

1. Key staff involved in the exams policy

Role	Name(s)
Head of centre	Tracy Watson
Centre Manager / Exams Officer Line Manager	Paul Blount
Exams Officer (EO)	Hannah Hayes
Named SENCo	Lyn Hattley
Senior Leaders	Tracy Watson, Paul Blount and Lyn Hattley

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*Policy

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2. Purpose of the policy

Engaging Potential (EP) is committed to ensuring that the exams management and administration process is run effectively and efficiently and in compliance with the published JCQ regulations and awarding bodies requirements.

This exam policy will ensure that:

- all aspects of EP's exam process is documented and other relevant exams-related policies, procedures and plans are signposted
- the workforce is well informed and supported
- all staff involved in the exams process clearly understand their roles and responsibilities
- all exams and assessments are conducted in accordance with 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 EP 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 or brought to the attention of all those identified with roles and responsibilities within the policy via MIS task manager.

3. 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 in order to ensure the security and integrity of examinations/assessments.

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 all matters relating to the administration of awarding body examinations and assessments.

The head of centre may not appoint themselves as the examinations officer. A head of centre and an examinations officer are two distinct and separate roles.

Head of Centre Responsibilities

The **head of centre** is the individual who is accountable to the awarding bodies for ensuring that the centre is always compliant with the published JCQ regulations and awarding body requirements to ensure the security and integrity of the examinations/assessments. **It is the responsibility of the head of centre to ensure that all staff comply with the instructions in this booklet.** Failure to do so may constitute malpractice as defined in the JCQ publication *Suspected Malpractice: Policies and Procedures, 1 September 2022 to 31 August 2023*:

<https://www.jcq.org.uk/exams-office/malpractice> (ICE Introduction)

i. Head of centre

- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:
[General regulations for approved centres](#) (GR)
[Instructions for conducting examinations](#) (ICE)

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

[Suspected Malpractice Policies and Procedures](#) (SMEA)

[Instructions for conducting non-examination assessments](#) (NEA) (and the instructions for conducting controlled assessment and coursework)

[A guide to the special consideration process](#) (SC)

- Ensures EP has appropriate accommodation to support the size of the cohorts being taught including appropriate accommodation for those requiring access arrangements and/or practical assessments
- Where/if using a third party to deliver any part of a qualification (including its assessments) at the centre:
 - maintains oversight of, and responsibility for, the delivery of the qualification in accordance with JCQ regulations and awarding body requirements
 - has in place a written agreement with the third party 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
- Ensures that relevant members of staff respond promptly to actions raised by the JCQ Centre Inspection Service, understanding that failure to do so could result in the same penalties as listed in the previous bullet point
- 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

Recruitment, selection and training of staff

- Retains a workforce of and appropriate size and competence, including significant managerial and other resource, to undertake the delivery of the qualification as required by an awarding body. This includes taking reasonable steps to ensure occupational competence where this is required for the assessment of specific qualifications.
- Provides fully qualified teachers to mark non-examination assessments, and/or fully qualified assessors for the verification of centre assessed components.
- Enables the relevant senior leaders, the examinations officer and the SENCo to receive appropriate training and support in order to facilitate the effective delivery of examinations and assessments within the centre, and ensure compliance with the published JCQ regulations
- Appoints a SENCo who will determine appropriate arrangements for candidates with learning difficulties and disabilities

- Ensures that the ALS lead/SENCo has sufficient time to both manage the access arrangements process within the centre and familiarise him/herself with the JCQ publication *Access Arrangements and Reasonable Adjustments*
- Ensures that the examinations officer is line managed and actively supported by a member of the senior leadership team who has a good working knowledge of the examination system

Internal governance arrangements

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

Escalation Process

The Escalation process can be found in EP Admin hub under Policies and Procedures

- Has in place a member of the senior leadership team who will provide support and guidance to the exams officer and ensure that the integrity and security of the 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 EO.
- Makes sure that a teacher or senior member of centre staff who teaches the subject being examined, is not an invigilator during the examination.
- Please refer to our separate procedure located on the server / shared drive / P&P

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 taking them and seeking reasonable adjustments for disabled candidates.
- Enables candidates to receive sufficient and up to date laboratory experience, or relevant training where required by the subject concerned.

Public Liability

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

Security of assessment materials

- Takes all reasonable steps to maintain the integrity of the examinations/assessments, including the security of all assessment materials, by ensuring:
 - The location of the centre's secure storage facility is in a secure room which must only be used for the purpose of administering secure examination materials.
 - The secure room only contains exam related material
 - There are between two and six keyholders only, each of whom must fully understand their responsibility as a key holder to the secure storage facility
 - Access to the secure and secure storage facility is restricted to the authorised two to six keyholders and staff approved by the head of centre are accompanied by a keyholder at all times
 - Appropriate arrangements are in place to ensure that confidential examination materials are only handed over to authorised members of centre staff
 - Appropriate arrangements are in place for handling secure electronic materials

- The relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions are put at risk.

That when it is permitted to remove question papers paper packets from secure storage, and to avoid potential breaches of security, arrangements are in place to carefully check and record that the correct question packets are opened.

(If it is ever subsequently identified following this check that the wrong question paper packet has been opened, it will be resealed and the incident reported to the relevant awarding body's Malpractice Investigation Team immediately)

- Makes arrangements to receive, check and store question papers and examination material safely and securely at all times and for as long as required in accordance with the current JCQ publication instructions for conducting examinations.
- Makes arrangements to receive and issue material received from the awarding body to staff and candidates, and notify them of any advice and instructions relevant to the examinations and assessments.
- Allows candidates access to relevant pre-release materials on, or as soon as possible after, the date specified by the awarding bodies.

Malpractice

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

Policies and 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 emergency or staff absence).

***Exam contingency plan**

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

Please refer to our separate policy located on the server / EP Admin Hub / P&P

***Internal appeals procedures**

- 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
- Please refer to our separate policy located on the server / EP Admin Hub / P&P

*Equalities policy (exams)

- Ensures a complaints and appeals procedure covering general complaints regarding EP's delivery or administration of a qualification is in place and drawn to the attention of candidates and their parents/carers
- Please refer to our separate policy located on the server / EP Admin Hub / P&P

*Complaints and appeals procedure

- Ensures EP has a child protection/safeguarding policy in place, including Disclosure and Barring Service (DBS) clearance, which satisfies current legislative requirements
- Please refer to our separate policy located on the server / EP Admin Hub / P&P

*Child protection/safeguarding policy

- Ensures EP has a data protection policy in place that complies with General Data Protection Regulation and Data Protection Act 2018 regulations
- Please refer to our separate policy located on the server / EP Admin Hub / P&P

*Data protection policy

- Ensures EP has a whistleblowing policy in place
- Please refer to our separate policy located on the server / EP Admin Hub / P&P

* Whistleblowing Policy (exams)

- Ensures EP has documented processes in place relating to access arrangements and reasonable adjustments
- Please refer to our separate policy located on the server / EP Admin Hub / P&P

*Access arrangements policy

- Please refer to our separate policy located on the server / shared drive / P&P

Conflict of Interest

- Ensures the relevant awarding bodies are informed before the published deadline for entries for each examination series of any potential **Conflict of Interest** where
 - a member of centre staff is taking a qualification at the centre which includes internally assessed components/units (notice that being entered by the centre must be as a last resort where unable to find an alternative centre)
 - a candidate is being taught and prepared for a qualification which includes internally assessed components/units by a member of centre staff with a close relationship to the candidate
- Maintains clear records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected by the above, and where:
 - a member of exams office staff has a close relationship to a candidate being entered for exams and assessments at the centre or at another centre

- a member of centre staff is taking a qualification at the centre which does not include internally assessed components/units (noting that being taken by the centre must be as a last resort where unable to find an alternative centre)
- a member of centre staff is taking a qualification at another centre

National Centre Number Register

- Provides contact details and an address to which all correspondence in connection with the administration of examinations and assessments can be directed which must be the registered address of the centre
- Ensures the National Centre Number Register annual update is responded to by the end of October
- Takes responsibility for confirming, on an annual basis, that they are both aware of and adhering to the latest version of the JCQ's regulations. This confirmation is managed as part of the National Centre Number Register (NCNR) annual update
- Understands that this responsibility cannot be delegated to a member of the senior leadership team or the examinations officer, and acknowledges that failure to respond to the NCNR annual update, and/or the head of centre's declaration, will result in:
 - the centre status being suspended
 - the centre not being able to submit examination entries
 - the centre not receiving or being able to access question papers and ultimately, awarding bodies could withdraw their approval of the centre

Centre Inspections

- Cooperates with the JCQ centre inspection Service, an awarding body or regulatory authority when subject to an inspection, and investigation or an unannounced visit and takes all reasonable steps to comply with all the requests for information or documentation made by an awarding body or regulatory authority as soon as is practical.
- Allows all venues used for examinations and assessments, paperwork and secure storage facilities to be open for inspection.
- Understands the JCQ centre inspector will identify himself/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.

ii. Exams Officer

- Understands the contents of annually updated JCQ publications including:
 - [General Regulations for Approved Centres](#)
 - [Instructions for Conducting Examinations](#)
 - [Suspected Malpractice – Policies and Procedures](#)
 - [Post-results services](#) (PRS)
 - [A guide to the special consideration process](#)
- Completes/Submits the National Centre Number Register Annual Update (administered on behalf of the JCQ member awarding bodies by OCR) by the end of October every 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) 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 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 of maintaining the integrity and confidentiality of the exam materials.

iii. Senior Leaders (SLT)

- Are familiar with the contents, refer to and direct relevant centre staff to annually updated JCQ publications including:
 - [General Regulations for Approved Centres](#)
 - [Instructions for Conducting Examinations](#)
 - [Access Arrangements and Reasonable Adjustments](#)
 - [Suspected Malpractice – Policies and Procedures](#)
 - [Instructions for conducting non-examination assessments](#) (and the instructions for conducting controlled assessment and coursework)
 - [A guide to the special consideration process](#)
- Ensure teaching staff undertake key tasks, as detailed in this policy, within the exams process (exam cycle) and meet internal deadlines set by the EO and ALS lead/SENCo
- Ensure teaching staff keep themselves updated with awarding body subject and teacher-specific information to confirm effective delivery of qualifications
- Ensure teaching staff attend relevant awarding body training and update events

iv. SENCo/Lead Teacher

- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:
 - [Access Arrangements and Reasonable Adjustments](#)

- Leads on the access arrangements and reasonable adjustments process (referred to in this policy as ‘access arrangements’)
- If not the qualified access arrangements assessor, works with the person appointed, on all matters relating to assessing candidates and the administration of the assessment process
- Presents when requested by a JCQ Centre Inspector, evidence of the assessor’s qualification
- Undertake key tasks, as detailed in this policy, within the exams process and meet internal deadlines set by the EO
- Keep updated with awarding body teacher-specific information to confirm effective delivery of qualifications
- Attend relevant awarding body training and update events

v. *Invigilators*

- Attend 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

vi. *All Staff*

- Support the EO in dealing with exam-related deliveries and dispatches with due regard to the security of confidential materials
- Support the EO in relevant matters relating to exam rooms and resources

vii. *Candidates*

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

4. 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.

i. *Planning: roles and responsibilities*

Information sharing

Head of centre

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

Exams officer

- Signposts relevant centre staff to JCQ publications and awarding body documentation relating to the exams process that has been updated
- Signposts relevant centre staff to JCQ information that should be provided to candidates
- As EP 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

SENCo / Lead Teacher

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

Access arrangements

Head of centre

- Ensures there is appropriate accommodation for candidates requiring access arrangements in EP
- Ensures a written process is in place to not only check the qualification(s) of their assessor(s) but that the correct procedures are followed as per Chapter 7 of the JCQ publication [Access Arrangements and Reasonable Adjustments](#)
- Ensures the SENCo is fully supported in effectively implementing access arrangements and reasonable adjustments once approved

SENCo / Lead Teacher

- Assesses candidates (or works with the appointed access arrangements assessor) 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
- Gathers signed **Personal data consent** forms from candidates where required and ensures **Data protection confirmation(s)** by the examinations officer or SENCo are completed

- Applies for **approval** through *Access arrangements online* (AAO), where required or through the awarding body where qualifications sit outside the scope of AAO
- Keeps a file for each candidate for JCQ inspection purposes containing all the required documentation (if any documentation is kept electronically, an e-folder must be created for each individual candidate. The candidates 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 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

*Word processor policy (exams)

Please refer to our separate policy located on the server / EP Admin Hub / P&P

The 'normal way of working' for exam candidates, as directed by the head of centre, is that candidates handwrite their exams. An exception to this is where a candidate may have an approved access arrangement in place, for example the use of a scribe/speech recognition technology.

Awarding word processors

There are also exceptions where a candidate may be **awarded** the use of a word processor in exams where he/she has a firmly established need, it reflects the candidate's normal way of working and by not being awarded a word processor would be at a substantial disadvantage to other candidates.

Exceptions might include where a candidate has, for example:

- a learning difficulty which has a substantial and long term adverse effect on their ability to write legibly
- a medical condition
- a physical disability
- a sensory impairment
- planning and organisational problems when writing by hand
- poor handwriting

The only exception to the above where the use of a word processor may be considered for a candidate would be

- on a temporary basis as a consequence of a temporary injury at the time of the assessment
- where a subject within the curriculum is delivered electronically and the centre provides word processors to all candidates

Allocating word processors

Appropriate exam-compliant word processors will be **allocated** in liaison with the Lead Teacher and the exams officer. In exceptional circumstances where the number of appropriate word processors may be insufficient for the cohort of candidates approved to use them in an exam session, the cohort will be split into two groups. One group will sit the exam earlier than or later than the published start

time. The security of the exam will be maintained at all times and candidates will be supervised in line with section 7 of ICE.

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

***Separate invigilation Policy**

- Please refer to our separate policy located on the server / EP Admin Hub / P&P

Senior Leaders

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

Internal assessment and endorsements

Head of centre

Controlled assessments, coursework and non-examination assessments

- Ensures arrangements are in place to coordinate 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.
- 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 (or parent/carer) to appeal against and request a review of EP's marking (see Roles and responsibilities overview)
- Ensures a **controlled assessment policy** is in place for GCE and GCSE qualifications which include components of non-examination assessment

***Non-examination assessment policy (exams)**

- Ensures irregularities are investigated and any cases of suspected malpractice reported to the awarding body, as required
- Please refer to our separate policy located on the server / EP Admin Hub / P&P

SENCo / Lead Teacher

- 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
- Ensures teaching staff delivering AQA Applied General qualifications, OCR Cambridge Nationals, Entry Level Certificate or Project qualifications (and CCEA GCE unitised AS and A-level

qualifications) follow JCQ [Instructions for conducting coursework](#) and the specification provided by the awarding body

- Ensures teaching staff delivering reformed GCE & GCSE specifications (which include components of non-examination assessment) follow JCQ [Instructions for conducting non-examination assessments](#) and the specification provided by the awarding body
- For other qualifications, ensures teaching staff follow appropriate instructions issued by the awarding body
- Ensures teaching staff inform candidates of their centre assessed marks as a candidate may request a review of EP'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 (controlled assessments, 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 EP's marking before marks are submitted to the awarding body

Exams Officer

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

Invigilation

Head of centre

- Ensures relevant support is provided to the EO in recruiting, training and deploying a team of invigilators
- Determines if additional invigilators will be deployed in timed Art exams in addition to the subject teacher

Exams Officer

- 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 arrangements awarded (and that 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

ii. Entries: roles and responsibilities

Estimated Entries

Exams Officer

- Requests estimated or early entry information, where this may be required by awarding bodies, from Lead Teacher in a timely manner to ensure awarding body external deadlines for submission can be met
- Makes candidates aware of the JCQ information for candidates – Privacy notice at the start of a course leading to a vocational qualification or where entries are submitted to awarding bodies for processing for general qualifications

SENCo / Lead Teacher

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

Estimated entries collection and submission procedure

EO submits estimated entries online with the relevant awarding body. A hard copy of entries is filed in the Exams Board Folder (locked in the office) and a log is collated of all student entries and saved in the admin drive / exams officer.

Final Entries

Exams Officer

- Requests final entry information in a timely manner to ensure awarding bodies external deadline for submissions can be met.
- Inform Teaching staff of subsequent deadlines for making changes to final entry information without charge.
- Confirms that final entry information has been submitted.
- 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.
- Observe each awarding bodies terms and conditions for the entry and withdrawal of candidates for their examinations and assessments, and observes any regulatory requirements for the qualification.

SENCo/Lead Teacher

- Provide information requested by the EO to the internal deadline.
- Inform the EO immediately if, or at the very least prior to the deadlines, of any subsequent changes to final entry information.
- Check final entry information submitted by the EO and confirms information is correct.

Access arrangements and Reasonable adjustments

SENCo / Lead Teacher

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

- 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 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)

Briefing candidates

Exams Officer

- Issues individual exam timetable information to candidates and informs candidate of any designated contingency day awarding bodies may identify in the event of national or significant local disruption to exams.
- Prior to exams issues relevant JCQ information for candidates documents
- Where relevant, issues relevant awarding body information to candidates
- Issues centre exam information to candidates including information on:
 - exam clashes
 - arriving late for an exam
 - absence or illness during exams
 - what equipment is/is not provided by EP
 - food and drink in exam rooms
 - unauthorised items in the exams room
 - when and how results will be issued and the staff that will be available
 - the post-results services information and how EP will deal with requests from candidates
 - when and how certificates will be issued

**Access to scripts, enquiries about results and appeals procedures

Results, Enquiries about Results (EARs) and Access to Scripts (ATS)

EP agrees to... treat all candidates equally, including private candidates, throughout the examination process. This would also extend to post-results services and appeals

Results

All candidates' results for external accreditation will be posted out on the day of release

Letters detailing information about results and the appeals process will be sent out to all candidates' parents/carers before the end of Summer Term(2) (Term 6)

Enquiries about Results - EARs for General Qualifications may be requested by Centre staff or candidates if there are reasonable grounds for believing there has been an error in marking. The Awarding Organisation's fee is payable by either the candidate or the curriculum area depending on who has requested the EAR.

Access to Scripts - After the release of results of General Qualifications, candidates may request the return of papers within the Awarding Organisations' stated deadlines. If a result is queried, the Exams Office in conjunction with teaching staff or Head of Centre will investigate the feasibility of asking for a re-mark. Tutors may also request scripts for investigation or for teaching purposes. For the latter, the consent of candidates must be obtained

Certificates

Certificates are hand delivered, posted (by recorded delivery where stipulated by the Awarding Organisation), or collected in person. Engaging Potential will keep certificates for 3 years in secure storage.

Dispatch of exam scripts

Exams Officer

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

Estimated grades

SENCo / Lead Teacher

- Ensures 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 / Lead Teacher

- Liaises with teaching staff to implement appropriate access arrangements for candidates undertaking internal assessments and practical endorsements
- Ensures teaching staff assess and authenticate candidates' work to the awarding body requirements
- Ensures teaching staff assess endorsed components according to awarding body requirements
- Ensures teaching staff provide marks for internally assessed components and grades for endorsements of qualifications to the EO to the internal deadline
- Ensures teaching staff provide required samples of work for moderation and sample recordings for monitoring to the EO to the internal deadline

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

Exams Officer

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

Candidates

- Authenticate their work as required by the awarding body

Invigilation

Exams Officer

- Trains invigilator annually
- Deploys invigilators effectively to exam rooms throughout an exam series (including the provision of a roving invigilator to regularly enter and observe the rooms where a candidate and invigilator [acting as a practical assistant, reader or scribe] are accommodated on a 1:1 basis to enter the exam room at regular intervals in order to observe the conduction of the exam, ensure all relevant rules are being adhered to and to support the practical assistant/reader and/or scribe in maintain the integrity of the exam)
- Allocates invigilators to exam rooms (or where supervising candidates due to a timetable variation) according to the required ratios
- Liaises with the SENCo regarding the facilitation and invigilation of access arrangement candidates

SENCo / Lead Teacher

- 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 inspection visit

Exams officer or Senior Leaders

- Will accompany the Inspector throughout the visit
- 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)

“A senior member of staff or a member of the exams office must be available to accompany the Inspector throughout the course of his or her centre visit, including inspection of EP’s secure storage facility.”

[[ICE](#) Introduction]

Security of exam materials

Exams Officer

- Confirms appropriate arrangements are in place to ensure that confidential materials are only handed over to those authorised by the head of centre.
- Ensure access to the secure room is restricted and staff approved by the head of centre are accompanied by a keyholder at all times. There must be between two and six keyholders only, each of whom must fully understand their responsibilities as a keyholder to the secure storage facility.
- Ensures only persons authorised by the head of centre and the exams officer are allowed access to the centre's secure storage facility as one of the two to six keyholders.
- Has a process in place to demonstrate the receipt, secure movement and secure storage of confidential exam materials within the centre
- Ensures a log is kept at the initial point of delivery recording confidential materials received and signed for by authorised staff within the centre and that appropriate arrangements are in place for confidential materials to be immediately transferred to the secure storage facility until they can be removed from the dispatch packaging and checked in the secure room before being returned to the secure storage facility in timetable order
- Carefully checks question paper packets when they are removed from the dispatch packing and keeps a log of the check
- Ensures the secure storage facility contains only current and live confidential material
- 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)

Timetabling and rooming

Exams Officer

- Produces a master centre exam timetable for each exam series
- Identifies and resolves candidate exam clashes (only applying overnight supervision arrangements in rare and exceptional circumstances and as a last resort)
- Identifies exam rooms and specialist equipment requirements
- Allocates invigilators to exam rooms (or where supervising candidates due to a timetable variation) 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 / Lead Teacher

- 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

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
- Will inform the JCQ Centre Inspection Service to timescale by submitting a JCQ *Alternative Site* form of any alternative sites that will be used to conduct timetabled examination components of the qualifications listed in the JCQ regulations

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 / Lead Teacher

- 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

iii. Exam time: roles and responsibilities

Access arrangements

Exams Officer

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

****Candidate absence policy**

The Centre Manager or EO contacts the candidate's parent / carer to establish why the candidate is not present. In instances, where the candidate is on their way, we would where possible and/ or appropriate implement a late start.

Candidate behaviour

See *Irregularities* below.

Candidate belongings

See *Unauthorised materials* below.

Candidate late arrival

Exams Officer

- Ensures that candidates who arrive very late for an exam are reported to the awarding body as soon as practically possible after the exam has taken place
- Warns candidates that their script may not be accepted by the awarding body
- Ensure that relevant information is recorded on the exam room incident log

**Candidate late arrival policy

The EO leads in this area and ensures JCQ criteria, depending upon the exam, is followed and adhered to.

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 secure storage
- Attaches erratum notices received to relevant sealed exam question paper packets
- Collates attendance registers and examiner details in date order
- Regularly checks mail or inbox for updates from awarding bodies
- In order to avoid potential breaches of security, ensures extra care is taken to ensure the correct paper packets are opened by ensuring a member of staff, additional to the person removing the papers from the secure storage facility, i.e the invigilator, checks the day, date, time, subject, unit/component, and tier of entry, if appropriate immediately before a question paper packet is opened.
- Ensures this additional/second check is recorded
- Where allowed by the awarding body, only releases exam papers and materials to teaching departments for teaching and learning purposes after the published finishing time of the exam, or until any clash candidates have completed the exam

Exam rooms

Head of centre

- Ensures that internal tests, mock exams, revision or coaching sessions are not conducted in a room designated as an exam room.
- Ensures only authorised centre staff (who have not taught the subject being examined) are present in exam rooms to perform permitted tasks.
- Ensures information relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates

****Food and drink in exam rooms**

Food and drink may be allowed in the examination room at the discretion of the head of centre. However, this is on the condition that any food brought into the examination room by the candidate is free from packaging and all labels are removed from drink containers

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)
- 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

Please refer to Exam contingency plan found in shared / P&P

Exams Officer

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

Invigilators

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

Candidates

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

Irregularities

Head of centre

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

Managing behaviour

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)
- EP has an incident log to record any incidents or irregularities in an exam – this is saved in the Exams hub

Special consideration

Exams Officer

- Processes appropriate requests 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
- Please refer to our separate policy on EP Admin hub / P&P

Candidates

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

Unauthorised materials

Candidate belongings are handed to the EO or invigilator for safe keeping in the office for the duration of the exam – this includes phones, coats, bags and watches.

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

5. Results and post-results: roles and responsibilities

Internal assessment

SENCo / Lead Teacher

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

Managing results day(s)

Senior Leaders

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

Exams Officer

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

Results day programme

A letter is sent to candidates, parents and carers informing them of the day the results can be expected. The candidate is given the option of collecting the results in person, having them emailed* or posted.

* Subject to written consent from the candidate.

All candidate results are saved in Exam Hub / Results and then transferred to the MIS when certificates are received.

Accessing results

Head of centre

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

Exams Officer

- Informs candidates in advance of when and how results will be released to them
- Accesses results from awarding bodies under restricted release of results, 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

- 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 collect candidate informed consent (**after** the publication of results)
- 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

Certificates

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

Issue of certificates procedure

The EO copies all certificates and saves them in the Accreditation Folder (held in the office). Original copies are handed in person or posted to students as appropriate.

Candidates

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

Retention of certificates policy

The EO manages the retention of original certificates. They are stored in the Accrediting Folder (held in the office) for three years and then shredded.

6. 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 review

Senior Leaders

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

7. 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 EP's records management policy
- Provides an exams archiving policy that identifies information held, retention period and method of disposal

Exams archiving policy

Please refer to our separate policy located on the server / shared drive / P&P

Version	Date	Description	Initials
1			TW
2		Revised and Updated	TW
3	30/01/13	Revised and Updated	TW
4	30/02/13	Revised and Updated	TW
5	30/05/16	Revised and Updated	TW
6	30/06/16	Revised and Updated	TW
7	30/12/19	Revised and Updated	TW
8	06/05/21	Roles and Responsibilities overview National Centre Number Register Head of centre Declaration Internal Governance arrangements	HH/TW
9	06/10/21	Head of centre Responsibilities Delivery of qualifications Security of assessment materials	HH/TW

10	11/11/2022	Updated Version number and date Updated referenced documents Location of Policies updated Updated roles and responsibilities overview	HH/TW
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