



**KING EDWARD VI**  
SCHOOL LICHFIELD

# **EXAMS POLICY**

## **2025/26**

This policy is reviewed annually to ensure compliance with current regulations

Approved/reviewed by	
P Cotton	
Date of next review	November 2026



### Key staff involved in the policy

Role	Name(s)
Head of centre	<b>Catharine Forster</b>
Exams officer line manager (Senior leader)	<b>Paul Cotton</b>
Exams officer	<b>Louise Collyer</b>
SENCo	<b>Katy Pemberton</b>
Senior leader(s)	<b>Laura Hurn, Paul Cotton, Martin Shaw, Katie Hinz, Dave Butler, Richard Larkin</b>
Access Arrangements	<b>Mrs C Cusack / Mrs M Grainger</b>



## Purpose of the policy

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

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

This policy will be communicated to all relevant centre staff, it will be on the website for all to access and highlighted to all staff yearly once updated.

## Roles and responsibilities overview

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

**The examinations officer** is the person appointed by the head of centre to act on behalf of, and be the main point of contact for, the centre in matters relating to the general administration of awarding body examinations and assessments.

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

The head of centre and/or examinations officer may operate across more than one centre. In such cases the head of centre must ensure there is suitable support in place, so they can meet their obligations across all centres for which they are responsible. The head of centre must ensure that these arrangements are covered by their examination contingency plan.

### Head of centre responsibilities

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

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

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

**(ICE Introduction) It is the responsibility of the head of centre to ensure that all staff comply with the instructions in the [Instructions for conducting examinations](#) document.**

Failure to do so may constitute malpractice as defined in the JCQ document [Suspected Malpractice: Policies and Procedures](#)



The head of centre must ensure:

- compliance with the published JCQ regulations and awarding body requirements to deliver the qualification(s)
- appropriate controls are in place which ensure accurate data is submitted to the awarding bodies by the required deadlines, e.g. registrations, entries, learner claims, centre-assessed marks or modified papers
- all reasonable steps are taken to respond promptly to requests for information or documentation made by an awarding body or regulatory authority

### Head of centre

- Understands the contents, refers to and directs relevant centre staff to current JCQ documents including:
  - A guide to the special consideration process (SC)
  - Access Arrangements and Reasonable Adjustments (AARA)
  - AI Use in Assessments: Your role in protecting the integrity of qualifications
  - Guidance for centres on cyber security
  - Instructions for conducting coursework (ICC)
  - Instructions for conducting examinations (ICE)
  - Instructions for conducting non-examination assessments (GCE and GCSE specifications) (NEA)
  - Instructions for conducting non-examination assessments (Vocational and Technical Qualifications) (NEA VTQs)
  - Notice to Centres – Informing candidates of their centre-assessed marks
  - Plagiarism in Assessments – Guidance for Teachers/Assessors
  - Suspected Malpractice – Policies and Procedures (SMPP)
- Ensures the centre has appropriate accommodation at the registered address to support the size of the cohorts being taught, including appropriate accommodation for candidates requiring access arrangements and/or practical assessments.
- Where/if using a third party to deliver any part of a qualification (including the assessments or the administration) at the centre:
  - maintains oversight of, and responsibility for, the delivery and administration of the qualification in accordance with JCQ regulations and awarding body requirements
  - has in place a robust written agreement with the third party that includes provisions which ensure that qualifications are delivered in a way that complies with their agreement with the awarding body, to ensure there is a shared understanding of the arrangement and will manage the risk of failure by the third party to deliver the expected service
  - ensures that a copy of the written agreement is available for inspection if requested by the awarding body
  - monitors delivery by the third party to maintain compliance with the published JCQ regulations and awarding body requirements, ensuring the security and integrity of examinations and assessments
  - ensures sufficient managerial and other resources are in place to resolve any issues
- Ensures that relevant members of staff respond promptly to requests and/or actions raised by the JCQ Centre Inspection Service, understanding that failure to do so could result in the same penalties as listed in the previous bullet point
- Ensures that relevant members of staff respond promptly to requests for information from awarding bodies relating to the administration and conducting of examinations/assessments
- 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



## Resilience and contingency arrangements

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

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

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

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

The plan must cover the following scenarios:

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

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

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

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

## Cyber security

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

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

The training must include:

- o the importance of creating strong, unique passwords for all accounts
- o keeping all account details strictly confidential



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

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

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

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

#### Recruitment, selection and training of staff

- Retains a workforce of an appropriate size and competence, including sufficient managerial and other appropriate resources, to undertake the delivery and administration of the qualification and assessments 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. The centre's contingency planning must include succession arrangements for members of staff involved in examination and assessment administration
- 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), teachers, the examinations officer (EO) and the SENCo to receive appropriate training and support to facilitate the effective delivery of examinations and assessments within the centre, and ensure compliance with the published JCQ and awarding body regulations
- Ensures the SENCo (or equivalent role), the centre's appointed access arrangements assessor and the examinations officer undertake regular CPD, such as attending an annual update course
- Ensures that the SENCo (or equivalent role) understands the JCQ document [Access Arrangements and Reasonable Adjustments](#) and is given sufficient time to manage the access arrangements process within the centre
- Ensures that the examinations officer understands relevant awarding body and JCQ documentation and has sufficient time to perform their role
- Ensures that any member(s) of the senior leadership team who are responsible for examination administration familiarise themselves with relevant awarding body and JCQ documentation
- Ensures that teachers understand the relevant awarding body and JCQ documentation for the qualifications they are delivering to ensure they are delivered in line with the relevant regulations



## External and Internal governance arrangements

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

**Escalation Process:** This is available in the policy folder.

- Along with the Head of Centre, Paul Cotton (Deputy Head and member of the Senior Leadership Team) will provide support and guidance to the examinations officer and ensure that the integrity and security of examinations and assessments is maintained throughout an examination series.
- Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the Exams Officer
- 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
- Makes sure that a teacher, a tutor or a senior member of centre staff who teaches the subject being examined, is not an invigilator during the 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

## Public liability

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

## Controlled assessments, coursework and non-examination assessments

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



## Security of assessment materials

- Takes all reasonable steps to maintain the integrity of the examinations/assessments, including the security of all assessment materials, by ensuring:
  - that assessment materials supplied to the centre by the awarding body, including pre-release materials and set assignments, and information about their contents are only shared with appropriate centre staff and candidates and are not shared outside the centre
  - reporting immediately to the awarding body/bodies any potential or actual breach of examination or assessment materials
- Makes arrangements to:
  - receive, check and store question papers and examination material safely and securely at all times and for as long as required in accordance with the current JCQ document Instructions for conducting examinations
  - access, download, print (where appropriate) and store electronic assessment materials safely and securely at all times in accordance with section 4 of the current JCQ document Instructions for conducting examinations
  - issue material received from the awarding bodies to staff and candidates, and notify them of any advice and instructions relevant to the examinations and assessments
- Provides candidates access to relevant pre-release materials on, or as soon as possible after, the date specified by the awarding bodies

## Policies/procedures

- Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place (that allow the senior leadership team to act immediately in the event of an emergency or staff absence)
- Has in place the following written policies for inspection that must be reviewed and updated annually by a member of the senior leadership team and communicated within the centre:

**Escalation Process:** This is available in the policy folder.

**Exam contingency plan:** This is available in the policy folder and covers all aspects of examination and assessment administration and delivery.

**Internal appeals procedures:** This covers appeals regarding internal assessment decisions, access to post-result services and appeals, and centre decisions relating to access arrangements and special consideration and is available in the policy folder. It is displayed on the school website and brought to the attention of candidates and parents/carers.

**Complaints and appeals procedure:** This is available in the policy folder and on the school website. 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.

**Conflicts of Interest Policy (Exams):** This is available in the policy folder and on the school website.

**Cyber Security Policy:** This is available in the policy folder.

**Malpractice Policy:** This is available in the policy folder.

**Child protection/safeguarding policy:** This is available in the policy folder and on the school website. 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:** This is available in the policy folder and on the school website. Ensures the centre has a data protection policy in place that complies with General Data Protection Regulation and Data Protection Act 2018 regulations.

**Equalities Policy:** This is available in the policy folder and on the school website. 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.



## King Edward VI School, Lichfield

**Non-examination Assessment (including controlled assessments and coursework) Policy:** This is available in the policy folder and on the school website.

**Access arrangements policy:** This policy ensures the centre has documented processes in place relating to access arrangements and reasonable adjustments. This is available in the policy folder and on the school website.

**Whistleblowing Policy (Exams):** This is available in the policy folder and on the school website. Ensures the centre has a whistleblowing policy in place.

**Word Processor Policy (Exams):** This is available in the policy folder.

## National Centre Number Register

- Provides contact details as follows:
  - a physical address to which all examination and assessment materials will be despatched – this must be the registered address of the centre
  - a landline telephone number – this must be the number of the main office/ switchboard of the centre
  - a contact email address for communications – this must be the email address of the person or team responsible for the administration of examinations (Personal email addresses such as 'Yahoo', 'Hotmail' and 'Gmail' are not acceptable). Note: Except for WJEC, if this is a shared email account it must not be used to access awarding body secure websites
  - the name of the head of centre and their email address
  - senior designated contact details (this might include a personal mobile number and/or email address) (These must be the contact details of someone who can be reached in an emergency if the centre is closed over the summer and who can mobilise resources to respond to the issue)
- Completes the National Centre Number Register annual update by the end of October every year even if there are no changes to centre details
  - informs the National Centre Number Register Team immediately (email address – ncn@ocr.org.uk) if any changes occur after the National Centre Number Register annual update has taken place (This must be on centre headed stationery which can be sent as an email attachment including the signature of the head of centre)
  - informs the National Centre Number Register Team (email address – ncn@ocr.org.uk) of any changes to relevant contact details no later than 6 weeks prior to moving to a new address or re-locating of the secure storage facility (This must be on centre headed stationery which can be sent as an email attachment)
  - informs the National Centre Number Register Team immediately of any other changes in circumstances that could affect the centre's status
  - completes the National Centre Number Register Head of Centre Declaration by the end of October every year confirming they are aware of and adhering to the latest versions of the JCQ regulations
  - responds to any other reasonable requests made by the National Centre Number Register Team
- Understands that the responsibility for completing the Head of Centre declaration survey cannot be delegated to a member of the senior leadership team or the examinations officer, and acknowledges that failure to respond to the NCNR annual update, the head of centre declaration and/or requests or actions raised by the JCQ Centre Inspection Service, will result in:
  - the centre status being suspended
  - the centre not being able to submit examination entries
  - the centre not receiving or being able to access question papersand ultimately, awarding bodies could withdraw their approval of the centre.

## Centre inspections

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



## Exams officer

- Understands the contents of annually updated JCQ documents including:
  - General Regulations for Approved Centres
  - Instructions for conducting examinations
  - Suspected Malpractice - Policies and Procedures
  - Post-Results Services (PRS)
  - A guide to the special consideration process
- Completes/submits the National Centre Number Register annual update (administered on behalf of the JCQ member awarding bodies by OCR <https://ocr.org.uk/administration/ncn-annual-update/>) by the end of October each year
  - 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** (e-mail address – [ncn@ocr.org.uk](mailto:ncn@ocr.org.uk)) if any changes occur after the National Centre Number Register annual update has taken place
  - (Where it may be applicable) Informs the National Centre Number Register Team no later than 6 weeks prior to moving to a new address or a re-location of the secure storage facility
  - Informs the National Centre Number Register Team immediately of any other changes in circumstances that could affect the centre's status
- Is familiar with the contents of annually updated information from awarding bodies on administrative procedures, key tasks, key dates and deadlines
- Ensures key tasks are undertaken and key dates and deadlines met
- Recruits, trains and deploys a team of internal/external invigilators; appoints lead invigilators, as required and keeps a record of the content of training provided to invigilators for the required period
- Works with the SENCo to ensure invigilators supervising access arrangement candidates and those acting as a facilitator supporting access arrangement candidates fully understand the respective role and what is and what is not permissible in the exam room
- Supports the head of centre in ensuring that awarding bodies are informed (where required) of any conflict of interest declared by members of centre staff and in maintaining records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected before the published deadline for entries for each examination series
- Briefs other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials on the requirements for maintaining the integrity and confidentiality of the exam materials

## Senior leaders

- Are familiar with the contents, refer to and direct relevant centre staff to current JCQ documents including:
  - A guide to the special consideration process
  - Access Arrangements and Reasonable Adjustments
  - AI Use in Assessments: Your role in protecting the integrity of qualifications
  - Guidance for centres on cyber security
  - Instructions for conducting coursework
  - Instructions for conducting examinations
  - Instructions for conducting non-examination assessments (GCE and GCSE specifications)
  - Instructions for conducting non-examination assessments (Vocational and Technical Qualifications)
  - Notice to Centres – Informing candidates of their centre-assessed marks
  - Plagiarism in Assessments – Guidance for Teachers/Assessors
  - Post-Results Services
  - Suspected Malpractice – Policies and Procedures
- 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



### *King Edward VI School, Lichfield*

- 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

### **Additional Learning Support (ALS) lead/Special educational needs co-ordinator (SENCo)**

- Understands the contents, refers to and directs relevant centre staff to current JCQ documents including:
  - [Access Arrangements and Reasonable Adjustments](#)
- Leads on the access arrangements and reasonable adjustments process (referred to in this policy as 'access arrangements')
- If not the qualified access arrangements assessor, works with the person appointed, on all matters relating to assessing candidates and ensures the correct procedures are followed
- Presents when requested by a JCQ Centre Inspector, evidence of the assessor's qualification
- Ensures any applications for access arrangements or reasonable adjustments are submitted by the published deadline (The SENCo will hold on file appropriate documentary evidence to substantiate such an arrangement, which is open to inspection. For those qualifications covered by Access Arrangements Online, a JCQ Centre Inspector will sample a centre's applications)
- Ensures a file is presented which must contain for each online application the downloaded approval for the respective arrangement(s) and supporting evidence of need and a signed candidate data personal consent form (This information must be readily available for inspection at the venue where the candidate is taking the examination(s))
- Ensures requests for modified papers are submitted by the published deadline
- Ensures there are appropriate resources in place at the time of examinations/assessments to meet candidates' needs, e.g. sufficient readers and scribes

### **Teaching staff**

- Undertake key tasks, as detailed in this policy, within the exams process and meet internal deadlines set by the EO and SENCO
- Keep updated with awarding body subject and teacher-specific information to confirm effective delivery of qualifications
- Attend relevant awarding body training and update events

### **Invigilators**

- Attend/undertake training (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

### **Site staff**

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

### **Candidates**

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

### **The exam cycle**

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

- planning
- entries
- pre-exams



- exam time
- results and post-results

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

## Planning: roles and responsibilities

### Secure materials

#### **Head of centre**

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

#### **The secure room and the secure storage facility**

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

#### **The secure room**

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

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

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

#### **The secure storage facility**

Access to the secure storage facility **must** be restricted to between two and six key holders, one of whom **must** be the exams officer.

- The two to six key holders **must** either be part of the exams team or the senior leadership team. A key holder from the exams team **must** be a permanent member of staff or a member of staff who has a formal contract of employment and is subject to standard HR policies and procedures...
- When the secure storage facility is being accessed for the storage and preparation of secure assessment materials the door to the secure room **must** be closed.

### Information sharing

#### **Head of centre**

- Directs relevant centre staff to annually updated JCQ documents including [GR](#), [ICE](#), [AA](#), [SM](#), [NEA](#) (and the *Instructions for conducting coursework*) and [SC](#)

#### **Exams officer**

- Signposts relevant centre staff to JCQ 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
- Researches awarding body guidance to identify administrative processes, key tasks, key dates and deadlines for all relevant qualifications
- Produces an annual exams plan of key tasks and key dates to ensure all external deadlines can be effectively met; informs key centre staff of internal deadlines



- Collects information on internal exams to enable preparation for and conduct of (insert the titles these internal exams are referred to in the centre)

## 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 document [Access Arrangements and Reasonable Adjustments](#)

### Assessor qualification checking process

In accordance with AA, (Appointment of assessors of candidates with learning difficulties) the Head of Centre will verify that access arrangements assessors have successfully completed a post-graduate course at or equivalent to Level 7, including at least 100 hours relating to individual specialist assessment. The Head of Centre will sign a copy of the assessors' qualification certificates to confirm that this check has taken place. A copy of the signed certificate will be retained as evidence. The SENCo line manager (Senior leader) will ensure the correct procedures are followed as in the JCQ document Access Arrangements and Reasonable Adjustments.

- Ensures the SENCo is fully supported in effectively implementing access arrangements and reasonable adjustments once approved

### SENCo

- Assesses candidates (or works with the appropriately qualified assessor as appointed by the head of centre) to identify access arrangements/reasonable adjustments requirements
- Gathers **evidence** to support the need for access arrangements for a candidate
- Liaises with teaching staff to gather evidence of **normal way of working** of an affected candidate
- Determines candidate eligibility for arrangements or adjustments that are centre-delegated
- Informs relevant candidates that an application for access arrangements will be processed using Access Arrangements Online (AAO), complying with the UK GDPR and the Data Protection Act 2018
- Applies for **approval** through **Access arrangements online** (AAO) via the **Centre Admin Portal** (CAP), where required or through the awarding body where any qualifications sit outside the scope of AAO
- Keeps a file for each candidate for JCQ inspection purposes containing all the required documentation (if 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
- Ensures staff appointed to facilitate access arrangements for candidates are appropriately trained and understand the rules of the particular arrangement(s) and keeps a record of the content of training provided to facilitators for the required period



- Works with the EO to ensure invigilators and those acting as a facilitator fully understand the respective role and what is and what is not permissible in the exam room
- Liaises with the relevant member of the senior leadership team on the centre's policy on the use of word processors in examinations
- Ensures criteria for candidates granted separate invigilation within the centre is clear, meets JCQ regulations and best meets the needs of individual candidates and remaining candidates in main exam rooms

### Senior leaders, Teaching staff

- Support the SENCo in determining and implementing appropriate access arrangements/reasonable adjustments
- 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 and portfolios of evidence**

- 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, and/or fully qualified assessors for the verification of centre-assessed components
- Ensures an **internal appeals procedure** relating to internal assessment decisions is in place for a candidate to appeal against and request a review of the centre's marking (see Roles and responsibilities overview)
- Ensures a written policy regarding the management of non-examination assessments, including controlled assessments and coursework, which includes details on how candidates' work will be authenticated, is in place
- Ensures that where candidates' work is produced electronically it is backed-up and considers the contingency of candidates' work being backed-up on two separate devices, including one off-site back-up via the Cloud (Implementing appropriate security arrangements which protect candidates' work in the event of IT system corruption and cyber-attacks)

#### 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 reformed GCE & GCSE specifications and Vocational and Technical Qualifications (which include components of non-examination assessment) follow JCQ [Instructions for conducting non-examination assessments](#) and the specification provided by the awarding body
- Ensure teaching staff delivering qualifications which include (wholly or in part) units of coursework follow JCQ Instructions for conducting coursework and the specification provided by the awarding body
- 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 arrangements

##### **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
- Ensures that, wherever possible the following individuals are not assigned as invigilators during an examination: a teacher, teaching assistant, tutor or senior member of centre staff who teaches the subject being examined or a learning support assistant who has supported one or more candidates

#### **Exams officer**

- Recruits additional invigilators where required to effectively cover all exam periods/series' throughout the academic year
- Collects information on new recruits to identify if they have invigilated previously and if any current maladministration or malpractice sanctions are applied to them
- Provides 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 and registrations: roles and responsibilities**

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

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

#### Estimated entries

##### **Exams officer**

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

##### **Estimated entries collection and submission procedure**

The EO sends an information request form the heads of department in late summer or early autumn. They record on this form the specifications and units (if relevant) for which they intend to make



entries during the coming academic year along with anticipated numbers of students. The EO submits these estimated entries via each exam board's website and retains a record along with the completed information form.

- Makes candidates aware of the JCQ **Information for candidates – Privacy Notice** at the start of a course leading to a vocational qualification or when entries are submitted to awarding bodies for processing for general qualifications

#### 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

##### Head of centre

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

##### Exams officer

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

#### Final entries collection and submission procedure

The EO sends an information request form the heads of department in the autumn term. This includes the boards, specification and unit codes which were previously provided, along with the class lists of students who are following each course. The head of department completes this to indicate whether or not each student should be entered for the qualification. The EO records the entries/registrations in mark sheets in the exams software package. The EO sends a copy of each mark sheet and summary entry lists by specification / unit back to the head of department for final checking and sign off. When all mark sheets and summary reports have been signed off as correct, the EO submits the entries/registrations to each board via EDI.

#### 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

The school undertakes to meet the cost of entry fees for its students. In the case of private candidates or other instances where the entry fee is to be met by the candidate, the fee will be collected prior to the entry being made and a record maintained. Resit entry fees are met by the candidate unless there are exceptional circumstances.



#### Exams officer

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

#### Senior 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

Resit entry fees are met by the candidate unless there are exceptional circumstances.

#### Private candidates

Private entry fees are met by the candidate. The SENCo will determine if any access arrangements and reasonable adjustments required by a private candidate according to the JCQ's document **Access arrangements and reasonable adjustments**.

#### 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

#### Head of centre

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

#### Access arrangements and reasonable adjustments

#### SENCo

- Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access to exams/assessments for candidates with learning difficulties or disabilities, those for whom English is an additional language and those with a temporary illness or injury
- Ensures a candidate is involved in any decisions about arrangements, adjustments and /or adaptations that may be put in place for them
- Ensures exam information (JCQ information for candidates documents, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it
- Allocates appropriately trained centre staff to facilitate access arrangements for candidates in exams and assessments (ensuring that the facilitator appointed meets JCQ requirements and fully understands the rule of the access arrangement)
- Where relevant, ensures the necessary and appropriate steps are undertaken to gather an appropriate picture of need and demonstrate normal way of working for a private candidate (such as a distance learner or a home educated student) and that the candidate is assessed by the centre's appointed assessor



## Briefing candidates

### **Exams officer**

- Issues individual exam timetable information to candidates and informs candidates of any designated contingency day(s) 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
  - unauthorised items in exam rooms
  - when and how results will be issued and the staff that will be available
  - post-results services information and how the centre will deal with requests from candidates
  - when and how certificates will be issued

## **Access to Scripts, Reviews of Results and Appeals Procedures**

- There are four possible Review of Results (RoR) services. All post-results service requests must be made through the centre.
  - Access to scripts (ATS)
  - Clerical re-check
  - Review of marking
  - Review of moderation (this service is not available to an individual candidate)
- After the release of results, candidates may ask the EO to request ATS within set internal deadlines. Centre staff may also request ATS for investigation or teaching purposes. The consent of candidates must be obtained. Reviews of results cannot be applied for once a script has been requested.
- Written candidate consent (informed consent via candidate email is acceptable) is required in all cases before a request is submitted to the awarding body as with these services candidates' marks and subject grades may be lowered. Candidate consent can only be collected after the publication of results. Written consent will be retained by the centre for at least six months following the outcome of the clerical recheck or review of marking or any subsequent appeal.
- If a concern is raised about a particular examination result, for example an error is suspected, the exams officer, teaching staff and head of centre will investigate the feasibility of requesting an enquiry supported by the centre.
- Where the centre does not uphold a request from a candidate, the candidate may pay the appropriate fee to the centre, and a request will be made to the awarding body on the candidate's behalf.
- If the candidate (or his/her parent/carer) believes there are grounds to appeal against the centre's decision not to support an enquiry, an internal appeal can be submitted to the centre by completing the internal appeals form attached to this policy at least 5 calendar days prior to the internal deadline for submitting an RoR.
- The appellant will be informed of the outcome of his/her appeal before the internal deadline for submitting an RoR.
- Payment for an RoR must be made in advance of the request being submitted to the board.
- Candidates will be informed of the outcome of a RoR promptly. Where a grade change has occurred, evidence will be sent to the candidate as confirmation.
- Where the board does invoice the centre for a RoR (for example when a grade increases), payment will be returned to the candidate promptly.
- Following the RoR outcome, an external appeals process is available if the head of centre remains dissatisfied with the outcome and believes there are grounds for appeal. The JCQ publications Post-Results Services and JCQ Appeals Booklet (A guide to the awarding bodies' appeals processes) will be consulted to determine the acceptable grounds for a preliminary appeal.



- Where the head of centre is satisfied after receiving the RoR outcome, but the candidate (or his/her parent/carer) believes there are grounds for a preliminary appeal to the awarding body, a further internal appeal may be made to the head of centre. Following this, the head of centre's decision as to whether to proceed with a preliminary appeal will be based upon the acceptable grounds as detailed in the JCQ Appeals Booklet. Candidates or parents/carers are not permitted to make direct representations to an awarding body.
- The internal appeals form should be completed and submitted to the centre within 2 calendar days of the notification of the outcome of the RoR. Subject to the head of centre's decision, this will allow the centre to process the preliminary appeal and submit to the awarding body within the required 30 calendar days of receiving the outcome of the enquiry about results process. Awarding body fees which may be charged for the preliminary appeal must be paid to the centre by the appellant before the preliminary appeal is submitted to the awarding body (fees are available from the exams officer). If the appeal is upheld by the awarding body, this fee will be refunded by the awarding body and repaid to the appellant by the centre.

### 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

### Estimated grades

#### **Senior leaders**

- Ensure teaching staff provide estimated grade information to the EO by the internal deadline (where this still may be required by the awarding body)

#### **Exams officer**

- Submits estimated grade information to awarding bodies to meet the external deadline (where this may still be required by the awarding body)
- Keeps a record to track what has been sent

### Internal assessment and endorsements

#### **Head of centre**

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

#### **SENCo**

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

#### **Teaching staff**

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

#### **Senior 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**



### *King Edward VI School, Lichfield*

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

### **Candidates**

- Authenticate their work as required by the awarding body

### Invigilation arrangements

#### **Exams officer**

- Provides an annually reviewed/updated invigilator handbook to invigilators, trains new invigilators on the current regulations on appointment and updates experienced invigilators on an annual basis of any regulation changes and any changes to centre-specific processes
- Deploys invigilators effectively to exam rooms throughout an exam series (including the provision of a roving invigilator where a candidate and invigilator (acting as a practical assistant, reader or scribe) are accommodated on a one-to-one basis to enter the room at regular intervals in order to observe the conducting of the exam, ensure all relevant rules are being adhered to and to support the practical assistant/prompter/reader and/or scribe in maintaining the integrity of the exam)
- Allocates invigilators to exam rooms (or where supervising candidates due to a timetable clash) according to the required ratios
- Liaises with the SENCo 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**

- Will accompany the Inspector throughout a visit

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

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

### Seating and identifying candidates in exam rooms

#### **Exams officer**

- Ensures a procedure is in place to verify the identity of all candidates
- Through training ensures invigilators are aware of the procedure
- Provides seating plans for exam rooms according to JCQ and awarding body requirements (and ensures candidates with access arrangements are identified on the seating plan and invigilators are informed of those candidates with access arrangements and made aware of the access arrangement(s) awarded)
- Prior to the examination, informs a private/external candidate or a transferred candidate who is not known to the centre that they must show photographic documentary evidence to prove that they are the same person who entered/registered for the examination/assessment, e.g. passport or photographic driving licence.
- Informs candidates prior to their first examination that where it is impossible to identify a candidate due to the wearing of religious clothing, such as a veil, the candidate will be approached by a member of staff of the same gender and taken to a private room where they will be politely asked to remove the



### *King Edward VI School, Lichfield*

religious clothing for identification purposes and that once identification has been established, the candidate should replace, for example, their veil and proceed as normal to sit the examination.

- Prior to the beginning of the examination, briefs invigilators on those candidates with access arrangements and makes them aware of the access arrangement(s) awarded.

### **Procedure detailing how the identity of all candidates sitting examinations is confirmed**

- Purpose of the procedure
  - verifies the identity of all students that it enters for examinations or assessments
  - has processes in place to be satisfied that that all candidate identities have been checked
  - has written procedures in place to verify the identity of all candidates at the time of the examination or assessment

#### **Checking the identity of students on initial registration / admission**

The identity of students on roll at King Edward VI School Lichfield is checked as part of the initial registration / admission process.

Staffordshire County Council Education Authority informs King Edward VI School Lichfield of the names of the new Year 7 cohort allocated to the school. This list contains details including name, date of birth, sex, UPN, address, current primary school. Staffordshire County Council Education Authority is responsible for checking ID of new admissions. Primary schools upload a Common Transfer File (CTF) to King Edward VI School Lichfield for each child to transfer their details. These are checked to ensure they match the new admissions details given by Staffordshire County Council Education Authority. They are then imported onto the school MIS system.

For in-year admissions for years 7-11 King Edward VI School Lichfield asks to see a copy of the student's original birth certificate. The student's previous school uploads the Common Transfer File (CTF) to King Edward VI School Lichfield with their details.

For new admissions into year 12, students have a face to face interview prior to acceptance. Students are required to provide a copy of their GCSE results slip from their previous school. King Edward VI School Lichfield verifies all of their details against the DfE website and also contacts the previous school to ensure each student's files are sent through.

#### **Checking the identity of internal candidates for exams**

In a large venue such as the sports hall, the head of year and form tutors are present to supervise entry into and seating of the examination where they identify each student. Seating staff will have a copy of the seating plan including candidate names and numbers, and a clear candidate card including this information will be present on the desks.

Any staff present are in accordance with the rules defined by JCQ concerning who is allowed in and what they can do. Students are issued with photographic ID cards and a full directory with photographs, names and candidates numbers for all students is available in large exam rooms. This enables exams staff to check the identity of students who arrive late after the head of year / form tutors have left.

In smaller venues where no pastoral staff are present, invigilators are provided with a photograph directory with names and candidates numbers of students for that room. Their identity is verified as they enter the examination room against the directory or their student ID card.

In all exam rooms a candidate card is placed on the desks according to the seating plan to indicate where the candidate should sit.

#### **Checking the identity of private candidates**

The identity of any student who has not received any tuition at King Edward VI School Lichfield but who may be accepted to enter examinations as a private candidate will be checked by a verification process which involves photo-ID (e.g. passport, driver's licence). The Exams Officer will ask to see photo-ID when entries are made and prior to the candidate's first exam, controlled assessment,



practical or speaking unit. A copy will be held on file and used by the Exams Officer or a designated member of the exams team to identify private candidates with no previous connection to the school before each exam.

Transferred candidates not known to the centre will be asked to show photographic documentary evidence in the same way to prove that they are the same person who entered/registered for the examination/assessment, e.g. a passport or photographic driver's licence.

If they do not have a valid passport or driver's licence with a photograph, they need to provide:

- a private candidate identification form completed and signed by a witness
- two passport-sized photographs taken within the last 12 months, one of which must be signed on the reverse by a witness.
- The witness must be a person who knows them and is in one of the following categories:  
Head of an educational institution, medical practitioner, minister of religion, magistrate, solicitor, bank manager, their employer.

Private candidates who have previously received tuition at King Edward VI School Lichfield may be identified by the photographic record held on file for them rather than photo-ID.

### **Wearing of religious clothing**

Where it is impossible to identify a candidate due to the wearing of religious clothing, such as a veil, the candidate is asked by a member of staff of the same gender and taken to a private room where they are politely asked to remove the religious clothing for identification purposes. Candidates will be informed in advance of this procedure well before their first examination.

Once identification has been established, the candidate may replace their religious clothing and proceed as normal to sit the examination.

### **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 exam materials are only handed over to those authorised by the head of centre
- Ensures access to the secure room is restricted and staff ~~named and~~ approved by the head of centre are accompanied by a keyholder at all times. There must be between two and six keyholders only, each of whom must fully understand their responsibilities as a key holder to the secure storage facility
- Has a process in place to demonstrate the receipt, secure movement and 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 packaging and keeps a log of the check
- Ensures the secure storage facility contains only current and live confidential material (ensuring that past examination question papers, internal tests and mock examinations are not kept in the centre's secure storage facility)
- Ensures that examination stationery, e.g. answer booklets and formula booklets are stored in the secure room (attempting to store this material in the secure storage facility, when sufficient space allows)



- Ensures the integrity and security of any electronic question paper is maintained during the downloading, printing and collating process (ensuring printing is carried out in an area that can be controlled to prevent unauthorised personnel accessing live assessment materials and ensuring only authorised members of centre staff have access to electronic question papers)  
A minimum of two and a maximum of six members of centre staff should be authorised to handle secure electronic materials, one of whom must be the exams officer. Other members of centre staff may assist with printing and collation provided they are under supervision.
- Ensures that the question paper is printed correctly, is of good quality and is collated in the right order

### Reception staff

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

### Teaching staff

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

### Timetabling and rooming

#### Exams officer

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

#### Overnight Supervision Arrangements Policy

Overnight supervision arrangements (allowing a candidate to take an exam paper the following morning) will only be allowed as a last resort and must be approved by the Head of Centre.

Overnight supervision arrangements are at the discretion of the centre. This arrangement will not be automatically granted, even if JCQ criteria for minimum timings are met.

The Head of Centre has the final decision on whether to accept that appropriate arrangements will put in place and that candidates (and/or parents/carers) understand the requirements.

- 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

- (Where/if applicable to the centre) Ensures question papers will only be taken to an alternative site where the published criteria for an alternative site arrangement has been met



### *King Edward VI School, Lichfield*

- Will inform the JCQ Centre Inspection Service to timescale by submitting a JCQ Alternative Site arrangement notification using CAP (or through the awarding body where a qualification may sit outside the scope of CAP) of any alternative sites that will be used to conduct timetabled examination components of the qualifications listed in the JCQ regulations

### Centre consortium arrangements

#### **Exams officer**

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

#### **Senior leaders**

- (Where/if applicable to the centre) Inform the EO of any joint teaching arrangements in place and where the centre is acting as the consortium co-ordinator

### Transferred candidate arrangements

#### **Exams officer**

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

### Internal exams

#### **Exams officer**

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

#### **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**

#### **Head of centre**

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

### Access arrangements

#### **Exams officer**

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



## Candidate absence

### **Candidate Absence Policy**

The head of year and EO will check for absentees. The EO, assistant or other delegated member of staff will call the candidate's home / parent / guardian to ascertain their whereabouts and support their arrival at the exam venue as soon as possible. The attendance officer is kept informed for safeguarding purposes. If the candidate is persistently late, the head of year will work with senior leadership, pastoral staff or student support as appropriate to support the student to arrive on time for subsequent exams.

## **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 recharged relevant entry fees for unauthorised absence from exams

## Candidate behaviour

See *Irregularities* below.

## Candidate belongings

See *Unauthorised items* below.

## Candidate late arrival

## **Exams officer**

- Ensures that candidates who arrive very late for an exam are reported to the awarding body by submitting a report on candidate admitted very late to examination room using CAP to timescale
- Warns candidates that their script may not be accepted by the awarding body

## **Invigilators**

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

### **Candidate Late Arrival Policy**

Candidates will usually be allowed to enter the exam room if they arrive within one hour of the published start time of an examination as long as disruption to other candidates can be minimised. The EO or assistant will accompany them, inform them where to sit and give instructions regarding regulations, procedures and the paper to be sat.

A candidate who arrives after the start of the examination will be allowed the full time for the examination.

The EO will liaise with a senior member of staff who has pastoral responsibilities where necessary.

Senior leadership will decide whether candidates who persistently arrive late can continue with the exams series.

## Conducting exams

## **Head of centre**

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



### **Exams officer**

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

### Dispatch of exam scripts

#### **Exams officer**

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

### Exam papers and materials

#### **Exams officer**

- Organises exam question papers and associated confidential resources in date order in the secure storage facility
- Attaches erratum notices received to relevant sealed question paper packets
- Collates attendance registers and examiner details in date order
- Regularly checks mail or email inbox for updates from awarding bodies
- In order to avoid potential breaches of security, ensures care is taken to ensure the correct question paper packets are opened by ensuring a member of centre staff, additional to the person removing the papers from secure storage, e.g. an invigilator, checks the day, date, time, subject, unit/component and tier of entry, if appropriate, immediately before a question paper packet is opened
- Ensures this second pair of eyes check is recorded
- Ensures question papers are always be kept in their sealed packets until the second pair of eyes check and log have been completed
- Ensures the second pair of eyes check takes place immediately before each question paper packet is opened in the designated examination room
- If the question paper packet needs to be split for different rooms on one or more sites or for an access arrangement, ensures the check takes place in the secure room
- Ensures unused question papers are not released to any individual until 24 hours after the awarding body's published finishing time for the examination (Where a candidate is sitting an examination scheduled for the afternoon session on the following morning under an overnight supervision arrangement, unused question papers for that examination must not be released to any individual until the candidate has completed that examination)

### Exam rooms

#### **Head of centre**

- Ensures that internal tests, mock exams, revision or coaching sessions are not conducted in a room 'designated' as an exam room
- Ensures that when a room is 'designated' as an exam room it is not used for any purpose other than conducting external exams
- Ensures only approved centre staff (who have not taught the subject being examined) are present in exam rooms to perform permitted tasks
- Ensures the centre's policy relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates
- Ensures the centre's policy on candidates leaving the exam room temporarily is clearly communicated to candidates



## Food and Drink Policy (Exams)

All candidates may bring in water to drink the exam room.

Food or other drinks are only allowed in the exam room where this has been agreed in advance to meet a medical need.

Any food or drink brought into the examination room whether by the candidate or the centre must be free from packaging and all labels are removed from drink containers. Drinks bottles must be transparent.

### 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
- Ensure arrangements are in place for a candidate with a disability who may need assistance if an exam room is evacuated

## Emergency Evacuation Policy (Exams)

This is available in the policy folder.

## Lockdown Policy (Exams)

This will be available in the policy folder.

### 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



## Irregularities

### **Head of centre**

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

### **Senior leaders**

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

### **Exams officer**

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

### **Invigilators**

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

### **Malpractice**

See *Irregularities* above.

### Special consideration

### **Senior leaders**

- Support eligible applications for special consideration by authorising appropriate evidence

### **Exams officer**

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

**Special Consideration Policy:** This forms part of the internal appeals policy is available in the policy folder.

### **Candidates**

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

### Unauthorised items

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

Any unauthorised items that have been taken into the examination room will be placed out of reach of the candidates (and not under their desks) before the examination starts. This would normally be at the front of the examination room or a similar arrangement that enables the invigilator to control access to the items.

The invigilator, prior to the examination starting, will ensure that candidates have removed their wrist watches, placing them at the front of the examination room if they were taken into the room.



## Invigilators

- Are informed of the arrangements through training

## Internal exams

### Exams officer

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

## Invigilators

- Conduct internal exams as briefed by the EO

## Results and post-results: roles and responsibilities

### Head of centre

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

## Internal assessment

### Senior 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
- Ensure senior members of staff are accessible to candidates immediately after the publication of results so that results may be discussed and decisions made on the submission of any requests for post-results services and ensure candidates are informed of the periods during which centre staff will be available so that they may plan accordingly

### Exams officer

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

## Site staff

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

## Accessing results

### Head of centre

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

### Exams officer

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



- Issues statements of results to candidates on issue of results date
- Provides summaries of results for relevant centre staff on issue of results date

### Post-results services

#### **Head of centre**

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

#### **Exams officer**

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

#### **Teaching staff**

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

#### **Candidates**

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

### Analysis of results

#### **Management Information 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://tablescanning.education.gov.uk>

### Certificates

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

#### **Certificate Issue Procedure and Retention Policy**

##### **Issue Procedure**

A presentation evening will take place towards the end of the year, when it is hoped that students will attend to receive certificates. Invitations to candidates and their parents are sent out with full details. Records are retained of candidates who attend and collect their certificates on presentation evening.

Candidates who are unable to attend the presentation evening are able to collect their certificates from the office.

Certificates are not given to anyone other than the candidate, without the candidate's written or email permission/authorisation.



ID must be shown by the person collecting the certificate. Candidates or authorised representatives sign to confirm they have collected their certificate, or the type of photo ID shown on collection will be recorded along with the date as evidence of collection. Letters of authorisation are retained by the centre.

#### Retention of certificates policy

The school is only obliged to keep certificates for a period of one year after issue. Where storage space allows, certificates may be retained beyond this period. If the certificate is not collected and it is destroyed confidentially and a record is made. If a certificate has been destroyed or the candidate loses their certificates) they can only be replaced by direct application to the appropriate examination boards. This will require proof of identity (such as a birth certificate) and a substantial fee per examination board. Candidates are urged to collect certificates promptly and to keep them safely.

### 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
- Collects and evaluates feedback from staff, candidates and invigilators to inform an exams 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 exams archiving policy that identifies information held, retention period and method of disposal

#### Exams Archiving Policy

All documentation, records and coursework are retained for the period specified by the JCQ as a minimum. Thereafter they may be confidentially destroyed.