jcq.org.uk/exams-office/appeals>.

Where the head of centre is satisfied after receiving the outcome of a post-results service but the internal candidates and/or their parents/carers are not satisfied, they may make a further representation to the head of centre in writing. Following this, the head of centre's decision as to whether to proceed with an appeal will be based upon the centre's internal appeals arrangements. Candidates, parents/carers are not permitted to make direct representations to an awarding body.

## Appeals procedure following school decision to reject a candidate's coursework on grounds of malpractice

This only applies to internally assessed coursework components that count towards qualifications where internally assessed marks are submitted to the awarding body and must be verified by the tutor and candidate as being the candidate's own work.

Teaching staff will follow guidance provided by the awarding bodies to ensure that coursework is authentic and the candidate's own work (e.g. candidates complete their coursework during lessons and under direct supervision of teacher).

Where an irregularity in coursework is identified *before* a candidate has signed the declaration of authentication, the relevant subject teachers will ensure that the work finally submitted to the awarding body is the candidate's own work. This will be handled internally and does not need to be notified to the awarding body unless there has been a breach of confidential material.

Where staff identify an irregularity in coursework *after* the candidate has signed the declaration of authentication, the Head of Centre will submit details to the awarding body. The candidate will be notified of this decision and the possible outcomes and will have access to the appeals procedure before the submission is made.

The **internal appeals form** should be completed and submitted to the centre **as soon as possible** following the notification of a decision by the school. Given the varying timescales involved for these situations, parents/carers/candidates will be advised of timescale within which to appeal on a case-by-case basis.



## Internal appeals form

This form should be completed in all cases to lodge an appeal and returned to the Exams Officer. Please tick to indicate what the appeal is against:

- an internal assessment decision
- the centre decision not to support a post-results service
- the outcome of a post-results service
- the centre decision to reject a candidate's coursework

<b>Name of appellant</b>		<b>Candidate name if different to appellant</b>	
Awarding body		Unit/module/exam paper code	
Subject		Unit/module/exam paper title	

Please state the grounds for your appeal below:

*Continue overleaf if necessary*

### Appeal against an internal assessment decision

#### Appellant declaration

By signing here, I am confirming I understand the purpose of the appeal will be to decide whether the process used for the internal assessment conformed to the published requirements of the awarding body's specification and subject-specific associated documents. I also understand the appeal may only be made against the marking/assessment process not against the mark submitted by the centre for moderation by the awarding body.

**Signature:**

**Date of signature:**

### Appeal against the centre decision not to support a post-results service

#### Appellant declaration

By signing here, I am confirming I feel there are grounds to appeal against the centre's decision.

**Signature:**

**Date of signature:**

### Appeal against the outcome of a post-results service

#### Appellant declaration

By signing here, I am confirming I understand that the grounds for my appeal must relate to the awarding body's procedures or the application of the post-result service procedures. I also understand that appeals do not generally involve further reviews of marking candidates' work. I also confirm that I will pay in advance any fees which may be charged by the awarding body for the appeal. I understand this fee will be refunded if the appeal is upheld.

**Signature:**

**Date of signature:**

### Appeal against a Centre decision to reject a candidate's work

#### Appellant declaration

By signing here, I am confirming I feel there are grounds to appeal against the centre's decision.

**Signature:**

**Date of signature:**

## Appendix 3 - EQUALITIES POLICY

### Purpose of the policy

This document is provided as an exams-specific supplement to the centre-wide accessibility plan which details how the centre will recognise its duties towards disabled candidates, ~~including private candidates~~, as defined under the terms of the Equality Act 2010. This must include a duty to explore and provide access to suitable courses, through the access arrangements process submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates.

This policy details how the centre facilitates access to exams and assessments for disabled candidates, as defined under the terms of the Equality Act 2010, by outlining staff roles and responsibilities in relation to:

- identifying the need for appropriate arrangements, reasonable adjustments and/or adaptations (referred to in this policy as 'access arrangements')
- requesting access arrangements
- implementing access arrangements and the conduct of exams
- good practice in relation to the Equality Act 2010

### The Equality Act 2010 definition of disability

A definition is provided on page 7 of the JCQ publication *Adjustments for candidates with disabilities and learning difficulties* Access Arrangements and Reasonable Adjustments 2022-2023

### Identifying the need for access arrangements

#### Roles and responsibilities

##### Head of centre

- Is familiar with the entire contents, refers to and directs relevant centre staff to the annually updated JCQ publications including [GR](#) and [AA](#).
- Ensures an appropriately qualified assessor(s) is appointed, evidence of the assessor's qualification(s) is obtained before he/she assesses candidates and that evidence of the qualification(s) of the person(s) appointed is held on file.
- Ensures the quality of the access arrangements process within the centre.
- Ensures staff roles, responsibilities, and processes in identifying, requesting, and implementing access arrangements for candidates (including private candidates) are clearly defined and documented.
- Ensures the assessment process is administered in accordance with the regulations and that the correct procedures are followed as per Chapter 7 of [AA](#).
- Ensures a policy demonstrating the centre's compliance with relevant legislation is in place.
- Support the SENCo in determining the need for and implementing access arrangements.

##### Senior leader(s)

- Are familiar with the entire contents of the annually updated JCQ publications including [GR](#) and [AA](#)
- Leads on the access arrangements process to facilitate access for candidates.
- Defines and documents roles, responsibilities, and processes in identifying, requesting, and implementing access arrangements.

##### Special educational needs coordinator (SENCo)

- Has full knowledge and understanding of the contents, refers to and directs relevant centre staff to the annually updated JCQ publication [AA](#).

- If not the appropriately qualified assessor, works with the person/persons appointed, on all matters relating to assessing candidates and the administration of the assessment process.
- Ensures the qualified assessor(s) has access to the assessment objectives for the relevant specification(s) a candidate is undertaking.
- Ensures that all assessments carried out and arrangements put in place comply with JCQ and awarding body regulations and guidance.
- Ensures arrangements put in place for exams/assessments reflect a candidate's *normal way of working* within the centre.
- Presents when requested by a JCQ Centre Inspector, evidence of the assessor's qualification.
- Works with teaching staff, relevant support staff and the exams officer to ensure centre-delegated and awarding body approved access arrangements are put in place for candidates taking internal and external exams/assessments.
- Provides information to evidence the normal way of working of a candidate.
- Conducts appropriate assessments to identify the need(s) of a candidate.
- Provides appropriate evidence to confirm the need(s) of a candidate.
- Completes appropriate documentation as required by the regulations of JCQ and the awarding body.

### Teaching staff

- Inform the SENCo of any support that might be needed by a candidate.

### Support staff (for example, Learning Support Assistants, Teaching Assistants and Communication Support Workers)

- Provide comments/observations to support the SENCo to 'paint a holistic picture of need,' confirming normal way of working for a candidate.

### Assessor of candidates with learning difficulties

An assessor of candidates with learning difficulties will be an appropriately qualified access arrangements assessor/psychologist/specialist assessor.

- Has detailed understanding of the JCQ publication [AA](#).

### Use of word processors

A word processor policy is at **Appendix 5**.

### Requesting access arrangements

#### Roles and responsibilities

##### SENCo

- Determines if the arrangements identified for a candidate require prior approval from the awarding body before the arrangements are put in place or if approval is centre delegated.
- Follows guidance in [AA](#) (chapter 8) to process approval applications for access arrangements for those qualifications included
- Applies for approval where this is required, through Access Arrangements Online (AAO), or through the awarding body where qualifications sit outside the scope of AAO.
- Ensures appropriate and required evidence is held on file to confirm validation responses in AAO including (where required) the completion of JCQ Form 8 (Application for access arrangements – Profile of learning difficulties) and JCQ Form 9 (Profile of Need), and/or centre based evidence including concise file note(s) on centre headed paper, signed and dated, and a body of evidence to substantiate the candidate's normal way of working within the centre (Form 8 must only be used for candidates with learning difficulties who

are **not** subject to a current EHCP or Statement of Special Educational Needs; all candidates with learning difficulties who require up to 50% extra time; or those requiring a Language Modifier.)

- Ensures where Form 8 is required to be completed, the form is signed (a handwritten, electronic, or typed signature is acceptable) and dated as required **prior** to approval being sought and that the form is provided for processing and inspection purposes (This may be a hard copy paper version or an electronic version)
- Ensures the names of all other assessors, who are assessing candidates studying qualifications covered by AAO are entered into AAO to confirm their status including any professionals working outside the centre.
- Confirms by ticking the '*Confirmation*' box prior to submitting the application for approval that the '*malpractice consequence statement*' has been read and accepted.
- Makes an *awarding body referral* through AAO where the initial application for approval may not be approved by AAO, where it is deemed by the centre that the candidate does meet the criteria for the arrangement(s)
- Ensures that arrangements, and approval where required, are in place before a candidate takes his/her first exam or assessment (which is externally assessed or internally assessed/externally moderated)
- Ensures that where approval is required that this be processed at the start of the course and at the latest by the awarding body deadline.
- Maintains a file/e-folder for each candidate (the required documentation for a candidate will either be all in hard copy within the candidate's file **or** all in electronic format within the candidate's e-folder) that will include:
  - completed JCQ/awarding body application forms and evidence forms.
  - appropriate evidence to support the need for the arrangement where required.
  - appropriate evidence to support normal way of working within the centre.
  - in addition, for those qualifications covered by AAO (where approval is required), a printout/PDF of the AAO approval, a signed candidate personal data consent form (which provides candidate consent to their personal details being shared).
  - (where applicable) 'Data protection confirmation by the examinations officer of SENCo' acknowledged before an application is processed online.
- Presents the files/e-folders when requested by a JCQ Centre Inspector and addresses any queries/questions raised.

#### **Exams officer (EO)**

- Is familiar with the entire contents of the annually updated JCQ publication [GR](#) and is aware of information contained in [AA](#) where this may be relevant to the EO role.
- Liaises with teaching staff regarding any appropriate modified paper requirements for candidates.
- Liaises with the SENCo to ensure arrangements are in place to either order a non-interactive electronic (PDF) question paper or to open question paper packets in the secure room within 90 minutes of the awarding body's published starting time for the exam where the centre is permitted to modify a timetabled written component exam paper (copy on coloured paper, enlarge to A3 or copy to single sided print)
- Following the appropriate process (using AAO for those qualifications included in the tool; using Form VQ/EA), orders published modified papers, by the awarding body's deadline for the exam series, where these may be required for a candidate.

## Implementing access arrangements and the conduct of exams

### Roles and responsibilities

#### External assessments

These are assessments which are normally set and marked/examined by an awarding body which must be conducted according to awarding body instructions and/or the JCQ publication [Instructions for conducting examinations \(ICE\)](#).

#### Head of centre

- Supports the SENCo, the exams officer and other relevant centre staff in ensuring appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams.
- Liaises with the EO to ensure that invigilators are made aware of the Equality Act 2010 and are trained in disability issues.

#### SENCo

- Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access 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 and ensures the candidate understands what will happen at exam time.
- Ensures that prior to any arrangements being put in place checks are made that arrangements do not impact on any assessment criteria/competence standards being tested.
- Ensures that any arrangements put in place do not unfairly disadvantage or advantage disabled candidates.
- Monitors, in internal tests/PPE exams, the use of arrangements granted to a candidate and where a candidate has never made use of the arrangement, may consider withdrawing the arrangement, provided the candidate will not be placed at a substantial disadvantage.
- Liaises with the exams officer (EO) regarding facilitation and invigilation of access arrangement candidates in exams.

#### Exams officer

- Understands and follows instructions for Invigilation arrangements for candidates with access arrangements and Access arrangements in JCQ's Instructions for Conducting Examinations (ICE).
- Ensures exam information (JCQ information for candidate's documents, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it.
- Liaises with other relevant centre staff regarding the provision of appropriate rooming and equipment that may be required to facilitate access for disabled candidates to exams.
- Appoints appropriate centre staff as facilitators to support candidates (practical assistant, prompter, Language Modifier, reader, scribe, or Communication Professional).
- Ensures facilitators supporting candidates are appropriately trained and understand the rules of the particular access arrangement(s).
- Ensures a record of the content of training given to those facilitating an access arrangement for a candidate under examination conditions is kept and retained on file until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.
- Ensures where the candidate's own subject teacher will be used (in exceptional circumstances) as a facilitator, an invigilator will be present at all times.

- Ensures where a facilitator is allocated to support a candidate under exam conditions that they will not be a relative, friend, peer, or private tutor of the candidate.
- Ensures the facilitator is known by or introduced to the candidate prior to exams.
- Ensures a facilitator acting as a prompter will not normally be the candidate's own subject teacher and must not be a relative, friend or peer of the candidate (understanding that a private tutor cannot act as a prompter for the candidate).
- Ensures a facilitator acting as a prompter is aware of the appropriate way to prompt depending on the needs of the candidate.
- Ensures invigilators supervising access arrangement candidates are trained in their role and understand the invigilation arrangements required for access arrangement candidates and the role of any facilitator.
- Ensures cover sheets, where these are required by the arrangement are completed as required by facilitators.
- Liaises with the SENCo and other relevant centre staff to ensure appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams.
- Liaises with the SENCo to ensure exam information (JCQ information for candidate's documents, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it.
- Liaises with the SENCo regarding the facilitation and invigilation of access arrangement candidates.
- Liaises with the SENCo regarding rooming of access arrangement candidates.
- Ensures appropriate seating arrangements are in place where different arrangements may need to be made for a candidate to facilitate access to his/her exams.
- Ensures candidates with access arrangements are identified on exam room seating plans and invigilators are made aware of the arrangements awarded and invigilators informed of those candidates with access arrangements and made aware of the access arrangement(s) awarded.
- Ensures invigilators are briefed prior to each exam session of the arrangements in place for a disabled candidate in their exam room.
- Checks in advance of dated exams/assessments that modified paper orders have arrived (and if not will contact the awarding body to ensure that papers are available when required).
- Makes modifications that are permitted by the centre (a question paper copied onto coloured paper, an A4 to A3 enlarged paper or a paper printed on single sheets or where a question paper may need to be scanned into PDF format where a candidate is approved the use of a computer reader) that may be required and either accesses a non-interactive electronic (PDF) question paper or opens the exam question paper packet in the secure room no earlier than 90 minutes prior to the awarding body's published start time of the exam.
- Understands that where permitted/approved, secure exam question paper packets may need to be opened early so the facilitator (Language Modifier, Live Speaker, Communication Professional **only**) may have access to the question paper 60 minutes prior to the awarding body's published starting time for the exam in order to prepare.
- Provides cover sheets prior to the start of an exam where required for particular access arrangements and ensures that these have been fully completed before candidates' scripts are dispatched to examiners/markers.
  - prints pre-populated cover sheets from AAO where this is required for particular arrangements.
- Has a process in place to deal with emergency (temporary) access arrangements as they arise at the time of exams in terms of rooming and invigilation.
- Liaises with the SENCo where a facilitator may be required to support a candidate requiring an emergency (temporary) access arrangement at the time of exams.

### **Other relevant centre staff**

- Support the SENCo and the exams officer to ensure appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams.
- This will include IT staff, premises team and the medical officer.

### Internal assessments

These are non-examination assessments (NEA) which are normally set by a centre/awarding body, marked, and internally moderated by the centre and externally moderated by the awarding body. Externally marked and/or externally set practical examinations taken at different times across centres are classified as 'NEA.'

### **SENCo**

- Liaises with teaching staff to implement appropriate access arrangements for candidates.
- Ensures centre-delegated and awarding body approved arrangements are in place prior to a candidate taking his/her first formal supervised assessment.
- Ensures candidates are aware of the access arrangements that are in place for their assessments.

### **Exams officer**

- Ensures facilitators supporting candidates are appropriately trained and understand the rules of the particular access arrangement(s).
- Ensures cover sheets are completed as required by facilitators.
- Liaises with the teacher where a facilitator may be required to support a candidate requiring an emergency (temporary) access arrangement at the time of his/her formal supervised assessment.
- Provide the SENCo with assessment schedules to ensure arrangements are put in place when required.

### **Teaching staff**

- Support the SENCo in implementing appropriate access arrangements for candidates.
- Ensures a candidate has had appropriate opportunities to practise using the access arrangement(s) before his/her first examination.
- Liaise with the SENCo regarding assessment materials that may need to be modified for a candidate.

### Internal exams

These are exams or tests which are set and marked within the centre, normally a pre-cursor to external assessments.

### **SENCo**

- Liaises with teaching staff to implement appropriate access arrangements for candidates.

### **Exams officer**

- Provide exam materials that may need to be modified for a candidate.
- Provide the SENCo with internal exam timetable to ensure arrangements are put in place when required.
- Ensures facilitators supporting candidates are appropriately trained and understand the rules of the particular access arrangement(s).
- Ensures cover sheets are completed as required by facilitators.

### **Teaching staff**

- Support the SENCo in implementing appropriate access arrangements for candidates.

## Appendix 4 - COMPLAINTS AND APPEALS (EXAMS)

### Purpose of the procedure

This procedure confirms Sir James Smith's School's compliance with JCQ's General Regulations for Approved Centres that the centre will draw to the attention of candidates and their parents/carers their written complaints and appeals procedure which will cover general complaints regarding the centre's delivery or administration of a qualification.

### Grounds for complaint

A candidate (or their parent/carer) may make a complaint on the grounds below (this is not an exhaustive list).

### Teaching and learning

- Quality of teaching and learning, for example
  - Non-subject specialist teacher without adequate training/subject matter expertise utilised on a long-term basis.
  - Teacher lacking knowledge of new specification/incorrect core content studied/taught.
  - Core content not adequately covered.
  - Inadequate feedback for a candidate following assessment(s)
- Pre-release/advance material/set task issued by the awarding body not provided on time to an exam candidate.
- The taking of an assessment, which contributes to the final grade of the qualification, not conducted according to the JCQ/awarding body instructions.
- The marking of an internal assessment (centre assessed work), which contributes to the final grade of the qualification, not undertaken according to the requirements of the awarding body.
- Candidate not informed of his/her centre assessed marks prior to marks being submitted to the awarding body.
- Candidate not informed of his/her centre assessed marks in sufficient time to request/appeal a review of marking prior to marks being submitted to the awarding body.
- Candidate not given sufficient time to review materials to decide whether to request a review of centre assessed marks.
- Candidate unhappy with internal assessment decision (complainant to refer via Exams Officer to the centre's internal appeals procedure).
- Centre fails to adhere to its internal appeals procedure.

### Access arrangements and special consideration

- Candidate not assessed by the centre's appointed assessor.
- Candidate not involved in decisions made regarding his/her access arrangements.
- Candidate not informed/adequately informed of the arrangements in place and the subjects or components of subjects where the arrangements would not apply.
- Exam information not appropriately adapted for a disabled candidate to access it.
- Adapted equipment/assistive technology put in place failed during exam/assessment.
- Approved access arrangement(s) not put in place at the time of an exam/assessment.
- Appropriate arrangements not put in place at the time of an exam/assessment because of a temporary injury or impairment.
- Candidate unhappy with centre decision relating to access arrangements or special consideration (complainant to refer via Exams officer to the centre's internal appeals procedure)
- Centre fails to adhere to its internal appeals procedure.

## Entries

- Failure to clearly explain a decision of early entry for a qualification to candidate (or parent/carer).
- Candidate not entered/entered late (incurring a late entry fee) for a required exam/assessment.
- Candidate entered for a wrong exam/assessment.
- Candidate entered for a wrong tier of entry.

## Conducting examinations

- Failure to adequately brief candidate on exam timetable/exam regulations prior to exam/assessment taking place.
- Room in which exam held did not provide candidate with appropriate conditions for taking the exam.
- Inadequate invigilation in exam room.
- Failure to conduct exam according to the regulations.
- Online system failed during (on-screen) exam/assessment.
- Disruption during exam/assessment.
- Alleged, suspected or actual malpractice incident not investigated/reported.
- Eligible application for special consideration for a candidate not submitted/not submitted to timescale.
- Failure to inform/update candidate on the accepted/rejected outcome of a special consideration application if provided by awarding body.

## Results and Post-results

- Before exams, candidate not made aware of the arrangements for post-results services and the accessibility of senior members of centre staff after the publication of results.
- Candidate not having access to a member of senior staff after the publication of results to discuss/make decision on the submission of a review/enquiry.
- Candidate request for return of work after moderation and work not available/disposed of earlier than allowed in the regulations.
- Candidate (or parent/carer) unhappy with a result (complainant to refer via exams officer to awarding body *post-results services*)
- Candidate (or parent/carer) unhappy with a centre decision not to support a clerical re-check, a review of marking, a review of moderation or an appeal (complainant to refer via [insert who] to the centre's *internal appeals procedure*).
- Centre fails to adhere to its internal appeals procedure.
- Centre applied for the wrong post-results service/for the wrong exam paper for a candidate.
- Centre missed awarding body deadline to apply for a post-results service.
- Centre applied for a post-results service for candidate without gaining required candidate consent/permission.

## Complaints and appeals procedure

If a candidate (or their parent/carer) has a general concern or complaint about the centre's delivery or administration of a qualification they are following, Sir James Smith's School encourages the candidate to try to resolve this informally in the first instance. A concern or complaint should be made in person, by telephone or in writing to the head of centre.

If a complaint fails to be resolved informally, the candidate (or his/her parent/carer) is then at liberty to make a formal complaint following the NCLT Complaints Procedure.

## Appendix 5 - WORD PROCESSOR POLICY

### Principles of using a word processor

- Candidates with access to word processors at Sir James Smith's School are allowed to do so to prevent them from being placed at a substantial disadvantage because of persistent and significant difficulties identified by the SENDCo.
- The school will only permit the use of a word processor where the integrity of the assessment can be maintained and will not grant the use of a word processor where it will compromise the assessment objectives of the specification in question, and where the Awarding Body does not allow the use of a word processor.
- Candidates may not require the use of a word processor in each specification. As subjects and their methods of assessments may vary, leading to different demands of our candidates, the need for the use of a word processor is considered on a subject-by-subject basis.
- The use of a word processor is agreed/processed at the start of the course. Candidates are subsequently aware that they will have the use of a word processor for examinations and controlled assessments/coursework where it does not compromise the assessment objectives.
- The use of a word processor for candidates is only granted if it reflects the support given to the candidate as their 'normal way of working,' which is clearly established and defined as support:
  - In the classroom; or
  - Working in small groups for reading and/or writing; or
  - Literacy support lessons; or
  - Literacy intervention strategies; and/or
  - In internal school tests and PPE examinations
- The use of a word processor will also be awarded to candidates who qualify for a scribe under the rules of JCQ's Access Arrangements Online procedure.

### The use of a word processor

The centre will ensure the word processor:

- Is only used in a way that ensures a candidate's script is produced under secure conditions.
- Is not used to perform skills which are being assessed.
- Is in good working order at the time of the exam.
- Is accommodated in such a way that other candidates are not disturbed and cannot read the screen.
- Is used as a typewriter, not as a database, although standard formatting software is acceptable.
- Is cleared of any previously stored data.
- Does not give the candidate access to other applications such as a calculator (where prohibited in the examination), e-mail, the Internet, social media sites, spreadsheets.
- Does not include graphic packages or computer aided design software unless permission has been given to use these.

- Does not have any predictive text software or an automatic spelling and grammar check enabled unless the candidate has been permitted a scribe or is using speech recognition technology, or the awarding body's specification permits the use of automatic spell checking.
- Does not include computer reading (text to speech) software unless the candidate has permission to use a computer reader.
- Does not include speech recognition technology unless the candidate has permission to use a scribe or relevant software.
- Is not used on the candidate's behalf by a third party unless the candidate has permission to use a scribe.

#### **Arrangements at the time of the assessment for the use of a word processor**

- Candidates will be prompted to enter their name, centre number and candidate number as a header.
- Candidates using Notepad or WordPad software (which do not allow for the insertion of a header or footer) are instructed to handwrite their details as a header or footer once they have finished the exam and printed off their typed script. They are also supervised to ensure that they are solely performing this task and not re-reading their answers or amending their work in any way.
- Page numbering, font, line spacing and autosave will be automatic.
- Word processors are accommodated in such a way that other candidates are not disturbed and cannot read the screen.
- Exam scripts are printed when the exam has finished, and candidates remain under the supervision of invigilators or the Exams officer.
- Candidates must be present (under supervision) to verify that the work printed is their own and must sign every page.
- The centre may retain electronic copies of word-processed scripts as the electronic copy of a word-processed script may be accepted by an awarding body where the printed copy has been lost.

## Appendix 6 – EMERGENCY EVACUATION POLICY

The invigilator **must** take the following action in an evacuation:

- Stop all candidates from writing and read the following script:

### **Script for stopping an exam in an emergency**

- 🔊 Stop writing and close your exam papers now.
- 🔊 We will be leaving the exam room in silence to walk to the assembly point.
- 🔊 Whilst we are outside the exam room you are still under exam conditions, and you may not communicate with one another or any other students and staff.
- 🔊 Talking to another person is malpractice and you may be disqualified from this paper.
- 🔊 If you are experiencing any difficulty, please speak to an invigilator.
- 🔊 Please stand by your desks.

*(Station an invigilator by the fire exit ready to lead candidates to the assembly point)*

- 🔊 Row A (B, C, D, E ...) please exit the room.

- Collect the attendance register or seating plan.
- **Small cohort:** an invigilator must collect the exam papers and scripts into an envelope and keep them on their person at all times whilst outside the exam room.
- **Large cohort (Gym):** leave all question papers and scripts in the examination room. The Exams Officer will lock this room if safe to do so once everyone is evacuated.
- Candidates must leave personal belongings.
- Candidates must remain under 'exam conditions' as much as possible for the duration of the evacuation.
- Escort candidates to the **access road** between the tennis courts and the all-weather pitch (plan on page 4) via a sensible external route, avoiding areas of danger.
- Line the candidates in 'exam room' order.
- Line candidates so that they are spaced apart from one another as much as possible (ideally 1.25m).
- Using the seating plan as the register, check that all candidates are present.
- Any 'live' candidates who were present in the exam room but absent from the assembly point must be reported to the Exams Officer as soon as possible. (i.e. do not include any candidates on the seating plan who have legitimately finished their exam – they should be lining up with their tutor group on the tennis court).
- Supervise the candidates as closely as possible while they are out of the examination room.

- On return to the school site students will be reminded they are under exam conditions and line up silently in the main hall. The Exams Officer will run through the pre-exam procedure of calling students forward by name back into their exam rooms.
- **On return to the small rooms:** seat candidates at their correct desks and re-allocate their exam papers. Do not allow candidates to re-start until you have read the script below.
- **On return to Gym:** seat candidates at their correct desks ensuring that they do not read their papers before being instructed to re-start their exam. Read the script below.

#### **Script for re-starting an exam after an emergency**

🔊 Please check your candidate ticket and that you are seated at the correct desk.

🔊 Please check that you have YOUR exam script in front of you.

*(Give students time to check)*

*(Write the time of re-starting the exam on the whiteboard, along with the remaining time of the paper and the new finish time ... don't forget any extra time)*

🔊 You will now get the remaining time left of your exam, the times have been updated on the whiteboard.

🔊 The time is now ....., you may begin.

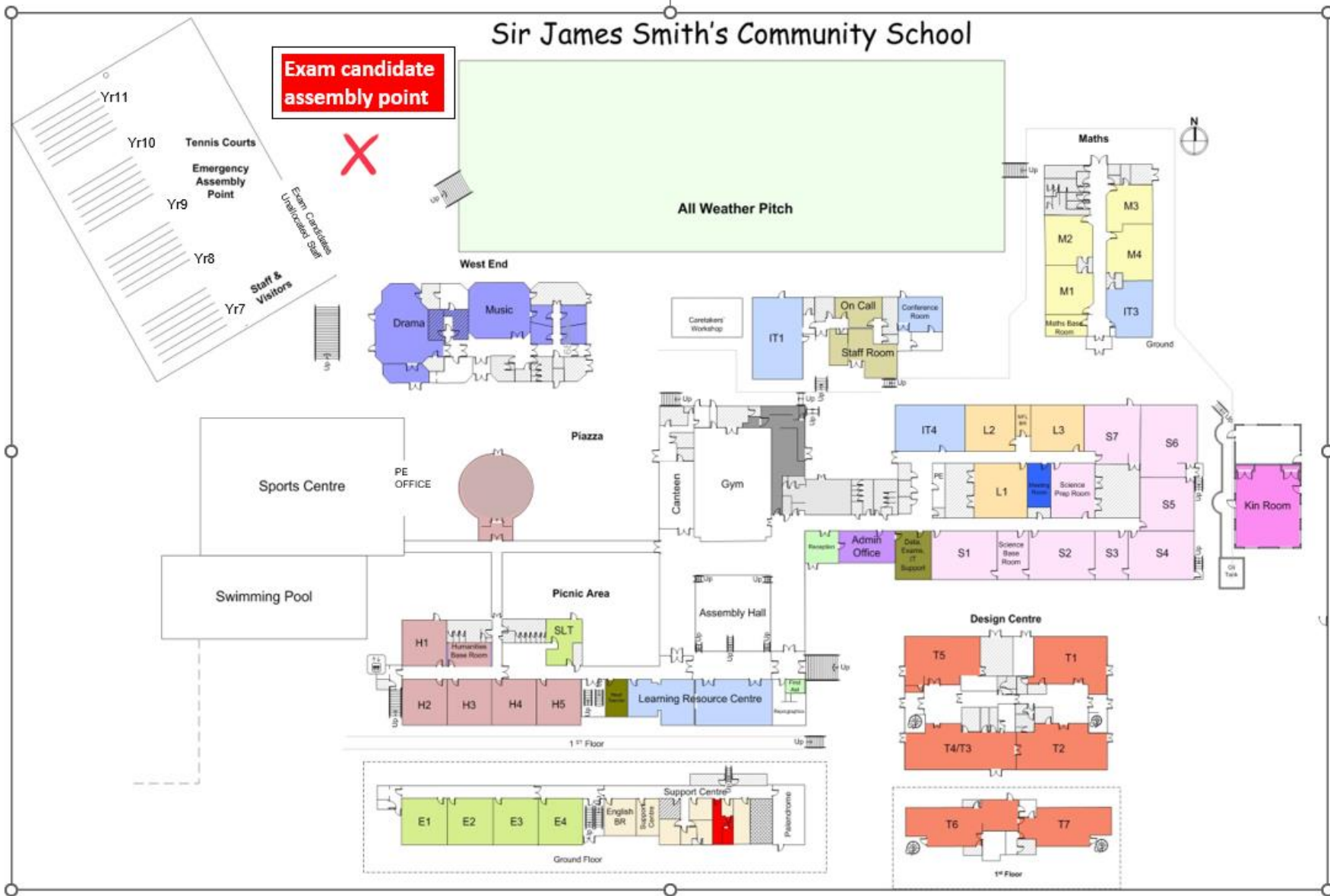
- Candidates must be allowed the full working time set for the examination. If this causes difficulty, i.e. transport leaving at 15:00, the Exams Officer will liaise with Senior Lead Team to organise alternative arrangements.
- Make a full report of the incident to include:
  - the time the exam was paused and restarted;
  - any breaches of exam conditions by the candidates;
  - any action taken to stop the breach;
  - the location of the exam scripts for the duration of the disruption.
- The Exams Officer will collate reports from invigilators and submit to the relevant exam board.

#### **IF IT IS NOT POSSIBLE TO RETURN TO THE ORIGINAL EXAM ROOM:**

- Students and staff will be re-assembled further away from the school up in the coach park or staff car park to allow emergency vehicles access.
- Where invigilators have exam scripts and papers with them, it may be possible to restart the exam in another location (e.g. Camelford Primary School, bungalow). If not, then exam scripts will be collected together and kept under the supervision of one invigilator.

- If the exam is **within the secure window** (9.00am – 10.00am and 1.30pm – 2.30pm) then the candidates must remain under centre supervision away from other students – whether or not the exam can be continued. Alternative accommodation for supervision will be arranged.
- When it is not possible to find an alternative venue to continue the exam, and the exam is **outside the secure window**, candidates will be dismissed from exam conditions.

# Sir James Smith's Community School



## Appendix 7 – EXAMS ARCHIVING POLICY

Paper record	Record detail	Period of retention	Action at end of retention period
Entry information	Lists of candidate name, DOB, gender, candidate number, UCI, ULN, exam entries by exam series	To be held on file until the deadline for post-results services and the resolution of outstanding enquiries or appeals	Confidential shredding
Candidate statements of entry	Lists of candidate name, DOB, gender, candidate number, UCI, ULN, exam entries by exam series	To be held on file until the deadline for post-results services and the resolution of outstanding enquiries or appeals	Confidential shredding
Access arrangements information	<i>Access Arrangements Online</i> approval, data protection notice, evidence of need and normal way of working - by candidate	To be returned to SENCo as record owner	Confidential shredding
Amendment Audit reports	Candidate name and number, exam entries entered or withdrawn	To be held on file until the deadline for post-results services and the resolution of outstanding enquiries or appeals	Confidential shredding
Dispatch of script logs	Consignment number, date of despatch	To be held on file until the deadline for post-results services and the resolution of outstanding enquiries or appeals	Confidential shredding
Very late arrival report copy forms and outcomes	Candidate name, candidate number, examination affected	To be held on file until the deadline for post-results services and the resolution of outstanding enquiries or appeals	Confidential shredding
Malpractice copy reports and outcomes	Candidate name, candidate number, examination affected	To be held on file until the deadline for post-results services and the resolution of outstanding enquiries or appeals	Confidential shredding
Exam room checklists Exam room incident log reports Seating plans Attendance registers copies Clash resolution information Overnight supervision copy forms	Candidate name, candidate number, access arrangements	To be held on file until the deadline for post-results services and the resolution of outstanding enquiries or appeals	Confidential shredding
Special consideration information	Print out of online submission of requests to awarding bodies, supporting evidence and outcomes from awarding bodies	To be held on file until the deadline for post-results services and the resolution of outstanding enquiries or appeals	Confidential shredding
Results information	Broadsheets of results summarising candidate final grades by subject by exam series	Current year + 6 years	Confidential shredding

Paper record	Record detail	Period of retention	Action at end of retention period
Candidates' work	Original controlled assessment/coursework returned by moderators. Please remember that not all work goes to the moderator	To be returned to subject staff as records owner. To be kept secure until after the deadline for EARs and/or Ofqual requests for samples (end January)	Returned to candidates or confidential disposal
Examiner reports Moderator reports		To be returned to HoDs as record owner	
Post-results service information: EAR request forms/outcomes ATS request forms	Candidate name, candidate number, final grades	To be kept on file and tracked to resolution; to be disposed of on satisfactory resolution	Confidential shredding
Certificates		To be collected from school and unclaimed certificates held on file for a minimum of 12 months from date of issue	Confidential shredding and record kept of certificates destroyed for 4 years. Records then also shredded after 4 years.
JCQ documentation and awarding body guides/manuals		To be retained until the current academic year update is provided	Recycled/disposed
Finance information	Copy invoices of exam-related fees	End of financial year (5 <sup>th</sup> April)	Confidential shredding

## Appendix 8 – SPECIAL CONSIDERATION

### What is Special Consideration?

Special consideration is given to a candidate who has temporarily experienced illness, injury or some other event outside of their control **at the time of the assessment**. It is applied when the issue or event has had, or is reasonably likely to have had, a material effect on a candidate's ability to take an assessment or demonstrate his or her normal level of attainment in an assessment.

Special consideration can go some way to assist a candidate affected by a potentially wide range of difficulties, emotional or physical, which may influence performance in their examinations. It cannot remove the difficulty faced by the candidate. This means that there will be some situations where candidates should not be entered for an examination. This is because only minor adjustments can be made to the mark awarded. To make larger adjustments would jeopardize the standard of the examination.

### Purpose of the policy

The purpose of this policy is to identify roles and responsibilities in the special consideration process and confirms that Sir James Smith's School will submit any applications for special consideration where candidates meet the published criteria.

### Eligibility for special consideration

#### Roles and responsibilities

##### Head of centre

- Is familiar with the contents, refers to and directs relevant centre staff to the annually updated JCQ publication.
- Ensures that, where relevant and in eligible situations, applications for special consideration will be submitted to awarding bodies by the exams officer.

##### Exams officer

- Understands the criteria as detailed in A Guide to the Special Consideration Process to determine where candidates will/will not be eligible for special consideration.
- Ensures that, where relevant and in eligible situations, applications for special consideration will be submitted to awarding bodies.

##### Teaching staff and/SENCo

- Provide any appropriate evidence or information that may be required to determine a candidate's eligibility for special consideration.

##### Candidates (or parents/carers)

- Provide any medical or other evidence that may be required to determine eligibility for special consideration.

#### Applying for Special Consideration

Where eligible, special consideration will be applied for at the time of the assessment where candidates have been fully prepared and have covered the whole course but performance in the examination, or in the production of coursework or non-examination assessment, is materially affected by adverse circumstances beyond their control.

For candidates who are present for the assessment but disadvantaged Sir James Smith's School must be satisfied that there has been a material detrimental effect on candidate examination performance or in the production of coursework or non-examination assessment.

- Where a candidate may arrive for an exam and is clearly unwell, extremely distressed and/or may have sustained an injury that requires emergency access arrangements to be put in place:
  - The candidate will be kept comfortable and under centre supervision from the required time while appropriate arrangements are put in place for the candidate to take the exam in the best possible conditions;
  - A judgement will be made on how the candidate's situation or disposition affected performance in the exam;
  - Where appropriate and where eligible, special consideration will be applied for
- Where candidates may be affected by a major disturbance in the exam room (e.g. emergency evacuation), special consideration will be applied for on behalf of all candidates.
- Where a candidate takes multiple exams (three or more exams) timetabled for the same day and the total duration for those papers is more than 5 hours 30 minutes including any approved extra time but not any time taken for supervised rest breaks, special consideration for an allowance on the last paper taken will be applied for.
- Where a candidate may be affected by a minor disturbance in the exam room caused by another candidate (momentary bad behaviour, mobile phone ringing, etc.) special consideration cannot be applied for.

If a candidate is absent from a timetabled component/unit for acceptable reasons, and the centre can support this, special consideration will be applied for if the exam missed is in the terminal series and the minimum requirements for enhanced grading in cases of acceptable absence can be met. For unitised examinations taken in an examination series prior to certification, candidates must be re-entered for any missed units at the next assessment opportunity. Unless there are difficulties arising, e.g. group performances which cannot be repeated, special consideration will not be awarded.

Where other issues or problems affect a candidate or a group of candidates, special consideration will be explored and applied for where eligible. This might include, for example:

- Other certification
- Coursework/non-examination assessment extensions
- Shortfall in work (coursework/non-examination assessment)
- Lost or damaged work (non-examination assessment components)
- Candidate taking an incorrect or defective question paper
- Candidates taking the wrong controlled assessment or non-examination assessment assignment

Where a candidate may be eligible for special consideration (a post assessment adjustment) in a vocational qualification, the centre will follow SC 7 and awarding body guidance to determine if, when and how an adjustment can be applied for.

## **Processing applications for special consideration**

### **Roles and responsibilities**

#### **Head of centre/Senior leadership team**

- Ensures that all eligible applications will be supported by signed evidence produced by a member of the senior leadership team.

### **Exams officer**

- Understands that special consideration must be applied for at the time of the assessment.
- Understands that special consideration cannot be applied in a cumulative fashion and that where a candidate may be affected by different indispositions, special consideration should only be applied for the most serious indisposition.
- Ensures applications will be processed as required by the awarding bodies.
- Keeps evidence to support all applications on file until after the publication of results and provides the signed evidence provided by a member of the senior leadership team to support an application where this may be requested by an awarding body.
- Meets the required deadline(s) for submitting applications.
- Will inform candidates and/or parents of the application for Special Consideration and the outcome.

### **Teaching staff and/SENCo**

- Provide any appropriate evidence or information that may be required to support a candidate's application for special consideration.

### **Candidates (or parents/carers)**

- Will be asked to provide any required medical or other evidence that may be required to support an application for special consideration.
- Will be informed that all cases must be dealt with by the centre.

### **Submitting applications for special consideration**

Where a candidate or group of candidates is/are eligible for special consideration, applications will be submitted to the relevant awarding body following the JCQ published processes.

In cases of online applications for special consideration, the candidate/candidates will be informed when an application for special consideration is submitted to the awarding body (to ensure compliance with the UK GDPR/Data Protection Act 2018).

Evidence to support all applications will be kept on file until after the publication of results.

### **Timetabled written exams**

- For GCSE qualifications, applications for individual candidates will be submitted online by logging into the relevant awarding body secure extranet site and following the links to special consideration.
- The processes for submitting a single application to cover all exams affected where a candidate is present but disadvantaged and a separate application for each day on which exams are missed where a candidate is absent from an examination for an acceptable reason, detailed in SC 6 will be followed.
- For other qualifications, applications will be submitted online where the awarding body's secure system accepts these.
- Form 10 Application for special consideration will only be completed and submitted to the awarding body where a paper application is specifically required by the awarding body.
- For cases involving groups of candidates, applications will be made online where the awarding body's secure system accepts group applications or form 10 will be completed.
- Form 14 Self certification form (self certification for candidates who have missed an examination) will only be completed by a candidate where circumstances warrant this and will not be used where the centre knows the candidate was ill.

### **Internally assessed work**

- Where appropriate, applications will be made online where the awarding body's secure system accepts them or form 10 will be completed and submitted to the awarding body.
- Where a short extension to a work submission deadline for an individual candidate is being requested, the awarding body will be contacted directly.
- Where an application relates to a shortfall in work for an individual candidate, this will be submitted online or by completing form 10, dependent on the awarding body.

### **Post assessment adjustments – vocational qualifications**

- Where the learner's circumstances are eligible, form 10 or form VQ/SC Application for special consideration Vocational qualifications will be completed and submitted to the awarding body.

### **Private candidates**

- Any private candidates entered by the centre must liaise with the exams officer (not the awarding body) regarding any application for special consideration.

### **Late applications**

If, after the publication of results for a particular exam series, a claim is made that special consideration was not applied for at the time of an assessment where a candidate was eligible, the claimant will be informed that late applications will only be accepted by an awarding body in the most exceptional circumstances and where a member of the senior leadership team is able to produce compelling evidence to support a late application.

If a claim is made after the completion of a review of results, the claimant will be informed that an application for special consideration cannot be submitted.

## Appendix 9 – RECOGNITION OF PRIOR LEARNING

### What is Recognition of Prior Learning (RPL)?

RPL is a method of assessment that considers whether learners can demonstrate that they can meet the assessment requirements for a unit through knowledge, understanding or skills they already possess and so do not need to develop through a course of learning.

RPL is a valid method of enabling individuals to claim credit for units, irrespective of how their learning took place. There is no difference between the achievement of the learning outcomes and assessment criteria of a unit through prior learning or through a formal programme of study.

### Scope

This policy applies to Level 1 and 2 vocational qualifications offered by Sir James Smith's School, where the aims and regulations of the framework allows, and must take into account the relevant validating or awarding body regulations pertaining to RPL. Where learning is evidenced only through a national examination then the learner is required to sit the examination (e.g. general qualifications such as GCSEs are not within the scope of this policy).

### Legislation

The Equality Act 2010 applies to the operation of this policy.

### Responsibilities

#### Head of Centre

- Staff are competent to undertake their roles and responsibilities in the procedures for verification and recognition of prior learning.
- Staff development is made available to those staff not conversant with or competent to undertake the procedures for RPL.

#### Subject Leaders/Teaching Staff/Assessor

- Are aware of the opportunities within their qualifications for RPL.
- Assess the validity and relevance of the RPL to the course.
- Develop, with the student, an action plan to address the learning outcomes of the programme via RPL.
- Identify the RPL evidence needed to support a claim for a qualification.

#### Quality Nominee

- Ensures assessment method for RPL is of equal rigour to other assessment methods, be fit for purpose and relate to the evidence of learning.

#### Student

- Shall be entitled to apply for RPL providing they meet the specific requirements of the validating or awarding body governing the qualification for which they are studying.

- May make an enquiry about RPL and shall be given timely and appropriate advice and guidance on the rules, regulations and processes involved in the accreditation.
- May appeal against the credit points awarded to RPL elements, but only on the grounds of non-observance of agreed procedures and/or improper applications of those procedures.
- Must provide evidence to show that the requirements of the unit, module or part of a unit or module have been covered.
- Must consult with the subject specialist in the preparation of their evidence.
- Must agree to attend any further appropriate assessments if initial evidence is deemed to be unsatisfactory for the RPL assessor.

## Appendix 10 – MALPRACTICE AND MALADMINISTRATION

### What is malpractice and maladministration?

‘Malpractice’ and ‘maladministration’ are related concepts, the common theme of which is that they involve a failure to follow the rules of an examination or assessment. This policy and procedure uses the word ‘malpractice’ to cover both ‘malpractice’ and ‘maladministration’ and it means any act, default or practice which is:

- A break of the Regulations
- A breach of awarding body requirements regarding how a qualification should be delivered
- A failure to follow established procedures in relation to a qualification which:
  - Gives rise to prejudice to candidates
  - Compromises public confidence in qualifications
  - Compromises, attempts to compromise or may compromise the process of assessment, the integrity of any qualification or the validity of a result or a certificate
  - Damages the authority, reputation or credibility of any awarding body or centre of any officer, employee or agent of any awarding body or centre.

### Candidate malpractice

‘Candidate malpractice’ means malpractice by a candidate in connection with any examination or assessment, including the preparation and authentication of any controlled assessments, coursework or non-examination assessments, the presentation of any practical work, the compilation of portfolios of assessment evidence and the writing of any examination paper.

### Centre staff malpractice

‘Centre staff malpractice’ means malpractice committed by:

- A member of staff, contractor (whether employed under a contract of employment or a contract for services) or a volunteer at a centre; or
- An individual appointed in another capacity by a centre such as an invigilator, a Communication Professional, a Language Modifier, a practical assistant, a prompter, a reader or a scribe.

### Suspected malpractice

For the purposes of this policy, suspected malpractice means all alleged or suspected incidents of malpractice.

### Purpose of the policy

To confirm Sir James Smith’s School has in place a written malpractice policy which covers all qualifications delivered by the centre and details how candidates are informed and advised to avoid committing malpractice in examinations/assessments, how suspected malpractice issues should be escalated within the centre and reported to the relevant awarding body.

### General principles

In according with the regulations the School will

- Take all reasonable steps to prevent the occurrence of any malpractice (which includes maladministration) before, during and after the examinations have taken place.

- Inform the awarding body immediately of any alleged, suspected or actual incidents of malpractice or maladministration involving a candidate or a member of staff, by completing the appropriate documentation.
- As required by an awarding body, gather evidence of any instances of alleged or suspected malpractice (which includes maladministration) in accordance with the JCQ publication Suspected Malpractice – Policies and Procedures and provide such information and advice as the awarding body may reasonably require.

### **Informing and advising candidates how to avoid committing malpractice in examinations/assessments**

Candidates will be informed of exam rules, including what constitutes malpractice, via:

- year group assemblies and tutor time prior to the exam season starting;
- the Exams Noticeboard in school all year round;
- the school's website has 'Exams Guidance' with links to the relevant student information about malpractice;
- a paper summary of 'Exams Guidance' with a reminder to read the warning notices outside each exam room, distributed with paper exam timetables;
- an email to parents and students with JCQ's *Information for Students* which includes information on malpractice;
- posters outside each exam room, as required by JCQ *Instructions for Conducting Exams*.

### **AI Use in Assessments**

With reference to the JCQ guidance for Teachers & Assessors - *AI Use in Assessments: Protecting the Integrity of Qualifications*:

Students complete the majority of their exams and a large number of other assessments under close staff supervision with limited access to authorised materials and no permitted access to the internet. The delivery of these assessments should be unaffected by developments in AI tools as students must not be able to use such tools when completing these assessments.

There are some assessments in which access to the internet is permitted in the preparatory, research or production stages. The majority of these assessments will be Non-Examined Assessments (NEAs), coursework and internal assessments for General Qualifications (GQs) and Vocational & Technical Qualifications (VTQs). JCQ's guidance which is designed to help students and teachers to complete NEAs, coursework and other internal assessments successfully is followed in relation to these assessments.

Use of AI in any internally or externally assessed work is malpractice and will be reported to the relevant exam board.

### **Escalating suspected malpractice issues**

Once suspected malpractice is identified, any member of staff at the centre must immediately report it to the Head of Centre.

### **Reporting suspected malpractice to the awarding body**

The Head of Centre (Head Teacher) will notify the appropriate awarding body immediately of all alleged, suspected or actual incidents of malpractice, using the appropriate forms, and will conduct

any investigation and gathering of information in accordance with the requirements of the JCQ publication *Suspected Malpractice: Policies and Procedures*.

The Head of Centre will ensure that where a child is the subject of a malpractice investigation, the candidate's parent/carer/appropriate adult is kept informed of the progress of the investigation.

Malpractice by a candidate discovered in a controlled assessment, coursework or non-examination assessment component prior to the candidate signing the declaration of authentication need not be reported to the awarding body but will be dealt with in accordance with the centre's internal procedures. The only exception to this is where the awarding body's confidential assessment material has potentially been breached. The breach will be reported to the awarding body immediately.

If, in the view of the investigator, there is sufficient evidence to implicate an individual in malpractice, that individual (a candidate or member of staff) will be informed of the rights of the accused individuals.

Once the information gathering has concluded, the Head of Centre (or other appointed information-gatherer) will submit a written report summarising the information obtained and actions taken to the relevant awarding body, accompanied by the information obtained during the course of their enquiries.

The awarding body will decide on the basis of the report, and any supporting documentation, whether there is evidence of malpractice and if any further investigation is required. The Head of Centre will be informed accordingly.

### **Communicating malpractice decisions**

Once a decision has been made, it will be communicated in writing to the Head of Centre as soon as possible. The Head of Centre will communicate the decision to the individuals concerned and pass on details of any sanctions and action in cases where this is indicated. The Head of Centre will also inform the individuals if they have the right to appeal.

### **Appeals against decisions made in cases of malpractice**

Sir James Smith's School will:

Provide the candidate with information on the process and timeframe for submitting an appeal, where relevant;

Refer to further information and follow the process provided in the JCQ publication

*A guide to the awarding bodies' appeals processes.*