

Haydock High School



Examinations Policy

Policy Review Guidance	
Statutory	Yes
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Reviewer	Examinations Officer
Member of Staff Responsible	Examinations Officer
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Purpose of the policy

The centre is committed to ensuring that the exams management and administration process is run effectively and efficiently. This exam policy will ensure that:

- all aspects of the centre exam process is documented and other relevant exams-related policies, procedures and plans are signposted
- 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 in accordance with JCQ and awarding body regulations, guidance and instructions, thus ensuring that

“... the integrity and security of the examination/assessment system is maintained at all times and is not brought into disrepute” [JCQ [General regulations for approved centres](#)¹]

- exam candidates understand the exams process and what is expected of them.

This policy is reviewed every year by the Senior Leadership Team and the Exams Officer 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 and placed on the school website policies section so as to be available for candidates, their parents and inspectors.

Roles and responsibilities overview

“The head of centre is responsible to the awarding bodies for making sure all examinations/assessments are conducted according to the instructions, and the qualification specifications issued by the awarding bodies.

The head of centre may not appoint themselves as the examinations officer.” [GR1]

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 in Examinations and Assessments](#) (SMEA)
 - [Instructions for conducting non-examination assessments](#) (NEA) (and the instructions for conducting controlled assessment and coursework)
- Ensures the National Centre Number Register Annual Update (administered on behalf of the JCQ member awarding bodies by OCR) is responded to and approves the Head of Centre formal declaration
- Ensures the Exams Officer attends appropriate training events offered by awarding bodies, MIS providers and other external providers to enable the exam process to be effectively managed and administered
- Ensures centre staff are supported and appropriately trained to undertake key tasks within the exams process
- Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the Exams Officer
- Ensures *“that a teacher who teaches the subject being examined, or a senior member of teaching staff who has had overall responsibility for the candidates preparation for the examination, is not an invigilator during the examination or on-screen test;”* [ICE 6]

Exams policy 2016/17 ^{Hyperlinks provided in this document were correct as at October 2016}

- Ensures security within the examination process is managed according to JCQ and awarding body regulations, guidance and instructions
- Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place

Exam contingency plan

See **Appendix A**.

“It is the responsibility of the head of centre to ensure that his/her centre: ...has in place a written examination contingency plan/examinations policy which covers all aspects of examination administration. This will allow members of SLT to have a robust contingency plan in place, minimising risk to examination administration, should the examinations officer be absent at a crucial stage of the examination cycle. (The examination contingency plan/examinations policy should also reinforce procedures in the event of the centre being unavailable for examinations owing to an unforeseen emergency.)” [GR5]

- Ensures required internal appeals procedures are in place

Internal appeals procedures

See **Appendix B**.

*“The centre agrees to...have in place, and be available for inspection purposes, a **written** internal appeals procedure relating to internal assessment decisions and to ensure that details of this procedure are made widely available and accessible to all candidates; (A centre may place its internal appeals procedure on the school/college website or alternatively, the document may be made available to candidates upon request.)”*

[GR5]

“The centre agrees to...have available for inspection purposes and draw to the attention of candidates and their parents/carers, a written internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support an enquiry about results or an appeal;”

[JCQ [Post-results services](#) 5.14]

- Ensures a disability policy for exams showing the centre’s compliance with relevant legislation is in place

Disability policy (exams)

See **Disability Policy (exams) document**

“The centre agrees to...recognise its duties towards disabled candidates as defined under the terms of the Equality Act 2010†. This must include a duty to explore and provide access to suitable courses, submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates. A written disability policy setting out how the centre seeks to comply with the Equality Act 2010† and fully supporting disabled candidates must be available for inspection purposes.

†for any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect ”

[GR5]

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

Access arrangements policy

The centre complies:

“...with its obligations in respect of identifying the need for, requesting and implementing access arrangements.”

[GR 5.5]

“The centre agrees to... have a written process in place to not only check the qualification(s) of their specialist assessor(s) but that the assessment process is administered correctly;” [GR 5.4]

- Ensures staff are only entered for qualifications through the centre where entry through another centre is not available
- Ensures the appropriate steps are taken where a candidate being entered for exams is related to a member of centre staff

*“The **examinations officer or quality assurance co-ordinator** is the person appointed by a head of centre to act on behalf of the centre in matters relating to the administration of awarding body examinations and assessments.”*

[GR 1]

Exams Officer

- Understands the contents of annually updated JCQ publications including:
[General regulations for approved centres](#)
[Instructions for conducting examinations](#)
[Suspected Malpractice in Examinations and Assessments](#)
[Post-results services](#) (PRS)
- 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
- Advises the SLT, subject and class tutors and other relevant support staff on annual exam timetables and application procedures as set by the various exam boards.
- Oversees the production and distribution to staff, governors and candidates of an annual calendar for all exams in which candidates will be involved
- Communicates regularly with staff concerning imminent deadlines and events
- Consults with teaching staff to ensure that necessary coursework is completed on time and in accordance with the relevant JCQ guidelines (see Controlled assessment policy, page X)
- Gathers and confirms detailed data on estimated entries
- Receives, checks and stores securely all exam papers and completed scripts
- Administers access arrangements and makes applications for special consideration using the JCQ *Access Arrangements and Special Considerations Regulations and Guidance relating to candidates who are eligible for adjustments in examinations.*
- Identifies and adjusts timetable clashes
- Accounts for income and outgoings relating to all exam costs/ charges and manages and controls their exam capitation responsibly and within the interests of the school
- Submits candidates' coursework marks, tracks, despatches and stores returned coursework and any other material required by the appropriate awarding bodies correctly and on schedule
- Arranges for dissemination of exam results and certificates to candidates and forwards, in consultation with the SLT, any appeals/ re-mark requests
- Maintain systems and processes to support the timely entry of candidates for their exam
- Importing base data and setting up mark sheets for staff

Senior Leadership Team (SLT)

- Are familiar with the contents, refer to and direct relevant centre staff to annually updated JCQ publications including:
[General regulations for approved centres](#)
[Instructions for conducting examinations](#)
[Access Arrangements and Reasonable Adjustments](#)

[Suspected Malpractice in Examinations and Assessments](#)

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

- Ensures that at least one member of the SLT is present at the start and end of every exam

Special Educational Needs Co-ordinator (SENCo)

- Is familiar with 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') and works in unison with the Exams Officer to submit Access Arrangement requests
- 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
- Provision of additional support throughout disadvantaged learners school career in regards to:
 - Spelling
 - Reading
 - Extra time
 - Mathematics
 - Dyslexia or essential skills
 - Hearing impairment
 - English for speakers of other languages
 - IT equipment where required

So as to help learners achieve their course aims and prepare effectively for their examinations

Head of Departments (HOD)

- Ensures teaching staff undertake key tasks, as detailed in this policy, within the exams process (exam cycle) and meet internal deadlines set by the Exams Officer and SENCo
- Ensures teaching staff keep themselves updated with awarding body teacher-specific information to confirm effective delivery of qualifications
- Ensures teaching staff attend relevant awarding body training and update events
- Provides all necessary data in regards to estimated entries, entries or any other necessary data gathering as per the request of the Exams Officer and when relevant to the Exams Cycle (see page 9)
- Involvement in Post-Results procedures
- Accurate completion of coursework mark sheets and declaration sheets

Teaching staff

- Undertake key tasks, as detailed in this policy, within the exams process and meet internal deadlines set by the Exams Officer, SENCo or their Heads of Department that pertain to the Exams Cycle
- Keep updated with awarding body teacher-specific information to confirm effective delivery of qualifications
- Attend relevant awarding body training and update events

Invigilators

- Attend training, update, briefing and review sessions as required
- Provide information as requested on their availability to invigilate

- Sign a confidentiality and security agreement and confirm whether they have any current maladministration/malpractice sanctions applied to them
- Collection of exam papers and other material from the Exams Officer, which is stored securely by the Exams Officer and only accessed by the Exams Officer on the morning before the exam begins
- Collection of all exam papers in the correct order at the end of the exam and their subsequent return to the exams office

Reception Staff

- Support the Exams Officer in dealing with exam-related deliveries and dispatches with due regard to the security of confidential materials

Site Staff

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

Career Connect

- Provides guidance and careers information where necessary and discusses “Next Steps” planning

Candidates

- Confirmation and signing of “Confirmation of Entries” letter, sent from the school not after March of that exam Cycle.
- Understanding coursework regulations and signing a declaration that authenticates the coursework as their own
- Familiarising themselves with JCQ regulations regarding Mobile Phones, Smart Watches and other non-permitted items in the exam room and ensuring that these regulations are adhered to at all times
- Being both aware of and on time for all their exams

The tests and qualifications offered

The tests and qualifications offered at this centre are decided by the Head of Centre, in co-ordination with relevant Heads of Department

The current qualifications offered include:

- GCSE (General Certificate of Secondary Education)
- BTEC (Business and Technology Education Council) certificate
- ELC (Entry Level Certificate)
- Cambridge National/ International certificates

The subjects offered for these qualifications in any academic year can be found both in the school prospectus and on the school website in the curriculum area. Decisions on whether a candidate should not take an individual subject will be taken in consultation with the SENCo.

The exam cycle

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

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

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

Planning: roles and responsibilities

Information sharing

Head of Centre

- Directs relevant centre staff to annually updated JCQ publications including [GR](#), [ICE](#), [AA](#), [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 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 the mock examinations which take place in the Autumn and Spring terms of the Examination Cycle

HOD

- Responds (or ensures teaching staff respond) to requests from the Exams Officer on information gathering
- Meets the internal deadline for the return of information
- Informs the Exams Officer 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

SENCo

- Assesses candidates (or works with the appointed access arrangements assessor) to identify access arrangements requirements thereby ensuring that
- 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 **data protection notices** from candidates where required
- Applies for **approval** through *Access arrangements online* (AAO), where required or through the awarding body where qualifications sit outside the scope of AAO
- Keeps relevant paperwork and evidence on file for JCQ inspection purposes

- Employs good practice in relation to the Equality Act 2010
- Liaises with the Exams Officer 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)
- Provides and annually reviews a centre policy on the **use of word processors** in exams and assessments

Word processor policy (exams)

See **Word processor policy (exams) document**

“It is strongly recommended that a centre has a policy on the use of word processors which it can articulate to parents/carers. Principally, that a word processor cannot simply be granted to a candidate because he/she now wants to type rather than write or can work faster on a keyboard, or because he/she uses a laptop at home.

The use of a word processor must reflect the candidate’s normal way of working within the centre and be appropriate to the candidate’s needs...”

[AA5.8]

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

Separate invigilation within the centre

SENCO must make their decision based on:

- whether the candidate has **a substantial and long term impairment** which has an **adverse effect**; and
- **The candidate’s normal way of working within the centre.**

Centres must note that candidates are only entitled to the above arrangements if they are disabled within the meaning of the Equality Act. The candidate is at a substantial disadvantage when compared with other non-disabled candidates undertaking the assessment and it would be reasonable in all the circumstances to provide the arrangement. (The only exception to this would be a temporary illness, a temporary injury or other temporary indisposition which is clearly evidenced.)

For example, in the case of separate invigilation, the candidate’s difficulties are established within the centre (see section 4.1.4, page 16) and known to a Form Tutor, a Head of Year, the SENCo or a senior member of staff with pastoral responsibilities.

Separate invigilation reflects the candidate’s normal way of working in internal school tests and mock examinations as a consequence of a long term medical condition or long term social, mental or emotional needs.

[See [AA](#) 5.16 plus centre-determined criteria]

SLT, HOD and Teaching Staff

- Support the SENCo in identifying and implementing appropriate access arrangements

Internal assessment

Head of Centre

- Ensures an **internal appeals procedure** is in place for a candidate (or parent/carers) to appeal against an internally assessed marks (see Roles and responsibilities overview)

- Ensures a policy for the **management of controlled assessment** is in place for legacy GCSE qualifications, identifying staff responsibilities and examining potential risks

Controlled assessment policy

See **Controlled assessment policy document**

*“The centre agrees to...have in place, and be available for inspection purposes, a **written** policy with regard to the management of GCSE controlled assessments”* [GR5]

- Ensures a **non-examination assessment policy** is in place for new GCE and GCSE qualifications

Non-examination assessment policy

See **Non-examination assessment policy document**

The purpose of this policy, as defined by JCQ, is to

- *cover procedures for planning and managing non-examination assessments*
- *define staff roles and responsibilities with respect to non-examination assessments*
- *manage risks associated with non-examination assessments*

[NEA – The basic principles, page 4]

- Ensures irregularities are investigated and any cases of suspected malpractice reported to the awarding body, as required

SLT

- Ensure teaching staff have the necessary and appropriate knowledge, understanding, skills, and training to set tasks, conduct task taking, and to assess, mark and authenticate candidates' work
- Ensure appropriate internal moderation, standardisation and verification processes are in place

HOD

- Ensures teaching staff delivering legacy GCSE qualifications follow JCQ [Instructions for conducting controlled assessments](#) and the specification provided by the awarding body
- Ensures teaching staff delivering Entry Level or Project qualifications follow JCQ [Instructions for conducting coursework](#) and the specification provided by the awarding body
- Ensures teaching staff delivering new GCSE specifications 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

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

Exams Officer

- Identifies relevant key dates and administrative processes that need to be followed in relation to internal assessment

Invigilation

Head of Centre

- Ensures relevant support is provided to the Exams Officer in recruiting, training and deploying a team of invigilators

- Determines if additional invigilators will be deployed in practical exams in addition to the subject teacher

Exams Officer

- Recruits additional invigilators where required to effectively cover all exam periods/series' throughout the academic year
- Collects information on new recruits to identify if they have invigilated previously and if any current maladministration/malpractice sanctions are applied to them
- Provides an annual training event for new invigilators and an update event for invigilators on the conduct of exams
- Ensures invigilators supervising access arrangement candidates understand their role (and the role of a facilitator who may be supporting a candidate) and the rules and regulations of the access arrangement(s)
- Ensures invigilators are made aware of the Equality Act 2010 and are trained in disability issues
- Collects evaluation of training to inform future events

Entries: roles and responsibilities

Estimated entries

Exams Officer

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

Estimated entries collection and submission procedure

The Estimated Entries Data Gathering form is sent out from the Exams Officer to Heads of Departments with a minimum deadline of one week, but not more than two.

These are to be returned to the Exams Officer who will keep them for their records, enter the data into a compilation document and forward this information over to the Systems Development Leader ready for submissions.

HOD

- Provides information requested by the Exams Officer to the internal deadline
- Informs the Exams Officer immediately of any subsequent changes to information

Final entries

Exams Officer

- Requests final entry information from HODs in a timely manner to ensure awarding body external deadlines for submission can be met
- Informs HODs of subsequent deadlines for making changes to final entry information without charge
- Confirms with HODs final entry information that has been submitted to awarding bodies
- Ensures as far as possible that entry processes minimise the risk of entries or registrations being missed reducing the potential for late or other penalty fees being charged by awarding bodies

Final entries collection and submission procedure

Marksheets will be created and made available to subject teachers and Heads of Department no later than January of the Exams Cycle.

Both HODs and subject teachers will complete these marksheets correctly and well within time of the JCQ allocated deadline for entries. These marksheets, once completed, will be printed out to be checked and signed by HODs. **Any mistakes in entries that stem from these checked and signed marksheets will lie with the HOD in question.**

Once these marksheets have been checked, signed and returned to the Examinations Officer, the process of entering this data to the Exam Boards will begin. **Any changes after this process is completed will be classed by the Exam Boards as amendments and the school will be charged for this.**

HOD

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

Entry fees

Entry fees will be paid out of the Examination Capitation.

Late entries

Exams Officer

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

HOD

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

Private candidates

The centre will accept external candidate entries in extreme circumstances, and only after discussion between the Head of Centre, Exams Officer and the Exams Officer's line manager.

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 Exams Officer

Candidates

- Confirm entry information is correct or notify the Exams Officer of any discrepancies

Pre-exams: roles and responsibilities

Access arrangements

SENC_o

- 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 information, 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

Briefing candidates

Exams Officer

- Issues individual exam timetable information to candidates
- 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 the centre
 - food and drink in exam rooms
 - when and how results will be issued and the staff that will be available
 - the post-results services and how the centre deals with requests from candidates
 - when and how certificates will be issued

Access to scripts, enquiries about results and appeals procedures

Overtyping here the centre's procedures or alternatively include as an appendix at the end of this document or as a totally separate document with reference here to where the document is located.

"The centre agrees to... have in place written procedures for how it will deal with candidates' access to scripts, enquiries about results and appeals to the awarding bodies and to ensure that details of these procedures are made widely available and accessible to all candidates. Candidates must be made

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

HOD

- Ensures teaching staff provide estimated grade information to the Exams Officer 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

Head of Centre

- Ensures procedures are in place for candidates to appeal internally assessed marks or request a review of the centre’s marking of an assessment (when a centre is required to make reviews available)

SENCo

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

Teaching Staff

- Support the SENCo in implementing appropriate access arrangements for candidates undertaking internal assessments
- Ensure candidates are informed of internal assessment decisions prior to marks being submitted to awarding bodies

HOD

- Ensures teaching staff provide marks for internally assessed components of qualifications to the Exams Officer to the internal deadline
- Ensures teaching staff authenticate candidates’ work to the awarding body requirements
- Ensures teaching staff provide required samples of work for moderation to the Exams Officer to the internal deadline

Exams Officer

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

Candidates

- Authenticate their work as required by the awarding body

Invigilation

Exams Officer

- Provides an invigilation handbook or briefs invigilators accordingly
- Deploys invigilators effectively to exam rooms throughout an exam series (including the provision of a roving invigilator to check the rooms where a candidate and invigilator are accommodated on a 1:1 basis)
- Allocates invigilators to exam rooms according to the required ratios
- Liaises with the SENCo regarding the facilitation and invigilation of access arrangement candidates

SENCo

- Liaises with the Exams Officer 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 leader

- Accompanies “*the Inspector **throughout** the course of his or her centre visit, including inspection of the centre’s secure storage facility.*” [[ICE](#) Introduction]

Seating and identifying candidates in exam rooms

Exams Officer

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

Verifying candidate identity procedure

Internal candidates will be verified by their Head of Year and a member of SLT. Candidates will be provided with a name card that includes their photograph, name and candidate number. Candidates are, however, expected to know their candidate number prior to sitting any examinations. External candidates must provide proof of Identification via a form of ID Card.

*“The centre agrees to... have in place **written** procedures to verify the identity of **all** candidates at the time of the examination or assessment;”* [[GR](#) 5]

- Ensures invigilators are aware of the procedure
- Provides seating plans for exam rooms according to JCQ and awarding body requirements

Invigilators

- Follow the procedure for verifying candidate identity provided by the Exams Officer
- Seat candidates in exam rooms as instructed by the Exams Officer/on the seating plan

Security of exam materials

Exams Officer

- Has a process in place to record confidential materials delivered to the centre and issued to authorised staff
- The awarding body must be informed immediately if material has been received in error.

- Examination stationery must be stored in the secure room.
- Mock exam and internal school tests may be stored in the secure room. They must be stored separately from 'live' awarding body material and be clearly labelled.
- Question papers may be opened within 90 minutes of the awarding body's published starting time in order to make them up into appropriately sized sets for the different rooms
- Has in place a recording system to track confidential materials taken from or returned to secure storage throughout the time the material is confidential
- Receives, checks and securely stores question papers and other exam materials according to JCQ and awarding body requirements

Reception Staff

- Follow the process to record confidential materials delivered to the centre and issued to authorised staff

Teaching Staff

- Adhere to the recording system to track 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 clashes
- Identifies exam rooms and specialist equipment requirements
- Allocates invigilators to exam rooms 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 Exams Officer 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 Exams Officer to ensure exam rooms are set up according to JCQ and awarding body requirements

Transferred candidate arrangements

Exams Officer

- Liaises with the host or entering centre, as required
- Processes requests to the awarding body deadline
- Where relevant (for an internal candidate) informs the candidate of the arrangements that have been made for their transferred candidate arrangements

Internal exams

Exams Officer

- Prepares for the conduct of internal exams under external conditions
- Provides a centre exam timetable of subjects and rooms
- Provides seating plans for exam rooms

- Requests internal exam papers from teaching staff
- Arranges invigilation

SENCo

- Liaises with teaching staff to make appropriate arrangements for access arrangement candidates

Teaching Staff

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

Exam time: roles and responsibilities

Access arrangements

Exams Officer

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

Candidate absence

Candidate absence policy

Late candidates who arrive within an hour of the start of the exam will be allowed to sit the exam in accordance with the allotted time given for that exam; they will be able to sit the entire length of the exam time, even if this means the other candidates finish and leave the exam room before them.

Candidates classed as 'very late' and who arrive after an hour of the exam starting may sit the exam but must be warned that they will be reported to the exam board who may refuse to accept their exam submission.

Should a candidate be absent through illness, bereavement or other trauma the candidate must alert the school immediately and support any special consideration claim with appropriate evidence within three days of the exam, for example from the candidate's doctor. This form will then be forwarded to the exam board within seven days of the exam.

Candidates who are taken ill during the examination, they must first alert a member of the invigilation team who will remove them from the exam. They must then, if required, provide similar evidence within three days of the exam taking place, if a special consideration form needs to be submitted.

Advice: *it is good practice for a centre to have a policy for late and absent candidates. Invigilators **must** be made aware of this policy.*

[ICE14]

Invigilators

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

Candidates

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

Candidate behaviour

See *Irregularities* below.

Candidate belongings

See *Unauthorised 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 work 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

Late candidates **must** be accompanied to the exam hall by their Head of Year and the Exams Officer. Only the Exams Officer may accompany the student into the hall and to their seat. They must be informed of the fact that they are allowed the whole allotted time, as well as the exam regulations usually outlined at the beginning of the exam regarding unauthorised materials **before** entering the Exam Room.

Very late candidates must be warned that the exam board may reject the submission of their exam and that the incident must be reported to the relevant exam board as per the JCQ regulations.

Persistently late candidates must be sat down with their Head of Year, a member of SLT and the Exams Officer to discuss the reason why they are late, if a plan can be established to reduce their lateness and to warn candidates as to what can happen with persistently late examination starts.

*“**Advice:** it is good practice for a centre to have a policy for late and absent candidates. Invigilators **must** be made aware of this policy.*

***Advice:** Centres should have their own internal procedures for dealing with candidates who persistently arrive late for examinations.*

The Exams Officer may need to liaise with a senior member of staff who has pastoral responsibilities.”

[ICE14]

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
- Centre's must note the procedures for the checking of question paper packets and their subsequent transfer to the secure storage facility
- Question papers must be opened by two people the exam officer and another and this documented with both signatures
- Attaches erratum notices received to relevant 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 prior to question paper packets being opened that another member of staff or an invigilator checks the time, date and paper details
- 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 only approved centre staff are present in exam rooms
- 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

No food is allowed in the Exam Room at any time. Drinks may be taken into the exam hall, as long as it is bottled water with the label removed from the bottle. Excessive amounts of water (for example, 2 litre bottles) are prohibited, as this will inevitably lead to an excess of toilet breaks which can affect the security and integrity of an examination.

"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."

[ICE 11]

Exams Officer

- Ensures exam rooms are set up 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
- Ensures sole invigilators have an appropriate means of summoning assistance
- Ensures invigilators understand how to deal with candidates who may need to leave the exam room temporarily
- 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

SLT

- 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

Invigilators must take the following action in an emergency such as a fire alarm or bomb alert.

- Stop the candidates from writing
- Collect the attendance register (in order to ensure all candidates are present) and evacuate the examination room in silence in order to make sure there is no discussion about the examination
- Make a note of the time of the interruption and how long it lasted
- Allow the candidates the full working time set for the examination
- Make a full report of the incident and the action taken to be given to the Exams Officer and submitted to the relevant awarding body
- Invigilators should familiarise themselves with the Evacuation Contingency plan, held in the Examination Office and available upon request from the Exams Officer.
- The evacuation procedure for the main Exam Room can be found laminated on the wall by the entrance to the hall

*"...You **must** have a **written** centre policy for dealing with an emergency evacuation of the examination room, which will be subject to inspection by the JCQ Centre Inspection Service."*

[ICE18]

Site Staff

- Ensure exam rooms are available and set up as requested by the Exams Officer
- 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 as instructed in training/update events and briefing sessions

Candidates

- Are required to remain in the exam room for the full duration of the exam

Irregularities

Head of Centre

- Ensures any cases of suspected malpractice (by centre staff, candidates, invigilators) are investigated and reported to the awarding body as required

Managing behaviour

In a case of misbehaviour, the first step is for the invigilator to approach the student and quietly inform them of the exam regulations, school expectations regarding behaviour and remind the student of the repercussions of disturbing the examination, which can include disqualification.

If misbehaviour persists, invigilators should contact the Exams Officer who, along with a member of SLT, will speak to the student in question and remind them again of the above.

If misbehaviour still persists the Head of Centre should be informed and a decision made as to whether the candidate should be removed from the examination so as to maintain the security and integrity of the examination.

All incidents should be logged and reported to the relevant exam board where necessary.

“The head of centre has the authority to remove a candidate from the examination room, but should only do so if the candidate would disrupt others by remaining in the room.”

[ICE17]

SLT

- Ensure support is provided for the Exams Officer 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, disruption or disturbance in the exam room, emergency evacuation)

Malpractice

See *Irregularities* above.

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

Special consideration policy

Should a candidate be ill before an exam, suffer bereavement or other trauma, be taken ill during the exam itself or otherwise disadvantaged or disturbed during an exam, then it is the candidate's responsibility to alert the centre, the Exams Officer, or the exam invigilator, to that effect.

The candidate must support any special consideration claim with appropriate evidence within three days of the exam, for example a letter from the candidate's doctor.

The Exams Officer will then forward a completed special consideration form to the relevant awarding body within seven days of the exam.

Candidates

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

Unauthorised materials

Arrangements for unauthorised materials taken into the exam room

Candidates are given good opportunity at the beginning of the examination to hand in any unauthorised material and are reminded that mobile phones, smart watches or any other electronic equipment is not permitted into the exam hall is classed as unauthorised materials and that, further, to take them into the examination without handing them in is deemed **malpractice**. Using a calculator with a data storage facility is prohibited.

Candidates may, if they wish, place mobile phones or other unauthorised paraphernalia in their school bags which are placed at the opposite side of the Exam Room well away from the tables, chairs and students. **They must be switched off**. A phone ringing in an examination that is placed in a bag and, thus, disturbing said exam is classed as malpractice and will be reported.

All incidents of unauthorised materials being found on a candidate **must** be reported to the Exams Officer and Head of Centre, who **must** in turn submit a report to the relevant Exam Board.

Any items handed into invigilators **must** be switched off, placed in a brown opaque envelope with the name of the candidate written on. They must be kept securely at the front of the Exam Room and out of reach of candidates.

“...any unauthorised items that have been taken into the examination room must 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.”

“Advice: You may wish to ask candidates to place their watches on their desk in sight of the invigilator prior to the examination commencing.”

[ICE11]

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 Exams Officer

Results and post-results: roles and responsibilities

Internal assessment

HOD

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

Managing results day(s)

SLT

- 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

Exams Officer

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

Results day programme

Candidates will be provided with individual results slips in a personally addressed, opaque brown envelope on results days in person at the centre. Arrangements for the school to be open on results days are made by the Head of Centre. The provision of staff on results days is the responsibility of the Exams Officer.

Results cannot be handed over to a friend to be delivered unless both written and verbal authorisation has been acquired by the centre. It is then the Head of Centre's discretion as to whether the results can be given to a third party to be given to the student.

“Senior members of centre staff must be accessible to candidates immediately after the publication of results so that results may be discussed and decisions made on the submission of enquiries. Candidates must be informed of the periods during which centre staff will be available so that they may plan accordingly.” [PRS 6]

Site Staff

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

Accessing results

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 **internal appeals procedures** are available where candidates disagree with a centre decision
 - not to support an enquiry about results
 - not to appeal against the outcome of an enquiry about results

(Ofqual has announced a series of changes to reviews of marking and appeals which may affect the centre's internal appeals procedures during 2016/17)

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, enquiries about 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 collect candidate informed consent and fees where relevant

- Submits requests to awarding bodies to meet the external deadline
- 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

Enquiries about Results (EARS) and Access to Scripts (ATS) policy

Head of Centre, SLT, Exam Officers, Heads of Years, Heads of Department, Teachers, LSA's or Support Staff **must not under any circumstances** ensure/ promise/ guarantee a student that they will be submitted for an EAR request or an ATS request without following a proper review procedure surrounding candidate results. The procedure for both the decision to submit the request and the procedure surrounding the process, outlined below, **must be followed** to avoid unnecessary confusion or disappointment.

- Where necessary, teachers or Heads of Department may assure the candidate that they will **look into the student's results to see whether it is possible to query their result**. They must not, under any circumstances ensure they will be submitted for an EAR or ATS request
- From the time of Results Day to, at the latest, 2 weeks before the EAR/ ATS deadline, Heads of Departments and Teachers in their departments must co-ordinate in order to analyse which students they **reasonably** believe should be submitted to the relevant Exam Boards for an EAR/ ATS/ both. Reasonable is no more than '5' marks from the next grade above. **Heads of Departments should be aware that marks can go up and down.**
- These requests will then be submitted to the Exam Officer and their Line Manager (and/or a member of SLT) in order to assess whether there are reasonable grounds for a remark.
- The Exam Officer will then submit the EAR/ ATS requests. Submissions after the date given by the Exams Officer will not be submitted unless due to extraneous circumstances.

"Senior members of centre staff must be accessible to candidates immediately after the publication of results so that results may be discussed and decisions made on the submission of enquiries. Candidates must be informed of the periods during which centre staff will be available so that they may plan accordingly." [PRS 6]

Analysis of results

Systems Development Leader

- Provides analysis of results to appropriate centre staff
- Provides results information to external organisations where required
- Undertakes the *secondary school and college (key stage 4/16-18) performance tables September checking exercise*

Certificates

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

Candidates should be aware of the following deadlines for a "Change of Name" on GCSE Certificates. Names on GCSE Certificates **cannot be changed after GCSE certificates have been printed**. Individual exam boards do, however, have individual deadlines as to when applications for the changing of a Candidate's name is accepted. Haydock High, however, would recommend any submission for name changes are given to the school, along with the necessary evidence, well before these deadlines.

- WJEC
 - Before the close of entries for the year the exam is being sat (Usually February of the School Year)
- AQA
 - Before the close of entries for the year the exam is being sat (Usually February of the School Year)
- OCR
 - 1 week before results are issued
- Pearson Edexcel
 - The day the candidate sits their first exam

Evidence that is required for this would be a change of name via Deed Poll. The School would need to take a copy of the Deed Poll document and supply this to the exam board.

Issue of certificates procedure

Certificates are issued via the Exams Officer at the Schools annual “Celebration Evening”. Candidate certificates will not be given out to candidates before this date, except in extraneous circumstances, due to security and ensuring the integrity of the administration procedure behind packaging each candidate’s certificates and ensuring they are all present and correct.

Candidates

- May arrange for certificates to be collected on their behalf, after the school’s annual “Celebration Evening”, by providing the Exams Officer with written or email permission/authorisation; authorised persons collecting certificates on behalf of candidates must provide ID evidence on collection of certificates
- Replacement certificates are only issued if a candidate agrees to pay the costs incurred

Retention of certificates policy

The Centre retains GCSE Certificates for three years before securely destroying them as confidential waste. Within this three year period ex-pupils may collect their certificates provided they supply an adequate form of identification.

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

SLT

- Work with the Exams Officer 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

Exams policy 2016/17 Hyperlinks provided in this document were correct as at October 2016

- Keeps records as required by the centre's records management policy
- Provides an exam archiving policy that identifies information held, retention period and method of disposal

Exam archiving policy

All sensitive documents, or documents pertaining to previous exam cycles, will be retained for a minimum period of 5 years and then destroyed along with other confidential waste that needs to be discretely destroyed.

Appendix A

See Exam Contingency Policy

(updated January 2020)

Appendix B

Internal Appeals Procedure (updated November 2016)

Appeals procedure against internally assessed marks

Haydock High School is committed to ensuring that whenever our staff mark candidates' work this is done fairly, consistently and in accordance with the regulations and awarding body's specification and subject-specific associated documents.

Candidates' work will be marked by staff who have appropriate knowledge, understanding and skill, and who have been trained in this activity. **Haydock High School** is committed to ensuring that work produced by candidates is authenticated in line with the requirements of the awarding body. Where a number of subject teachers are involved in marking candidates' work, internal moderation and standardisation will ensure consistency of marking.

If a candidate believes that this may not have happened in relation to his/her work, he/she may make use of this appeals procedure.

N.B: an appeal may only be made against the assessment process and not against the mark to be submitted to the awarding body

1. Appeals should be made as early as possible in order to ensure that the internal appeals process is completed prior to the submission of centre marks to the awarding body.
2. Concerns should be raised with the student's class teacher to talk through any concerns the student may have. Personal Circumstances should be raised if necessary.
3. If the concern is not addressed then Formal Appeals must be made in writing (using the **internal appeals form**) and sent directly to the Exams Officer
4. The Head of Centre will appoint a senior member of staff, e.g. an Assistant Headteacher or a Deputy Headteacher, to conduct the investigation. The senior member of staff will not have had any involvement in the internal assessment process for that subject.
5. The purpose of the appeal will be to decide whether the process used for the internal assessment conformed to the awarding body's specification and subject-specific associated documents.
6. The appellant will be informed in writing of the outcome of the appeal, including any relevant correspondence with the awarding body, and any changes made to internal assessment procedures.
7. The outcome of the appeal will be made known to the head of centre and will be logged as a complaint. A written record will be kept and made available to the awarding body upon request. Should the appeal bring any irregularity in procedures to light, the awarding body will be informed.

After candidates' work has been internally assessed, it is moderated by the awarding body to ensure consistency in marking between centres. The moderation may lead to mark changes. This process is outside the control of **Haydock High School** and is not covered by this procedure.

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

Following the issue of results awarding bodies make post-results services available. Full details of these services, internal deadlines for requesting a service and fees charged are provided by the Exams Officer.

The service, *enquiries about results* (EARs), may be requested by centre staff or candidates (or their parents/carers). (EAR service 3 is not available to individual candidates). If a query is raised about a particular examination result, the Exams Officer, teaching staff and head of centre will investigate the feasibility of requesting an enquiry at the centre's expense.

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

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

Appeals procedure following the outcome of an enquiry about results

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

Where the head of centre is satisfied after receiving the outcome of an EAR, but the internal candidate and/or their parent/carer is not satisfied, they may make a further representation to the head of centre. Following this, the head of centre's decision as to whether to proceed with an appeal will be based upon the centre's internal appeals arrangements. Candidates 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 **10 calendar days** of the notification of the outcome of the enquiry. Subject to the head of centre's decision, this will allow the centre to process the appeal and submit to the awarding body within the required 14 calendar days. Awarding body fees which may be charged for the appeal must be paid by the appellant on submission of the internal appeals form. 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.

Beyond the scope of this policy

The following required policies are considered beyond the scope of the exams policy.

Child protection policy

This can be found on the School Website Policy page

*“Do you have a **written** child protection policy?”*

[GR- A checklist for prospective examination centres or where a centre has changed its address or secure storage arrangements]

Data protection policy

This can be found on the School Website Policy page

*“Do you have a **written** data protection policy?”*

[GR- A checklist for prospective examination centres or where a centre has changed its address or secure storage arrangements]

DBS policy

This can be found on the School Website Policy page

*“have in place a **written** policy on DBS (Disclosure and Barring Service) clearance which satisfies current legislative requirements;”*

[GR 5]