



# Exams Policy

## Exams Policy

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## Key staff involved in the policy

<b>Role</b>
Head of Centre
Senior Leader(s)
Exams Officer Line Manager (Senior Leader)
Exams Officer
SENCo

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

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## **Purpose of the policy**

The centre is committed to ensuring that the exams/assessments management and administration process is run effectively and efficiently and in compliance with the published JCQ regulations and awarding body requirements.

This policy will ensure that:

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

This policy will be communicated to all relevant centre staff.

## Roles and responsibilities overview

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

**The Exams Officer** is the person appointed by the Head of Centre to act on behalf of and be the main point of contact for the centre in matters relating to the general administration of awarding body exams and assessments.

**The Head of Centre must not normally appoint themselves as the Exams Officer.** A Head of Centre and an Exams Officer are two distinct and separate roles.

The Head of Centre and/or Exams Officer may operate across more than one centre. In such cases the Head of Centre must ensure there is suitable Senior Leadership Team support in place, so they can meet their obligations across all centres for which they are responsible. The Head of Centre must ensure that these arrangements are covered by their exam contingency plan.

### Head of Centre responsibilities

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

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

(ICE Introduction) **It is the responsibility of the Head of Centre to ensure that all staff comply with the instructions in the Instructions for conducting examinations document.** Failure to do so may constitute malpractice as defined in the JCQ document **Suspected Malpractice: Policies and Procedures**, 1 September 2024 to 31 August 2025.

(GR 5.1)

The Head of Centre must ensure:

- Compliance with the published JCQ regulations and awarding body requirements to deliver the qualification(s).
- Appropriate controls are in place which ensure accurate data is submitted to the awarding bodies by the required deadlines, e.g. entries, internally assessed marks etc.
- All reasonable steps are taken to respond promptly to requests for information or documentation made by an awarding body or regulatory authority.

### Head of Centre

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

- **Access Arrangements and Reasonable Adjustments (AARA)**
- **Suspected Malpractice – Policies and Procedures (SMPP)**
- **Instructions for conducting coursework (ICC)**
- **Instructions for conducting non-examination assessments (NEA)** (and the instructions for conducting coursework).
- **A guide to the special consideration process (SC)**
- Ensures that the centre has appropriate accommodation to support the size of the cohorts being taught including appropriate accommodation for candidates requiring access arrangements for exams and 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 (unless exclusions apply) 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 penalties (see **National Centre Number Register and other information requirements** section).
- 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 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 (including third party applications).
- Ensures members of centre staff do not advise parents/candidates to contact awarding bodies/JCQ directly nor provide them with the names, addresses and contact details (including email addresses) of examiners, moderators, external verifiers and any other awarding body examining/assessment personnel/JCQ personnel.

## **Resilience and contingency arrangements**

(GR 3.16-19)

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

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

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

The plan must cover the following scenarios:

- The Head of Centre, relevant Senior Leader(s) with oversight of exam and assessment administration, SENCo, Exams Officer or any other key staff essential to the exam process being absent at a critical stage of the exam cycle.
- The potential impact of other events such as flooding which could lead to all or parts of the centre becoming unavailable.
- Potential issues with the centre's IT systems.

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

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

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

## **Cyber Security**

(GR 3.20-21)

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

- Providing training for authorised staff on the importance of creating strong unique passwords and keeping all account details secret.
- Providing training for staff on awareness of all types of social engineering/ phishing attempts.
- Enabling additional security settings wherever possible.
- Updating any passwords that may have been exposed.
- Setting up secure account recovery options.
- Reviewing and managing connected applications.
- Monitoring accounts and regularly reviewing account access, including removing access when no longer required.
- Ensuring authorised members of staff securely access awarding bodies' online systems in line with awarding body regulations regarding cyber security and the JCQ document *Guidance for centres on cyber security*.
- Authorised staff will have access, where necessary, to a device which complies with awarding bodies' multi-factor authentication (MFA) requirements.
- Reporting any actual or suspected compromise of an awarding body's online systems immediately to the relevant awarding body.

## **Recruitment, selection, training and support**

(GR 5.3)

- Retains a workforce of an appropriate size and competence, including sufficient managerial and other resource, to undertake the delivery of the qualifications 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-exam assessments, and/or fully qualified assessors for the verification of centre-assessed components.
- Ensures that teaching staff do not use artificial intelligence (AI) as the sole means of marking candidates' work.
- Enables the relevant Senior Leader(s), Exams Officer and the SENCo to receive appropriate training and support in order to facilitate the effective delivery of exams and assessments within the centre and ensure compliance with the published JCQ and awarding body regulations.
- Ensures that the SENCo understands the JCQ document Access Arrangements and Reasonable Adjustments and is given sufficient time to manage the access arrangements process within the centre.
- Ensures that the Exams Officer understands relevant awarding body and JCQ documentation and has sufficient time to perform their role
- Ensures that any member(s) of the Senior Leadership Team who are responsible for exam administration familiarise themselves with relevant awarding body and JCQ documentation. (This will ensure the Exams Officer and the SENCo are supported as well as ensuring effective centre decision making in line with the published regulations).
- Ensures that teachers understand the relevant awarding body and JCQ documentation for the qualifications they are delivering to ensure they are delivered in line with the relevant regulations

## External and Internal governance arrangements

(GR 5.3)

- Has in place a written escalation process should the Head of Centre, or a member of the Senior Leadership Team with oversight of exam and assessment administration be absent.
- Has in place a member of the Senior Leadership Team, who has a good working knowledge of the exam system, will provide effective line management support and supervision of the Exams Officer to ensure the integrity and security of exams and assessments is maintained throughout the exam series.
- Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the Exams Officer.
- Can confirm to an awarding body the external governance arrangements so that the awarding body has confidence in the integrity of the centre activities such as the delivery of qualifications and the conducting of exams and assessments.

## Delivery of qualifications

(GR 5.3)

- Delivers qualifications as required by the awarding body and in accordance with relevant equality legislation. This includes but is not limited to ensuring that qualifications are made available to all candidates capable of undertaking them and seeking and implementing reasonable adjustments for disabled candidates.
- Enables candidates to receive sufficient and up to date practical experience, or relevant training where required by the subject concerned.

## Public liability

(GR 5.3)

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

## Conflicts of Interest

(GR 5.3)

- Manages conflicts of interest by informing the awarding bodies before the published deadline for entries for each exam series of any potential conflict of interest where:
  - Any members of centre staff who are taking a qualification at this centre which includes internally assessed components/units. \*
  - Any members of centre staff who are teaching and preparing members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g., son/daughter) for qualifications which include internally assessed components/units, **and**
  - Maintains internal records (that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected) of all instances where:
  - Exams office staff have members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) being entered for exams and assessments either at this centre or other centres.
  - Centre staff are taking qualifications at this centre which do not include internally assessed components/units. \*
  - Centre staff are taking qualifications at other centres.
- Retains records of all conflicts of interest including details of the measures taken to mitigate any potential risk to the integrity of the qualifications affected. (The records may be inspected by a JCQ Centre Inspector and/or awarding body staff. They might be requested in the event of concerns being reported to an awarding body. The records must be retained until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later).

- \*Notes that entering members of centre staff for qualifications at their own centre must be as a last resort in cases where the member of centre staff is unable to find another centre, and ensures:
  - Proper protocols are in place to prevent the member of centre staff having access to exam materials prior to the exam and that other centre staff are briefed on maintaining the integrity and confidentiality of the exam materials.
  - During the exam series the member of centre staff is treated in the same way as any other candidate entered for that exam, does not have access to exam materials and does not receive any preferential treatment.

### Controlled assessments, coursework and non-exam assessments

(GR 5.3)

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

### Security of assessment materials

(GR 5.3)

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

### National Centre Number Register and other information requirements

(GR 5.3)

- Provides contact details as follows:
  - A physical address to which all exam and assessment materials will be despatched – this must be the registered address of the centre.
  - A landline telephone number – this must be the number of the main office/switchboard of the centre.
  - A contact email address for communications – this must be the email address of the person or team responsible for the administration of exams (personal email addresses such as 'Yahoo', 'Hotmail' and 'Gmail' are not acceptable).

Note: Except for WJEC, if this is a shared email account it must not be used to access awarding body secure websites.

- The name of the Head of Centre and their email address.
  - Senior designated contact details. This might include a personal mobile number and/or email address. (These must be the contact details of someone who can be reached in an emergency if the centre is closed over the summer and who can mobilise resources to respond to the issue).
- Responds to the National Centre Number Register annual update by the end of October every year
    - Informs the National Centre Number Register Team immediately (email address – ncn@ocr.org.uk) if any changes occur after the National Centre Number Register annual update has taken place. (This must be on centre headed stationery which can be sent as an email attachment including the signature of the Head of Centre).
    - Informs the National Centre Number Register Team (email address – ncn@ocr.org.uk) of any changes to relevant contact details no later than 6 weeks prior to moving to a new address or re-locating of the secure storage facility. (This must be on centre headed stationery which can be sent as an email attachment).
    - Informs the National Centre Number Register Team immediately of any other changes in circumstances that could affect the centre’s status.
    - Responds, by completing the Head of Centre Declaration, to the National Centre Number Register request for confirmation that they are aware of and adhering to the latest versions of the JCQ regulations, and does so no later than the end of October every year.
    - Responds to any other reasonable requests made by the National Centre Number Register Team.
  - (GR 1.9) Understands that this responsibility for completing the Head of Centre declaration survey cannot be delegated to a member of the Senior Leadership Team or the Data and Exams Manager, 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 exam 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

(GR 5.3)

- Co-operates with the JCQ Centre Inspection Service, an awarding body, or a regulatory authority when subject to an inspection, an investigation or an unannounced visit.
- Allows all venues used to exams and assessments, paperwork, and secure storage facilities to be open to inspection.
- Understands the JCQ Centre Inspector will identify themselves with a formal identity document and must be accompanied throughout their tour of the premises, including inspection of the centre’s secure storage facility.

## Policies available for inspection

Has in place the following policies for inspection that must be reviewed and updated annually:

- A written child protection/safeguarding policy, including Disclosure and Barring Service (DBS) clearance, which satisfies current legislative requirements.
- A written complaints policy.
- A written conflicts of interest policy.
- A written data protection policy.
- A written equalities policy.
- A written contingency plan which covers all aspects of exam/assessment administration and delivery.
- A written internal appeals procedure which must cover at least appeals regarding internal assessment decisions, access to post-result services and appeals, and centre decisions relating to access arrangements and special consideration.

- A written malpractice policy which covers all qualifications delivered by the centre. The policy must detail how candidates are informed and advised to avoid committing malpractice in exams/assessments, how suspected malpractice issues should be escalated within the centre and reported to the relevant awarding body. It must also acknowledge the use of AI (e.g., what AI is, when it may be used and how it should be acknowledged, the risks of using AI, what AI misuse is and how this will be treated as malpractice).
- A written policy regarding the management of non-exam assessments including controlled assessments and coursework. (For CCEA GCSE centres this would be a written controlled assessments policy).
- A written whistleblowing policy.
- A written policy on the use of word processors in exams.

### **Access arrangements and reasonable adjustments**

(GR 5.4)

The Head of Centre/Senior Leadership Team will:

- Appoint a SENCo, or an equivalent member of staff, who will coordinate the access arrangements process within the centre and determine appropriate arrangements for candidates with learning difficulties and disabilities, candidates for whom English is an additional language, as well as those with a temporary illness or temporary injury.
- Ensure that learners have the correct information and advice on their selected qualification(s) in an accessible format and that the qualification(s) meet their needs. (The recruitment process must include the centre assessing each potential learner and making justifiable and professional judgements about the learner's potential to complete the exams/assessments successfully and achieve the qualification(s). The centre's assessment must identify, where appropriate, the support that will be made available to the learner to facilitate access to exams/assessments).
- Recognise its duties towards disabled candidates, including private candidates, ensuring compliance with all aspects of the Equality Act 2010<sup>†</sup>, particularly Section 20 (7). (This must include a duty to explore and provide access to suitable courses, through the access arrangements process submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates. Where the centre is under a duty to make a reasonable adjustment, the centre must not charge a disabled candidate any additional fee in relation to the adjustment or aid).  
†or any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect.
- Ensure that the SENCo undertakes the necessary and appropriate steps to gather a picture of need and demonstrate normal way of working for a private candidate such as a distance learner or a home educated student. (The centre, where required, must lead on the assessment process. The candidate must be assessed by the centre's appointed assessor. In some instances, depending on their needs, the candidate may have to be assessed away from the centre, for example at home. The centre must comply with the obligation to identify the need for, request and implement access arrangements).
- Ensure that where a candidate with a learning difficulty requires an assessment of their needs, they are assessed by an appropriately qualified assessor as appointed by the Head of Centre. (Evidence of the assessor's qualification(s) must be obtained before they assess candidates and held on file for inspection).
- Have a written process in place to not only check the qualification(s) of their assessor(s) but that the correct procedures are followed as in Chapter 7 of the JCQ document *Access Arrangements and Reasonable Adjustments*.
- Assist the awarding bodies in the discharge of their duty to make reasonable adjustments by requesting access arrangements, where required, and fully support the SENCo in effectively implementing those arrangements once approved.

### **Malpractice**

(GR 5.11)

The centre will:

- Take all reasonable steps to prevent the occurrence of any malpractice (which includes maladministration) before, during and after assessments have taken place.
- Inform the awarding immediately of any alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, by completing the appropriate documentation.
- As required by an awarding body, ensures evidence of any instances of alleged or suspected malpractice (which includes maladministration) is gathered in accordance with the current JCQ document **Suspected Malpractice - Policies and Procedures** and provides such information and advice as the awarding body may reasonably require.
- (GR 6.2) Ensures any person involved in administering, teaching or completing exams/assessments is advised that where malpractice is suspected, or alleged, personal data about them will be provided to the awarding body (or bodies) whose exams/assessments are involved. Personal data about them may also be shared with other awarding bodies, the qualifications regulator or professional bodies in accordance with the JCQ document **Suspected Malpractice – Policies and Procedures**.

## Personal Data

(GR 6.6, 6.8)

It is the responsibility of centres to inform candidates of the processing that the centre undertakes. For example, that the centre will provide relevant personal data including name, date of birth, gender to the awarding bodies for the purpose of examining and awarding qualifications.

Materials which are submitted by candidates for assessment may include any form of written work, audio and visual materials, computer programmes and data (“Student Materials”). Awarding bodies may use the Student Materials to evaluate candidates’ performance in the relevant assessment. They may also use the Student Materials for other purposes as outlined in their privacy policies and in accordance with their terms. Candidates should be directed to the relevant awarding body’s privacy notice if they require further information about how their Student Materials may be used by the awarding body.

Where a centre or third party is in possession of any Student Materials for the purposes of candidate assessment, the Student Materials will be held on behalf of the awarding body.

## Exams Officer

- Understands the contents of annually updated JCQ documents including:
  - General regulations for approved centres**
  - Instructions for conducting examinations**
  - Suspected Malpractice – Policies and Procedures**
  - Post-Results Services (PRS).**
- Completes/submits the National Centre Number Register annual update (administered on behalf of the JCQ member awarding bodies by OCR <https://ocr.org.uk/administration/ncn-annual-update/>) by the end of October every year to confirm the centre’s contact details or informs of any changes (and follows the process [in GR 5.3] if any changes occur after the annual update has taken place).
- Is familiar with the contents of annually updated information from awarding bodies on administrative procedures, key tasks, key dates, and deadlines.
- Ensures that key tasks are undertaken, and key dates and deadlines met.
- Recruits, trains, and deploys a team of internal/external invigilators; appoints lead invigilators as may be applicable to the centre and keeps a record of the content of training provided to invigilators for the required period.
- Works with the SENCo to ensure invigilators supervising access arrangement candidates and those acting as a facilitator supporting access arrangement candidates fully understand the respective role and what is and what is not permissible in the exam room.
- Supports the Head of Centre in ensuring that awarding bodies are informed (where required) of any conflict of interest declared by members of centre staff and in maintaining internal 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 exam series.

- Briefs other relevant centre staff where they may be involved in the receipt and dispatch of confidential materials on the requirements for maintaining the integrity and security of confidential exam/assessment materials.

### Senior Leaders (SLT)

- Are familiar with the contents, refer to and direct relevant centre staff to annually updated JCQ documents including:
  - **General regulations for approved centres**
  - **Instructions for conducting examinations**
  - **Access Arrangements and Reasonable Adjustments**
  - **Suspected Malpractice – Policies and Procedures**
  - **Instructions for conducting coursework**
  - **Instructions for conducting non-examination assessments** (and the instructions for conducting controlled assessment and coursework).
  - **A guide to the special consideration process**
  - **Post-Results Services**
- Ensure teaching staff undertake key tasks, as detailed in this policy, within the exams process (exam cycle) and meet internal deadlines set by the Data and Exams Manager and SENCo.
- Ensure teaching staff keep themselves updated with awarding body subject and teacher-specific information to confirm effective delivery of qualifications.
- Ensure teaching staff attend relevant awarding body training and update events.

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

- Understands the contents of, refers to and directs relevant centre staff to annually updated JCQ documents including **Access Arrangements and Reasonable Adjustments**.
- Leads on the access arrangements and reasonable adjustments process (referred to in this policy as 'access arrangements').
- Presents when requested by a JCQ Centre Inspector, evidence of the assessor's qualification. (GR 5.4)
- Ensures any applications for access arrangements or reasonable adjustments are submitted by the published deadline. (The SENCo will hold on file appropriate documentary evidence to substantiate such an arrangement, which is open to inspection. For those qualifications covered by Access Arrangements Online, a JCQ Centre Inspector will sample a centre's applications)
- Ensures a file is presented which must contain for each online application the downloaded approval for the respective arrangement(s), supporting evidence of need and a signed candidate data personal consent form. (This information must be readily available for inspection at the venue where the candidate is taking the exam(s)).
- Ensures requests for modified papers are submitted by the published deadline.
- Ensures there are appropriate resources in place at the time of exams/ assessments to meet candidates' needs, e.g., sufficient readers and scribes.

### Teaching staff

- Undertake key tasks, as detailed in this policy, within the exams process and meet internal deadlines set by the Data and Exams Manager and SENCo.
- Keep updated with awarding body subject and teacher-specific information to confirm effective delivery of qualifications.

- Attend relevant awarding body training and update events.

### **Invigilators**

- Attend/Undertake training (on the current regulations), update, briefing and review sessions as required.
- Provide information as requested on their availability to invigilate.
- Declare during interview whether they have any current maladministration/malpractice sanctions applied to them.

### **Reception staff**

- Support the Exams Officer in the receipt/dispatch of confidential materials and follow the requirements for maintaining the integrity and security of confidential exam/assessment materials.

### **Site staff**

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

### **Candidates**

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

## **The Exam Cycle**

The exams management and administration process that needs to be undertaken for each **exam series** is referred to as the **exam cycle** and relevant tasks which need to be undertaken before, during and after an exam series are grouped into the following stages:

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

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

### **Planning: roles and responsibilities**

#### **Secure materials**

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

(GR 3.6)

Ensures the centre has a secure storage facility in a room solely assigned to exams.

(ICE 3.1)

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

- **The secure room**

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

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

- **The secure storage facility**

Access to the secure storage facility **must** be restricted to two to six key holders, one of whom **must** be the Exam Officer.

The two to six key holders **must** either be part of the exams team or the Senior Leadership Team. A key holder from the exams team **must** be a permanent member of staff or a member of staff who has a formal contract of employment and is subject to standard HR policies and procedures.

When the secure storage facility is being accessed for the storage and preparation of secure assessment materials the door to the secure room **must** be closed.

### **Information sharing**

#### **Head of Centre**

- Directs relevant centre staff to annually updated JCQ documents including GR, ICE, AARA, SMPP, ICC, NEA and SC.

#### **Exam Officer**

- Signposts relevant centre staff to JCQ documents and awarding body documentation relating to the exam/assessment process that has been updated.
- Signposts relevant centre staff to JCQ information that must 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 and informs key centre staff of internal deadlines.
- Collects information on internal exams/assessments to enable preparation for and conduct of Semester 1 and 2 assessments for years 7-11.

#### **Senior Leaders**

- Respond (or ensure teaching staff respond) to requests from the Exams Officer on information gathering.
- Meet the internal deadline for the return of information.
- Inform the Exams Officer of any changes to information in a timely manner thus minimising the risk of late or other penalty fees being incurred by an awarding body.
- Note the internal deadlines in the annual exams plan and directs teaching staff to meet these.

### **Access arrangements**

#### **Head of Centre**

- Ensures the centre has documented processes in place relating to access arrangements and reasonable adjustments.
- Ensures that the SENCo is fully supported in effectively implementing access arrangements and reasonable adjustments once approved.

#### **SENCo**

- Assesses candidates to identify access arrangement/reasonable adjustment 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** for 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 Exams Officer or SENCo are completed.
- Works with the Exams Officer to apply for **approval** using *Access arrangements online (AAO)* via the Centre Admin Portal (CAP), where required or through the awarding body where qualifications sit outside the scope of AAO.
- Keeps a file for each candidate for JCQ inspection purposes containing all the required documentation (if documentation is stored electronically, an e-folder must be created for each individual candidate. The candidate's e-folder must hold each of the required documents for inspection).
- Employs good practice in relation to the Equality Act 2010.
- Liaises with the Exams Officer regarding exam time arrangements for access arrangement candidates.
- Works with the Exams Officer to ensure that staff appointed to facilitate access arrangements for candidates are thoroughly trained and understand the rules of the particular arrangement(s).
- Works with the Exams Officer to ensure that a record of the content of training provided to facilitators is maintained for the required period.
- Works with the Exams Officer to ensure that invigilators and those acting as an access arrangement facilitator fully understand the respective role and what is/is not permissible in the exam room.
- Liaises with the Exams Officer and the relevant member of the Senior Leadership Team on the centre's policy on the use of word processors in exams.
- Ensures criteria for candidates granted alternative rooming arrangements is clear, meets JCQ regulations and best meets the needs of individual candidates and remaining candidates in main exam rooms.

#### **Alternative Rooming Arrangements Policy (Exams)**

Please refer to Appendix 1: Alternative Rooming Arrangements Policy (Exams).

#### **Senior Leaders, Head of Department, Teaching staff**

- Support the SENCo in determining and implementing appropriate access arrangements/reasonable adjustments.
- Provides an annually reviewed and updated word processor policy, specific to the centre, which details the criteria used to award and allocate word processors for exams.

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

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

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

(GR 5.7)

- Ensures that where candidates are taking non-exam assessments, teaching staff check that the tasks and approach being taken are appropriate and in line with ethical standards and the centre's safeguarding responsibilities.
- Ensures awarding bodies are notified of a consortium of centres with joint teaching arrangements for qualifications. (This will allow the candidates for each specification to be treated as a single group for the moderation of centre- assessed work. This is only required if two or more member centres will be entering candidates for work that is centre-assessed).
- Ensures only current assessment materials/tasks are used to assess candidates' knowledge and skills (in cases where the awarding body provides such material).
- Before submitting marks to the awarding body ensures candidates are informed of their centre assessed marks and allows a candidate to request a review of the centre's marking.
- Ensures that all associated administrative tasks are completed in an accurate and timely manner, e.g., marks are correctly calculated, recorded and submitted by the published date. (It is the responsibility of the centre to carefully check the marks it is submitting to an awarding body).

- Ensures submission of centre-assessed marks and moderation samples, if required by the awarding body, by the published date. (It is the responsibility of the centre to ensure that moderators receive the correct samples of work to review).
- Ensures a written internal appeals procedure relating to internal assessment decisions is in place and ensures that details of this procedure are communicated, made widely available and accessible to all candidates.
- Ensures a written policy regarding the management of non-exam assessments, including controlled assessments and coursework is in place.
- Ensures that candidates' work is backed-up and considers the contingency of candidates' work being backed-up on two separate devices, including one off-site back-up. (Implementing appropriate security arrangements which protect candidates' work in the event of IT system corruption and cyber-attacks).

### Senior Leaders

- Ensure that 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.
- Ensures that teaching staff delivering relevant qualifications follow JCQ Instructions for conducting coursework and the specification provided by the awarding body.
- Ensures that teaching staff delivering GCSE specifications (which include components of non-exam assessment) follow JCQ **Instructions for conducting non-examination assessments** and the specification provided by the awarding body.
- Ensure teaching staff delivering qualifications which include (wholly or part) units of coursework follow JCQ **Instructions for Conducting Coursework** and the specification provided by the awarding body.
- For VTQ qualifications, ensures teaching staff follow appropriate instructions issued by the relevant awarding body.
- Ensures that teaching staff inform candidates of their centre assessment marks as a candidate may request a review of the centre's marking before marks are submitted to the awarding body.

### Teaching staff

- Ensure that appropriate instructions for conducting internal assessment are followed.
- Ensure that candidates are aware of JCQ and awarding body information for candidates on producing work that is internally assessed (coursework, non-exam assessments and social media) prior to assessments taking place.
- Ensure that candidates are informed of their centre assessed marks as a candidate may request a review of the centre's marking before marks are submitted to the awarding body.

### Exams Officer

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

### Invigilation

#### Head of Centre

- Ensures that relevant support is provided to the Exams Officer in recruiting, training, and deploying a team of invigilators.
- If contracting supply staff to act as invigilators, ensures that such persons are competent and fully trained, understanding what is and what is not permissible.
- Determines if additional invigilators will be deployed in timed Art exams in addition to the subject teacher to ensure the supervision of candidates is maintained at all times.

- Ensures that, wherever possible a teacher, a teaching assistant, a tutor or a senior member of centre staff who teaches the subject being examined or a Learning Support Assistant who has supported one or more candidates is not an invigilator during the exam.

#### **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 thorough training for new invigilators on the current instructions for conducting exams and an 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 that 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 that invigilators are briefed on the access arrangement candidates in their exam room and made aware of the access arrangement(s) (ensuring these candidates are identified on the seating plan) and confirms that invigilators understand what is and what is not permissible.

#### **Entries: roles and responsibilities**

##### **Estimated entries**

#### **Head of Centre**

- Ensures the centre's obligations as detailed in the regulations are met. (With reference to GR 5.4 **Entries**).

#### **Exams Officer**

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

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

Heads of Department provide the Exams Officer with estimated entries upon request for the subjects required according to awarding bodies. Estimated entries are then double checked by class lists and submitted via awarding body websites by the Exams Officer before the submission deadline.

#### **Senior Leaders/Heads of Department**

- Provide information requested by the Exams Officer to meet the internal deadline.
- Inform the Exams Officer immediately of any subsequent changes to information.

##### **Final entries**

#### **Head of Centre**

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

#### **Exams Officer**

- Requests final entry information from Heads of Department in a timely manner to ensure awarding body external deadlines for submission can be met.
- Informs Heads of Department of subsequent deadlines for making changes to final entry information without charge.
- Submits registrations, exam entries and certification claims by the deadline(s) and complies with the requirements of the specification including terminal rules which need to be met at the point of certification.
- Confirms with Heads of Department final entry information that has been submitted to awarding bodies.

- Ensures as far as possible that entry processes minimise the risk of entries or registrations being missed reducing the potential for late or other penalty fees being charged by awarding bodies.
- Observes each awarding body's terms and conditions for the entry and withdrawal of candidates for their exams and assessments and observes any regulatory requirements for the qualification.

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

Please refer to Appendix 2: Final entries collection and submission procedure.

### **Senior Leaders/Heads of Department**

- Provide information requested by the Exams Officer to the internal deadline.
- Inform the Exams Officer immediately, or at the very least prior to the deadlines, of any subsequent changes to final entry information, which includes:
  - Amendments to existing entries.
  - Withdrawal of existing entries.
- Check final entry submission information provided by the Exams Officer and confirms information is correct.

### **Entry fees**

Exam entry fees are charged to the centre's exams budget and paid by the trust's finance department.

### **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.

#### **Senior Leaders/Head of Department**

- Minimise 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 does not accept private candidates for exams/assessments.

### **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**

### **Head of Centre**

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

### **Access arrangements and reasonable adjustments**

#### **SENCo**

- Ensures that appropriate arrangements, adjustments, and adaptations are in place to facilitate access to exams/assessments for candidates where they are disabled within the meaning of the Equality Act (unless a temporary emergency arrangement is required at the time of an exam).
- Ensures that a candidate is involved in any decisions about arrangements, adjustments and/or adaptations that may be put in place for him/her.
- Ensures that exam information (JCQ information for candidates' documents, individual exam timetable, etc.) is adapted where this may be required for a candidate to access it.
- Works with the Exams Officer to allocate appropriately trained centre staff to facilitate access arrangements for candidates in exams and assessments (ensuring that the facilitator appointed meets JCQ requirements and fully understands the role of the particular access arrangement).
- Where relevant, ensures the necessary and appropriate steps are undertaken to gather an appropriate picture of need and demonstrate normal way of working for a private candidate (including distance learners and home educated candidates) and that the candidate is assessed by the centre's appointed assessor.

### **Briefing candidates**

#### **Exams Officer**

- Issues individual exam timetable information to candidates and informs candidates of any designated contingency sessions 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 (coursework, non-exam assessments, on-screen tests, social media and written exams) and awarding body privacy notices.
- Where relevant, issues relevant awarding body information to candidates.
- Issues centre exam information to candidates including information on:
  - Exam timetable clashes.
  - Arriving late for an exam.
  - Absence or illness during exams.
  - What equipment is/is not provided by the centre.
  - Food and drink in exam rooms.
  - Unauthorised items in exam rooms.
  - When and how results will be issued and the staff that will be available.
  - The post-results services information and how the centre will deal with requests from candidates.
  - When and how certificates will be issued.

#### **Access to scripts, reviews of results and appeals procedures**

Please refer to Appendix 3: Access to scripts, review of results and appeals procedures.

### **Dispatch of exam scripts**

#### **Exams Officer**

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

## Estimated grades

### **Senior Leaders/Heads of Department**

- Ensure that 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 (if required).
- Keeps a record to track what has been sent.

## Internal assessment and endorsements

### **Head of Centre**

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

### **SENCo**

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

### **Teaching staff**

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

### **Senior Leaders/Heads of Department**

- Ensure that teaching staff authenticate candidates' work to the awarding body requirements.
- Ensure that teaching staff assess endorsed components according to awarding body requirements.
- Ensure that teaching staff submit marks for internally assessed components and grades for endorsements of qualifications to awarding bodies to meet the internal deadline.
- Provide samples of work for moderation and sample recordings for monitoring to the Exams Officer to meet the internal deadline.

### **Exams Officer**

- Submits samples to awarding bodies/moderators/monitors to meet the external deadline.
- Keeps a record to track what has been sent.
- Logs moderated samples returned to the centre.
- Ensures that 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 new invigilators on the current regulations on appointment and updates the existing invigilation team on any regulation changes and any changes to centre-specific arrangements.

- Deploys invigilators effectively to exam rooms throughout an exam series. This includes the provision of a roving invigilator where a candidate and invigilator (acting as a practical assistant, prompter, reader, or scribe) are accommodated on a 1:1 basis to enter the room at regular intervals. The purpose of this is to observe the conduct of the exam, ensure all relevant rules are being adhered to and to support the practical assistant/reader and/or scribe in maintaining the integrity of the exam.
- Allocates invigilators to exam rooms (or to the supervision of candidates due to a timetable clash) according to the required ratios.
- Liaises with the SENCo regarding the facilitation and invigilation of access arrangement candidates.

#### **SEnCo**

- Liaises with the 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 Centre Inspection**

##### **Exams Officer or Senior Leader**

- Will accompany the Inspector throughout the visit.

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

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

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

##### **Exams Officer**

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

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

Please refer to Appendix 4: Candidate Identification Procedure

- Ensures invigilators are aware of the procedure.
- Provides seating plans for exam rooms according to JCQ and awarding body requirements and ensures that candidates with access arrangements are identified on the seating plan. Invigilators are informed of those candidates with access arrangements and made aware of the access arrangements(s) awarded.

##### **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**

- Confirms appropriate arrangements are in place to ensure that confidential materials are only handed over to those authorised by the Head of Centre.
- Ensures access to the secure room is restricted and staff approved by the Head of centre are accompanied by a keyholder at all times.
- Has a process in place to demonstrate the receipt, secure movement, and secure storage of confidential exam materials within the centre.

- Ensures that 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 that the secure storage facility contains only current and live confidential material (ensuring that past exam question papers, internal tests and mock exams are not kept in the centre's secure storage facility).
- Ensures that exam stationery, e.g., answer booklets and formula booklets are stored in the secure room (attempting to store this material in the secure storage facility, when sufficient space allows).
- Ensures the integrity and security of any electronic question papers is maintained during the downloading, printing, and collating process (ensuring printing is carried out in a secure environment at the centre to prevent unauthorised personnel accessing live assessment materials and ensuring only authorised members of centre staff have access to electronic question paper materials).
- At least two and no more than six members of centre staff should be authorised to handle secure electronic materials, one of whom must be the Exams Officer (Data and Exams Manager in the case of this centre)\*. Other members of centre staff may assist with printing and collation provided they are under supervision.

#### **Reception staff**

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

#### **Teaching staff**

- Adhere to the 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 timetable clashes according to the regulations (only applying overnight supervision arrangements as a last resort once all other options have been exhausted and according to the centre's policy).
- Identifies exam rooms and specialist equipment requirements.
- Allocates invigilators to exam rooms (or to the supervision of candidates due to an exam timetable clash) according to required ratios.
- Liaises with site staff to ensure exam rooms are set up according to JCQ and awarding body requirements.
- Liaises with the SENCo regarding rooming of access arrangement candidates.

#### **SENCo**

- Liaises with the 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.

## **Alternative site arrangements**

### **Exams Officer**

- Ensures that question papers will only be taken to an alternative site where the published criteria for an alternative site arrangement have been met.
- Will inform the JCQ Centre Inspection Service to timescale by submitting a JCQ Alternative Site form online using CAP (or through the awarding body where a qualification may sit outside the scope of CAP) of any alternative sites that will be used to conduct timetabled exam components of the qualifications listed in the JCQ regulations.

## **Transferred candidate arrangements**

### **Exams Officer**

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

## **Internal exams/assessments**

### **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.

### **Heads of Department/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**

#### **Head of Centre**

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

#### **Exams Officer**

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

## **Candidate absence**

### **Candidate absence policy**

Please refer to Appendix 5: Candidate absence policy

### **Invigilators**

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

### **Candidates**

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

## **Candidate behaviour**

See *Irregularities* below.

## **Candidate belongings**

See *Unauthorised items* below.

## **Candidate late arrival**

### **Exams Officer**

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

### **Invigilators**

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

### **Candidate late arrival procedures**

Please refer to Appendix 6: Candidate late arrival policy

## **Conducting exams**

### **Head of Centre**

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

### **Exams Officer**

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

## **Dispatch of exam scripts**

### **Exams Officer**

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

## **Exam papers and materials**

### **Exams Officer**

- Organises exam question papers and associated confidential resources in date order in the secure storage facility.
- Attaches erratum notices received to relevant sealed question paper packets.
- Collates attendance registers and examiner details in date order.
- Regularly checks mail or inbox for updates from awarding bodies.
- In order to avoid potential breaches of security, ensures care is taken to ensure the correct question paper packets are opened by ensuring a member of centre staff, additional to the person removing the papers from the secure storage (e.g., an invigilator) checks the day, date, time, subject, unit/component code and tier of entry (if appropriate) immediately before a question paper packet is opened.
- Ensures that this second pair of eyes 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 timetable 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 that when a room is 'designated' as an exam room it is not used for any purpose other than conducting external exams.
- Ensures that only approved centre staff (who have not taught the subject being examined) are present in exam rooms to perform permitted tasks.
- Ensures the centre's policy on candidates leaving the exam room temporarily is clearly communicated to candidates.
- Ensures that the centre's policy relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates.

### **Food and Drink Policy (Exams)**

Please refer to Appendix 7: Food and drink policy (exams).

### **Leaving the Exam Room Policy**

Please refer to Appendix 8: Leaving the exam room policy

### **Exams Officer**

- Ensures that 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 transferred candidates and access arrangements).
- Ensures that 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 that 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 that invigilators understand how to deal with candidates who may need to leave the exam room temporarily and how this should be recorded on the 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 that a documented emergency evacuation procedure for exam rooms is in place.
- Ensure that arrangements are in place for a candidate with a disability who may need assistance if an exam room is evacuated.
- Ensure a procedure is in place in case of emergency evacuation (lockdown).

### Site staff

- Ensure that exam rooms are available and set up as requested by the Exams Officer.
- Ensure that grounds or centre maintenance work does not disturb exam candidates in exam rooms.
- Ensure that 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 instruction 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) that any cases of alleged, suspected, or actual incidents of malpractice or maladministration before, during or after exams/assessments (by centre staff, candidates, invigilators) are investigated and reported to the awarding body **immediately**, by completing the appropriate documentation.

#### **Managing Behaviour Policy**

Please refer to Appendix 9: Managing behaviour policy

#### Senior Leaders

- 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 or needing to leave the exam room temporarily, disruption or disturbance in the exam room, emergency evacuation).

### Malpractice

See *Irregularities* above.

## **Special consideration**

### **Senior Leaders**

- Support eligible for special consideration by signing appropriate evidence.

### **Exams Officer**

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

### **Candidates**

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

## **Unauthorised items**

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

All internal candidates attend a compulsory revision session prior to each exam, during which time a register is taken. At the end of the session, staff reiterate the parts of the Invigilator's announcement that relate to unauthorised items to ensure that students empty their pockets and place all unauthorised items in their bags. Subsequently, candidates are escorted to the designated 'bag room' for the exam to dispose of their bags/coats and unauthorised items. This room is locked for the duration of the exam. Once seated in the exam room, candidates are asked to check if they are in possession of any remaining unauthorised items as part of the 'Invigilator's Announcement' and to hand these into an invigilator immediately. Any unauthorised items that have been surrendered at this point are removed from the exam room and returned to students once the exam has finished and papers have been collected.

### **Invigilators**

- Are informed of the arrangements through training.

## **Internal exams/assessments**

### **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**

### **Head of Centre**

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

## **Internal assessment**

### **Head of Department**

- Ensures that 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 that work is returned to candidates after the retention period or disposed of according to the requirements.

## **Managing results day**

### **Senior Leaders**

- Identify centre staff who will be involved in the main summer results day and their role.
- Ensures that senior members of staff are accessible to candidates immediately after the publication of results so that results may be discussed, and decisions made on the submission any requests for post-results services.
- Ensures that 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 a procedure for managing the main summer results day (a results day programme) is in place.

#### **Results day programme**

Please refer to Appendix 10: Results Day Programme

### **Site Staff**

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

## **Accessing results**

### **Head of Centre**

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

### **Exams Officer**

- Informs candidates in advance of when and how results will be released to them for each exam series.
- Issues statements of results to candidates on issue of results date.
- 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.

### **Data Manager**

- Provides summaries of results for relevant centre staff on issue of results date.

## **Post-results services**

### **Head of Centre**

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

### **Exams Officer**

- Provides information to candidates and staff on the services provided by awarding bodies and the fees charged (see also above *Briefing candidates* and *Access to scripts, reviews of results and appeals procedures [Appendix 3]*).
- Publishes internal deadlines for requesting the services to ensure the external deadlines can be effectively met.
- Provides a process to record requests for services and to collect candidate informed consent (**after** the publication of results) and fees where relevant.
- Submits requests to awarding bodies to meet the external deadline for the particular service.
- Tracks requests to conclusion and informs candidates and relevant centre staff of outcomes.
- Updates centre results information in conjunction with the Data Manager.

#### **Teaching staff**

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

#### **Candidates**

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

#### **Analysis of results**

##### **Assistant Headteacher/Exams Officer**

- Provides analysis of results to appropriate centre staff.
- Provides results information to external organisations where required.
- Undertakes the DfE School and College Checking Exercises.

#### **Certificates**

Certificates are provided to centres by awarding bodies after results have been confirmed. Please refer to the Academy's Certificate Issue and Retention Policy for further information.

#### **Candidates**

- May arrange for certificates to be collected on their behalf by providing the Exams Officer with written or email permission/authorisation.

#### **Exam Review: roles and responsibilities**

##### **Exams Officer**

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

##### **Senior Leaders**

- Work with the 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.
- Keeps records as required by the centre's records management policy.
- Provides an Exams Archiving Policy that identifies information held, retention period and method of disposal.

## Appendices

### Appendix 1: Alternative rooming arrangements policy.

Alternative rooming arrangements (for example, a room for a smaller group of candidates with similar needs) is an available access arrangement as defined in the JCQ regulations. This is an arrangement where candidate with an established difficulty may be eligible to take their exams in a smaller environment away from the main exam room.

The purpose of this policy is to confirm the criteria when these arrangements may be considered and granted for a candidate at The Halifax Academy in compliance with the regulations.

#### Decisions on the awarding of the arrangement

At The Halifax Academy, decisions on the awarding of the arrangements are made by the SENCo in consultation with the relevant Head of Year.

Decisions are based on:

- Whether the candidate has a substantial and long-term impairment which has an adverse effect (AA 5.16).
- The candidate's normal way of working within the centre (AA 5.16).
- Ensuring the proposed arrangement does not unfairly disadvantage or advantage the candidate (AA 4.2.1).  
The Halifax Academy will make decisions on appropriate access arrangements for candidates. Although professionals from other organisations may give advice, they cannot make the decision for the centre. They will not have a working knowledge of an individual candidate's needs and how their difficulties impact in the classroom and/or in timed assessments. It is the responsibility of the SENCo to make appropriate and informed decisions based on the JCQ regulations.
- Nervousness, low level anxiety or being worried about exams is not sufficient grounds for separate invigilation within the centre (AA 5.16).

#### Criteria for the awarding of the arrangement

Alternative rooming arrangements will be considered where the arrangement would prevent a candidate from being placed at a substantial disadvantage and where the following conditions are met:

- The candidate has an established difficulty as defined in section 5.16 of the JCQ's **Access Arrangements and Reasonable Adjustments** publication (ICE 14.18).
- The candidate's disability is established within the centre and known to relevant staff or a senior member of staff with pastoral responsibilities (AA 5.16).
- Alternative rooming arrangements reflects the candidate's normal way of working in internal tests and mock exams. (AA 5.16).
- Where a candidate sits their exams in a smaller environment away from the main exam room, the regulations and guidance within the JCQ publication **Instructions for conducting examinations** will be adhered to, particularly in relation to accommodation and invigilation arrangements (ICE 14.18).

#### Other rooming arrangements

At The Halifax Academy, arrangements for seating candidates in rooms separate to the main cohort may be put in place in other circumstances. As and when applicable, these circumstances include:

- The provision of a dedicated 'access arrangements' room.
- Students who have been approved the use of a scribe to prevent disturbance to other exam candidates.
- The provision of a dedicated room for students with a serious medical condition (e.g. frequent seizures), Tourette's or significant behavioural issues which would disturb other candidates in the exam room.

## **Appendix 2: Final entries collection and submission procedure.**

Final exam entries are collected via the following process:

- Exam entry marksheets are made available to Heads of Department by the Exams Officer in early January.
- Heads of Department are given approximately two weeks to meet with the Exams Officer to complete their marksheets in SIMS (MIS).
- Following the meeting, the Exams Officer emails the relevant Head of Department a copy of their course entries. Heads of Department are required to confirm that they have checked their course entries via an email to the Exams Officer.
- Heads of Department are directed to discuss any individual candidate exam entry queries with the Senior Leadership Team. The centre's final exam entries are submitted to the relevant awarding bodies by the Exams Officer via EDI before the submission deadline.

With regards to NCFE course registrations, the above process is followed in October time each academic year.

Course registrations are made via the NCFE Portal within 90 days of students starting the relevant course.

The Exams Officer sets internal deadlines for any subsequent exam entry amendments to ensure that awarding body deadlines are met. These deadlines are made clear to all Heads of Department and the member of the Senior Leadership Team with responsibility for exams administration in writing. If exam entry amendments are required, the Heads of Department must provide the Exams Officer with the following information:

- Name of subject.
- Exam series.
- Candidate number.
- Candidate name.
- Exam code to be withdrawn from/amended.
- Exam code to be entered for (if required).

Exam entry amendments are then submitted to the relevant awarding body by the Data and Exams via EDI (or the portal in the case of NCFE qualifications) by their respective deadline. Any queries regarding individual candidate entry amendments are discussed with the Senior Leadership Team before submission to awarding bodies.

### **Appendix 3: Access to scripts, reviews of results and appeals procedures.**

Following the issue of results, awarding bodies make post-results services available.

The JCQ post-results services currently available are detailed below.

#### **Access to Scripts (ATS):**

- Copies of scripts to support reviews of marking.
- Copies of scripts to support teaching and learning.

#### **Reviews of Results (RoRs):**

- Service 1 (Clerical re-check) - This is the only service that can be requested for objective tests (multiple choice tests).
- Service 2 (Review of marking).
- Priority Service 2 (Review of marking) - This service is only available for externally assessed components of GCE A-level specifications (an individual awarding body may also offer this priority service for other qualifications).
- Service 3 (Review of moderation) - This service is not available to an individual candidate.

#### **Appeals:**

- The appeals process is available after receiving the outcome of a review of results.

#### **Purpose of the procedures**

The purpose of these procedures is to confirm how The Halifax Academy deals with candidates' requests for access to scripts, clerical re-checks, reviews of marking, reviews of moderation and appeals to the awarding bodies in compliance with JCQ regulations (GR 5.13).

Details of these procedures are made widely available and accessible to all candidates through the issue of an exam handbook and Results Day information letter.

#### **The arrangements for post-results services**

- Candidates must be made aware of the arrangements for post-results services prior to the issue of results (GR 5.13).
- A review of moderation cannot be undertaken upon the work of an individual candidate or the work of candidates not in the original sample (PRS 4.3).
- The appeals process is available after receiving the outcome of a review of results (PRS 5.1).

At The Halifax Academy:

- Candidates are made aware of the arrangements for post-results services prior to the issue of results.
- Candidates are also informed of the periods during which senior members of centre staff will be available/accessible immediately after the publication of results so that results may be discussed, and decisions made on the submission of reviews of marking (GR 5.13, PRS 4.1).

Candidates are made aware/informed through the issue of a Results Day information letter which is sent to all candidates and their parents/carers prior to the issue of results.

Full details of the post-results services, internal deadline(s) for requesting a service and the fees charged (where applicable) are provided by the Exams Officer on Results Day.

#### **Dealing with requests**

All post-results service requests from internal candidates must be made through the centre (GR 5.13).

At The Halifax Academy, the process to request a service is by completing the JCQ Clerical rechecks, reviews of marking and appeals candidate consent form which is available from the Exams Officer. Payment (where required) must also be made to the Academy before any requests are processed.

### **Candidate consent**

- Candidates must provide their written consent for clerical re-checks, reviews of marking and access to scripts services offered by the awarding bodies after the publication of exam results (GR 5.13).

The Halifax Academy will:

- Acquire written candidate consent (accepting informed consent via candidate email) in all cases before a request for a clerical re-check, a review of marking or an access to scripts service is submitted to the awarding body.
- Acquire informed candidate consent to confirm the candidate understands that the final subject grade and/or mark awarded following a clerical re-check or a review of marking, and any subsequent appeal, may be lower than, higher than, or the same as the result which was originally awarded.
- Only collect candidate consent after the publication of results.
- Retain consent forms or e-mails from candidates for at least six months following the outcome of a clerical re-check or review of marking or any subsequent appeal (PRS 4.2).
- Retain consent/permission forms or e-mails from candidates to request and use their scripts for at least six months (PRS 6.2).

### **Submitting requests**

The Halifax Academy will:

- Submit requests electronically for clerical re-checks, reviews of marking, reviews of moderation and access to scripts by the published deadline(s) in accordance with the JCQ publication **Post-results services** (GR 5.13).
- Submit requests for appeals in accordance with the JCQ publication **A guide to the awarding bodies' appeals processes** (GR 5.13).
- Confirm the awarding body's acknowledgement of receipt of a review of results request prior to the deadline for submission of post-results services and regularly check the progress of the request online (PRS 4.5).

### **Dealing with outcomes**

The Halifax Academy will:

- Ensure outcomes of clerical re-checks, reviews of marking, reviews of moderation and appeals are made known to candidates as soon as possible (GR 5.13).

Candidates will be notified by email with a copy of the outcome notification the awarding body.

### **Managing disputes**

At The Halifax Academy, any dispute/disagreement will be managed in accordance with the internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support an application for a clerical re-check, a review of marking, a review of moderation or an appeal (GR 5.13).

## **Appendix 4: Candidate identification procedure.**

The purpose of this procedure is to confirm that The Halifax Academy:

- Verifies the identity of all students that it enters for exams or assessments (GR 5.6).
- Has processes in place to be satisfied that that all candidate identities have been checked (GR 5.6).
- Has written procedures in place to verify the identity of all candidates at the time of the exam or assessment (GR 5.9).

### **Process to check candidate identity**

#### **Internal candidates**

The identity of students arriving from outside of the UK during the academic year is checked as part of the initial registration/enrolment process. A form of ID is required, for example, a passport or birth certificate (GR 5.6).

#### **Procedures to verify identity at the time of the exam/assessment**

Invigilators are able to establish the identity of all candidates sitting exams in accordance with this procedure and by following the arrangements in place to carry out adequate checks (ICE 16).

The process at The Halifax Academy is:

- Exam candidates are registered in in revision rooms (non-exam rooms) by teaching staff and the Head of Year.
- Exam candidates are then escorted to the exam room by these members of staff.
- A member of the Senior Leadership Team (approved by the Head of Centre, who has not taught the subject being examined) and the Head of Year will be present at the start of the exam to assist with the identification of candidates if required.
- Candidate ID cards are placed on all desks that are in use before the start of each exam to support the identification process.
- A folder containing internal candidate names and photographs is also available in the main exam rooms to further support the candidate identification process.
- Invigilators are made aware of the procedures for verifying the identity of candidates at the time of the exam through training.

The following measures are also in place:

- A transferred candidate who is not known to the centre will be asked to show photographic documentary evidence to prove that they are the same person who entered/registered for the exam/assessment, e.g., passport or photographic driving licence (ICE 16.5).
- Where it is impossible to identify a candidate due to the wearing of religious clothing, such as a veil, the candidate will be approached by a member of staff of the same gender and taken to a private room where they will be politely asked to remove the religious clothing for identification purposes (ICE 16.6).
- Invigilators will be informed of those candidates with access arrangements and made aware of the access arrangement(s) awarded (ICE 16.8).

### **Roles and Responsibilities**

#### **The role of the Exams Officer**

- Through training, ensure invigilators are aware of the procedures for verifying the identity of all candidates at the time of the exam or assessment (ICE 16.1).
- Prior to the exam, inform a transferred candidate who is not known to the centre that they must show photographic documentary evidence to prove that they are the same person who entered/registered for the exam/assessment, e.g., passport or photographic driving licence (ICE 16.5).

- Inform candidates prior to their first exam that where it is impossible to identify a candidate due to the wearing of religious clothing, such as a veil, the candidate will be approached by a member of staff of the same gender and taken to a private room where they will be politely asked to remove the religious clothing for identification purposes and that once identification has been established, the candidate should replace, for example, their veil and proceed as normal to sit the exam (ICE 16.6).
- Prior to the beginning of the exam, brief invigilators on those candidates with access arrangements and make them aware of the access arrangement(s) awarded (ICE 16.8).

## **Appendix 5: Candidate absence policy.**

The purpose of this policy is to confirm the arrangements for candidates who are absent from an exam at The Halifax Academy.

An absent candidate may subsequently arrive once the exam is underway, becoming a late or very late arrival, at which point The Halifax Academy reserves the right to exercise discretion whether to allow a candidate who arrives after the start of the exam to enter the exam room and sit the exam. (See **Candidate Late Arrival Policy**)

Based upon the circumstances for the absence, and subject to the required conditions being met, an application for special consideration may also be made to the relevant awarding body.

### **Identifying and dealing with candidate absence**

A candidate will be considered absent from an exam if the candidate is not present when a register is taken before candidates are invited to enter the room, under supervised conditions, to start their exam.

Once a candidate is identified as absent from an exam, the following action will be taken:

- The candidate will be contacted immediately as to their whereabouts and as far as possible arrangements made to ensure their immediate arrival.

If a candidate fails to sit an exam, the following action is taken:

- A confirmed candidate absence is clearly recorded on the attendance register which is sent to the examiner/marker.
- The candidate absence is noted on the seating plan by crossing through the candidate details.

### **Roles and responsibilities**

It is the responsibility of the Head of Year and Senior Leadership Team to deal with candidate absence once it has been identified. It is the responsibility of the Head of Year, Attendance Officer and Senior Leadership Team to deal with candidates who are persistently absent from exams.

### **The role of invigilators**

Invigilators will:

- Be informed of the process for dealing with absent candidates through training.
- Ensure that absent candidates are clearly indicated on the attendance register (ICE 22.4).

### **The role of candidates**

Candidates will be re-charged any relevant entry fees for unauthorised absence from exams.

### **Special Consideration**

At The Halifax Academy, if a candidate is absent from a timetabled written exam for an acceptable reason, the candidate may be eligible for special consideration. This is where an adjustment may be made to the candidate's terminal grade by the awarding body, providing the following conditions are met:

- The exam is in the candidate's terminal exam series (SC 4.2).
- The candidate has completed or will be able to complete the required percentage of the assessment to meet the minimum requirements for enhanced grading in cases of acceptable absence (SC 4.5).
- The application for special consideration can be supported by signed evidence signed by a member of the Senior Leadership Team (SC 6).

It is the responsibility of the Exams Officer to deal with special consideration requests and applications with support from the Assistant Headteacher with responsibility for exams administration.

## Appendix 6: Candidate late arrival policy.

The purpose of this policy is to confirm the arrangements for candidates who arrive late for an exam at The Halifax Academy.

A candidate will be considered late if they arrive:

- After the start of the exam and (for an exam which lasts an hour or more) up to 10.00am for a morning exam or up to 2.30pm for an afternoon exam.

A candidate will be considered very late if they arrive:

- More than one hour after the awarding body's published starting time for an exam which lasts one hour or more, i.e., after 10.00am for a morning exam or after 2.30pm for an afternoon exam.
- after the awarding body's published finishing time for an exam that lasts less than one hour (ICE 21.3).

This policy confirms that The Halifax Academy reserves the right to exercise discretion whether to allow a candidate who arrives after the start of the exam to enter the exam room and sit the exam, and confirms:

- The correct procedures are followed when dealing with a candidate who arrives late to an exam.
- Appropriate arrangements are in place for the management of late arrivals to maintain the security and integrity of the exam.

### Candidates who arrive late

The following procedures are applied at The Halifax Academy in relation to candidates who arrive late to exams:

- A candidate who arrives after the start of the exam may be allowed to enter the exam room and sit the exam (ICE 21.1).
- A candidate who arrives late, and is permitted to sit the exam, will be allowed the full time for the exam (ICE 21.2).
- A candidate who arrives within one hour of the awarding body's published starting time for an exam which lasts an hour or more, i.e., a candidate arriving up to 10.00am for a morning exam or up to 2.30pm for an afternoon exam (ICE 21.1) **will** be permitted by the centre to sit the exam.
- A candidate who arrives after 10.00am for a morning exam will be considered very late (ICE 21.3) and **will** be permitted by the centre to sit the exam.
- A candidate who arrives after 2.30pm for an afternoon exam will be considered very late (ICE 21.3) and **will** be permitted by the centre to sit the exam.
- A candidate who arrives after the awarding body's published finishing time for an exam that lasts less than one hour will be considered very late (ICE 21.3) and **will** be permitted by the centre to sit the exam.
- A candidate who arrives very late will be warned that the awarding body may not accept their script (ICE 21.4).
- A candidate who arrives in the afternoon for a paper that had been re-arranged for a morning session, may be allowed to take the paper at the published time as long as the candidate has not had any contact with candidates who sat the paper earlier. The awarding body will be informed of the situation and will decide whether to accept the script (ICE 21.5).
- In all cases the centre will submit a declaration for the very late arrival of a candidate for exams, in accordance with the current JCQ publication **Instructions for conducting examinations** (GR 5.9).

### Roles and Responsibilities

#### The role of the Exams Officer

- Inform invigilators of the policy/process for dealing with candidates who arrive late/very late through training.

- Provide an exam room incident log for invigilators to record relevant information relating to candidates who arrive late/very late.
- Warn a candidate who arrives very late that the awarding body may not accept their script (ICE 21.4).
- Send the script of a candidate who arrives late/very late to the awarding body/examiner in the normal way (ICE 21.4).
- Submit on-line, using the Centre Admin Portal (CAP), Form JCQ/VLA - Report on candidate admitted very late to exam room within seven days of the exam having taken place, providing the following details:
  - The time the candidate came under centre staff supervision.
  - The reason the candidate arrived late, including any details of special arrangements made for the candidate to reach the centre.
  - The actual starting and finishing times of the exam.
  - The time the candidate started the exam.
  - The time the candidate finished the exam.
  - Any assurances that the candidate did not access and was not made aware of the paper's content prior to sitting the exam (ICE 21.4).

### **The role of invigilators**

- Ensure candidates who arrive late/very late are given the required instructions prior to starting the exam (the invigilator's announcement) without disturbing other candidates.
- Ensure relevant information is recorded on the exam room incident log relating to candidates who arrive late/very late.
- Allow a candidate who arrived late/very late and is allowed the full working time to do the exam, to continue after the normal finishing time, instructing them to stop working after the full working time allowed has passed (ICE 26.2).

## **Appendix 7: Food and drink policy (exams).**

This policy confirms The Halifax Academy reserves the right to exercise discretion whether to allow food and drink in the exam room, and confirms:

- The correct procedures are followed regarding food and drink in the exam room.
- Appropriate arrangements are in place for the management of food and drink in the exam room.

### **Food and drink in the exam room**

- Bottles of water are allowed in the exam room at the discretion of the Head of Centre. No food is permitted in the exam room.

To enable invigilators to check these items quickly and efficiently:

- Drink bottles must be transparent with all labels removed which would include transparent, reusable plastic bottles (ICE 18.2).

### **Roles and Responsibilities**

#### **The role of the Exams Officer**

- Through briefings, ensure candidates are aware of the regulations, and centre-specific arrangements, relating to food and drink in the exam room.
- Ensure invigilators are trained and aware of the regulations/centre-specific arrangements relating to food and drink in the exam room.
- Escalate any issue or breach of centre-specific arrangements to the relevant Senior Leader for the application of internal sanction(s).
- Escalate any breach of JCQ regulations immediately to the Head of Centre (a breach of the regulations constitutes suspected or actual malpractice).

#### **The role of the invigilator**

- Be vigilant in the exam room and remain aware of incidents or emerging situations, looking out for malpractice (ICE 20.2).
- Record what has happened, and actions taken on the exam room incident log in relation to any breach of regulations/centre-specific arrangements regarding food and drink in the exam room.

#### **The role of the Head of Centre**

- Report to the awarding body immediately all cases of suspected or actual malpractice in connection with the exam (ICE 24.3).

## **Appendix 8: Leaving the exam room policy.**

The purpose of this policy is to confirm that candidates leaving the exam room at The Halifax Academy is managed in line with JCQ regulations.

This policy confirms:

- The correct procedures are followed in relation to candidates leaving the exam room.
- The Halifax Academy reserves the right to exercise discretion whether to allow extra time to compensate candidates for their temporary absence from the exam room.

### **Arrangements for leaving the exam room**

- For exam that last one hour or more, candidates must stay under centre supervision until 10.00am for a morning exam or 2.30pm for an afternoon exam, i.e., one hour after the awarding body's published starting time for that exam (ICE 23.1).
- For exams that last less than one hour, candidates must be supervised, and question papers must be kept in secure storage until the published finishing time of the exam (ICE 23.2).
- Candidates who are allowed to leave the exam room temporarily must be accompanied by a member of centre staff. This must not be the candidate's subject teacher or a subject expert for the exam in question (ICE 23.3).  
Candidates may be allowed extra time at the discretion of the centre to compensate for their temporary absence (ICE 23.5).
- Candidates can only leave the exam room where necessary or where supervised rest breaks have been granted by the SENCo. The centre must ensure that candidates who leave the room do not access to any unauthorised materials (ICE 23.4).
- Candidates must remain in the exam room for the full duration of the exam unless there an alternate arrangement has been agreed with the Senior Leadership Team prior to the exam. In this case, candidates must hand in their script, question paper and any other material before the leave the exam room. Those candidates must not be allowed back into the room (ICE 23.6).
- At the end of the exam, candidates must hand in their script, question paper and any other material before they leave the exam room (ICE 23.7).

The following arrangements are applied at The Halifax Academy:

Candidates who are allowed to leave the exam room temporarily may be allowed extra time to compensate for their temporary absence (ICE 23.5). Such examples may include the emergency of a medical issue, an anxiety attack, or a rest break (as granted by the SENCo).

### **Roles and responsibilities**

#### **The role of the Exams Officer**

Will ensure that invigilators are aware how candidates who may be allowed to leave the exam room temporarily should be managed and recorded through training.

#### **The role of the invigilator:**

- Ensure a candidate who may be allowed to leave the exam room temporarily is accompanied by a member of centre staff who is not the candidate's subject teacher or a subject expert for the exam in question (ICE 23.3).
- Record instances on the exam room incident log of candidates who may be allowed to leave the exam room temporarily because they may be feeling unwell or require a toilet break (ICE 20.2).
- Ensure candidates who have finished the exam and have been allowed to leave the exam room early hand in their script, question paper and any other material before they leave the exam room. Ensure those candidates are not allowed back into the room (ICE 23.6).

- At the end of the exam, ensure candidates hand in their script, question paper and any other material before they leave the exam room (ICE 23.7).

## Appendix 9: Managing behaviour policy.

The purpose of this policy is to confirm that candidate behaviour in the exam room at The Halifax Academy is managed in line with JCQ regulations.

### Briefing candidates

To ensure candidates are aware of the standard behaviour that is required in the exam room, The Halifax Academy will:

- Ensure the JCQ **Information for candidates** (coursework, non-examination assessments, on-screen tests, privacy notice, social media and written examinations) is distributed to all candidates whether electronically or in hard copy format prior to assessments and/or exams taking place (GR 5.8).
- Ensure candidates are also made aware of the content of the JCQ **Unauthorised items** and **Warning to candidates** posters (GR 5.8).
- Prior to assessments and/or exam taking place, ensure candidates are briefed on what they must and must not do when sitting written exams and/or on-screen tests, and when producing coursework and/or non-exam assessments (GR 5.8).

At The Halifax Academy, candidates are made aware of JCQ information through exam briefings/assemblies.

### Candidate Malpractice

- 'Malpractice', means any act, default or practice which is a breach of the Regulations (SMPP 1.2).
- Suspected malpractice means all alleged or suspected incidents of malpractice (SMPP 2).
- 'Candidate malpractice' normally involves malpractice by a candidate in connection with any exam or assessment, including the preparation and authentication of any controlled assessments, coursework or non-exam assessments, the presentation of any practical work, the compilation of portfolios of assessment evidence and the completion of any examination (SMPP 2).
- Inappropriate behaviour by a candidate in the exam room is deemed 'candidate malpractice'.
- Failure by a centre to notify, investigate and report to an awarding body all allegations of malpractice or suspected malpractice constitutes malpractice in itself (SMPP 1.7).

Examples of inappropriate behaviour/actions that constitute 'candidate malpractice' are provided in the final section of this policy.

### Instructions for conducting examinations - Malpractice in the exam room

The following requirements are applied at The Halifax Academy:

- Candidates are under formal exam conditions from the moment they enter the room in which they will be taking their exam(s) until the point at which they are permitted to leave. Candidates must not talk to, attempt to communicate with or disturb other candidates once they have entered the exam room. If they do, this must be reported to the relevant awarding body. Candidates must not open the question paper until the exam begins. If they do, this must be reported to the relevant awarding body (ICE 19.1),
- Where a candidate is being disruptive, the invigilator must warn the candidate that he/she may be removed from the exam room. The candidate must also be warned that the awarding body will be informed and may decide to penalise them, which could include disqualification (ICE 24.1).
- The Head of Centre must report to the awarding body immediately all cases of suspected or actual malpractice in connection with the exam (ICE 24.3).
- Form JCQ/M1 - **Report of suspected candidate malpractice** must be completed (ICE 24.3).
- The Head of Centre has the authority to remove a candidate from the exam room but should only do so if the candidate would disrupt others by remaining in the room (ICE 24.3).

- Where candidates commit malpractice, the awarding body may decide to penalise them, which could include disqualification. Candidates should be warned of the possible penalties an awarding body may apply as detailed in the JCQ publication **Suspected Malpractice: Policies and Procedures** (ICE 24.5).
- In cases of suspected malpractice, exam scripts must be packed as normal and Form JCQ/M1 must be submitted separately to the relevant awarding body (ICE 24.6).

## **Roles and responsibilities**

### **The role of the invigilator:**

- Be vigilant and remain aware of incidents or emerging situations, looking out for malpractice (ICE 20.2).
- Warn a disruptive candidate that he/she may be removed from the exam room (ICE 24.1).
- Record what has happened and actions taken on the exam room incident log (ICE 24.1).

### **The role of the Exams Officer:**

- Ensure that the JCQ **Information for candidates documents** (coursework, non-examination assessments, on-screen tests, privacy notice, social media and written examinations) are distributed to all candidates prior to assessments and/or exam taking place and that candidates are also be made aware of the content of the JCQ **Unauthorised items** and **Warning to candidates** posters (GR 5.8).
- Ensure the JCQ **Unauthorised items** and **Warning to candidates** posters are displayed in a prominent place for all candidates to see prior to entering the exam room (GR 5.8)
- Where a candidate is being/has been disruptive in the exam room, warn the candidate that the awarding body will be informed and may decide to penalise them, which could include disqualification (ICE 24.1).

### **The role of the Head of Centre:**

- Where a candidate is seriously disrupting others, makes the decision to remove the candidate from the exam room (ICE 24.3).
- Report to the awarding body immediately all cases of suspected or actual malpractice in connection with the exam by completing form JCQ/M1 (ICE 24.3).

### **The role of the Senior Leader:**

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

## **Examples of candidate malpractice**

These include (but are not limited to):

### **Introduction of unauthorised material into the exam room**

Own blank paper:

- Used for rough work.
- Used for final answers.

Calculators, dictionaries (when prohibited):

- Not used.
- Used or attempted to use.

Bringing into the exam room notes in the wrong format or prohibited annotations:

- Notes/annotations go beyond what is permitted but do not give an advantage; notes irrelevant to subject.
- Notes/annotations are relevant and give an unfair advantage.

- Notes/annotations introduced in a deliberate attempt to gain an advantage.

Unauthorised notes, study guides and personal organisers:

- Content irrelevant to subject.
- Content relevant to subject.
- Relevant to subject and evidence of use.

Mobile phone or similar electronic devices (including iPod, MP3/4 player, memory sticks, smartphone, smartwatch, AirPods, earphones and headphones):

- Not in the candidate's possession but make a noise in the exam room.
- In the candidate's possession but no evidence of being used by the candidate.
- In the candidate's possession and evidence of being used by the candidate.

Watches (not Smartwatches):

- In candidate's possession.

### **Breaches of exam conditions**

A breach of the instructions or advice of an invigilator, supervisor, or the awarding body in relation to the exam rules and regulations:

- Minor non-compliance: e.g., sitting in a non-designated seat; continuing to write for a short period after being told to stop.
- Major non-compliance: e.g., refusing to move to a designated seat; significant amount of writing after being told to stop.
- Related non-compliance.

Failing to abide by the conditions of supervision designed to maintain the security and integrity of the exams:

- Leaving exam early (no loss of integrity); removing script from the exam room, but evidence of the integrity was maintained.
- Removing script from exam room but with no proof that the script is safe, taking home materials.
- Deliberately breaking a timetable clash supervision arrangement; removing script from the exam room and with proof that the script has been tampered with; leaving exam room early so integrity is impaired.

Disruptive behaviour in the exam room or assessment session (including use of offensive language):

- Minor disruption lasting a short time; calling out, causing noise, turning around.
- Repeated or prolonged disruption; unacceptably rude remarks; being removed from the exam room; taking another's possessions.
- Warnings ignored; provocative or aggravated behaviour; repeated or loud offensive comments; physical assault on staff or property.

### **Exchange, obtaining, receiving, or passing on information which could be exam related (or the attempt to)**

Verbal communication:

- Isolated incidents of talking before the start of the exam or after papers have been collected.
- Talking during the exam about matters not related to the exam, accepting exam related information.
- Talking about exam related matters during the exam; whispering answers to questions.

Communication:

- Passing/receiving written communications which clearly have no bearing on the assessment.
- Accepting assessment related information.
- Passing assessment related information to other candidates; helping one another; swapping scripts.

## **Offences relating to the content of candidates' work**

The inclusion of inappropriate, offensive, or obscene material in scripts, controlled assessments, coursework, non-exam assessments or portfolios:

- Isolated words or drawings
- Frequent offensive words or drawings; isolated obscenity or offensive comments directed at an individual or group.
- Frequent obscenities: discriminatory language, remarks or drawings directed at an individual or group.

Plagiarism: unacknowledged copying from or reproduction of third-party sources (including the internet and AI tools); incomplete referencing:

- Minor amount of plagiarism/poor referencing in places.
- Plagiarism from work listed in the bibliography or referenced/acknowledged; or minor amount of plagiarism from a source not listed in the bibliography or referenced / acknowledged.
- Plagiarism from work not listed in the bibliography or referenced/acknowledged; or plagiarised text consists of the substance of the work submitted and the source is listed in the bibliography or referenced / acknowledged.

(SMPP, Appendix 6)

## **Appendix 10: Results Day programme.**

Students are informed of the arrangements for GCSE Results Day through the issue of a letter sent by email in the summer term. This letter details the time that the Academy is open for results to be collected, the availability of senior members of staff and information regarding post-results services.

Results are downloaded by the Exams Officer the day before Results Day. Results are then printed and placed in envelopes for students by the Exams Officer. Post-results information including guidance regarding reviews of results (consent forms and deadlines) and access to exam scripts etc. is also contained within these envelopes.

Results can be collected from The Great Hall in the morning, during which time senior members of staff are on hand to provide advice. All students must sign to confirm receipt of their results. Students are informed by email that they must consent in writing to allow someone other than themselves to collect their results. Their nominated person must bring a form of photographic ID with them on Results Day. Any uncollected results are posted home via 1<sup>st</sup> class post later that day.

The centre's Senior Leaders, Heads of Department (where possible), teaching staff (where possible), Exams Officer and Careers Advisor are present on Results Day to assist with any post-results queries on the day. Students are advised to speak to the relevant department to obtain advice before proceeding with any post-results services.