

Southgate School



Examination Policy

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Purpose of the policy

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

- all aspects of the centre exam process are documented and other relevant exams-related policies, procedures and plans are signposted, thus
 - the workforce is well informed and supported
 - all centre staff involved in the exams process clearly understand their roles and responsibilities
 - all exams and assessments are conducted in accordance with JCQ and awarding body regulations, guidance and instructions
 - exam candidates understand the exams process and what is expected of them.

This policy is communicated to all relevant centre staff, after each annual review, during staff briefings, staff inset, via email and the policy is saved in the Staff share area **Assessment & Accreditation, 2023-24, Examination Policies**.

PART 1: General Roles and Responsibilities

The head of centre (HoC) is the individual who is accountable to the awarding bodies for ensuring that the centre is always compliant with the published JCQ regulations and awarding body requirements to ensure the security and integrity of the examinations/assessments.

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

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

Head of centre (HoC) responsibilities

The **head of centre** is the individual who is accountable to the awarding bodies for ensuring that the centre is always compliant with the published JCQ regulations and awarding body requirements to ensure the security and integrity of the examinations/assessments. **It is the responsibility of the head of centre to ensure that all staff comply with the instructions in this booklet and the JCQ Instructions for Conducting Examinations (ICE) 2025-26 document.** Failure to do so may constitute malpractice as defined in the JCQ publication *Suspected Malpractice: Policies and Procedures*.

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

Head of Centre

- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:
 - General Regulations for Approved Centres (GR)
 - Instructions for Conducting Examinations (ICE)
 - Access Arrangements and Reasonable Adjustments (AA)
 - Suspected Malpractice - Policies and Procedures (SM)
 - Instructions for conducting non-examination assessments (NEA) (and the instructions for conducting coursework)
 - A guide to the special consideration process (SC)
- Ensures the centre has appropriate accommodation to support the size of the cohorts being taught including appropriate accommodation for candidates requiring access arrangements for exams and assessments

National Centre Number Registration

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

Recruitment, selection and training of staff

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

Internal governance arrangements

- Has in place a member of the senior leadership team who will provide support and guidance to the examinations officer and ensure that the integrity and security of examinations and assessments is maintained throughout an examination series
- Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the EO
- Makes sure that a teacher, a tutor or a senior member of the centre staff who teaches the subject being examined, is not an invigilator during the examination

Delivery of qualifications

- Delivers qualifications, as required by the awarding body, in accordance with relevant equality legislation. This includes but is not limited to ensuring that qualifications are made available to all candidates capable of undertaking them and seeking reasonable adjustments for disabled candidates
- Enables candidates to receive sufficient and up to date laboratory experience, or relevant training where required by the subject concerned
- Where/if using a third party to deliver any part of a qualification 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 ensuring that a copy of the written agreement is available for inspection if requested by the awarding body

Public liability

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

Security of assessment materials

- Takes all reasonable steps to maintain the integrity of the examinations/assessments, including the security of all assessment materials, by ensuring:
 - The location of the centre's secure storage facility in a secure room solely assigned to examinations for the purpose of administering secure examination materials
 - The secure room only contains exam-related material
 - There are between two and six key holders only, each of whom must fully understand their responsibilities as a key holder to the secure storage facility and be permanent employees
 - Access to the secure room and secure storage facility is restricted to the authorised two to six key holders and staff named and approved by the head of centre are accompanied by a key holder at all times
 - Appropriate arrangements are in place to ensure that confidential materials are only handed over to authorised members of centre staff
 - The relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk
 - That when it is permitted to remove question papers from secure storage, and to avoid potential breaches of security, arrangements are in place to carefully check and record that the correct question paper packets are opened
 - The second pair of eyes check will take place and be recorded immediately before each question paper packet is opened in the designated examination room. If the question paper packet needs to be split for

different rooms on one or more sites or for an access arrangement, the check will take place in the secure room.

- Makes arrangements to receive, check and store question papers and examination material safely and securely at all times and for as long as required in accordance with the current JCQ publication *Instructions for conducting examinations*
- Makes arrangements to receive and issue material received from the awarding bodies to staff and candidates, and notify them of any advice and instructions relevant to the examinations and assessments
- Allows candidates access to relevant pre-release materials on, or as soon as possible after, the date specified by the awarding bodies
- Takes all reasonable steps to prevent the occurrence of any malpractice/maladministration before, during the course of and after examinations have taken place, through taking an ethical approach and working proactively to avoid malpractice among candidates and staff
- Ensures any person involved in administering, teaching or completing examinations/assessments is advised that where malpractice is suspected, or alleged, personal data about them will be provided to the awarding body (or bodies) whose examinations/assessments are involved. Personal data about them may also be shared with other awarding bodies, the qualifications regulator or professional bodies in accordance with the JCQ publication *Suspected malpractice – Policies and procedures*
- Ensures irregularities are investigated and informs the awarding bodies of any cases alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, are reported to the awarding body immediately
- Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place (that allow the senior leadership team to act immediately in the event of an emergency or staff absence)

Policy for Conflict of Interest

- A conflicts of interest log is maintained and any potential conflict declared by centre staff is centrally recorded on the log.
- The relevant awarding body/bodies is/are informed (where required by the nature of the conflict) of specific conflicts of interest/centre staff declarations before the published deadline for entries for each examination series by identifying and following the individual awarding body's administrative process.
- The agreed measures/protocols taken/put in place to mitigate any potential risk to the integrity of the qualifications affected are recorded on the log and the affected member of staff informed of these measures/protocols.

Conflict of interest

(Head of Centre Roles Continued)

- Ensures the relevant awarding bodies are informed before the published deadline for entries for each examination series of any potential conflict of interest where:
 - A member of centre staff is taking a qualification at the centre which includes internally assessed components/units (taking at the centre as a last resort where unable to find an alternative centre)
 - A candidate is being taught and prepare for a qualification which includes internally assessed components/units by a member of centre staff with close relationship to the candidate
- Maintains clear records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected by the above, and where:
 - A member of the exams office staff has a close relationship (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) to a candidate being entered for exams and assessments at the centre or at another centre
 - A member of centre staff is taking a qualification at the centre which does not include internally assessed components/units (taking at the centre as a last resort where unable to find an alternative centre)
 - A member of centre staff is taking a qualification at another centre
- Ensures other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials are briefed on the requirements for maintaining the integrity and confidentiality of the exam materials
- Ensures members of the centre staff do not forward emails and letters from awarding body of JCQ personnel without prior consent to third parties or upload such correspondence onto social media sites and applications
- Ensures members of centre staff do not advise parents/candidates to contact awarding body examining/assessment personnel or JCQ personnel

Centre Inspections

- Co-operates with the JCQ Centre Inspection Service, an awarding body or regulatory authority when subject to an inspection, an investigation or an unannounced visit, and take all reasonable steps to comply with all requests for information or documentation made by an awarding body or regulatory authority as soon as is practical
- Allows all venues used for examinations and assessments, paperwork and secure storage facilities to be open to inspection
- Understands the JCQ Centre Inspection will identify him/herself with a photo ID card and **must** be accompanied throughout his/her tour of the premises, including inspection of the centre's secure storage facility

Exams Officer (EO)

- Is fully familiar with the contents of annually updated JCQ publications including:
 - General Regulations for Approved Centres
 - Instructions for Conducting Examinations
 - Suspected Malpractice – Policies and Procedures
 - Post-results Services
 - A guide to the special consideration process
- Completes/submits the National Centre Number Register annual update (administered on behalf of the JCQ member awarding bodies by OCR by the end of October each year)
- Is fully familiar with the contents of annually updated information from awarding bodies on administrative procedures, key tasks, key dates and deadlines
- Ensures key tasks are undertaken and key dates and deadlines met
- Recruits, trains and deploys a team of internal/external invigilators; appoint lead invigilators, as required and keeps a record of the content of training provided to invigilators for the required period
- Ensures invigilators supervising access arrangement candidates and those acting as a facilitator supporting access arrangement candidates fully understand the respective role and what is not permissible in the exam room
- Supports the Head of Centre in ensuring that awarding bodies are informed (where required) of any conflict of interest declared by members of centre staff and in maintaining records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected before the published deadline for entries for each examination series
- Briefs other relevant centre staff where they may be involved in the receipt and despatch of confidential exam materials on the requirements for maintaining the integrity and confidentiality of the exam materials

Senior Leaders

- Are familiar with the contents, refer to and direct relevant centre staff to annually updated JCQ publications including:
 - General Regulations for Approved Centres
 - Instructions for Conducting Examinations
 - Access Arrangements and Reasonable Adjustments
 - Suspected Malpractice – Policies and Procedures
 - Instructions for conducting non-examination assessments (and the instructions for conducting coursework)
 - A guide to the special consideration process
- Ensure teaching staff undertake key tasks, as detailed in this policy, within the exams process (exam cycle) and meet internal deadlines set out by the EO
- 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)

- Is familiar with the contents, refer to and direct relevant centre staff to annually updated JCQ publications including:
 - Access Arrangements and Reasonable Adjustments
- Leads on the access arrangements and reasonable adjustments process (referred to in this policy as 'access arrangements')
- If not the qualified specialist assessor, works with the person appointed, on all matters relating to assessing candidates and the administration of the assessment process

- Will present, when requested by a JCQ inspector, evidence of the specialist assessor's qualification

Teaching staff

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

Invigilators

- Attend training, update, briefing and review sessions as required
- Provide information as requested on their availability to invigilate
- Sign a confidentiality and security agreement and confirm whether they have any current maladministration/malpractice sanctions applied to them

Business Support staff

- Support the EO in the receipt and dispatch of confidential exam materials and follow the requirements for maintaining the integrity and confidentiality of the exam materials
- Support the EO in relevant matters relating to exam rooms and resources

Candidates

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

PART 2: The Exam Cycle

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

- 1) Planning
- 2) Entries
- 3) Pre-exams
- 4) Exam time
- 5) Results and post-results

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

1) Planning: roles and responsibilities

Information sharing

Head of Centre

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

Exams Officer

- Signposts relevant centre staff of JCQ publications and awarding body documentation relating to the exam process that has been updated
- Signposts relevant centre staff to information that should be provided to candidates
- As the centre administrator, approves relevant access rights for centre staff using awarding body secure extranet sites

Information gathering

Exams Officer

- Undertake 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
- Collate all data/information gathered into a summary spreadsheet as one central point of reference
- Research awarding body guidance to identify administrative processes, key tasks, key dates and deadlines for all qualifications

- Produce an *annual exams plan* of key tasks and key dates to ensure all external deadlines can be effectively met; inform key centre staff of internal deadlines
- Collect information on internal exams to enable preparation for and conduct of mocks /end of year examinations

Senior leaders

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

Access arrangements

Head of centre

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

Exams Officer & SENCo/ Teaching staff

- Assess candidates (or works with the appropriately qualified assessor as appointed by the head of centre) to identify access arrangements/reasonable adjustments requirements
- Gathers **evidence** to support the need for access arrangements for a candidate
- Liaises with teaching staff to gather evidence of normal way of working for candidates
- ~~Gathers signed **Personal Data Protection, Privacy Notice (AAO) and Data Protections confirmation** forms from candidates where required~~ **No longer required (JCQ AA Guidance 8.6)**
- Applies for **approval** through **Access Arrangements Online (AAO)**, where **Centre Admin Portal (CAP)** is required or through the awarding body where qualifications sit outside the scope of AAO
- Keep 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
- Considers & plans exam time arrangements for access arrangement candidates
- Ensures staff appointed to facilitate access arrangements for candidates are appropriately trained and understand the rules of the particular access arrangement(s) and keeps a record of the content of training provided to facilitators for the required period
- Ensures invigilators and those acting as a facilitator fully understand the respective role and what is and what is not permissible in the exam room
- Provides and annually review a centre policy on the **use of word processors** in exams and assessments
- Ensures criteria for candidates granted **separate invigilation within the centre** is clear, meets the requirements of JCQ access arrangements and best meets the needs of individual candidates and remaining candidates in main exam rooms

Senior leader, Teaching staff

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

Internal assessment (Controlled assessments, coursework and non-examination assessments)

Head of Centre

- Ensures **Internal Verification Policy** and appropriate arrangements are in place to co-ordinate, standardise and verify all marking of centre-assessed components and ensures that candidates' centre-assessed work is

produced, authenticated and marked or assessed and quality assured in accordance with awarding bodies' instructions (including where relevant, private candidates)

- Ensure that teaching staff, in accordance with awarding bodies' instructions, return all subject specific forms by the required date
- Provides fully qualified teachers to mark non-examination assessments, and fully qualified Internal Verifiers for the Internal Verification of centre-assessed components
- Ensures an **internal appeals procedure** relating to internal assessment decision is in place for a candidate to appeal against and request a review of the centre's marking (see Roles and responsibilities overview)
- Ensures a **non-examination assessment policy** is in place for the GCSE qualifications which include components of non-examination assessment (For GCSE centres this would be a controlled assessment policy)
- Ensures any irregularities relating to the production of work by candidates are investigated and dealt with internally if discovered prior to a candidate signing the authentication statement (where required) or reported to the awarding body if a candidate has signed the authentication statement

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

Senior Leaders

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

Teaching staff

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

Invigilation

Head of Centre

- Ensures relevant support is provided to the EO in recruiting, training and deploying a team of invigilators
- Ensures, if contracting supply staff to act as invigilators, that such persons are competent and fully trained, understanding what is and what is not permissible (and note taking on its own an assurance from a recruitment agency, that this is the case)
- Determines if additional invigilators will be deployed in timed Art exams in addition to the subject teacher to ensure the supervision of candidates is maintained at all times

Exams Officer

- 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 training for new invigilators on the instructions for conducting exams and an annual update for the existing invigilation team so that they are aware of any changes in a new academic year before they are allocated to invigilate an exam

- Ensures invigilators supervising access arrangement candidates understand their role (and the role of a facilitator who may be supporting a candidate) and the rules and regulations of the access arrangement(s)
- Ensure invigilators are briefed on the access arrangement candidate in their exam room and made aware of the access arrangement(s) awarded (ensuring these candidates are identified on the seating plan) and confirms invigilators understand what is and what is not permissible
- Collects evaluation of training to inform future events

2) Entries: roles and responsibilities

Estimated entries

See Appendix 1 – Registration and Certification Policy

Exams Officer

- Ensure that a robust system of registration is in place to ensure that all pupils are registered on courses in line with examination board's requirements and within deadline. Such a system should take account of checking details of pupils, the type of course they have been registered onto based on their prior attainment and the need to cross check all details with Teaching staff and the SENDCo.
- Ensure that the transfer of data between centres is also completed in the event of a pupil transferring between centres.
- Ensure that all pupils are aware of their pupil status and that withdrawals, transfers or changes to any pupil's details are kept up-to-date in School and that examination boards have been notified.
- Where the programme requires, enter pupils for the necessary externally assessed units/components/modules in accordance with Exam Boards requirements
- Ensure Teaching staff familiarise all pupils (and their parents or carers) with the school policies relating to malpractice, appeals and internal verification and assessment, along with the policy on access arrangements reasonable adjustment and special consideration.
- Makes candidates aware of the JQC **Information for candidates – Privacy Notice** at the start of a course leading to a vocational qualification or when entries are submitted to awarding bodies for processing for general qualifications

Senior leaders/Head of Centre

- Provide entry information requested by the EO to the internal deadline
- Inform the EO immediately of any subsequent changes to entry information
- Oversee the registration, transfer, withdrawal and certificate claims for pupils to ensure that awarding body deadlines are met

Final entries

Exams Officer

- Requests final entry information from teaching staff in a timely manner to ensure awarding body external deadlines for submission can be met
- Informs teaching staff of subsequent deadlines for making changes to final entry information without charge
- Confirms with teaching staff when 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 and reduce the potential for late or other penalty fees being charged by awarding bodies
- Observes each awarding body's terms and conditions for the entry and withdrawal of candidates for their examinations and assessments, and observes any regulatory requirements for the qualification

Senior leaders

- Provide information requested by the EO to the internal deadline
- Inform the EO immediately, or at the very least prior to the deadlines, of any subsequent changes to final entry information, which includes
 - Changes to candidate personal details
 - Amendments to existing entries
 - Withdrawals of existing entries
- Check final entry submission information provided by the EO and confirms information is correct

Registration

Head of Centre

- Oversee the registration, transfer, withdrawal and certificate claims for pupils to ensure that awarding body deadlines are met

Exams Officer

- Ensure that a robust system of registration is in place to ensure that all pupils are registered on courses in line with examination board's requirements and within deadline. Such a system should take account of checking details of pupils, the type of course they have been registered onto based on their prior attainment and the need to cross check all details with Teaching staff and the SENDCo.
- Ensure that the transfer of data between centres is also completed in the event of a pupil transferring between centres.
- Ensure that all pupils are aware of their pupil status and that withdrawals, transfers or changes to any pupil's details are kept up-to-date in School and that examination boards have been notified.
- Where the programme requires, enter pupils for the necessary externally assessed units/components/modules in accordance with Exam Boards requirements
- Ensure Teaching staff familiarise all pupils (and their parents or carers) with the school policies relating to malpractice, appeals and internal verification and assessment, along with the policy on access arrangements reasonable adjustment and special consideration.

Entry Fees

Policy for Entry Fees

- Fees for first time entry are paid by the school
- Fee reimbursements maybe sought from candidates if they do not meet the necessary coursework requirements without medical evidence or evidence of other mitigating circumstances

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 appropriate school budget OR candidates (or parents/carers)

Senior leaders

- Minimise the risk of late entries by
 - Following procedures identified by the EO in relation to making final entries
 - Meeting internal deadlines identified by the EO for making final entries

Re-sit entries

Exams Officer

- Issues results to candidates
- Where relevant, informs teaching staff and candidates of re-sit opportunities in the next available exam series
- Identifies the process for requesting a re-sit entry

Where still enrolled at the centre, candidates:

- May request to retake a qualification (or component of a qualification where this is available) in the next available exam series using the centre-devised *re-sit entry form*
- May be asked to pay the appropriate entry fee

Private candidates

The centre may accept at its own discretion entries from private candidates for qualifications that the centre determines it can effectively administer and conduct exams for.

Exams Officer

- Identifies awarding body processes and information for private candidates
- Provides an entry process for private candidates to follow
- Charges the private candidate the appropriate fees which will comprise:
 - the entry fee charged by the awarding body plus a **£30** administrative fee and appropriate invigilation costs

Candidate statements of entry

Exams Officer

- Provides candidates with statements of entry for checking

Teaching staff

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

Candidates

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

3) Pre-exams: roles and responsibilities

Access arrangements and reasonable adjustments

Exams Officer & SENCo/ Teaching staff

- Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access to exams/assessments for candidates where they are disabled within the meaning of the Equality Act (unless a temporary emergency arrangement is required at the time of an exam)
- Ensures a candidate is involved in any decisions about arrangements, adjustments and /or adaptations that may be put in place for him/her as appropriate to the candidate
- Ensures exam information (JCQ information for candidates documents, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it
- Allocates appropriately trained centre staff to facilitate access arrangements for candidates in exams and assessments (ensuring that the facilitator appointed meets JCQ requirements and fully understands the rule of the access arrangement)
- Where relevant, ensures the necessary and appropriate steps are undertaken to gather an appropriate picture of need and demonstrate normal way of working for a private candidate (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 day awarding bodies may identify in the event of national or significant local disruption to exams
- Prior to exams issues relevant JCQ information for candidates documents
- Where relevant, issues relevant awarding body information to candidates
- Issues centre exam information to Teachers to enable them to inform candidates of:
 - 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 and how the centre deals with requests from candidates
 - when and how certificates will be issued

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

Exams officer

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

Senior leaders

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

Internal assessment and endorsements

Head of Centre

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

Exams officer

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

Exams Officer & SENCo

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

Teaching staff

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

Senior leaders

- Ensure teaching staff assess and authenticate candidates' work to the awarding body requirements
- Ensure teaching staff assess endorsed components according to awarding body requirements
- Ensure teaching staff provide marks for internally assessed components and grades for endorsements of qualifications to the EO to the internal deadline
- Ensure teaching staff provide required samples of work for moderation and sample recordings for monitoring to the EO to the internal deadline

Candidates

- Authenticate their work as required by the awarding body

Invigilation

Exams Officer

- Provides an invigilation handbook and train/update invigilators annually, trains new invigilators on appointment and updates experienced invigilators on any regulation changes and any changes to centre-specific processes
- Deploys invigilators effectively to exam rooms throughout an exam series (including the provision of a roving invigilator where a candidate and invigilator (acting as a practical assistant, reader or scribe) are accommodated on a 1:1 basis to enter the room at regular intervals in order to observe the conducting of the exam, ensure all relevant rules are being adhered to and to support the practical assistant/reader and/or scribe in maintaining the integrity of the exam)
- Allocates invigilators to exam rooms (or where supervising candidates due to a timetable clash) according to the required ratios
- Liaise with the SENCo regarding the facilitation and invigilation of access arrangement candidates

Exams Officer & SENCo

- Ensures facilitation and invigilation of access arrangements

Invigilators

- Provide information as requested on their availability to invigilate throughout an exam series
- Understand and follow policies and procedures for invigilating, as set out by JCQ and the Centre

JCQ Centre Inspections

Exams Officer or Senior leader (in the absence of the Exams officer)

- Will accompany the Inspector throughout a visit

SENCo/Exams Officer or relevant **Senior leader** (in the absence of the SENCo/Exams officer)

- 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

- Provides seating plans for exam rooms as per JCQ and awarding body requirements (and ensures candidates with access arrangements are identified on the seating plan and invigilators are informed of those candidates with access arrangements and made aware of the access arrangement(s) awarded)
- Ensures that the exam information in the room is visible to all candidates while seated

Invigilators

- Candidate's identity is verified by the invigilator who is also a member of staff that is familiar with the candidates. If an external invigilator has been used, photo ID cards have been provided within the exam box for identifying candidates.
- Seat candidates in exam rooms as instructed by the EO/on the seating plan

Security of Exam Materials

Exams Officer

- Confirms appropriate arrangements are in place to ensure that confidential materials are only handed over to those authorised by the head of centre
- Has a process in place to demonstrate the receipt, secure movement and secure storage of confidential exam materials within the centre
- Ensures access to the secure room is restricted and staff named and approved by the head of centre are accompanied by a key holder at all times. There must be between two and six key holders only, each of whom must fully understand their responsibilities as a key holder to the secure storage facility and are permanent employees.
- Ensures a log is kept at the initial point of delivery recording confidential materials received and signed for by authorised staff within the centre and that appropriate arrangements are in place for confidential materials to be immediately transferred to the secure storage facility until they can be removed from the dispatch packaging and checked in the secure room before being returned to the secure storage facility in timetable order
- Ensures the secure storage facility contains only current and live confidential material (ensuring that past examination question papers, internal tests and mock examinations are not kept in the centre's secure storage facility)
- Ensures that examination stationery, e.g. answer booklets and formula booklets are stored in the secure room (attempting to store this material in the secure storage facility, when sufficient space allows)
- Ensures the integrity and security of any electronic question paper is maintained during the downloading, printing and collating process (ensuring printing is carried out in an area that can be controlled to prevent unauthorised personnel accessing live assessment materials and ensuring only authorised members of centre staff have access to electronic question papers)

Business Support staff

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

Teaching staff

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

Timetabling and rooming

Exams Officer

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

Exams Officer & SENCo

- Ensure appropriate rooming of candidates with access arrangements
- Liaises with other relevant centre staff to ensure appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams

Site staff

- Liaise with the EO to ensure exam rooms are set up according to JCQ and awarding body requirements

Alternative site arrangements (Where/if applicable to the centre)

Exams Officer

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

Centre consortium arrangements (Where/if applicable to the centre)

Exams Officer

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

Senior leaders

- Inform the EO of any joint teaching arrangements in place and where the centre is acting as the consortium co-ordinator

Transferred candidate arrangements (Where/if applicable to the centre)

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) inform the candidate of the arrangements that have been made for their transferred candidate arrangements

Internal exams

Exams officer

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

Exams Officer & SENCo

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

Teaching staff

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

4) Exam time: roles and responsibilities

Access Arrangements and reasonable adjustments

Exams Officer

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

Candidate absence

See Part 3: *Invigilators Handbook for Policy for Candidate Absence*

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

See Part 3: *Invigilators Handbook for Policy for Candidate Late Arrival*

Exams Officer

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

Invigilators

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

Conducting exams

Head of Centre

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

Exams Officer

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

Dispatch of exam scripts

Exams Officer

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

Exam papers and materials

Exams Officer

- Organises exam question papers and associated confidential resources in date order in the secure storage facility ensuring that the packaging is not damaged and that papers are kept in their sealed packets until signed out for the appropriate exam session.
- Attaches erratum notices received to relevant sealed question paper packets
- Collates attendance registers and examiner details in date order
- Regularly checks mail or email inbox for updates from awarding bodies
- Takes care to check the correct question paper packets are opened by checking the day, date, time, subject, unit/component and tier of entry, immediately before a question paper packet is opened.
- Ensures an additional member of centre staff (e.g. an invigilator) completes a secondary check of question packets immediately before a question paper packet is opened **in the designated examination room.**
- **Ensure that where a question packet needs to be split for different rooms on one or more sites or for an access arrangement, the check takes place in the secure room.**
- Ensures the initial and second check of question paper packets are 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 only approved centre staff (who have not taught the subject being examined) are present in exam rooms to perform permitted tasks
- Ensures the centre's policy relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates
- Ensures the centre's policy on candidates leaving the exam room temporarily is clearly communicated to candidates

Exams Officer

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

Senior leaders

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

Site staff

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

Invigilators

- Conduct exams in every exam room according to JCQ Instructions for conducting examinations and/or awarding body requirements and as instructed by the centre in training/update and briefing sessions
- Understand they must be vigilant and remain aware of incidents or emerging situations, looking out for malpractice or candidates who may be in distress and record any incidents or issues on the exam room incident log

Candidates

- Are required to follow the instructions given to them in exam rooms by authorised centre staff and invigilators
- Are required to remain in the exam room for the full duration of the exam, unless Access Arrangements or alternative arrangements are in place

Irregularities

Head of Centre

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

Senior leaders

- Ensure support is provided for the EO and invigilators when dealing with candidates causing a disruption in exam rooms
- Ensure that Behaviour Policy and Positive Management Plans are followed
- Discuss whether it is appropriate for the candidate to continue with subsequent examinations/assessments and what additional support needs to be put in place

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

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

Senior leaders

- Provide signed evidence to support eligible applications for special consideration

Candidates

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

Managing Unauthorised materials

See *Part 3: Invigilator Handbook for Policy on managing unauthorised materials taken into the exam room*

Invigilators

- Are informed of the arrangements through training & follow the policy

Internal exams

Exams Officer

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

Invigilators

- Conduct internal exams as briefed by the EO

5) Results and post-results: roles and responsibilities

Internal Assessment Material

Senior leaders

- Ensure 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
- Ensure work is returned to candidates or disposed of according to the requirements

Managing results day(s)

Senior leaders

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

Exams Officer

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

Site staff

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

Accessing results

Head of Centre

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

Exams Officer

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

Post-results services

Head of Centre

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

Exams Officer

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

Teaching staff

- Meet internal deadlines to request the services and gain relevant candidate informed consent

Candidates

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

Certificates

Certificates are provided to centres by awarding bodies after results have been confirmed. The process for issuing certificates to candidates is detailed below.

Southgate School will:

- obtain and maintain accurate candidate contact information to ensure the correct and secure despatch of certificates
- distribute certificates to all candidates without delay and regardless of any disputes

- not withhold any certificate without prior permission from the relevant awarding body which will only be given in very exceptional circumstances
- keep a record of the certificates that are issued
- return any certificates requested by the awarding bodies as certificates always remain the property of the awarding bodies

The receipt of certificates from awarding bodies and arrangements for the issue of certificates to candidates is managed by The Exams Officer.

Policy for Issuing Certificates

- An annual awards evening is arranged to take place after the deadline for issue of certificates by awarding bodies. Certificates are issued during the event to candidates who attend in person
OR
- Certificates are posted out to candidates' last known address if candidates do not attend the annual awards evening.
- Candidates are responsible for keeping the centre updated on any change to address prior to the issue of certificates
OR
- Candidates may arrange for certificates to be collected on their behalf by providing the EO with written or email permission/authorisation.
- Authorised persons must provide ID evidence on collection of certificates

Policy for Retention of Certificates & Examination Records

- Unclaimed certificates are kept on file for a minimum of one year from the date of issue
- After 3 years, uncollected certificates are securely disposed of
- Retain a record of certificates that have been destroyed for four years from their date of destruction
- All Examination Records are kept as required by JCQ and awarding bodies for the required period of at least 3 years.
- The following information is held, and retained for a period in line with the guidance outlined in the following JCQ document: [Gen_regs_approved_centres_25-26_FINAL.pdf \(jqc.org.uk\)](http://www.jcq.org.uk/gen_regs_approved_centres_25-26_FINAL.pdf) and other relevant JCQ Guidance after which time it will be disposed of securely via a recognised service (e.g. Shredall) :
 - Access arrangements information
 - Alternative site arrangements
 - Attendance register copies
 - Awarding body exams administration information
 - Candidates' scripts
 - Candidates' work
 - Centre consortium arrangements for centre assessed work
 - Certificates
 - Certificate destruction information
 - Certificate issue information
 - Confidential materials: initial point of delivery logs
 - Confidential materials: receipt, secure movement and secure storage logs
 - Conflicts of interest records
 - Dispatch logs
 - Entry information
 - Exam question papers
 - Exam room checklists
 - Exam room incident logs
 - Exam stationery
 - Examiner reports
 - Finance information
 - Handling secure electronic materials logs
 - Invigilation arrangements
 - Invigilator and facilitator training records
 - Moderator reports
 - Moderation return logs
 - Overnight supervision information
 - Post-results services: confirmation of candidate consent information
 - Post-results services: request/outcome information

- Post-results services: tracking logs
- Proof of postage - candidates' work
- Resolving timetable clashes
- Results information
- Seating plans
- Second pair of eyes check forms
- Special consideration information
- Suspected malpractice reports/outcomes
- Transferred candidate arrangements
- Very late arrival reports/outcomes

Exams Officer

- Keeps records as required by JCQ and awarding bodies for the required period of at least 3 years
- Keeps records as required by the centre's records management policy

Analysis of results

Following the publication of results, Senior leaders will:

- Provides analysis of results to appropriate centre staff
- Provides results information to external organisations where required
- Undertakes the Key Stage 4/16-18 Performance Tables checking exercise

Exams Review

Exams Officer

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

Senior leaders

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

PART 3: Invigilator Handbook

Invigilators Roles & Responsibilities

- Attend training, update, briefing and review sessions as required
- Provide information as requested on their availability to invigilate
- Sign a confidentiality and security agreement and confirm whether they have any current maladministration/malpractice sanctions applied to them
- Understand and follow policies and procedures for invigilating, as set out by JCQ and the Centre
- Conduct exams in every exam room according to JCQ Instructions for conducting examinations and/or awarding body requirements and as instructed by the centre in training/update and briefing sessions
- Understand they must be vigilant and remain aware of incidents or emerging situations, looking out for malpractice or candidates who may be in distress and record any incidents or issues on the exam room incident log
- 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)

The Invigilator Handbook below outlines key policies and procedures during exams. Also refer to the *Access Arrangements Policy*, *Word Processor in Exams Policy* and *Malpractice Policy*.

Policy for Candidate Late Arrival

- A late arrival is where a candidate arrives after 9.30 and by 10.00 am for a morning exam and after 2.00 and by 2.30 pm for an afternoon exam
 - Where a candidate arrives late for an exam, the candidate will be allowed into the exam room and as far as possible be allowed the full time to complete the exam
 - The details (e.g. time of arrival, reason for lateness etc.) will be recorded on the Exam Room Incident Log by the Invigilator
- A very late arrival is where a candidate arrives after 10.00 am for a morning exam and after 2.30 pm for an afternoon exam
 - Where a candidate arrives very late for an exam, the candidate will be allowed into the exam room and as far as possible be allowed the full time to complete the exam, subject to extended rooming and invigilation arrangements being available
 - The details (e.g. time of arrival, reason for lateness etc.) will be recorded on the Exam Room Incident Log by the Invigilator
 - The EO will warn the candidate that their work may not be accepted for marking by the awarding body
 - The EO will complete the *JCQ/VLA Very late arrival form* and submit to the awarding body within seven days of the exam
- In all cases, before they are seated in the exam room, the candidate will be
 - asked to hand over any unauthorised materials
 - read any erratum notices
- Where a candidate arrives after an exam has finished and other candidates have left the exam room, they will not be allowed to take the exam

Policy for Candidate Absence

- Every effort will be made to ensure candidates attend every exam
 - As soon as candidates are all seated in the exam room, and as far as possible before the exam starts, empty desks as shown on the seating plan will identify absent candidates
 - The Teaching staff and Business Support team will make every effort to determine the whereabouts of a candidate absent from an exam and get them into the exam room as soon as possible
 - If a candidate subsequently arrives late, the candidate late arrival policy will be followed
- Special consideration for Candidate Absence
- If a candidate is absent from a timetabled written examination 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 examination is in the candidate's terminal exam series (SC 4.1)
 - 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 4.3)
 - The application for special consideration can be supported by appropriate evidence signed by a member of the senior leadership team (SC 6)
 - It is the responsibility of the HoC to deal with special consideration requests and applications

Procedure for Candidate Identification

During Registration

- The identity of students on roll at Southgate School is checked as part of the initial registration process. (GR 5.6) Through birth certificates or other school enrolment documentation.
- The identity of students (private candidates), not on roll at a centre but who may be accepted to take examinations, must be checked by a verification process which involves photo-ID. (GR 5.6) At Southgate School we do not accept private candidates.

During the Examination

- Invigilators are able to establish the identity of all candidates sitting examinations by following the arrangements in place to carry out adequate checks. (ICE 16.1)
- Name cards, with photo, will be placed on the candidates desk, a seating plan with candidate photos and name will be available for the invigilator to confirm identification, known member of staff to bring candidates to exam room to verify identity
- A private/external candidate or 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 examination/assessment, e.g. passport or photographic driving licence (ICE 16.2)
- 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 16.3)
- Invigilators will be informed of those candidates with access arrangements and made aware of the access arrangement(s) awarded (ICE 16.4)

Roles and Responsibilities

- The exams officer will inform all candidates of the above procedure, provide training on the above procedure to all invigilators and brief invigilators on those candidates with access arrangements
- The invigilators will follow the above procedure and any additional guidance from training or the JCQ

Policy for Food and Drink in the Exam Room

- Food and drink is allowed in the examination room at the discretion of the head of centre (ICE 18.2)
- Any food and drink brought into the examination room whether by the candidate or the centre must be free from packaging and all labels are removed from drink containers (ICE 18.2)
- To enable invigilators to check these items quickly and efficiently, food brought into the examination room by the candidate must be free of packaging and in a transparent container
- Drink bottles must be transparent with all labels removed which would include transparent, reusable plastic bottles (ICE 18.2)

Roles and Responsibilities

- The exams officer will ensure candidates are aware of the regulations arrangements relating to food and drink in the examination room, ensure invigilators are trained and aware of the regulations and arrangements relating to food and drink in the examination room.
- The Exams Officer will escalate any issue or breach of centre-specific arrangements to the relevant senior leader for the application of internal sanction(s) and escalate any breach of JCQ regulations immediately to the head of centre (a breach of the regulations constitutes suspected or actual malpractice)
- The invigilator will follow the above procedure, be vigilant in the examination 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 or arrangements regarding food and drink in the examination room
- The Head of Centre will report to the awarding body immediately all cases of suspected or actual malpractice in connection with the examination (ICE 24.3)

Policy for managing unauthorised materials taken into the exam room

- The JCQ Examination Posters will be displayed
- Candidates are informed of what is and what is not allowed in exam rooms prior to exams taking place (see current JCQ Examination Posters)
- Prior to the start of an exam, candidates are reminded, through the standard invigilator announcement, that mobile phones or other unauthorised items in the candidates' possession must be handed to the invigilator
- Unauthorised materials are placed on the invigilator desk
- Candidates are instructed that personal belongings not allowed at exam desks are to remain in their classroom

Policy for Leaving the Examination Room

- For examinations that last one hour or more, candidates must stay under centre supervision until 10.00am for a morning examination or 2.30pm for an afternoon examination, i.e. one hour after the awarding body's published starting time for that examination. (ICE 23.1)
- For examinations 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 examination. (ICE 23.2)
- Candidates who are allowed to leave the examination 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 examination in question. Those candidates may be allowed extra time at the discretion of the centre to compensate for their temporary absence. (ICE 23.3)
- Candidates who have finished the examination and have been allowed to leave the examination room early must hand in their script, question paper and any other material before they leave the examination room. Those candidates must not be allowed back into the room. (ICE 23.4)
- At the end of the examination, candidates must hand in their script, question paper and any other material before they leave the examination room. (ICE 23.5)
- Candidates who are allowed to leave the examination room temporarily may be allowed extra time to compensate for their temporary absence. (ICE 23.3)
- Candidates may be allowed extra time to compensate for temporary absence if they leave the room accompanied to use the toilet or in the event that they become dysregulated and can reasonably continue with the examination after a short time spent out of the exam room under the supervision of a member of staff.

Roles and responsibilities

- The exams officer will ensure invigilators are aware how candidates who may be allowed to leave the examination room temporarily should be managed and recorded
- The invigilator will ensure:
 - A candidate who may be allowed to leave the examination room temporarily is accompanied by a member of centre staff who is not the candidate's subject teacher or a subject expert for the examination in question (ICE 23.3), record instances on the exam room incident log of candidates who may be allowed to leave the examination room temporarily because they may be feeling unwell or require a toilet break (ICE 20.2).
 - Candidates who have finished the examination and have been allowed to leave the examination room early hand in their script, question paper and any other material before they leave the examination room and ensure those candidates are not allowed back into the room (ICE 23.4).
 - At the end of the examination, candidates hand in their script, question paper and any other material before they leave the examination room (ICE 23.5)

Policy for Emergency Evacuation during Exams

Introduction

An emergency evacuation is required where it is unsafe for candidates to remain in the examination room. This might include a fire, the fire alarm sounding to warn of fire, bomb alert or other serious threat. In exceptional situations, where candidates might be severely disadvantaged or distressed by remaining in the room, the emergency evacuation procedure may also need to be followed. This might include situations where there is severe disruption in the examination room, serious illness of a candidate or invigilator or similarly serious incidents.

As each incident may be different, advice will be sought (if applicable) from the relevant awarding body as soon as it is safe to do so, particularly where there is concern about the security of the examination(s) (ICE 25.6)

Where candidates are unable to return to the building to complete the examination, the relevant awarding body will be contacted immediately for advice.

Emergency evacuation procedure

- The following actions (in accordance with ICE 25.3) are taken if an examination room has to be evacuated:
 - Candidates are instructed to stop writing
 - The attendance register is collected (in order to ensure all candidates are present)
 - The examination room is evacuated in line with the instructions given by the appropriate authority
Candidates are advised to leave all question papers and scripts in the examination room. Candidates are advised to close their answer booklet(s)
 - Candidates are instructed to leave the room in silence
Candidates are supervised as closely as possible while they are out of the examination room so that there is no discussion about the examination
 - The time of the interruption is noted and how long it lasted
 - Candidates are allowed the remainder of the working time set for the examination once it resumes
If there are only a few candidates, the possibility is considered of taking the candidates (with question papers and scripts collected by the invigilator) to another place to finish the examination
 - A full report is made of the incident and of the actions taken, and sent to the relevant awarding body
Additional actions taken: In the event of a fire alarm, invigilators are trained to evacuate the examination room immediately by the nearest fire exit and escort candidates to the assembly point(s) in the Emley Moor Playground
 - Await further instructions

 - **When/if allowed to return to the examination room**, invigilators allow candidates time to settle down, reminding them they are still under formal examination conditions and that they must not open their answer booklets until instructed to do so
 - Invigilators announce clearly to candidates when they may begin and how much time they have (the examination will formally restart at this point)
 - Invigilators record the time the examination(s) restarted and amend the displayed finishing time(s) for all candidates to see
 - Invigilators are trained to record as much detail on the exam room incident log when able to do so (ensuring candidates are continually supervised and giving complete attention to this duty at all times) and to ensure the exams officer is fully briefed at the end of the examination(s) to enable a full report to be submitted to the awarding body/bodies

 - **Where not allowed to return to the examination room**, or the decision is made by the appropriate authority that the examination(s) cannot be resumed, the centre's examination contingency plan will be invoked and invigilators/candidates briefed accordingly at the time.

Roles and Responsibilities

- **Head of centre:**
 - Ensure that the emergency evacuation policy for examinations is fit for purpose and complies with relevant health and safety regulation
 - Ensure that any instructions from relevant local or national agencies are referenced and followed where applicable (ICE 25.1)
 - Ensure any breach of question paper security or malpractice is reported to the awarding body immediately (ICE 25.5)

- **Senior leaders**
 - Where responsible for the centre-wide emergency evacuation procedure, ensure that all staff and appointed fire marshals are aware of the policy and procedures to be followed when an emergency evacuation of an examination room is required
- **SENCo**
 - Ensure that appropriate arrangements are in place for the emergency evacuation of a disabled candidate from an examination room where different procedures or assistance may need to be provided for the candidate
 - Ensure that the candidate is informed prior to taking their examinations of what will happen in the event of an emergency evacuation
- **Exams officer**
 - Ensure that invigilators are trained in emergency evacuation procedures and how an incident and actions taken must be recorded
 - Ensure that candidates are briefed prior to examinations taking place, on what will happen in the event of an emergency in the examination room
 - Provide invigilators with a copy of the emergency evacuation procedure in every exam room
 - Provide a standard invigilator announcement for each exam room which includes appropriate instructions for candidates about emergency procedures and what will happen if the fire alarm sounds
 - Provide an exam room incident log in every examination room Liaise with relevant staff prior to each examination session where different procedures or assistance may need to be provided for a disabled candidate
 - Brief invigilators prior to each examination session where different procedures or assistance may need to be provided for a disabled candidate
 - Ensure that appropriate follow-up is undertaken after an emergency evacuation, reporting the incident to the awarding body and the actions taken
 - Ensure a full report of the incident is produced and retained on file if required by an awarding body (ICE 25.4) • Ensure an online application for special consideration is submitted to the relevant awarding body where candidates have been disadvantaged (ICE 25.7)
- **Invigilators**
 - By attending training and/or update sessions, ensure they understand what to do in the event of an emergency in the examination room
 - Follow the actions required in the emergency evacuation procedure issued to them for every examination room
 - Confirm with the exams officer, where different procedures or assistance may need to be provided for a disabled candidate they are invigilating
 - Record details on the exam room incident log to support follow-up reporting to the awarding body by the exams officer (see below)
 - Record details as soon as practically possible and safe to do so. The following details will be recorded • The actual time of the start of the interruption • The actions taken • The actual time the exam(s) resumed • The actual finishing time(s) of the resumed exam(s) Further details which may also be recorded include: • A report on candidate behaviour throughout the interruption/evacuation • A judgement on the impact on candidates after the interruption/evacuation.

Policy for Lockdown during Exams

Introduction

A lockdown may be required in the following situations (this is not an exhaustive list): • an incident or civil disturbance in the local community which poses a risk • an intruder on the site with the potential to pose a risk • local risk of air pollution, such as a smoke plume or gas cloud • a major fire in the vicinity • a dangerous animal roaming loose • an internal threat from a student • any other external or internal incident which has the potential to pose a threat

Where a lockdown may be required when conducting examinations, the focus will be: • the welfare and safety of candidates and exams staff • maintaining the integrity and security of the examination/assessment process

Lockdown procedures have been determined by consulting ProtectUK guidance. Depending on the nature of the incident, centres may also decide to evacuate, invacuate (an inward evacuation) or use a protected space(s). However, this policy focuses specifically upon the actions, roles and responsibilities during an exams-related lockdown.

Lockdown Procedures before an examination

As candidates are entering/waiting to enter the examination room:

- Instruct candidates to enter the examination room immediately
- Southgate staff will lead the lockdown procedures, following Southgate policy and risk assessments
- Where safe/possible, not leave the examination question papers unattended/out of sight
- Where safe/possible, the exams officer will collate the information from all examination rooms and forward this to the head of centre immediately
- The head of centre will make informed decisions on alerting parents/carers, awarding bodies and emergency services

Lockdown Procedures during an examination

As candidates are undertaking the exam:

- Tell candidates to stop writing immediately and close their answer booklets
- Southgate staff will lead the lockdown procedures, following Southgate policy and risk assessments
- Where safe/possible, collect the attendance register
- Make a note of the time when the examination was suspended instruct candidates to remain silent, leave all examination materials on their desks and hide under desks
- where safe/possible, not leave the examination question papers unattended/out of sight
- Where safe/possible, the exams officer will collate the information from all examination rooms and forward this to the head of centre immediately
- The head of centre will make informed decisions on alerting parents/carers, awarding bodies and emergency services
- Where safe/possible, the exams office/officer will collect all examination question papers and materials for safe/secure storage following advice from the appropriate awarding body/bodies

Lockdown Procedures after an examination

As candidates are leaving the examination room:

- Stop dismissing candidates from the examination room
- Instruct candidates who have left to re-enter the examination room
- Southgate staff will lead the lockdown procedures, following Southgate policy and risk assessments
- Where safe/possible, not leave the examination question papers unattended/out of sight
- Where safe/possible, the exams officer will collate the information from all examination rooms and forward this to the head of centre immediately
- The head of centre will make informed decisions on alerting parents/carers, awarding bodies and emergency services

After a Lockdown

- Where applicable and if advised to do so by a senior leader/head of centre, if there is sufficient time (and following JCQ regulations), candidates may be allowed to restart their examination
- Invigilators will:
 - ask candidates to return to their desks, remind them they are under formal examination conditions and allow a settling down period
 - Allow candidates the full working time remaining for their examination
 - recalculate the revised finish time(s)

- tell the candidates to open their answer booklets and re-start their examination
- amend the revised finish time(s) on display to candidates note how long the lockdown lasted on the exam room incident log (to later inform a report to the awarding body/bodies)
- The exams officer will:
 - safely/securely store all collected exam papers and materials pending awarding body advice/guidance and where this may be applicable: ensure appropriate follow-up is undertaken after the incident, reporting the incident to the awarding body and the actions taken, where this may be applicable
 - where this may be applicable, ensure a full report of the incident is produced and retained on file if required by an awarding body
 - where this may be applicable, ensure an online application for special consideration is submitted to the relevant awarding body where candidates have been disadvantaged
- At the earliest immediate opportunity, the head of centre will ensure that any breach of question paper security or malpractice is reported to the awarding body
- Where applicable/possible/available, the senior leader/exams office/officer will:
 - discuss any alternative examination sittings with the awarding body/bodies
 - offer, arrange and provide support services to staff and candidates
- At the earliest opportunity, the senior leader/head of centre will prepare a communication to parents/carers advising them of events (including relevant actions and outcomes)

Roles and Responsibilities

- **Head of Centre**
 - Arrange appropriate training for all exams staff in lockdown procedures
 - Ensure candidates are aware of the procedures relating to a lockdown, particularly those arriving late for an examination who cannot access the examination room due to it being locked down
 - Ensure all candidates and staff are aware of a possible exit point in case an intruder manages to gain access, or the room becomes unsafe
 - Provide written lockdown procedures for examination room/invigilator use Inform the relevant emergency service(s) immediately in the case of any potential threat to the safety of exams staff and candidates
- **Senior Leaders**
 - Assume responsibility for exams staff and candidates taking examinations during a lockdown
 - Arrange training/drills for examination candidates on lockdown procedures
 - Inform parents/carers about the centre's Lockdown Policy in relation to the conducting of examinations
 - Have a presence around examination room areas prior to the start of each examination session
 - Liaise with the appropriate authorities and awarding bodies regarding candidates taking examinations during a lockdown
 - Use the examination room attendance register(s) to compile a list of any candidates not accounted for
- **Exams officer**
 - Train invigilators in the centre's lockdown procedures (this should also include identifying all access and egress points within exam rooms, an awareness of the design of the locking device within each room and if there is more than one invigilator, whose role it would be to secure the exam room)
 - Where safe/possible, liaise with senior leaders/invigilators in all examination rooms during a lockdown
 - Assist with lockdown training for staff and candidates where applicable to the conducting of examinations
- **Invigilators**
 - Be aware of the centre's lockdown procedure
 - Complete attendance registers as soon as possible so candidates can be identified in the event of a lockdown
 - Where safe/possible, to communicate with the exams office/officer during a lockdown to confirm the situation in a particular examination room
 - Where safe/possible, not leave the examination question papers and candidates' scripts unattended/out of sight

Appendix 1 – Registration and Certification Policy



Registration and Certification Policy Southgate School 2025-26

Aims

- To register pupils for the appropriate accreditations by the Exam Board deadlines
- To ensure pupils are entered for externally assessed units/components/modules, where appropriate
- To claim valid pupil certificates by the Exam Board deadlines
- To ensure that pupil registration and certificate claims are accurate and secure
- To ensure that exam registration, achievement and certification records are kept for at least 3 years after certification, in line with Exam Boards requirements

Registration

The Head of Centre will:

- Oversee the registration, transfer, withdrawal and certificate claims for pupils to ensure that awarding body deadlines are met

The Exams Officer will:

- Ensure that a robust system of registration is in place to ensure that all pupils are registered on courses in line with examination board's requirements and within deadline. Such a system should take account of checking details of pupils, the type of course they have been registered onto based on their prior attainment and the need to cross check all details with Teaching staff and the SENDCo.
- Ensure that the transfer of data between centres is also completed in the event of a pupil transferring between centres.
- Ensure that all pupils are aware of their pupil status and that withdrawals, transfers or changes to any pupil's details are kept up-to-date in School and that examination boards have been notified.
- Where the programme requires, enter pupils for the necessary externally assessed units/components/modules in accordance with Exam Boards requirements
- Ensure Teaching staff familiarise all pupils (and their parents or carers) with the school policies relating to malpractice, appeals and internal verification and assessment, along with the policy on access arrangements reasonable adjustment and special consideration.

Certificate Claiming, Issuing and Retention

- The Exam Officer ensures that results are processed and certificate claims are made to the Exam Board by the deadlines set
- Records of registration, achievement, Access Arrangements and Reasonable Adjustments and certification are kept as required by JCQ and awarding bodies for the required period of at least 3 years- See the Exams Archiving Policy
- The Exams Officer ensures that certificates are issued to pupils in one of the following ways
- An annual awards evening is arranged to take place after the deadline for issue of certificates by awarding bodies. Certificates are issued during the event to candidates who attend in person

OR

- Certificates are posted out to candidates' last known address if candidates do not attend the annual awards evening.
- Candidates are responsible for keeping the centre updated on any change to address prior to the issue of certificates

OR

- Candidates may arrange for certificates to be collected on their behalf by providing the EO with written or email permission/authorisation.
- Authorised persons must provide ID evidence on collection of certificates
- Unclaimed certificates are kept on file for a minimum of one year from the date of issue. After 3 years, uncollected certificates are securely disposed of