



# Exams Policy

2024/2025

This policy is reviewed annually to ensure compliance with current regulations.

Approved/reviewed by	
James Clappison / Hayley Pegg	
Date of next review	

## Key staff involved in the policy

Role	Name(s)
Head of centre	Hayley Pegg
Exams officer line manager (Senior leader)	Jordan Philliskirk
Exams officer	James Clappison
SENCo	Kate Charters
Senior leader(s)	Hayley Pegg / Jordan Philliskirk

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# Purpose of the policy

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

This exam policy will ensure that:

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

All Exams policies are reviewed and updated annually by the Trust and centre to ensure ways of working in the centre are accurately reflected and that exams and assessments are conducted to current JCQ (and awarding body) regulations, instructions and guidance.

All Exam policies will be communicated to all relevant centre staff.

# Roles and responsibilities overview

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

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

Heads of centre must ensure that relevant members of staff respond promptly to requests for information from awarding bodies relating to the administration and conducting of examinations/assessments. ([GR](#), section 1)

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

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

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

## Head of centre responsibilities

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

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

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

**It is the responsibility of the head of centre to ensure that all staff comply with the instructions in the (*Instructions for conducting examinations*) document.** Failure to do so may constitute malpractice as defined in the JCQ document *Suspected Malpractice: Policies and Procedures, 1 September 2024 to 31 August 2025*: <https://www.jcq.org.uk/exams-office/malpractice> (ICE Introduction)

The head of centre must ensure:

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

**The 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](#) (AARA)
  - [Suspected Malpractice - Policies and Procedures](#) (SMPP)
  - [Instructions for conducting coursework](#) (ICC)
  - [Instructions for conducting non-examination assessments](#) (NEA)
  - [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 and/or practical assessments
- Where/if using a third party to deliver any part of a qualification (including its assessments) at the centre:
  - maintains oversight of, and responsibility for, the delivery of the qualification in accordance with JCQ regulations and awarding body requirements
  - has in place a written agreement with the third party (unless exclusions apply) to ensure there is a shared understanding of the arrangement and will manage the risk of failure by the third party to deliver the expected service
  - ensures that a copy of the written agreement is available for inspection if requested by the awarding body
- Ensures that relevant members of staff respond promptly to actions raised by the JCQ Centre Inspection Service, understanding that failure to do so could result in penalties (see **National Centre Number Register and other information requirements** section)
- Ensures that the centre promptly reports any incidents to the relevant awarding body/bodies which might compromise any aspect of assessment delivery, such as a cyber-attack
- Ensures other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials are briefed on the requirements for maintaining the integrity and confidentiality of the exam materials
- Ensures members of centre staff do not forward emails and letters from awarding body or JCQ personnel without prior consent to third parties or upload such correspondence onto social media sites and applications (including third party applications)
- Ensures members of centre staff do not advise parents/candidates to contact awarding bodies/JCQ directly provide them with the names, addresses and contact details (including email addresses) of examiners, moderators, external verifiers and any other awarding body examining/assessment personnel/JCQ personnel.

## Resilience and contingency arrangements

(GR 3.16-19)

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

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

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

The plan must cover the following scenarios:

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

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

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

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

☐ See the **Contingency Plan** in the **Exam Policies folder**.

## Cyber security

(GR 3.20-21)

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

- providing training for authorised staff on the importance of creating strong unique passwords and keeping all account details secret
- providing training for staff on awareness of all types of social engineering/ phishing attempts
- providing annual training on cyber security for all staff who access awarding bodies online systems and hold certificates available for inspection
  - [Cyber security training for school staff - NCSC.GOV.UK](https://www.ncsc.gov.uk/section/1/1.1.1)
  - [The Cyber Security Awareness Training Platform Made For Busy IT Teams | Boxphish](https://www.ncsc.gov.uk/section/1/1.1.1)
- develop and maintain a comprehensive cyber security policy
- enabling additional security settings wherever possible
- updating any passwords that may have been exposed
- setting up secure account recovery options
- reviewing and managing connected applications
- monitoring accounts and regularly reviewing account access, including removing access when no longer required
- ensuring authorised members of staff securely access awarding bodies' online systems in line with awarding body regulations regarding cyber security and the JCQ document Guidance for centres on cyber security
- Authorised staff will have access, where necessary, to a device which complies with awarding bodies' multi-factor authentication (MFA) requirements.
- reporting any actual or suspected compromise of an awarding body's online systems immediately to the relevant awarding body

☐ See the **Contingency Plan** in the **Exam Policies folder**.

## Recruitment, selection, training and support

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

(GR 5.3)

- 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/or fully qualified assessors for the verification of centre-assessed components
- Ensures that teaching staff do not use artificial intelligence (AI) as the sole means of marking candidates' work
- Enables the relevant senior leader(s), the examinations officer (EO), the SENCo (or equivalent role) and the centres appointed access arrangement assessor 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 and awarding body regulations
  - Awarding body annual webinar training
  - Awarding body weekly bulletin subscription
  - Subscription to [Home - The Exams Office](#)
  - JCQ website and communications
  - External access arrangement assessor accredited training
- Ensures that the SENCo (or equivalent role) understands the JCQ document *Access Arrangements and Reasonable Adjustments* and is given sufficient time to support their role
- Ensures that any member(s) of the senior leadership team who are responsible for examination administration familiarise themselves with relevant awarding body and JCQ documentation (This will ensure the examinations officer and the SENCo are supported as well as ensuring effective centre decision making in line with the published regulations)
- Ensures that teachers understand the relevant awarding body and JCQ documentation for the qualifications they are delivering to ensure they are delivered in line with the relevant regulations

## External and internal governance arrangements

(GR 5.3)

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

- Has in place a written escalation process should the head of centre, or a member of the senior leadership team with oversight of examination and assessment administration, be absent
- Has in place a member of the senior leadership team who has a good working knowledge of the examination system, will provide effective line management support and supervision of the examinations officer to 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
- Can confirm to an awarding body, the external governance arrangements, so that the awarding body has confidence in the integrity of centre activities such as the delivery of qualifications and the conducting of examinations and assessments



# Escalation process

## Purpose of the process

In terms of internal governance arrangements, it is the responsibility of the head of centre to ensure that the academy has in place a written escalation process should the head of centre, or a member of the senior leadership team with oversight of examination administration, be absent.

This process confirms the main duties and responsibilities to be escalated.

This process also supports the Academy being able to confirm to an awarding body the external governance arrangements so that the awarding body has confidence in the integrity of centre activities such as the delivery of qualifications and the conducting of examinations and assessments.

## Before examinations (Planning)

In the event of the absence of the head of centre or the member of senior leadership with oversight of examination administration, responsibility for implementing JCQ regulations and requirements relating to activity prior to examinations will be escalated to another member of the Senior Leadership Team.

To support understanding of the regulations and requirements, the following JCQ publications will be referenced:

- General Regulations for Approved Centres
- Instructions for conducting examinations
- Access Arrangements and Reasonable Adjustments
- Instructions for conducting coursework
- Instructions for conducting non-examination assessments
- Suspected Malpractice – Policies and Procedures
- A guide to the special consideration process

Main duties and responsibilities relate to:

- Third party arrangements
- Centre status
- Confidentiality
- Communication
- Recruitment, selection, training and support
- External and internal governance arrangements
- Delivery of qualifications
- Public liability
- Conflicts of interest
- Controlled assessments, coursework and non-examination assessments
- Security of assessment materials
- National Centre Number Register
- Centre inspections

Additional JCQ publication for reference:

- JCQ Centre Inspection Service Changes
- Policies available for inspection
- Specific JCQ publications for reference:
  - General Regulations for Approved Centres (section 5)
  - Instructions for conducting examinations (section 25)
  - Access Arrangements and Reasonable Adjustments (section 5)

- Personal data, freedom of information and copyright
- Additional JCQ publication for reference:
  - Information for candidates – Privacy Notice

## Before examinations (Entries and Pre-exams)

In the event of the absence of the head of centre or the member of senior leadership with oversight of examination administration, responsibility for implementing JCQ regulations and requirements relating to entries and exam preparation will be escalated to another member of the Senior Leadership Team.

To support understanding of the regulations and requirements, sections of relevant JCQ publications will be specifically referenced including:

- General Regulations for Approved Centres (section 5)
- Instructions for conducting examinations (sections 1-15)
- Access Arrangements and Reasonable Adjustments (sections 6-8)

Main duties and responsibilities relate to:

- Access arrangements and reasonable adjustments
- Entries (including ensuring appropriate controls are in place which allow accurate entries to be submitted to the awarding bodies)
- Additional JCQ publications for reference:
  - Key dates
  - Guidance Notes for Transferred Candidates
  - Alternative Site guidance notes
  - Guidance notes for overnight supervision of candidates with a timetable variation
- Centre assessed work (including ensuring appropriate controls are in place which allow accurate internally assessed marks to be submitted to the awarding bodies)
- Additional JCQ publication for reference:
  - Guidance Notes – Centre Consortium Arrangements
- Candidate information
- Additional JCQ publications for reference:
  - Information for candidates documents
  - Exam Room Posters

## During examinations (Exam time)

In the event of the absence of the head of centre or the member of senior leadership with oversight of examination administration, responsibility for implementing JCQ regulations and requirements relating to during exam time will be escalated to another member of the Senior Leadership Team.

The centre also 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.

To support understanding of the regulations and requirements, sections of relevant JCQ publications will be specifically referenced including:

- General Regulations for Approved Centres (sections 3, 5)
- Instructions for conducting examinations (sections 16-31)
- Access Arrangements and Reasonable Adjustments (section 8)
- A guide to the special consideration process (sections 2-7)

Main duties and responsibilities relate to:

- Conducting examinations and assessments

Additional JCQ publication for reference:

- Guidance Notes – Very Late Arrival
- Malpractice
- Retention of candidates' work

## After examinations (Results and Post-Results)

As a contingency to enable the prompt handling of urgent issues only, the centre responds to the awarding bodies' request for information regarding the contact details of a senior member of staff (which might include a personal mobile number and/or email address). This will ensure that any urgent matters which might adversely affect candidates which arise outside of term time, and which potentially put qualification awards at risk, can be addressed by awarding bodies with the support of that member of staff. The head of centre will ensure that this member of staff has the necessary authority to mobilise resources to provide this support, which might include resolving issues within the centre itself (GR 5.3)

In the event of the absence of the head of centre or the member of senior leadership with oversight of examination administration, responsibility for implementing JCQ regulations and requirements relating to after examinations will be escalated to another member of the Senior Leadership Team.

To support understanding of the regulations and requirements, sections of relevant JCQ publications will be specifically referenced including:

- General Regulations for Approved Centres (section 5)

Main duties and responsibilities relate to:

- Results

Additional JCQ publication for reference:

- Release of Results notice
- Post-results services and appeals

Additional JCQ publications for reference:

- Post-Results Services (Information and guidance to centres)
- JCQ Appeals Booklet (A guide to the awarding bodies' appeals processes)
- Certificates

## Delivery of qualifications

(GR 5.3)

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

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

## Public liability

(GR 5.3)

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

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

## **Conflicts of interest**

(GR 5.3) See Policies below

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

(GR 5.3)

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

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

## **Security of assessment materials**

(GR 5.3)

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

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

# National Centre Number Register and other information requirements

(GR 5.3)

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

- Provides contact details as follows:
  - a physical address to which all examination and assessment materials will be despatched – this must be the registered address of the centre
  - a landline telephone number – this must be the number of the main office/ switchboard of the centre
  - a contact email address for communications – this must be the email address of the person or team responsible for the administration of examinations (Personal email addresses such as 'Yahoo', 'Hotmail' and 'Gmail' are not acceptable)  
Note: Except for WJEC, if this is a shared email account it must not be used to access awarding body secure websites
  - the name of the head of centre and their email address
  - senior designated contact details (this might include a personal mobile number and/or email address) (These must be the contact details of someone who can be reached in an emergency if the centre is closed over the summer and who can mobilise resources to respond to the issue)
- Responds to the National Centre Number Register annual update by the end of October every year
  - informs the National Centre Number Register Team immediately (email address ncn@ocr.org.uk) if any changes occur after the National Centre Number Register annual update has taken place (This must be on centre headed stationery which can be sent as an email attachment including the signature of the head of centre)
  - informs the National Centre Number Register Team (email address – ncn@ocr.org. uk) of any changes to relevant contact details no later than 6 weeks prior to moving to a new address or re-locating of the secure storage facility (This must be on centre headed stationery which can be sent as an email attachment)
  - informs the National Centre Number Register Team immediately of any other changes in circumstances that could affect the centre's status
  - responds, by completing the Head of Centre Declaration, to the National Centre Number Register request for confirmation that they are aware of and adhering to the latest versions of the JCQ regulations, and does so no later than the end of October every year
  - responds to any other reasonable requests made by the National Centre Number Register Team
- (GR 1.9) Understands that this responsibility for completing the Head of Centre declaration survey cannot be delegated to a member of the senior leadership team or the examinations officer, and acknowledges that failure to respond to the NCNR annual update, and/or the head of centre's declaration, will result in:
  - the centre status being suspended
  - the centre not being able to submit examination entries
  - the centre not receiving or being able to access question papers and ultimately, awarding bodies could withdraw their approval of the centre

## Centre inspections

(GR 5.3)

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

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

## Policies/procedures

### Malpractice Policy

#### Purpose of the policy

The purpose of this policy is to confirm how the academy manages malpractice under normal delivery arrangements in accordance with the regulations.

#### General principles

In accordance with the regulations the academy will:

- Take all reasonable steps to prevent the occurrence of any malpractice (which includes maladministration) before, during and after examinations have taken place (GR 5.11)
- Inform the awarding body immediately of any alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, by completing the appropriate documentation (GR 5.11)
- As required by an awarding body, gather evidence of any instances of alleged or suspected malpractice (which includes maladministration) in
- accordance with the JCQ publication Suspected malpractice - Policies and procedures and provide such information and advice as the
- awarding body may reasonably require (GR 5.11)

#### Candidate malpractice

- 'Candidate malpractice' means malpractice by a candidate in connection with any examination or assessment, including the preparation and authentication of any controlled assessments, coursework or non-examination assessments, the presentation of any practical work, the compilation of portfolios of assessment evidence and the writing of any examination paper

#### Centre staff malpractice

- 'Centre staff malpractice' means malpractice committed by:
  - a member of staff, contractor (whether employed under a contract of employment or a contract for services) or a volunteer at a centre; or
  - an individual appointed in another capacity by a centre such as an invigilator, a Communication Professional, a Language Modifier, a practical assistant, a prompter, a reader or a scribe

#### Preventing malpractice

The centre has in place:

- Robust processes to prevent and identify malpractice, as outlined in JCQ publication Suspected Malpractice: Policies and Procedures

This includes ensuring that all staff involved in the delivery of assessments and examinations understand the requirements for conducting these as specified in JCQ documents and any further awarding body guidance

- Students complete the majority of their exams and a large number of other assessments under close staff supervision with limited access to authorised materials and no permitted access to the internet. The delivery of these assessments should be unaffected by developments in AI tools as students must not be able to use such tools when completing these assessments.
- There are some assessments in which access to the internet is permitted in the preparatory, research or production stages. The majority of these assessments will be Non-Examined Assessments (NEAs), coursework and internal assessments for General Qualifications (GQs) and Vocational & Technical Qualifications (VTQs). JCQ's guidance which is designed to help students and teachers to complete NEAs, coursework and other internal assessments successfully is followed in relation to these assessments.
- Students are informed that all work must be demonstrably their own

### **Identification and reporting of malpractice**

- The head of centre will notify the appropriate awarding body immediately of all alleged, suspected or actual incidents of malpractice, using the appropriate forms, and will conduct any investigation and gathering of information in accordance with the requirements of the JCQ publication Suspected Malpractice: Policies and Procedures
- Form JCQ/M1 will be used to notify an awarding body of an incident of candidate malpractice. Form JCQ/M2 will be used to notify an awarding body of an incident of suspected staff malpractice/maladministration
- Malpractice by a candidate discovered in a controlled assessment, coursework or non-examination assessment component prior to the candidate signing the declaration of authentication need not be reported to the awarding body but will be dealt with in accordance with the centre's internal procedures. The only exception to this is where the awarding body's confidential assessment material has potentially been breached. The breach will be reported to the awarding body immediately
- If, in the view of the investigator, there is sufficient evidence to implicate an individual in malpractice, that individual (a candidate or a member of staff) will be informed of the rights of accused individuals
- Once the information gathering has concluded, the head of centre (or other appointed information-gatherer) will submit a written report summarising the case to the relevant awarding body, accompanied by the information obtained during their enquiries
- Form JCQ/M1 will be used when reporting candidate cases; for centre staff, form JCQ/M3 will be used
- The awarding body will decide based on the report, and any supporting documentation, whether there is evidence of malpractice and if any further investigation is required. The head of centre will be informed accordingly

### **Communicating malpractice decisions**

Once a decision has been made, it will be communicated in writing to the head of centre as soon as possible. The head of centre will communicate the decision to the individuals concerned and pass on details of any sanctions and action in cases where this is indicated. The head of centre will also inform the individuals if they have the right to appeal

### **Appeals against decisions made in cases of malpractice**

The academy will:

- Provide the individual with information on the process for submitting an appeal, where relevant
- Refer to further information and follow the process provided in the JCQ publication A guide to the awarding bodies' appeals processes

# Artificial Intelligence Policy

## Purpose of the policy

The aim of this policy is to provide guidance and support to all stakeholders, about the use of generative Artificial Intelligence (AI) in school; whilst ensuring that we protect the integrity of assessments, in line with the guidance from the JCQ.

## What is AI use

AI use refers to the use of AI tools to obtain information and content which might be used in work produced for assessments which lead towards qualifications. While the range of AI tools, and their capabilities, is likely to expand greatly in the near future, misuse of AI tools in relation to qualification assessments at any time constitutes malpractice. Teachers and students should also be aware that AI tools are evolving quickly but there are still limitations to their use, such as producing inaccurate or inappropriate content. AI chatbots are AI tools which generate text in response to user prompts and questions. Users can ask follow-up questions or ask the chatbot to revise the responses already provided.

AI chatbots respond to prompts based upon patterns in the data sets (large language model) upon which they have been trained. They generate responses which are statistically likely to be relevant and appropriate. AI chatbots can complete tasks such as the following:

Answering questions

- Analysing, improving, and summarising text
- Authoring essays, articles, fiction, and non-fiction
- Writing computer code
- Translating text from one language to another
- Generating new ideas, prompts, or suggestions for a given topic or theme
- Generating text with specific attributes, such as tone, sentiment, or formality

## Intentions/Guiding principles

- We are keen to embrace the opportunities that Artificial Intelligence (AI) affords our learners, and we are aware of the need to educate students and prepare them for the workplace, where AI will potentially play a key role.
- We encourage the use of AI to expand classroom instruction, facilitate personalised learning, develop student curiosity, critical thinking and personalised learning.
- We also encourage the use of AI to reduce teacher workload and provide feedback and personalised assessment of student work.
- AI will not replace direct instruction of teacher interaction.
- Teachers will guide and monitor student use of AI, to ensure that it aligns with the Academy's curriculum objectives and learning outcomes.
- We will take a proactive stance about AI-related safeguarding risks.
- We will ensure that any use of AI in Non-Examination Assessment (NEA) materials is compliant with the guidance set out by the JCQ: [AI-Use-in-Assessments Feb24 v6.pdf](#)

## Misuse of Artificial Intelligence in NEAs

Students must make sure that work submitted for assessment is demonstrably their own. If sections of their work are reproduced directly from AI generated responses, those elements must be identified by the student and the student must understand that this will not allow them to demonstrate that they have independently met the marking criteria and therefore they will not be rewarded.



If teachers have doubts that the authenticity of student work submitted for assessment, and if the use of AI has not been properly acknowledged, they must investigate and take appropriate action in accordance with the Malpractice Policy.

### **Monitoring of AI use**

To reduce the risk of plagiarism and inappropriate use of AI the class teacher will:

- Explain the importance to all students of submitting their own independent work for assessments.
- Issue useful documentation published by the JCQ about AI and exams/NEAs.
- Explain the importance to all students of submitting their own independent work for assessments.
- Ensure that students are clear about how to reference the use of technology and websites appropriately.
- Ensure they are familiar with AI tools, their risks and the available AI detection tools.
- Ensure that, if necessary, they know how to disable access to AI/internet if they need to.
- Reinforce to students the importance of their declaration when they confirm that the work they submit is their own and the consequences of a false declaration.
- Set reasonable deadlines for the submission of work and provide reminders.
- Where appropriate, ensure that a sufficient proportion of the work is completed under direct supervision to allow the teacher to authenticate the student's work with confidence.
- Examine intermediate stages in the production of work to ensure that there is a natural continuation of earlier stages.
- Introduce classroom activities that use the level of knowledge/understanding achieved during the course thereby making the teacher confident that the student understands the material.
- It may occasionally be necessary to engage the student in a short verbal discussion about their work to ascertain that they understand it and it reflects their own independent work.
- Not accept, without further investigation, any work that they suspect may have been generated without proper acknowledgement.

### **Identifying misuse**

Teachers and leaders will use a wide range of approaches to review work. These include comparing the assessment material with work previously created by the student. Further examples of what to look for can be found on page 10 of the JCQ guidance.

If the teacher suspects malpractice, then the piece of work in question must be submitted to the Exams Officer and they will enlist the use of Automated Detection software to check and verify these concerns.

### **Use of AI in Exams**

We will not use AI in any exam without prior written approval from the JCQ. All AI-based assistance and software will be subject to the regulations laid out by the JCQ.

AI-based assistance or software may only be used if it is authorised by the JCQ and is used in accordance with the regulations.

### **Reporting of Non-Compliance**

Any staff member who identifies any AI-based activities or software that is or may be in violation of the JCQ regulations must report the activity or software immediately to the Exams Officer. Any students who are found to be in violation of the AI policy will be subject to disciplinary action as per the academy Malpractice Policy.

If AI misuse is identified the consequences may include, but are not limited to:

- Invalidation of the NEA in question
- A failing grade for the NEA or the entire course

## Exam Contingency Plan

All centres must have a written examination contingency plan which covers all aspects of examination administration. This will allow members of the senior leadership team to act immediately in the event of an emergency or where the head of centre, examinations officer or SENCo is absent at a critical stage of the examination cycle. The examination contingency plan should reinforce procedures in the event of the centre being unavailable for examinations owing to an unforeseen emergency.

All relevant centre staff must be familiar with the examination contingency plan. Consideration should be given as to how these arrangements will be communicated to candidates, parents and staff should disruption to examinations occur.

☐ See the **Contingency Plan** in the **Exam Policies folder**.

## Internal Appeals Procedure

Ensures an internal appeals procedure is in place and drawn to the attention of candidates and (where relevant) their parents/carers. The procedure covers appeals regarding internal assessment decisions, post-result services and appeals, and centre decisions relating to access arrangements and special consideration.

☐ See the **Internal Appeals Policy** in the **Exam Policies folder**.

## Complaints Policy (Exams)

Ensures a complaints policy covering general complaints regarding the centre's delivery or administration of a qualification is in place and drawn to the attention of candidates and their parents/carers.

☐ See the **Complaints Policy** in the **Exam Policies folder**.

## Child Protection/Safeguarding Policy (Exams)

Ensures the centre has a child protection/safeguarding policy in place, including Disclosure and Barring Service (DBS) clearance, which satisfies current legislative requirements.

☐ See the **Child Protection and Safeguarding Policy** on the **Filey Academy Website**.

## Data Protection Policy

Ensures the centre has a data protection policy in place that complies with General Data Protection Regulation and Data Protection Act 2018 regulations.

☐ See the **Delta Data Protection Policy and Procedures** in the **Exam Policies folder**.

## Whistleblowing Policy

Ensures the centre has a whistleblowing policy in place.

☐ See the **Delta Whistleblowing Policy** in the **Exam Policies folder**.

## Conflicts of interest

Ensures the relevant awarding bodies are informed before the published deadline for entries for each examination series of any potential conflict of interest where:

- a member of centre staff is taking a qualification at the centre which includes internally assessed components/units (noting that being entered by the centre must be as a last resort where unable to find an alternative centre)

- a candidate is being taught and prepared for a qualification which includes internally assessed components/units by a member of centre staff with a close relationship to the candidate

Maintains clear records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected by the above, and where:

- a member of exams office staff has a close relationship to a candidate being entered for exams and assessments at the centre or at another centre
- a member of centre staff is taking a qualification at the centre which does not include internally assessed components/units (noting that being entered by the centre must be as a last resort where unable to find an alternative centre)
- a member of centre staff is taking a qualification at another centre

### **Declaration process**

- A declaration of interest form must be completed if a member of staff meets any of the below criteria. A declaration of interest form is provided to the exams officer at the start of each academic year.
  - Any members of centre staff who are taking qualifications at their own centre which include internally assessed components/units;
  - any members of centre staff who are teaching and preparing members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) for qualifications which include internally assessed components/units;
- and maintains clear records in a **conflict of interest log**, all instances where:
  - exams office staff have members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) being entered for examinations and assessments either at the centre itself or other centres;
  - centre staff are taking qualifications at their own centre which do not include internally assessed components/units;
  - centre staff are taking qualifications at other centres

### **Roles and responsibilities**

#### *Head of centre*

- Ensure conflicts of interest are managed according to the requirements (GR 5.3)
- Ensure clear records are maintained and that the records include details of the measures taken to mitigate any potential risk to the integrity of the
- qualifications affected (GR 5.3)
- Ensure the records are available where they may be requested by a JCQ Centre Inspector and/or awarding body staff (GR 5.3)
- Ensure the records are retained until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later (GR 5.3)
- Ensure that entering members of centre staff for qualifications at this centre is as a last resort in cases where the member of centre staff is unable to find another centre
- Ensure that proper protocols are in place to prevent the member of centre staff having access to examination materials prior to the examination and that other centre staff are briefed on maintaining the integrity and confidentiality of the examination materials
- Ensure that during the examination series the member of centre staff is treated in the same way as any other candidate entered for that examination, does not have access to examination materials and does not receive any preferential treatment (GR 5.3)

#### *Exams officer*

- Ensure the process for collecting declarations of interest is undertaken Identify and follow the awarding body's administrative process for submitting details of members of staff who are:

- Taking qualifications which include internally assessed components/units at their own centre
- Teaching and preparing members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) for qualifications which include internally assessed components/units (GR 5.3)
- Retain the records of the measures taken to mitigate any potential risk to the integrity of the qualifications affected until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later (GR5.3)

## Personal data

(GR 6.6, 6.8)

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

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

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

## Exams officer (EO)

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

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

## Senior leaders

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

- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ documents including:
  - Access Arrangements and Reasonable Adjustments
- Leads on the access arrangements and reasonable adjustments process (referred to in this policy as 'access arrangements')
- If not the qualified access arrangements assessor, works with the person appointed, on all matters relating to assessing candidates and ensures the correct procedures are followed
- Presents when requested by a JCQ Centre Inspector, evidence of the assessor's qualification (GR 5.4)
- Ensures any applications for access arrangements or reasonable adjustments are submitted by the published deadline (The SENCo will hold on file appropriate documentary evidence to substantiate such an arrangement, which is open to inspection. For those qualifications covered by Access Arrangements Online, a JCQ Centre Inspector will sample a centre's applications)
- Ensures a file is presented which must contain for each online application the downloaded approval for the respective arrangement(s), supporting evidence of need and a signed candidate data personal consent form (This information must be readily available for inspection at the venue where the candidate is taking the examination(s))
- Ensures requests for modified papers are submitted by the published deadline
- Ensures there are appropriate resources in place at the time of examinations/assessments to meet candidates' needs, e.g. sufficient readers and scribes

## **Teaching staff**

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

## **Invigilators**

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

## **Reception staff**

- Support the EO in the receipt and dispatch of confidential exam materials and follow the requirements for maintaining the integrity and security of confidential examination/assessment materials

## **Site staff**

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

## **IT Support staff**

- Support the EO in relevant matters relating to exam preparation and administration.

## **Candidates**

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

# The exam cycle

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

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

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

## Planning: roles and responsibilities

### Secure materials

#### **Head of centre**

(GR 3.6)

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

(ICE 3.1)

#### *The secure room*

- The secure room must only be used for the purpose of administering secure examination materials.
- Access to the secure room must be restricted to two to six key holders, one of whom must be the exams officer. The two to six key holders must be permanent members of staff or members of staff who have a formal contract of employment and are subject to standard HR policies and procedures...

#### *The secure storage facility*

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

### Information sharing

#### **Head of centre**

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

#### **Exams officer**

- Signposts relevant centre staff to JCQ documents and awarding body documentation relating to the examination/assessment process that have been updated
- Signposts relevant centre staff to JCQ information that must be provided to candidates

- As the centre administrator, approves relevant access rights for centre staff to access awarding body secure extranet sites

## Information gathering

### Exams officer

- Undertakes an annual information gathering exercise in preparation for each new academic year to ensure data about all qualifications being delivered is up to date and correct
- Collates all information gathered into one central point of reference
- Researches awarding body guidance to identify administrative processes, key tasks, key dates and deadlines for all relevant qualifications
- Produces an annual exams plan of key tasks and key dates to ensure all external deadlines can be effectively met; informs key centre staff of internal deadlines
- Collects information on internal exams/assessments to enable preparation for and conduct of

### Senior leaders

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

## Access arrangements

### Head of centre

- Ensures the centre has documented processes in place relating to access arrangements and reasonable adjustments
- Ensures the SENCo (or equivalent role) is fully supported in effectively implementing access arrangements and reasonable adjustments once approved

### SEnCo (or equivalent role)

- Assesses candidates (or works with the appropriately qualified assessor as appointed by the head of centre) to identify access arrangements/reasonable adjustments requirements
- Gathers evidence to support the need for access arrangements for a candidate
- Liaises with teaching staff to gather evidence of normal way of working for a candidate
- Determines candidate eligibility for arrangements or adjustments that are centre-delegated
- Gathers signed Personal data consent forms from candidates where required and ensures Data protection confirmation(s) by the examinations officer or SENCo are completed
- Applies for approval using Access arrangements online (AAO) via the Centre Admin Portal (CAP), where required or through the awarding body where qualifications sit outside the scope of AAO
- Keeps a file for each candidate for JCQ inspection purposes containing all the required documentation (if documentation is stored electronically, an e-folder must be created for each individual candidate. The candidate's e-folder must hold each of the required documents for inspection)
- Employs good practice in relation to the Equality Act 2010
- Liaises with the EO regarding exam time arrangements for access arrangement candidates
- Ensures staff appointed to facilitate access arrangements for candidates are thoroughly trained and understand the rules of the particular arrangement(s) and keeps a record of the content of training provided to facilitators for the required period
- Works with the EO to ensure invigilators and those acting as a facilitator fully understand the respective role and what is and what is not permissible in the exam room



- Liaises with the relevant member of the senior leadership team on the centre's policy on the use of word processors in examinations
- Ensures criteria for candidates granted alternative rooming arrangements is clear, meets JCQ regulations and best meets the needs of individual candidates and remaining candidates in main exam rooms

#### **Senior leaders, Teaching staff**

- Support the SENCo (or equivalent role) in determining and implementing appropriate access arrangements/reasonable adjustments
- (Senior leader) Provides an annually reviewed and updated word processor policy, specific to the centre, which details the criteria the centre uses to award and allocate word processors for examinations

## **Word Processor Policy**

### **Purpose of the policy**

- Ensures criteria for candidates granted separate invigilation is clear, meets JCQ regulations and best meets the needs of individual candidates and remaining candidates in main exam rooms.
- The term 'word processor' is used to describe for example, the use of a computer, laptop or tablet.

### **The use of a word processor**

The centre will:

- allocate the use of a word processor to a candidate where it is their normal way of working within the centre (AA 5.8.1)
- award the use of a word processor to a candidate if it is appropriate to their needs
- Needs may include:
  - a learning difficulty which has a substantial and long-term adverse effect on his/her ability to write legibly
  - a medical condition
  - a physical disability
  - a sensory impairment
  - planning and organisational problems when writing by hand
  - poor handwriting (AA 5.8.4)
- only permit the use of a word processor where the integrity of the assessment can be maintained (AA 4.2.1)
- not grant the use of a word processor where it will compromise the assessment objectives of the specification in question (AA 4.2.2)
- consider on a subject-by-subject basis if the candidate will need to use a word processor in each specification (AA 4.2.3)
- consider the needs of the candidate at the start of the candidate's course leading to a qualification based on evidence gathered that firmly establishes the candidate's needs and 'normal way of working' in the classroom, internal tests/exams, mock exams etc. and confirm arrangements in place before the candidate takes an exam or assessment (AA 4.2.4)
- provide access to word processors to candidates in non-examination assessment components as standard practice unless prohibited by the specification (AA 5.8.2)

The centre will not:

- simply grant the use of a word processor to a candidate because he/she prefers to type rather than write or can work faster on a keyboard, or because he/she uses a laptop at home (AA 5.8.4)

## Exceptions

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

- in the event of a temporary injury or impairment, or a diagnosis of a disability or manifestation of an impairment relating to an existing disability arising after the start of the course (AA 4.2.4)
- where a subject within the curriculum is delivered electronically and the centre provides word processors to all candidates (AA 5.8.4)

## Arrangements at the time of the assessment for the use of a word processor

A candidate using a word processor is accommodated [detail your centre's arrangements e.g. in main venue with the main cohort; in a different room etc.]

In compliance with the regulations the centre:

- provides a word processor with the spelling and grammar check facility/predictive text disabled (switched off) unless an awarding body's specification says otherwise (ICE 14.20)
- (where a candidate is to be seated with the main cohort without the use of a power point) checks the battery capacity of the word processor before the candidate's exam to ensure that the battery is sufficiently charged for the entire duration of the exam (ICE 14.21)
- ensures the candidate is reminded to ensure that his/her centre number, candidate number and the unit/component code appear on each page as a header or footer e.g. 12345/8001 – 6391/01 (ICE 14.22)

If a candidate is using the software application Notepad or Wordpad these do not allow for the insertion of a header or footer. In such circumstances once the candidate has completed the examination and printed off his/her typed script, he/she is instructed to handwrite their details as a header or footer. The candidate is supervised throughout this process to ensure that he/she is solely performing this task and not re-reading their answers or amending their work in any way.

- ensures the candidate understands that each page of the typed script must be numbered, e.g. page 1 of 6 (ICE 14.23)
- ensures the candidate is reminded to save his/her work at regular intervals. (or where possible, an IT technician will set up 'autosave' on each laptop/tablet)
- instructs the candidate to use a minimum of 12pt font and double spacing in order to assist examiners when marking (ICE 14.24)

(ICE 14.25)

The centre will ensure the word processor:

- is only used in a way that ensures a candidate's script is produced under secure conditions
- is in good working order at the time of the exam
- is accommodated in such a way that other candidates are not disturbed and cannot read the screen
- is used as a typewriter, not as a database, although standard formatting software is acceptable and is not connected to an intranet or any other means of communication
- is cleared of any previously stored data
- does not give the candidate access to other applications such as a calculator (where prohibited in the examination), spreadsheets etc.
- does not include graphic packages or computer aided design software unless permission has been given to use these
- does not have any predictive text software or an automatic spelling and grammar check enabled unless the candidate has been permitted a scribe or is using speech recognition technology (a scribe cover sheet must be completed), or the awarding body's specification permits the use of automatic spell checking

- does not include speech recognition technology unless the candidate has permission to use a scribe or relevant software
- must not include AI tools
- is not used on the candidate's behalf by a third party unless the candidate has permission to use a scribe

### **Portable storage medium**

The centre will ensure that any portable storage medium (e.g. a memory stick) used

- is provided by the centre
- is cleared of any previously stored data

### **Printing the script after the exam is over**

The centre will ensure:

- the word processor is either connected to a printer so that a script can be printed off, or have the facility to print from a portable storage medium
- the candidate is present to verify that the work printed is his or her own
- a word processed script is attached to any answer booklet which contains some of the answers
- a word processor cover sheet (Form 4) is completed and included with the candidate's typed script (according to the relevant awarding body's instructions)

## **Alternative Rooming Arrangements**

To award alternative rooming arrangements:

- The SENCo, or the relevant member of the senior leadership team, must be satisfied that the candidate's substantial and long-term impairment has an adverse effect when they sit internal tests and mock examinations in the main examination hall/room.
- The candidate's difficulties must be well established. They must be known to relevant staff – Form Tutor, Head of Year and those with pastoral responsibilities.
- Alternative rooming arrangements must reflect the candidate's current and normal way of working.
- The decision to make arrangements for separate invigilation within the academy lies with the Head of Centre. 1:1 invigilation and the use of an alternative room would apply where a candidate has a serious medical condition or significant behavioural issues which would disturb other candidates in the examination room. Nervousness, low level anxiety or being worried about examinations is not sufficient grounds for separate invigilation within the centre.

## **Internal assessment and endorsements**

 See the **Non-Examination Assessment Policy** in the **Exam Policies folder**.

(GR 5.7)

### **Head of centre**

- Ensures that where candidates are taking non-examination assessments, teaching staff check that the tasks and approach being taken are appropriate and in line with ethical standards and the centre's safeguarding responsibilities
- Ensures awarding bodies are notified of a consortium of centres with joint teaching arrangements for qualifications (This will allow the candidates for each specification to be treated as a single group for the moderation of centre- assessed work. This is only required if two or more member centres will be entering candidates for work that is centre-assessed)

- Ensures only current assessment materials/tasks are used to assess candidates' knowledge and skills (in cases where the awarding body provides such material)
- Before submitting marks to the awarding body ensures candidates are informed of their centre assessed marks and allows a candidate to request a review of the centre's marking
- Ensures that all associated administrative tasks are completed in an accurate and timely manner, e.g. marks are correctly calculated, recorded and submitted by the published date (It is the responsibility of the centre to carefully check the marks it is submitting to an awarding body)
- Ensures submission of centre-assessed marks and moderation samples, if required by the awarding body, by the published date (It is the responsibility of the centre to ensure that moderators receive the correct samples of work to review)
- Ensures a written internal appeals procedure relating to internal assessment decisions is in place and ensures that details of this procedure are communicated, made widely available and accessible to all candidates
- Ensures a written policy regarding the management of non-examination assessments, including controlled assessments and coursework is in place
- Ensures that candidates' work is backed-up and considers the contingency of candidates' work being backed-up on two separate devices, including one off-site back-up (Implementing appropriate security arrangements which protect candidates' work in the event of IT system corruption and cyber-attacks)

### **Senior leaders**

- Ensure teaching staff have the necessary and appropriate knowledge, understanding, skills, and training to set tasks, conduct task taking, and to assess, mark and authenticate candidates' work (including where relevant, private candidates)
- Ensure appropriate internal moderation, standardisation and verification processes are in place
- Ensure teaching staff delivering AQA Applied General qualifications, OCR Cambridge Nationals, Entry Level Certificate or Project qualifications (and CCEA GCE unitised AS and A-level qualifications) follow [JCQ Instructions for conducting coursework](#) and the specification provided by the awarding body
- Ensure teaching staff delivering reformed GCE & GCSE specifications (which include components of non-examination assessment) follow JCQ Instructions for conducting non-examination assessments and the specification provided by the awarding body
- For other qualifications, 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 body

### **Teaching staff**

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

### **Exams officer**

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

## Invigilation

### Head of centre

- Ensures relevant support is provided to the EO in recruiting, training and deploying a team of invigilators
- Ensures, if contracting supply staff to act as invigilators, that such persons are competent and fully trained, understanding what is and what is not permissible (and not taking on its own an assurance from a recruitment agency, that this is the case)
- Determines if additional invigilators will be deployed in timed Art exams in addition to the subject teacher to ensure the supervision of candidates is maintained at all times
- Ensures that, wherever possible a teacher, a teaching assistant, a tutor or a senior member of centre staff who teaches the subject being examined or a Learning Support Assistant who has supported one or more candidates is not an invigilator during the examination

### Exams officer

- Recruits additional invigilators where required to effectively cover all exam periods/series' throughout the academic year
- Collects information on new recruits to identify if they have invigilated previously and if any current maladministration/malpractice sanctions are applied to them
- Provides thorough training for new invigilators on the current instructions for conducting examinations and an update for the existing invigilation team so that they are aware of any changes in a new academic year, before they are allocated to invigilate an exam
- Ensures invigilators supervising access arrangement candidates understand their role (and the role of a facilitator who may be supporting a candidate) and the rules and regulations of the access arrangement(s)
- Ensures invigilators are briefed on the access arrangement candidates in their exam room and made aware of the access arrangement(s) awarded (ensuring these candidates are identified on the seating plan) and confirms invigilators understand what is and what is not permissible
- Collects evaluation of training to inform future events

## Entries: roles and responsibilities

### Estimated entries

#### Exams officer

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

#### Senior leaders

- Provide entry information requested by the EO to the internal deadline
- Inform the EO immediately of any subsequent changes to entry information

### Final entries

#### Head of centre

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

**Exams officer**

- Requests final entry information from senior leaders (or relevant toles) in a timely manner to ensure awarding body external deadlines for submission can be met
- Informs senior leaders of subsequent deadlines for making changes to final entry information without charge
- Submits registrations, examination entries and certification claims by the deadline(s) and complies with the requirements of the specification including any terminal rules which need to be met at the point of certification
- Confirms with senior leaders final entry information that has been submitted to awarding bodies
- Ensures as far as possible that entry processes minimise the risk of entries or registrations being missed reducing the potential for late or other penalty fees being charged by awarding bodies
- Observes each awarding body's terms and conditions for the entry and withdrawal of candidates for their 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

**Late entries****Exams officer**

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

**Senior leaders**

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

**Re-sit entries**

The Centre will pay for re-sits whilst the student remains on roll.

**Private candidates**

The academy does not currently accept private candidates.

**Candidate statements of entry****Exams officer**

- Provides candidates with statements of entry for checking

**Teaching staff**

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

### **Candidates**

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

## **Pre-exams: roles and responsibilities**

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

#### **SENCo (or equivalent role)**

- 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
- Ensures exam information (JCQ information for candidates documents, individual exam timetable etc.) is adapted where this may be required for a 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 sessions awarding bodies may identify in the event of national or significant local disruption to exams
- Prior to exams issues relevant JCQ Information for candidates documents (coursework, non-examination assessments, on-screen tests, social media and written examinations) and awarding body privacy notices
- Where relevant, issues relevant awarding body information to candidates
- Issues centre exam information to candidates including information on:
  - exam timetable clashes
  - arriving late for an exam
  - absence or illness during exams
  - what equipment is/is not provided by the centre
  - food and drink in exam rooms
  - unauthorised items in exam rooms
  - when and how results will be issued and the staff that will be available
  - post-results services information and how the centre will deal 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

### Senior leaders

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

### Exams officer

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

## Internal assessment and endorsements

### Head of centre

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

### SENCo (or equivalent role)

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

### Teaching staff

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

### Senior leaders

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

### Exams officer

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

### Candidates

- Authenticate their work as required by the awarding body



## Invigilation

### **Exams officer**

- Provides an annually reviewed/updated invigilator handbook to invigilators, trains new invigilators on the current regulations on appointment and updates the existing invigilation team on any regulation changes and any changes to centre-specific arrangements
- Deploys invigilators effectively to exam rooms throughout an exam series (including the provision of a roving invigilator where a candidate and invigilator (acting as a practical assistant, prompter, reader or scribe) are accommodated on a 1:1 basis to enter the room at regular intervals 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
- Liaises with the SENCo (or equivalent role) regarding the facilitation and invigilation of access arrangement candidates

### **SEnCo (or equivalent role)**

- Liaises with the EO regarding facilitation and invigilation of access arrangement candidates

### **Invigilators**

- Provide information as requested on their availability to invigilate throughout an exam series

## JCQ Centre Inspections

### **Exams officer or Senior leader**

- Will accompany the Inspector throughout a visit

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

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

## Seating and identifying candidates in exam rooms

### **Exams officer**

- Ensures a procedure is in place to verify the identity of all candidates

#### *Candidate Identification Procedure*

- Candidate labels are created and put on all exam desks that include candidate number, name, and photo.
- When taking the exam register, invigilators check the candidate is at the correct desk using the candidate label
- Ensures invigilators are aware of the procedure
- Provides seating plans for exam rooms according to JCQ and awarding body requirements (and ensures candidates with access arrangements are identified on the seating plan and invigilators are informed of those candidates with access arrangements and made aware of the access arrangement(s) awarded)

### **Invigilators**

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

## **Security of exam materials**

### **Exams officer**

- Confirms appropriate arrangements are in place to ensure that confidential materials are only handed over to those authorised by the head of centre
- Ensures access to the secure room is restricted and staff approved by the head of centre are accompanied by a keyholder at all times.
- Has a process in place to demonstrate the receipt, secure movement and secure storage of confidential exam materials within the centre
- Ensures a log is kept at the initial point of delivery recording confidential materials received and signed for by authorised staff within the centre and that appropriate arrangements are in place for confidential materials to be immediately transferred to the secure storage facility until they can be removed from the dispatch packaging and checked in the secure room before being returned to the secure storage facility in timetable order
- Carefully checks question paper packets when they are removed from the dispatch packing and keeps a log of the check
- Ensures the secure storage facility contains only current and live confidential material (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 a secure environment at the centre to prevent unauthorised personnel accessing live assessment materials and ensuring only authorised members of centre staff have access to electronic question paper materials)  
At least two and no more than six members of centre staff should be authorised to handle secure electronic materials, one of whom must be the exams officer\*. Other members of centre staff may assist with printing and collation provided they are under supervision.

### **Reception staff**

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

### **Teaching staff**

- Adhere to the 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 (or equivalent role) regarding rooming of access arrangement candidates

#### **SEnCo (or equivalent role)**

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

#### **Site staff**

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

### **Alternative site arrangements**

#### **Exams officer**

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

### **Centre consortium arrangements**

#### **Exams officer**

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

#### **Senior leaders**

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

### **Transferred candidate arrangements**

#### **Exams officer**

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

### **Internal exams/assessments**

#### **Exams officer**

- Prepares for the conduct of internal exams/assessments under external conditions (where applicable to the centre)

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

#### **SENCo (or equivalent role)**

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

#### **Teaching staff**

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

## **Exam time: roles and responsibilities**

### **Access arrangements**

#### **Exams officer**

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

### **Candidate late arrival and absence**

#### **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 absent candidates through training
- Ensure that confirmed absent candidates are clearly marked as such on the attendance register and seating plan

#### **Late Candidates**

- Where a candidate arrives late (after the start of the examination), for whatever reason, the time of arrival must be noted on the green "Incident Form" which is in each examination room.
- The candidate will be escorted to the relevant examination room, reminded of the regulations, checked for mobile phone, watch or another electronic device, and then seated. This may be at the back of the room if this is most appropriate, and the seating plan annotated if the seat number has changed.
- The candidate will be given the full time for the examination, with requisite supervision arrangements in place.

### **Very Late Candidates**

- A student is considered very late if they arrive more than one hour after the published starting time for an examination which lasts one hour or more, i.e. “after 10.00am for a morning examination or after 2.30pm for an afternoon examination”.
- For examinations that last less than one hour, a candidate will be considered very late if they arrive “after the awarding body’s published finishing time for the examination”.
- In all cases, the same procedure should be followed as with a late candidate, and the Examinations Manager will discuss the circumstances, requirements and possible outcomes with the candidate once they have completed the paper. The necessary form will also be completed after the candidate has finished the examination.
- Where a candidate is repeatedly late, the Learning Manager will be informed and will intervene as necessary to prevent recurrence.

### **Absent Candidates**

- Before the exam, the Learning Manager, attendance team, and Senior Leadership Team will take a register during the pre-exam revision session, contact home for any absentees and facilitate any arrangements for collection/delivery of the students.
- At the start of the exam, it is the responsibility of the Examinations Team or member of the Senior Leadership Team to visit all examination rooms to confirm any absences for the register.
- If appropriate, an application for Special Consideration will be made by the Examinations Manager.

### **Candidates**

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

## **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
- Ensures script packages are available at the agreed pickup point 15 minutes before the beginning of the collection slot. Script packages must not be left unattended at the collection area. Where a collection does not take place within the agreed timeslot, completed scripts must be returned to the secure store.
- Keeps appropriate records to track dispatch

## **Exam papers and materials**

### **Exams officer**

- Organises exam question papers and associated confidential resources in date order in the secure storage facility

- Attaches erratum notices received to relevant sealed question paper packets
- Collates attendance registers and examiner details in date order
- Regularly checks mail or email inbox for updates from awarding bodies
- Ensures question papers are always kept in their sealed packets until the second pair of eyes check and log have been completed. The second pair of eyes check must take place immediately before each question paper packet is opened in the designated examination room. If the question paper packet needs to be split for different rooms on one or more sites or for an access arrangement, the check must take place in the secure room
- Where allowed by the awarding body, only releases exam papers and materials to teaching departments for teaching and learning purposes 24 hours after the published finishing time of 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 the mobile phone is only allowed to be used for this specific purpose and that it must be kept on silent mode)
- Ensures invigilators understand they must be vigilant and remain aware of incidents or emerging situations, looking out for malpractice or candidates who may be in distress, recording any incidents or issues on the exam room incident log
- Ensures invigilators understand how to deal with candidates who may need to leave the exam room temporarily and how this should be recorded on the exam room incident log
- Provides authorised exam materials which candidates are not expected to provide themselves
- Ensures invigilators and candidates are aware of the emergency evacuation procedure
- Ensures invigilators are aware of arrangements in place for a candidate with a disability who may need assistance if an exam room is evacuated

### Senior leaders

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

**Site staff**

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

**Invigilators**

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

**Candidates**

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

## Emergency Evacuation

**Purpose of the policy**

- This policy details how [insert centre name] deals with an emergency evacuation of the exam room(s) by defining staff roles and responsibilities and confirming the emergency evacuation procedure.

**When is an emergency evacuation required?**

- An emergency evacuation is required where it is unsafe for candidates to remain in the exam room. This might include a fire in the exam room, 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 exam room, the emergency evacuation procedure may also need to be followed. This might include situations where there is severe disruption in the exam room, serious illness of a candidate or invigilator or similarly serious incidents.
- As each incident may be different, advice will be sought from the relevant awarding body as soon as it is safe to do so, particularly where the centre is concerned 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. The awarding bodies have procedures in place to ensure that candidates are not disadvantaged where they are unable to complete the examination due to circumstances beyond their control. (ICE 25.6)

**Emergency evacuation of an exam room**

JCQ ICE (25)

*Roles and responsibilities***Head of centre**

- Ensures the emergency evacuation policy for exams is fit for purpose and complies with relevant health and safety regulation
- Ensures any instructions from relevant local or national agencies are referenced and followed where applicable
- Where safe to do so, ensures candidates are given the opportunity to sit exams for their published duration
- Ensures any breach of question paper security or malpractice is reported to the awarding body immediately

### **Senior leader**

- Where responsible for the centre-wide emergency evacuation procedure, ensures all staff and appointed fire marshals are aware of the policy and procedures to be followed when an emergency evacuation of an exam room is required

### **SENCo (or equivalent role)**

- Ensures appropriate arrangements are in place for the emergency evacuation of a disabled candidate from an exam room where different procedures or assistance may need to be provided for the candidate
- Ensures the candidate is informed prior to taking their exams of what will happen in the event of an emergency evacuation

### **Exams officer**

- Ensures invigilators are trained in emergency evacuation procedures and how an incident and actions taken must be recorded
- Ensures candidates are briefed, prior to exams taking place, on what will happen in the event of an emergency in the exam room
- Provides invigilators with a copy of the emergency evacuation procedure for every exam room
- Provides 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
- Provides an exam room incident log in each exam room
- Liaises with the SENCo and other relevant staff prior to each exam where different procedures or assistance may need to be provided for a disabled candidate
- Briefs invigilators prior to each exam where different procedures or assistance may need to be provided for a disabled candidate
- Ensures appropriate follow-up is undertaken after an emergency evacuation, reporting the incident to the awarding body and the actions taken through application of the special consideration process where applicable (in cases where a group of candidates have been disadvantaged by a particular event)
- Ensures a full report of the incident is produced and retained on file if required by an awarding body
- Ensures an online application for special consideration is submitted to the relevant awarding body where candidates have been disadvantaged

### **Invigilators**

- By attending training and/or update sessions, ensure they understand what to do in the event of an emergency in the exam room
- Follow the actions required in the emergency evacuation procedure issued to them for every exam 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)

### **Other relevant centre staff**

- Support the senior leader, SENCo, exams officer and invigilators in ensuring the safe emergency evacuation of exam rooms

### **Recording details**

As soon as practically possible and safe to do so, details should be recorded. Details must include:



- 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 could include:

- report on candidate behaviour throughout the interruption/evacuation
- a judgement on the impact on candidates after the interruption/evacuation

☐ See the ***Emergency Evacuation Procedure*** in the ***Exam Policies folder***.

## Irregularities

### Head of centre

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

### Senior leaders

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

### Exams officer

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

### Invigilators

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

## Special consideration

### JCQ SC

Special consideration is given to a candidate who has temporarily experienced illness, injury or some other event outside of their control at the time of the assessment. It is applied when the issue or event has had, or is reasonably likely to have had, a material effect on a candidate's ability to take an assessment or demonstrate his or her normal level of attainment in an assessment.

Special consideration can go some way to assist a candidate affected by a potentially wide range of difficulties, emotional or physical, which may influence performance in their examinations. It cannot remove the difficulty faced by the candidate. This means that there will be some situations where candidates should not be entered for an examination. This is because only minor adjustments can be made to the mark awarded. To make larger adjustments would jeopardize the standard of the examination.

### **Eligibility for special consideration**

- Candidates will be eligible for special consideration if they have been fully prepared and have covered the whole course but performance in the examination, or in the production of coursework or non-examination assessment, is materially affected by adverse circumstances beyond their control.
- Special consideration must be applied for at the time of the assessment
- Candidates will not be eligible for special consideration if preparation for, or performance in the examination is affected by the reasons detailed in the JCQ publication A guide to the special consideration process

### **Senior leaders**

- Support eligible applications for special consideration by signing appropriate evidence

### **Exams officer**

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

## **Unauthorised items**

All unauthorised items are placed in the candidate's bag outside of the exam room.

## **Results and post-results: roles and responsibilities**

### **Internal assessment**

#### **Senior leaders**

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

### **Managing results day(s)**

#### **Head of centre**

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

#### **Senior leaders**

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

#### **Exams officer**

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

**Site staff**

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

**Accessing results****Head of centre**

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

**Exams officer**

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

**Post-results services****Head of centre**

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

**Exams officer**

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

**Teaching staff**

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

**Candidates**

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

## Review of Results (ROR) Procedures and Appeals Policy

This procedure confirms the academy's compliance with JCQ's General Regulations for Approved Centres 2024-2025

- The centre will:
  - have available for inspection purposes and draw to the attention of candidates and their parents/carers, a written internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support a clerical re-check, a review of marking, a review of moderation or an appeal
- Following the issue of results, awarding bodies make post-results services available. Full details of these services, internal deadlines for requesting a service and fees charged should be requested from the Exams Officer.
- Candidates are also made aware of the arrangements for post-results services and the availability of senior members of centre staff immediately after the publication of results, before they sit any exams through the "Guidance for Students and Parents" handbook, which is issued annually to all students in Year 10 and Year 11. They are advised to request further, more detailed information from the Exams Officer

If the centre or a candidate (or his/her parent/carer) has a concern and believes a result may not be accurate, post-results services may be considered.

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

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

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

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

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

Where a concern is expressed that a particular result may not be accurate, the centre will look at the marks awarded for each component part of the qualification alongside any mark schemes, relevant result reports, grade boundary information etc. when made available by the awarding body to determine if the centre supports any concerns.

For written components that contributed to the final result, the centre will:

- Where a place a university or college is at risk, consider supporting a request for a Priority Service 2 review of marking
- In all other instances, consider accessing the script by:
  - (where the service is made available by the awarding body) requesting a priority copy of the candidate's script to support a review of marking by the awarding body deadline or
  - where the option is made available by the awarding body) viewing the candidate's marked script online to consider if requesting a review of marking is appropriate
- Collect informed written consent/permission from the candidate to access his/her script

- On access to the script, consider if it is felt that the agreed mark scheme has been applied correctly in the original marking and if the centre considers there are any errors in the marking
- Support a request for the appropriate RoR service (clerical re-check or review of marking) if any error is identified]
- Collect informed written consent from the candidate to request the RoR service before the request is submitted
- Where relevant, advise an affected candidate to inform any third party (such as a university or college) that a review of marking has been submitted to an awarding body]

Written candidate consent (informed consent via candidate email is acceptable) is required in all cases before a request for a RoR service 1 or 2 (including priority service 2) is submitted to the awarding body. Consent is required to confirm the candidate understands that the final subject grade and/or mark awarded following a clerical re-check or a review of marking, and any subsequent appeal, may be lower than, higher than, or the same as the result which was originally awarded. Candidate consent must only be collected after the publication of results.

Upon receipt of results, students will be issued with a form requesting their permission to access a copy of given scripts should the Faculty Leader deem it appropriate to check for anomalies, to inform a decision to subsequently make a request for a ROR, or to use for teaching and learning purposes. The completed forms will be returned to the Exams Officer, together with a list of the papers required by the Faculty Leader.

For any moderated components that contributed to the final result, the centre will:

- Confirm that a review of moderation cannot be undertaken on the work of an individual candidate or the work of candidates not in the original sample submitted for moderation
- Consult the moderator's report/feedback to identify any issues raised
- Determine if the centre's internally assessed marks have been accepted without change by the awarding body – if this is the case, a RoR service 3 (Review of moderation) will not be available
- Determine if there are any grounds to submit a request for a review of moderation for the work of all candidates in the original sample]

If a teacher, Faculty Leader or subject Director has a concern about a particular examination result, they should make a request for one of the post-results options via the Principal and the Exams Officer, completing the **request form**.

#### **If a student raises a concern about a particular examination result**

- The student should contact the Exams Officer and the subject teacher as soon as possible (but at least FIVE working days before the published deadline for RORs) in person to discuss the mark/grade and the options available to query the mark/grade and the costs involved.
- Students will be made aware that RORs can result in the marks/grades being raised, confirmed or lowered. Students must **sign a consent form** to confirm that they understand the consequence of an ROR. **JCQ Candidate Consent forms** will be issued by the Exams Officer.
- The subject teacher will review the student's marks/grades and discuss with the Faculty Leader to agree on the appropriate action, taking into account the breakdown of marks, the grade boundaries and the student's predicted grades. **NO FEEDBACK TO BE GIVEN TO THE STUDENT AT THIS POINT.**

#### **If the Department/Centre agrees to support the ROR**

- The Department will pass a request in the form of a completed **Check form** to be completed by the Department to support an ROR to the Principal before the published deadline for RORs.
- Any decision will be agreed by the Principal.
- The cost of the enquiry will be met by the Academy.

- This will be checked, signed and passed to the Exams Officer to action, who will also contact the student to discuss potential outcomes and to seek their permission to proceed by means of their signature on the **JCQ Candidate Consent form**.
- The Exams Officer will be the only member of staff to communicate this information to the student.

#### **If the Department/Centre does not agree to support the ROR**

- The decision not to support a request will be communicated to the student by the Exams Officer only.
- A student may appeal against the decision not to support an ROR by completing the **Internal Appeals Form**.
- Appeals should be made in writing to the Exams Officer, at least 5 working days before the published internal deadline for RORs. The appeal should state, in detail, the reason(s) for the appeal. This appeal should be signed, dated and should include the daytime contact telephone number and email address (if possible) of the student, parent or carer.
- The appeal information will be reviewed by the Exams Officer and a member of the Senior Leadership Team who has not been involved in the original decision not to support the ROR.
- The outcome of the appeal will be communicated by the Exams Officer either by telephone, email or 1st class letter post as appropriate within 24 hours of being made. The decision is final.

#### **Where a candidate disagrees with a centre decision not to support a clerical re-check, a review of marking or a review of moderation, following full discussion with the students**

- For a review of marking (RoR priority service 2), advise the candidate he/she may request the review by providing informed written consent (and the required fee in cash) for this service to the centre by the deadline set by the centre
- For a review of marking (RoR service 1 or 2), first advise the candidate to access a copy of his/her script (if this has not already been done) to support a review of marking by providing written permission for the centre to access the script (and any required fee in cash for this service) for the centre to submit this request
- After accessing the script to consider the marking, inform the candidate that if a request for a review of marking (RoR service 1 or 2) is required, this must be submitted by the deadline set by the centre by providing informed written consent (and the required fee in cash for this service) for the centre to submit this request
- Inform the candidate that a review of moderation (RoR service 3) cannot be requested for the work of an individual candidate or the work of a candidate not in the original sample]

Requests must be made in person to the Exams Officer before the published internal deadline for RORs. If the enquiry is successful, the fee will be refunded to the student.

Following the RoR outcome, an external appeals process is available if the head of centre remains dissatisfied with the outcome and believes there are grounds for appeal. The JCQ publications Post-Results Services and JCQ Appeals Booklet (A guide to the awarding bodies' appeals processes) will be consulted to determine the acceptable grounds for a preliminary appeal.

Where the head of centre is satisfied after receiving the RoR outcome, but the candidate (or his/her parent/carers) believes there are grounds for a preliminary appeal to the awarding body, a further internal appeal may be made to the head of centre. Following this, the head of centre's decision as to whether to proceed with a preliminary appeal will be based upon the acceptable grounds as detailed in the JCQ Appeals Booklet. Candidates or parents/carers are not permitted to make direct representations to an awarding body.

If the candidate wishes to appeal the outcome, the **Internal Appeals Form** should be completed and submitted to the centre within 7 calendar days of the notification of the outcome of the RoR. Subject to the head of centre's decision, this will allow the centre to process the preliminary appeal and submit to the awarding body within the required 30 calendar days of the awarding body issuing the outcome of the review of results process. Awarding body fees which may be charged for the preliminary appeal must be paid to the centre by

the appellant before the preliminary appeal is submitted to the awarding body (fees are available from the exams officer). If the appeal is upheld by the awarding body, this fee will be refunded by the awarding body and repaid to the appellant by the centre.

📁 See the **Review of Results (ROR) Procedures and Appeals Forms** in the **Exam Policies folder**.

## Certificates

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

### Candidates

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

## Retention of records: roles and responsibilities

### Exams officer

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

📁 See the **Delta Personal Data Retention Policy** in the **Exam Policies folder**.