Saint Aidan's Church of England High School

EXAMS POLICY

Author:	Felicity Price
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EXAMINATIONS POLICY

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Examinations Policy

Purpose of the policy

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

This policy will ensure that:
- all aspects of the centre's process is documented, supporting the centre's contingency plan, and other relevant 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

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

This policy will be communicated to all relevant centre staff.

Roles and responsibilities overview

(GR 2)

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 published JCQ regulations and awarding body requirements.

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 cannot also be 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 and examinations officer 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 (GR 1)

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 Centre's (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 requests and/or 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.

(ICE Introduction) **It is the responsibility of the head of centre to ensure that all staff comply with the instructions in the** Instructions for conducting examinations **document**. Failure to do so may constitute malpractice as defined in the JCQ document Suspected Malpractice: Policies and Procedures, 1 September 2025 to 31 August 2026.

(GR 5.1)

The head of centre must ensure:

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

Head of centre

- Understands the contents, refers to and directs relevant centre staff to current JCQ documents including:
  - *A guide to the special consideration process* (SC)
  - *Access Arrangements and Reasonable Adjustments* (AARA)
  - *AI Use in Assessments: Your role in protecting the integrity of qualifications*
  - *Guidance for centres on cyber security*
  - *Instructions for conducting coursework* (ICC)
  - *Instructions for conducting examinations* (ICE)
  - *Instructions for conducting non-examination assessments (GCE and GCSE specifications)* (NEA)
  - *Instructions for conducting non-examination assessments (Vocational and Technical Qualifications)* (NEA VTQs)
  - *Notice to Centres – Informing candidates of their centre-assessed marks*
  - *Plagiarism in Assessments – Guidance for Teachers/Assessors*
  - *Suspected Malpractice – Policies and Procedures* (SMPP)
- Ensures the centre has appropriate accommodation at the registered address 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 the assessments or the administration) at the centre:
  - maintains oversight of, and responsibility for, the delivery and administration of the qualification in accordance with JCQ regulations and awarding body requirements

- has in place a robust written agreement with the third party (unless exclusions apply), that includes provisions which ensure that qualifications are delivered in a way that complies with their agreement with the awarding body, 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
- monitors delivery by the third party to maintain compliance with the published JCQ regulations and awarding body requirements, ensuring the security and integrity of examinations and assessments
- ensures sufficient managerial and other resources are in place to resolve any issues

- Ensures that relevant members of staff respond promptly to requests and/or 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 relevant members of staff respond promptly to requests for information from awarding bodies relating to the administration and conducting of examinations/assessments
- Ensures that the centre promptly reports any incidents to the relevant awarding body/bodies which might compromise any aspect of assessment delivery, such as a cyber-attack
- Ensures members of centre staff do not forward emails and letters from awarding body or JCQ personnel without prior consent to third parties or upload such correspondence onto social media sites and applications (including third party applications)
- Ensures members of centre staff do not advise parents/candidates to contact awarding bodies/JCQ directly nor provide them with the names, addresses and contact details (including email addresses) of examiners, moderators, external verifiers and any other awarding body examining/assessment personnel/JCQ personnel

Resilience and contingency arrangements (GR 3.16-19)

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

In the unlikely event that the government determines that examinations cannot go ahead, the centre will need evidence of candidate assessment performance, such as mock examinations, to enable alternative methods of awarding grades.

The centre must have an up to date written contingency plan (Appendix 4).

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 (or equivalent role), examinations officer or any other key staff essential to the examination process being absent at a critical stage of the examination cycle

- the potential impact of other events such as flooding, which could lead to all or parts of the centre becoming unavailable
- potential issues with the centre's IT systems.

As part of its contingency plan the centre must identify an alternative site or alternative sites which can be used 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 where candidates' work is produced electronically it is backed-up and should consider the contingency of candidates' work being backed-up on two separate devices, including one off-site back-up via the Cloud. The centre must implement appropriate security arrangements which protect candidates' work in the event of IT system corruption and cyber-attacks.

Cyber security (GR 3.20-21)

Cyber Security Policy – Appendix 16
The head of centre must ensure there are procedures in place to maintain the security of user accounts by:

- providing training for authorised staff on the importance of creating strong unique passwords and keeping all account details secret
- providing training for staff on awareness of all types of social engineering/ phishing attempts
- enabling additional security settings wherever possible

- ensuring that all members of centre staff who access awarding bodies' online systems undertake annual cyber security training

   The training must include:
   - the importance of creating strong, unique passwords for all accounts
   - keeping all account details strictly confidential
   - the critical role of Multi-Factor Authentication (MFA) in protecting against unauthorised access
   - how to properly set up and use MFA for both centre and awarding bodies' systems
   - an awareness of all types of social engineering/phishing attempts
   - the importance of staff quickly reporting any suspicious activity, events, incidents and encouraging a safe and supportive reporting culture.

   Certificates of completed staff cyber training must be downloaded and held on file for inspection. The NCSC training resource provides a certificate of completion of cyber training.

- developing and maintaining a comprehensive cyber security policy for the centre. The National Cyber Security Centre (NCSC) provides resources to assist centres in creating such policies
- implementing and enforcing robust security measures, including:

- o mandatory MFA for all accounts and systems containing exam-related information, including those that interface between awarding body and centre systems, to enhance security and protect sensitive data
- o regularly reviewing and updating security settings to align with current best practices
- 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

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

Recruitment, selection, training and support (GR 5.3)

- Retains a workforce of an appropriate size and competence, including sufficient managerial and other appropriate resources, to undertake the delivery and administration of the qualification and assessments 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
  The centre's contingency planning must include succession arrangements for members of staff involved in examination and assessment administration.
- Provides fully qualified teachers/assessors for the verification and marking 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), teachers, the examinations officer (EO) and the SENCo (or equivalent role) 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
- Ensures the SENCo (or equivalent role), the centre's appointed access arrangements assessor and the examinations officer undertake regular CPD, such as attending an annual update course
- Ensures that the SENCo (or equivalent role) understands the JCQ document Access Arrangements and Reasonable Adjustments and is given sufficient time to manage the access arrangements process within the centre
- Ensures that the examinations officer understands relevant awarding body and JCQ documentation and has sufficient time to perform their role
- Ensures that any member(s) of the senior leadership team who are responsible for 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)

- Has in place a written escalation process (appendix 14) 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 exams officer
- 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

Delivery of qualifications (GR 5.3)

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

Public liability (GR 5.3)

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

Conflicts of interest (GR 5.3)

See Appendix 17

Controlled assessments, coursework and non-examination assessments (GR 5.3)

- Has in place arrangements to co-ordinate and standardise all marking of centre-assessed components and to ensure that candidates' centre-assessed work is produced, authenticated and marked, or assessed and quality assured in accordance with the awarding bodies' instructions (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)

- Takes all reasonable steps to maintain the integrity of the examinations/assessments, including the security of all assessment materials, by ensuring:
  - 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) 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*
  - 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)

- 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)
- Completes the National Centre Number Register annual update by the end of October every year even if there are no changes to centre details
  - 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)

- o informs the National Centre Number Register Team immediately of any other changes in circumstances that could affect the centre's status
- o completes the National Centre Number Register Head of Centre Declaration by the end of October every year confirming they are aware of and adhering to the latest versions of the JCQ regulations
- o responds to any other reasonable requests made by the National Centre Number Register Team
- (GR 1.9) Understands that the 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 declaration and/or requests or actions raised by the JCQ Centre Inspection Service, will result in:
  - o the centre status being suspended
  - o the centre not being able to submit examination entries
  - o the centre not receiving or being able to access question papers

  and ultimately, awarding bodies could withdraw their approval of the centre.

Centre inspections (GR 5.3)

- Co-operates with the JCQ Centre Inspection Service, an awarding body or a regulatory authority when subject to an inspection, an investigation, ~~or~~ an unannounced visit or any requests for information within the stipulated timeframe
- 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 available for inspection (GR 5.3)

- Has in place the following written policies for inspection that must be reviewed and updated annually by a member of the senior leadership team and communicated within the centre:
  - o a child protection/safeguarding policy ~~in place~~, including Disclosure and Barring Service (DBS) clearance, which satisfies current legislative requirements

  - o a complaints policy

  - o a conflicts of interest policy

Conflicts of interest (GR 5.3)

- Manages conflicts of interest by informing the awarding bodies before the published deadline for entries for each examination series of any potential conflict of interest where:
  - o any members of centre staff who are taking a qualification at this centre which includes internally-assessed components/units*
  - o any members of centre staff who are teaching and preparing members of their family (which includes step-family, foster family and similar close relationships) or close

friends and their immediate family (e.g. son/daughter) for qualifications which include internally-assessed components/units, **and**

maintains internal records (that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected) of all instances where:

- o 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 this centre or other centres
- o centre staff are taking qualifications at this centre which do not include internally-assessed components/units*
- o centre staff are taking qualifications at other centres

- Retains records of all conflicts of interest, including details of the measures taken to mitigate any potential risk to the integrity of the qualifications affected (The records may be inspected by a JCQ Centre Inspector and/or awarding body staff. They might be requested in the event of concerns being reported to an awarding body. The records must be retained until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later)
- *Notes that entering members of centre staff for qualifications at their own centre must be as a last resort in cases where the member of centre staff is unable to find another centre, and ensures:
  - o 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
  - o 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

  - o a contingency plan which covers all aspects of examination/assessment administration and delivery

  - o a data protection policy

  - o an equalities policy

  - o an internal appeals procedure which must cover at least appeals regarding internal assessment decisions, access to post-result services and appeals, and centre decisions relating to access arrangements and special consideration

  - o a malpractice policy which covers all qualifications delivered by the centre. The policy must detail how candidates are informed and advised to avoid committing malpractice in examinations/assessments and how suspected malpractice issues should be escalated within the centre and reported to the relevant awarding body. It must also acknowledge the use of AI (e.g. what AI is, when it may be used and how it should be acknowledged, the risks of using AI, what AI misuse is and how this will be treated as malpractice).

  - o a policy regarding the management of non-examination assessments including controlled assessments and coursework, which includes details on how candidates'

work will be authenticated (For CCEA GCSE centres this would be a written controlled assessments policy)

- a whistleblowing policy

- a policy on the use of word processors in examinations

Access arrangements and reasonable adjustments (GR 5.4)

The head of centre/senior leadership team will:

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

- assist the awarding bodies in the discharge of their duty to make reasonable adjustments by requesting access arrangements, where required, and fully support the SENCo in effectively implementing those arrangements once approved

Malpractice (GR 5.11)

The centre will:

- take all reasonable steps to prevent the occurrence of any malpractice (which includes maladministration) before, during and after assessments have taken place
- inform the awarding immediately of any alleged, suspected or actual incidents of malpractice or maladministration involving a candidate or a member of staff, by completing the appropriate documentation
- as required by an awarding body, ensures evidence of any instances of alleged or suspected malpractice (which includes maladministration) is gathered in accordance with the current JCQ document *Suspected Malpractice - Policies and Procedures* and provides such information and advice as the awarding body may reasonably require

- (GR 6.2) Ensures any person involved in administering, teaching or completing examinations/assessments is advised that where malpractice is suspected, or alleged, personal data about them will be provided to the awarding body (or bodies) whose examinations/assessments are involved. Personal data about them may also be shared with other awarding bodies, the qualifications regulator or professional bodies in accordance with the JCQ document *Suspected Malpractice – Policies and Procedures*

Personal Data (GR 6.6, 6.8)

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

Materials which are submitted by candidates for assessment may include any form of written work, audio and visual materials, computer programs 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:

  - A guide to the special consideration process
  - General Regulations for Approved Centres
  - Instructions for conducting examinations
  - Post-Results Services (PRS)
  - Suspected Malpractice - Policies and Procedures

- Completes/submits the National Centre Number Register annual update (administered on behalf of the JCQ member awarding bodies by Cambridge OCR https://ocr.org.uk/administration/ncn-annual-update/) by the end of October every year even if there are no changes to centre details, 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 current JCQ documents including:

    o *A guide to the special consideration process*
    o *Access Arrangements and Reasonable Adjustments*
    o *AI Use in Assessments: Your role in protecting the integrity of qualifications*
    o *Guidance for centres on cyber security*
    o *Instructions for conducting coursework*
    o *Instructions for conducting examinations*
    o *Instructions for conducting non-examination assessments (GCE and GCSE specifications)*
    o *Instructions for conducting non-examination assessments (Vocational and Technical Qualifications)*
    o *Notice to Centres – Informing candidates of their centre-assessed marks*
    o *Plagiarism in Assessments – Guidance for Teachers/Assessors*
    o *Post-Results Services*
    o *Suspected Malpractice – Policies and Procedures*

- 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 current 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) and supporting evidence of need (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 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

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

The secure room and the secure storage facility

The secure room and the secure storage facility

Question papers and pre-release materials issued by the awarding bodies must always be stored at the centre's registered address in a secure room with a secure storage facility, e.g. safe or security cabinet.

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 between two and 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 room **must** be accessible throughout an examination series for the storage of question papers and be available for inspection.

The secure storage facility
Access to the secure storage facility **must** be restricted to between two and 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.

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
- (where applicable to the role) Collects information on internal exams/assessments to enable preparation for and conduct of (insert the titles these internal exams/assessments are referred to in the centre)

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

- Informs relevant candidates that an application for access arrangements will be processed using *Access Arrangements Online (AAO),* complying with the UK GDPR and the Data Protection Act 2018
- Applies for approval using AAO via the Centre Admin Portal (CAP), where required or through the awarding body where any 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

Alternative Rooming Arrangements Policy (Appendix 2)

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

Internal assessment and endorsements

Head of centre

Controlled assessments, coursework, non-examination assessments and portfolios of evidence

(GR 5.7)

- 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, which includes details on how candidates' work will be authenticated, is in place
- Ensures that where candidates' work is produced electronically it is backed-up and considers the contingency of candidates' work being backed-up on two separate devices, including one off-site back-up via the Cloud (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 GCE & GCSE specifications and Vocational and Technical Qualifications (which include components of non-examination assessment) follow JCQ Instructions for conducting non-examination assessments and the specification provided by the awarding body
- Ensure teaching staff delivering qualifications which include (wholly or in part) units of coursework follow JCQ Instructions for conducting coursework and the specification provided 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

<u>Invigilation</u>

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 the following individuals are not assigned as invigilators during an examination: 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

Operations and Cover Manager

- 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 or malpractice sanctions are applied to them

Exams officer

- 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 and registrations: roles and responsibilities

Head of centre

- Ensures the centre's obligations as detailed in the regulations are met. (With reference to GR 5.6 **Entries and registrations**)

<u>Estimated entries</u>

Exams officer

- Requests estimated or early entry information, where this may be required by awarding bodies, from senior leaders (or relevant 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

<u>Final entries</u>

Head of centre

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

Exams officer

- Requests final entry/registration information from senior leaders (or relevant roles) 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 registration, entry and timely 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

<u>Late Entries</u>

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

Heads of Department
- 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

<u>Candidate statements of entry</u>

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

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

<u>Re-sit Entries</u>
- Students studying Cambridge National or BTEC Technical Awards may be eligible to re-sit an externally assessed unit.
- The Head of Department is responsible for submitting details of any re-sit entries to the Exams Officer within the timescales set in accordance with awarding body deadlines.

<u>Access arrangements and reasonable adjustments</u>

SENCo (or equivalent role)

- Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access to exams/assessments for candidates with learning difficulties or disabilities, those for whom English is an additional language and those with a temporary illness or injury
- Ensures a candidate is involved in any decisions about arrangements, adjustments and /or adaptations that may be put in place for them
- 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)
- Ensures the person appointed to facilitate an access arrangement must not normally be the candidate's own subject teacher, Learning Support Assistant or teaching assistant (Where the candidate's own subject teacher, Learning Support Assistant or teaching assistant is used, a separate invigilator must always be present)
- 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

(such as a distance learner or a home educated student) and that the candidate is assessed by the centre's appointed assessor

<u>Briefing the candidates</u>

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

Access to scripts, Reviews of Results and Appeals Procedures

<u>Dispatch of exam scripts</u>
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

<u>Estimated Grades</u>
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

<u>Internal assessment and endorsements</u>
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 (or delegates this task to relevant teaching staff)
- 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

<u>Invigilation arrangements</u>

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
- Liaises with the Operations and Cover Manager regarding invigilator requirements
- Liaises with the SENCo (or equivalent role) regarding the facilitation and invigilation of access arrangement candidates

Operations and Cover Manager

- 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 one-to-one 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/prompter/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 EO regarding the invigilator numbers and placement

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 (Appendix 15)

- 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 provided by the EO which details how the identity of all candidates sitting exams will be confirmed
- 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 exam materials are only handed over to authorised members of staff
- 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 packaging 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 materials 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)
  A minimum of two and a maximum of 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.
- Ensures that the question paper is printed correctly, is of good quality and is collated in the right order

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
- 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

Operations and Cover Manager

- Liaises with EO for room booking requirements
- Allocates invigilators to exam rooms (or where supervising candidates due to an exam timetable clash) according to required ratios

- Arranges and coordinates any re-rooming required when an examination must take place in a classroom, ensuring the class teacher is relocated as necessary

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

- 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

Transferred candidate arrangements

Exams officer

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

Operations and Cover Manager

- Arranges invigilation

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

Head of centre

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

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 exam
  - Liaises with the SENCo to apply for approval through AAO where required or through the awarding body where qualifications sit outside the scope of AAO

Candidate absence

Exams Officer

- At the start of each exam, the EO will check all exam rooms for absent candidates
- Absent candidates will be reported at reception, where the reception staff will contact the candidate / parents to make arrangements for the candidate to be brought to the exams within one hour of the published start time
- Any students who are late will be informed that they must not have access to any internet enabled devices

Invigilators

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

Candidates

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

Candidate late arrival

Exams officer

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

Invigilators

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

Conducting exams

Head of centre

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

Exams officer

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

Dispatch of exam scripts

Exams officer

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

Exam papers and materials

Exams officer

- Organises exam question papers and associated confidential resources in date order in the secure storage facility
- 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
- In order to avoid potential breaches of security, ensures care is taken to ensure the correct question paper packets are opened by ensuring a member of centre staff, additional to the person removing the papers from secure storage, e.g. an invigilator, checks the day, date, time, subject, unit/component and tier of entry, if appropriate, immediately before a question paper packet is opened
- Ensures this second pair of eyes check is recorded
- Ensures question papers are always be kept in their sealed packets until the second pair of eyes check and log have been completed
- Ensures the second pair of eyes check takes 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, ensures the check takes place in the secure room
- Ensures unused question papers are not released to any individual until 24 hours after the awarding body's published finishing time for the examination (Where a candidate is sitting an examination scheduled for the afternoon session on the following morning under an overnight supervision arrangement, unused question papers for that examination must not be released to any individual until the candidate has completed that examination)

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

Food and Drink in Exam Rooms

- Candidates must not bring any food into the exam rooms unless prior arrangements have been made for medical reason
- Candidates may bring a clear plastic bottle of water, with labels removed, this must be placed on the floor by the candidates feet when not in use

Leaving the Examination Room

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
- Ensure a procedure is in place in case of an emergency invacuation (lockdown)

Emergency Evacuation Policy (Exams)

Centres must have a written policy for dealing with an emergency evacuation of the examination room, which will be subject to inspection by the JCQ Centre Inspection Service (ICE 25)

The Exams Contingency Policy (Appendix 4) details the centre actions to be taken if an evacuation of an exam room is required.

When dealing with emergencies, staff must be aware of the centre's policy and, where appropriate, any instructions from relevant local or national agencies. Reference should also be made to the following document:

https://www.gov.uk/government/publications/bombthreats-guidance/procedures-for-handling-bomb-threats

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.

Lockdown Policy (Exams) – Appendix 5

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

<u>Irregularities</u>

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.

<u>Managing Behaviour</u>

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)

<u>Malpractice</u>

See Appendix 13

<u>Special Consideration</u>

Senior leaders
- Support eligible applications for special consideration by authorising appropriate evidence

Exams officer

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

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

See Special Consideration Policy (Appendix 11)

<u>Unauthorised items</u>

Arrangements for unauthorised items taken into the exam room

Invigilators

- Invigilators have trays at the doors of the exams hall for candidates to hand in any unauthorised materials still on their persons. A raffle ticket system will be used to identify the belongings to the candidate
- The lead invigilator provides candidates with an additional opportunity to hand in any remaining unauthorised materials prior to the start of the exam
- Are informed of the arrangements through training

Candidates

- Candidates are informed in advance that all unauthorised materials must be stored in their personal locker or in their form rooms

<u>Internal exams/assessments</u>

Exams officer

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

Invigilators

- Conduct internal exams as briefed by the EO

Results and post-results: roles and responsibilities

Head of centre

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

<u>Internal assessment</u>

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

<u>Managing results day</u>

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

<u>Analysis of results</u>

Exams Officer

- Provides candidates results information to SISRA to provide analysis of results to the Senior Leadership Team
- Provides results information to external organisations where required

Undertakes the DfE School and College Checking Exercises (where applicable to the centre)

https://check-your-performance-measures-data.education.gov.uk/hc/en-gb

<u>Certificates</u>

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

Issue of Certificates Procedure

- Certificates will be issued on Awards Evening in November
- Certificates not collected will be stored securely until candidates make arrangements for collection

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

Certificate Retention Policy

- Certificates will be held by the centre for three years and will then be securely destroyed.
- The centre will maintain a register of destroyed certificates for a further two years.

Exams review: roles and responsibilities

Exams officer

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

Senior leaders

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

Retention of records: roles and responsibilities

Exams officer

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

APPENDICES

Appendix 1

Word Processor for Exams Policy

This policy is reviewed and updated annually on the publication of updated JCQ regulations. References in this policy to AA and ICE relate to/are directly taken from the JCQ publications **Access Arrangements and Reasonable Adjustments** and **Instructions for conducting examinations.**

Introduction

The use of a word processor in exams and assessments is an available access arrangement.

The purpose of an access arrangement is to ensure, where possible, that barriers to assessment are removed for a disabled candidate preventing them from being placed at a substantial disadvantage as a consequence of persistent and significant difficulties.

The following principles are applied to access arrangements at Saint Aidan's C of E High School:
- The purpose of an access arrangement is to ensure, where possible, that barriers to assessment are removed for a disabled candidate preventing them from being placed at a substantial disadvantage as a consequence of persistent and significant difficulties. The integrity of the assessment is maintained, whilst at the same time providing access to assessments for a disabled candidate. (AA 4.2.1)
- Although access arrangements are intended to allow access to assessments, they are not granted where they will compromise the assessment objectives of the specification in question. (AA 4.2.2)
- Candidates may not require the same access arrangements in each specification. Subjects and their methods of assessments may vary, leading to different demands of the candidate. SENCos must consider the need for access arrangements on a subject by-subject basis. (AA 4.2.3)
- The Additional Learning Support lead/SENCo must ensure that the proposed access arrangement does not unfairly disadvantage or advantage a candidate. (AA 4.2.1)
- The candidate must have had appropriate opportunities to practise using the access arrangement(s) before his/her first examination. (AA 4.2.7)

Purpose of the Policy

This policy details how Saint Aidan's C of E High School complies with AA (chapter 4) **Adjustments for candidates with disabilities and learning difficulties,** (section 5.8) **Word processor** and ICE (sections 14.20-27) **Word processors (computers, laptops and tablets)** when awarding and allocating a candidate the use of word processor in examinations.

The term 'word processor' is used to describe for example, the use of a computer, laptop or tablet.

The Use of a Word Processor

Saint Aidan's C of E High School will:
- allocate the use of a word processor to a candidate with the spelling and grammar check facility/predictive text disabled (switched off) 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 (AA5.8.4)

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
- 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)

Saint Aidan's C of E High School will not:
- simply grant the use of a word processor to a candidate because he/she now wants to type rather than write in exams 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

Candidates using a word processor will be allocated a space in a smaller venue away from the main cohort.

In compliance with the regulations, Saint Aidan's C of E High School:
- 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)

- ensures the candidate is reminded to ensure that their 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 a software application that does not allow for the insertion of a header or footer. In these instances 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 (ICE 14.22)
- 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 their work at regular intervals
- instructs the candidate to use a minimum of 12pt font and double spacing to make marking easier for examiners (ICE 14.24)

Saint Aidan's C of E High School will ensure the word processor (ICE 14.25):
- is only used in a way that ensures a candidate's script is produced under secure conditions
- is not used to perform skills which are being assessed
- 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
- 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), e-mail, the Internet, social media sites, spreadsheets
- 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 computer reading (text to speech) software unless the candidate has permission to use a computer reader
- does not include speech recognition technology unless the candidate has permission to use a scribe or relevant software
- is not used on the candidate's behalf by a third party unless the candidate has permission to use a scribe

Portable Storage Medium

Saint Aidan's C of E High School will ensure that any portable storage medium (e.g. a memory stick) used will be:
- provided by the centre
- cleared of any previously stored data

Printing the Script after the Exam has ended

Saint Aidan's C of E High School will ensure that:

- 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 their own
- a word processed script is attached to any answer booklet which contains some of the answers
- if a candidate omits to insert the required header or footer, 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 (ICE 14.22)
- The centre will also ensure that where an awarding body may require a word processor cover sheet, this is included with the candidate's typed script (and according to the relevant awarding body's instructions). (ICE 14.26)

The centre will also ensure that where an awarding body may require a word processor cover sheet, this is included with the candidate's typed script (and according to the relevant awarding body's instructions). (ICE 14.26)

The centre may retain electronic copies of word processed scripts as the electronic copy of a word processed script may be accepted by an awarding body where the printed copy has been lost. However, the centre would need to demonstrate to the awarding body that the file has been kept securely. The head of centre would be required to confirm this in writing to the awarding body. (ICE 14.27)

Appendix 2

<u>Alternative Rooming Arrangements Policy</u>

This policy is reviewed and updated annually to ensure that separate invigilation at Saint Aidan's C of E Policy is awarded and managed in accordance with current requirements and regulations. References in this policy to AA and ICE refer to the JCQ publications **Access Arrangements and Reasonable Adjustments and Instructions for conducting examinations**.

Introduction

Alternative rooming arrangements within the centre is an available access arrangement as defined in the JCQ regulations. This is an arrangement where a candidate with an established difficulty may be eligible to take an examination accommodated in another room separate to the main cohort.

Purpose of the Policy

The purpose of this policy is to confirm the criteria when this arrangement may be considered and granted for a candidate at Saint Aidan's C of E Policy in compliance with the regulations.

<u>Criteria for the Awarding of the Arrangement</u>

Alternative rooming will be considered where the arrangement would prevent a candidate from being placed at a substantial disadvantage and where the following conditions are met:
- the candidate has an established difficulty as defined in section 5.16 of the JCQ's **Access arrangements and Reasonable Adjustments** publication (ICE 14.18)
- the candidate has a long-term medical condition or long-term social, mental or emotional need (AA 5.16)
- the candidate's difficulties are established within the centre and known to relevant staff or a senior member of staff with pastoral responsibilities (AA 5.16)
- Alternative rooming arrangements **must** reflect the candidate's normal way of working in internal tests and mock examinations because of a long-term medical condition or long-term social, mental or emotional needs (AA 5.16)
- where a candidate is subject to separate invigilation within the centre, the regulations and guidance within the JCQ publication **Instructions for conducting examinations** will be adhered to, particularly in relation to accommodation and invigilation arrangements (ICE 14.18)
- nervousness, low level anxiety or being worried about examinations is not sufficient grounds for separate invigilation within the centre. (AA, section 5.16)

Appendix 3

Non-Examination Assessment Policy

This policy is reviewed and updated annually to ensure that non-examination assessments at Saint Aidan's C of E High School are planned for and managed in accordance with current requirements and regulations. References in this policy to NEA refers to the JCQ publication **Instructions for conducting examinations non-examination assessments.**

This policy affects the delivery of subjects of GCSE qualifications which contain a component(s) of non-examination assessment. In effect, any type of assessment that is not:
- set by an awarding body
- designed to be taken simultaneously by all relevant candidates at a time determined by the awarding body, and
- taken under conditions specified by the awarding body (including conditions relating to the supervision of candidates during the assessment and the duration of the assessment)
- is classified as non-examination assessment (NEA).

'NEA' therefore includes, but is not limited to, internal assessment. Externally marked and/or externally set practical examinations taken at different times across centres are classified as 'NEA'. (JCQ's **Instructions for conducting non-examination assessments**, Foreword)

Introduction

Non-examination assessments measure subject-specific knowledge and skills that cannot be tested by timed written papers. There are three assessment stages and rules which apply to each stage. These rules often vary across subjects. The stages are:

- task setting
- task taking
- task marking

The regulator's definition of an examination is very narrow. In effect, any type of assessment that is not 'externally set and taken by candidates at the same time under controlled conditions' is classified as non-examination assessment (NEA). 'NEA' therefore includes, but is not limited to, internal assessment. Externally marked and/or externally set practical examinations taken at different times across centres are classified as 'NEA'. (NEA, Foreword).

Purpose of the Policy

The purpose of this policy is to confirm that Saint Aidan's C of E High School adheres to JCQ regulations relating to non-examination assessments by:
- covering procedures for planning and managing non-examination
- assessments defining staff roles and responsibilities with respect to non-examination assessments
- managing risks associated with non-examination assessments

This policy covers all types of non-examination assessment. (NEA, section 1)

PROCEDURES FOR PLANNING AND MANAGING NON-EXAMINATION ASSESSMENTS
IDENTIFYING STAFF ROLES AND RESPONSIBILITIES

1. The Basic Principles

Head of Centre role and responsibilities:
- returns a declaration (managed as part of. the National Centre Number Register annual update) to confirm awareness of, and that relevant centre staff are adhering to, the latest version of Instructions for conducting non-examination assessments, confirming all reasonable steps have been or will be taken to ensure that all candidates at the centre have had, or will have, the opportunity to undertake the (GCSE English Language) Spoken Language endorsement
- ensures the centre's **Non-examination Assessment Policy** is fit for purpose
- ensures the centre's **Internal Appeals Procedures** clearly details the process to be followed by candidates (or their parents/carers) appealing against internal assessment decisions (centre assessed marks) and requesting a review of the centre's marking

Senior Leader role and responsibilities:
- ensure the correct conduct of non-examination assessments (including endorsements) which comply with the JCQ publication **Instructions for conducting non-examination assessments** and awarding body subject-specific instructions
- ensure the centre-wide calendar records assessment schedules by the start of the academic year

QA Lead/Lead Internal Verifier role and responsibilities:
- confirm with subject heads that appropriate awarding body forms and templates for non-examination assessments (including endorsements) are used by teachers and candidates
- ensure appropriate procedures are in place to internally standardise/verify the marks awarded by subject teachers in line with awarding body criteria
- ensure appropriate centre-devised templates are provided to capture/record relevant information given to candidates by subject teachers
- where not provided by the awarding body, ensure a centre-devised template is provided for candidates to keep a detailed record of their own research, planning, resources etc.

Subject Lead role and responsibilities:
- understand and comply with the general instructions as detailed in the JCQ publication **Instructions for conducting non-examination assessments**
- where these may also be provided by the awarding body, understand and comply with the awarding body's specification for conducting non-examination assessments, including any subject-specific instructions, teachers' notes or additional information on the awarding body's website
- mark internally assessed work to the criteria provided by the awarding body
- ensure the exams officer is provided with relevant entry codes for subjects (whether the entry for the internally assessed component forms part of the overall entry code for the qualification or is made as a separate unit entry code) to the internal deadline for entries

Exams Office/Officer role and responsibilities:
- signpost the annually updated JCQ publication Instructions for conducting nonexamination assessments to relevant centre staff
- carry out tasks where these may be applicable to the role in supporting the administration/management of non-examination assessment

2. Task Setting

Subject teacher role and responsibilities:
- select tasks to be undertaken where a number of comparable tasks are provided by the awarding body OR designs tasks where this is permitted by criteria set out within the subject specification
- make candidates aware of the criteria used to assess their work

Issuing of Tasks:

Subject teacher role and responsibilities:
- determine when set tasks are issued by the awarding body
- identify date(s) when tasks should be taken by candidates
- access set tasks in sufficient time to allow planning, resourcing and teaching and ensures that materials are stored securely at all time

3. Task Taking

Supervision

Subject teacher role and responsibilities:
- check the awarding body's subject-specific requirements ensuring candidates take tasks under the required conditions and supervision arrangements
- ensure there is sufficient supervision to enable the work of a candidate to be authenticated
- ensure there is sufficient supervision to ensure the work a candidate submits is their own
- to ensure that where work may be completed outside of the centre without direct supervision, that the work produced is the candidate's own
- where candidates may work in groups, keep a record of each candidate's contribution
- ensure candidates are aware of the current JCQ documents Information for candidates - non-examination assessments and Information for candidates - Social media
- ensure candidates understand and comply with the regulations in relevant JCQ documents Information for candidates
- ensures candidates:

  - understand that information from all sources must be referenced
  - receive guidance on setting out references
  - are aware that they must not plagiarise other material

Subject teacher role and responsibilities:
- as relevant to the subject/component, advise candidates on relevant aspects before candidates begin working on a task
- not to provide candidates with model answers or outlines/headings specific to the task
- when reviewing candidates' work, unless prohibited by the specification, provide oral and written advice at a general level to candidates
- allow candidates to revise and re-draft work after advice has been given at a general level
- record any assistance given beyond general advice and takes it into account in the marking or submits it to the external examiner
- ensure when work has been assessed, candidates are not allowed to revise it

Resources

Subject teacher role and responsibilities:
- refer to the awarding body's specification and/or associated documentation to determine if candidates have restricted/unrestricted access to resources including the internet and AI when planning and researching their tasks
- refers to the JCQ document AI Use in Assessments: Protecting the Integrity of Qualifications (http://www.jcq.org.uk/exams-office/malpractice) as well as the awarding body's specification and or associated documentation published by the awarding bodies and the regulator
  - referencing this document, makes candidates aware of the appropriate and inappropriate use of AI, the risks of using AI, and the possible consequences of using AI inappropriately in a qualification
- ensure conditions for any formally supervised sessions are known and put in place
- ensure appropriate arrangements are in place to keep the work to be assessed, and any preparatory work, secure between any formally supervised sessions, including work that is stored electronically
- ensure conditions for any formally supervised sessions are understood and followed by candidates
- ensure candidates understand that they are not allowed to introduce improved notes or new resources between formally supervised sessions
- ensure that where appropriate to include references, candidates keep a detailed record of their own research, planning, resources etc

Word and Time Limits

Subject teacher role and responsibilities:
- refer to the awarding body's specification to determine where word and time limits apply/are mandatory

Collaboration and Group Work

Subject teacher role and responsibilities:

- unless stated otherwise in the awarding body's specification, and where appropriate, allow candidates to collaborate when carrying out research and preparatory work
- ensure that it is possible to attribute assessable outcomes to individual candidates
- ensure that where an assignment requires written work to be produced, each candidate writes up their own account of the assignment
- assess the work of each candidate individually

Authentication Procedures

Subject teacher role and responsibilities:
- where required by the awarding body's specification: ensure candidates
- sign a declaration confirming the work they submit for final assessment is their own unaided work
- sign the teacher declaration of authentication confirming the requirements have been met
- keep signed candidate declarations on file until the deadline for requesting reviews of results has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later
- provide signed candidate declarations where these may be requested by a JCQ Centre Inspector (Electronic signatures are acceptable)
- where there may be doubt about the authenticity of the work of a candidate or if malpractice is suspected, follow the authentication procedures and malpractice information in the JCQ publications Instructions for conducting non-examination assessments and informs a member of the senior leadership team
- understand that if, during the external moderation process, it is found that the work has not been properly authenticated, the awarding body will set the mark(s) awarded by the centre to zero

Presentation of Work

Subject teacher role and responsibilities:
- obtain informed consent at the beginning of the course from parents/carers if videos or photographs/images of candidates will be included as evidence of participation or contribution
- instruct candidates to present work as detailed in the JCQ publication Instructions for conducting non-examination assessments unless the awarding body's specification gives different subject-specific instructions
- instruct candidates to add their candidate number, centre number and the component code of the assessment as a header/footer on each page of their work
- ensures if candidates work is submitted electronically, that it meets the awarding body's specified requirements

Keeping Materials Secure

Subject teacher role and responsibilities:
- when work is being undertaken by candidates under formal supervision, ensure work is securely stored between sessions (if more than one session)

- when work is submitted by candidates for final assessment, ensure work is securely stored
- follow secure storage instructions as defined in the JCQ publication **Instructions for conducting non-examination assessments**
- take sensible precautions when work is taken home for marking
- store internally assessed work, including the sample returned after awarding body moderation, securely until all possible post-results services have been exhausted
- if post-results services have not been requested, return internally assessed work to candidates (if requested by a candidate) after the deadline for requesting a review of results for the relevant series
- if post-results services have been requested, return internally assessed work to candidates (if requested by a candidate) once the review of results and any subsequent appeal has been completed
- remind candidates of the need to keep their own work secure at all times and not share completed or partially completed work on-line, on social media or through any other means (Remind candidates of the contents of the JCQ document **Information for candidates - Social Media)**
- where work is stored electronically, liaise with IT to ensure the protection and backup of candidates' work and that appropriate arrangements are in place to restrict access to it between sessions
- understands that during the period from the submission of work for formal assessment until the deadline for requesting a review of results, copies of work may be used for other purposes, provided that the originals are stored securely as required

IT role and responsibilities:
- ensure appropriate arrangements are in place to restrict access between sessions to candidates' work where work is stored electronically
- restrict access to this material and utilises appropriate security safeguards such as firewall protection and virus scanning software
- employ an effective back-up strategy so that an up to date archive of candidates' evidence is maintained
- consider encrypting any sensitive digital media to ensure the security of the data stored within it and refers to awarding body guidance to ensure that the method of encryption is suitable

4. Task Marking - Externally Assessed Components

Conduct of Externally Assessed Work

Subject teacher role and responsibilities:
- liaise with the exams officer regarding the arrangements for any externally assessed components of a specification which must be conducted within a window of dates specified by the awarding body and according to the JCQ publication Instructions for conducting examinations
- liaise with the Visiting Examiner where this may be applicable to any externally assessed component

Exams Office/Officer role and responsibilities:
- arrange timetabling, rooming and invigilation where and if this is applicable to any externally assessed non-examination component of a specification
- conduct the externally assessed component within the window specified by the awarding body and according to JCQ publication Instructions for conducting examinations

Submission of Work

Subject teacher role and responsibilities:
- provide the attendance register to a Visiting Examiner

Exams Office/Officer role and responsibilities:
- provide the attendance register to the subject teacher where the component may be assessed by a Visiting Examiner
- ensure the awarding body's attendance register for any externally assessed component is completed correctly to show candidates who are present and any who may be absent
- where candidates' work must be despatched to an awarding body's examiner, ensure the completed attendance register accompanies the work
- keep a copy of the attendance register until after the deadline for reviews of results for the exam series
- package the work as required by the awarding body and attaches the examiner address label
- ensure that the package in which the work is despatched is robust and securely fastened
- despatch the work to the awarding body's instructions by the required deadline

5. Task Marking - Internally Assessed Components

Marking and Annotation

Head of Centre role and responsibilities:
- ensure where a teacher is teaching/preparing a candidate with whom they have a close relationship e.g. 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), a conflict of interest is declared to the awarding body and the marked work of the child submitted for moderation, whether it is part of the moderation sample or not

Subject Lead role and responsibilities:
- set timescales for teachers to inform candidates of their centre-assessed marks that will allow sufficient time for a candidate to appeal an internal assessment decision/request a review of the centre's marking prior to the marks being submitted to the awarding body external deadline

Subject teacher role and responsibilities:
- attend/access awarding body training/updates as required to ensure familiarity with the mark scheme/marking process
- mark candidates' work in accordance with the marking criteria provided by the awarding body

- annotate candidates' work as required to facilitate internal standardisation of marking and enable external moderation to check that marking is in line with the assessment criteria
- inform candidates of their marks which could be subject to change by the awarding body moderation process
- ensure candidates are informed to the timescale set by the subject lead or as indicated in the centre's internal appeals procedure to enable an internal appeal/request for a review of marking to be submitted by a candidate and the outcome known before final marks are submitted to the awarding body

Internal Standardisation

QA Lead/Lead Internal Verifier role and responsibilities:
- ensure that internal standardisation of marks across assessors and teaching groups takes place as required and to sequence
- support staff not familiar with the mark scheme (e.g. NQTs, supply staff etc.)
- ensure accurate internal standardisation - for example by:
- obtaining reference materials at an early stage in the course
- holding a preliminary trial marking session prior to marking
- carrying out further trial marking at appropriate points during the marking period
- after most marking has been completed, holds a further meeting to make final adjustments
- making final adjustments to marks prior to submission retaining work and evidence of standardisation
- retain evidence that internal standardisation has been carried out

Subject teacher role and responsibilities:
- indicate on work (or cover sheet) the date of marking
- mark to common standards
- keep candidates work secure until after the closing date for review of results for the series concerned or until any appeal, malpractice or other results enquiry has been completed, whichever is later

Submission of Marks and Work for Moderation

Subject teacher role and responsibilities:
- input and submit marks online, via the awarding body secure extranet site, keeping a record of the marks awarded, to the external deadline/Provides marks to the exams officer to the internal deadline
- where responsible for marks input, ensure checks are made that marks for any additional candidates are submitted and ensures mark input is checked before submission to avoid transcription errors
- submit the requested samples of candidates' work to the awarding body moderator by the external deadline, keeping a record of the work submitted/Provides the moderation sample to the exams officer to the internal deadline

- ensure that where a candidate's work has been facilitated by a scribe or practical assistant, the relevant completed cover sheet is securely attached to the front of the work and sent to the moderator in addition to the sample requested
- ensure the moderator is provided with authentication of candidates' work, confirmation that internal standardisation has been undertaken and any other subject-specific information where this may be required
- submit any supporting documentation required by the awarding body/Provide the exams officer with any supporting documentation required by the awarding body

Exams Office/Officer role and responsibilities:
- input and submit marks online, via the awarding body secure extranet site, keeping a record of the marks submitted, to the external deadline/Confirm with subject teachers that marks have been submitted to the awarding body deadline
- where responsible for marks input, ensure checks are made that marks for any additional candidates are submitted and ensure mark input is checked before submission to avoid transcription errors
- submits the requested samples of candidates' work to the moderator by the awarding body deadline, keeping a record of the work submitted/Confirms with subject teacher that the moderation sample has been submitted to the awarding body deadline
- ensure that for postal moderation:
- work is dispatched in packaging provided by the awarding body
- moderator label(s) provided by the awarding body are affixed to the packaging
- proof of dispatch is obtained and kept on file until the successful issue of final results
- through the subject teacher, ensures the moderator is provided with authentication of candidates' work, confirmation that internal standardisation has been undertaken and any other subject-specific information where this may be required
- through the subject teacher, submit any supporting documentation required by the awarding body

Storage and Retention of Work after Submission of Marks

Subject teacher role and responsibilities:
- keep a record of names and candidate numbers for candidates whose work was included in the moderation sample
- retain all marked candidates' work (including any sample returned after moderation) under secure conditions for the required retention period
- in liaison with IT, take steps to protect any work stored electronically from corruption and has a back-up procedure in place
- if retention is a problem because of the nature of the work, retain some form of evidence such as photos, audio or media recordings

Exams Office/Officer role and responsibilities:

- ensure any sample returned after moderation is logged and returned to the subject teacher for secure storage and required retention

External Moderation - The Process

Subject teacher role and responsibilities:
- ensure that awarding body or its moderator receive the correct samples of candidates' work
- where relevant, liaise with the awarding body/moderator where the moderator visits the centre to mark the sample of work
- comply with any request from the moderator for remaining work or further evidence of the centre's marking

External Moderation - Feedback

Subject Lead role and responsibilities:
- check the final moderated marks when issued to the centre when the results are published
- check moderator reports and ensure that any remedial action, if necessary, is undertaken before the next exam series

Exams Office/Officer role and responsibilities:
- access or signpost moderator reports to relevant staff
- takes remedial action, if necessary, where feedback may relate to centre administration

6. Access Arrangements

Subject teacher role and responsibilities:
- work with the ALS lead/SENCo to ensure any access arrangements for eligible candidates are applied to assessments

SENCo role and responsibilities:
- follow the regulations and guidance in the JCQ publication Access Arrangements and Reasonable Adjustments in relation to non-examination assessments
- where arrangements do not undermine the integrity of the qualification and is the candidate's normal way of working, ensure access arrangements are in place and awarding body approval, where required, has been obtained prior to assessments taking place
- make subject teachers aware of any access arrangements for eligible candidates which need to be applied to assessments
- work with subject teachers to ensure requirements for access arrangement candidates requiring the support of a facilitator in assessments are met
- ensure that staff acting as an access arrangement facilitator are fully trained in their role

7. Special Consideration and Loss of Work

Subject teacher role and responsibilities:
- understand that a candidate may be eligible for special consideration in assessments in certain situations where a candidate is absent and/or produces a reduced quantity of work
- liaise with the exams officer when special consideration may need to be applied for a candidate taking assessments

- liaise with the exams officer to report loss of work to the awarding body

Exams Office/Officer role and responsibilities:
Refer to/directs relevant staff to the JCQ publication A guide to the special consideration process:
- where a candidate is eligible, submits an application for special consideration via the awarding body's secure extranet site to the prescribed timescale
- where application for special consideration via the awarding body's secure extranet site is not applicable, submits the required form to the awarding body to the prescribed timescale
- keeps required evidence on file to support the application
- refer to/directs relevant staff where applicable to Form 15 - JCQ/LCW (lost work) and where applicable submits to the relevant awarding body

7. Malpractice

Head of Centre role and responsibilities:
- understand the responsibility to immediately report to the relevant awarding body any alleged, suspected or actual incidents of malpractice involving candidates or centre staff
- ensures any irregularity identified by the centre before the candidate has signed the authentication statement (where required) are dealt with under its own internal procedures, with no requirement to report the irregularity to the awarding body (The only exception being where the awarding body's confidential assessment materials has been breached, the breach must be report to the awarding body)
- is familiar with the JCQ publication **Suspected Malpractice: Policies and Procedures**
- ensure that those members of teaching staff involved in the direct supervision of candidates producing non-examination assessment are aware of the potential for malpractice and ensure that teaching staff are reminded that failure to report allegations of malpractice or suspected malpractice constitutes malpractice in itself

Subject teacher role and responsibilities:
- is aware of the **JCQ Notice to Centre - Sharing NEA material and candidates' work** to mitigate against candidate and centre malpractice
- ensure candidates understand what constitutes malpractice in non-examination assessments
- ensure candidates understand the JCQ document **Information for candidates - non-examination assessments**
- ensure candidates understand the JCQ document **Information for candidates - Social Media**
- escalate and report any alleged, suspected or actual incidents of malpractice involving candidates to the head of centre

Exams Office/Officer role and responsibilities:
- signpost the JCQ publication **Suspected Malpractice: Policies and Procedures** to the head of centre
- signpost the **JCQ Notice to Centres - Sharing NEA material and candidates' work** to subject heads
- signpost candidates to the relevant JCQ **information for candidates** documents

- where required, support the head of centre in investigating and reporting incidents of alleged, suspected or actual malpractice

8. Post-results Services

Head of Centre role and responsibilities:
- is familiar with the JCQ publication Post-Result
- ensure the centre's Internal Appeals Procedures clearly detail the process to be followed by candidates (or their parents/carers) appealing against a centre decision not to support an application for a review of results or an appeal

Subject Lead role and responsibilities:
- provide relevant support to subject teachers making decisions about reviews of results
- provide the exams officer with the original sample or relevant sample of candidates' work that may be required for a review of moderation to the internal deadline

Exams Office/Officer role and responsibilities:
- is aware of the individual post-results services available for externally assessed and internally assessed components of non-examination assessments as detailed in the JCQ publication Post-Results Services (Information and guidance to centres...)
- provide/signpost relevant centre staff and candidates to post-results services information
- ensure any requests for post-results services that are available to non-examination assessments are submitted online via the awarding body secure extranet site to deadline

9. Endorsements

Spoken Language Endorsement for GCSE English Language specifications

QA Lead/Lead Internal Verifier role and responsibilities:
- ensure the appropriate arrangements are in place for internal standardisation of assessments

Subject Lead role and responsibilities:
- confirm understanding of the Spoken Language Endorsement for GCSE English Language specifications and ensures any relevant JCQ/awarding body instructions are followed
- ensure the required task setting and task taking instructions are followed by subject teachers
- ensure subject teachers assess candidates, either live or from recordings, using the common assessment criteria
- ensure for monitoring purposes, audio-visual recordings of the presentations of a sample of candidates are provided

Subject teacher role and responsibilities:
- ensure all the requirements in relation to the endorsement are known and understood
- follow the required task setting and task taking instructions
- assess candidates, either live or from recordings, using the common assessment criteria

- provide audio-visual recordings of the presentations of a sample of candidates for monitoring purposes
- follow the awarding body's instructions for the submission of grades (Pass, Merit, Distinction or Not Classified) and the storage and submission of recordings

Exams Office/Officer role and responsibilities:
- follow the awarding body's instructions for the submission of grades and recordings

Appendix 4

<p style="text-align:center"><u>Examination Contingency Plan</u></p>

Purpose of the Plan

This plan examines potential risks and issues that could cause disruption to the exam process.

By outlining actions/procedures to be invoked in case of disruption it is intended to mitigate the impact these disruptions have on our exam process at Saint Aidan's C of E High School. Alongside internal processes this plan is informed by the Ofqual **Exam system contingency plan: England, Wales and Northern Ireland** and the **JCQ document Preparing for disruption to examinations** (Effective from 1ˢᵗ September 2024).

This plan details how Saint Aidan's C of E High School complies with the JCQ's **General Regulations for Approved Centres** (section 5.3, Centre management) by having in place 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.

Contingency arrangements

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 (or equivalent role), examinations officer or any other key staff essential to the examination process being absent at a critical stage of the examination cycle
- the potential impact of other events such as flooding which could lead to all or parts of the centre becoming unavailable
- potential issues with the centre's IT systems

As part of the contingency plan the centre **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.

National Centre Number Register and other information requirements

The head of centre will also ensure that Saint Aidans has a contingency to enable the prompt handling of urgent issues only, 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. Heads of centre should 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.

POSSIBLE CAUSES OF DISRUPTION TO THE EXAM PROCESS

1. Exams Officer absence at key points in the exam process (exam cycle)

Criteria for implementation of the plan:
Key tasks required in the management and administration of the exam cycle not undertaken including:

Planning
- annual data collection exercise not undertaken to collate information on qualifications and awarding body specifications being delivered
- annual exams plan not produced identifying essential key tasks, key dates and deadlines
- sufficient invigilators not recruited

Entries
- awarding bodies not being informed of early/estimated entries which prompts release of early information required by teaching staff
- candidates not being entered with awarding bodies for external exams/assessment
- awarding body entry deadlines missed or late or other penalty fees being incurred

Pre-exams
- invigilators not trained or updated on changes to instructions for conducting exams
- exam timetabling, rooming allocation; and invigilation schedules not prepared
- candidates not briefed on exam timetables and awarding body information for candidates
- confidential exam/assessment materials and candidates' work not stored under required secure conditions
- internal assessment marks and samples of candidates' work not submitted to awarding bodies/external moderators

Exam Time

- exams/assessments not taken under the conditions prescribed by awarding bodies
- required reports/requests not submitted to awarding bodies during exam/assessment periods, for example very late arrival, suspected malpractice, special consideration
- candidates' scripts not dispatched as required for marking to awarding bodies

Results and Post-results

- access to examination results affecting the distribution of results to candidates
- the facilitation of post-results services

Centre Actions:
Senior Leadership Team (SLT) will assume responsibility for exams process with the assistance of the Operations and Cover Manager

2. SENCo extended absence at critical stage of the exam cycle

Criteria for implementation of the plan:
Key tasks required in the management and administration of the access arrangements process within the exam cycle not undertaken including:

Planning

- candidates not tested/assessed to identify potential access arrangement requirements
- centre fails to recognise its duties towards disabled candidates as defined under the terms of the Equality Act 2010
- evidence of need and evidence to support normal way of working not collated

Pre-exams

- approval for access arrangements not applied for to the awarding body
- centre-delegated arrangements not put in place modified paper requirements not identified in a timely manner to enable ordering to meet external deadline
- modified paper requirements not identified in a timely manner to enable ordering to meet external deadline
- staff (facilitators) providing support to access arrangement candidates not allocated and trained

Exam Time

- access arrangement candidate support not arranged for exam rooms

Centre Actions:

- to mitigate the impact of the disruption listed above
- The Assistant SENCo is qualified to test and process applications through Access Arrangements Online
- The Exams Officer will liaise regularly with the Assistant SENco to communicate the requirements of students

3. Teaching staff extended absence at a critical stage of the exam cycle

Criteria for implementation of the plan:
Key tasks not undertaken including:

- early/estimated entry information not provided to the exams officer on time; resulting in pre-release information not being received

- final entry information not provided to the exams officer on time; resulting in candidates not being entered for exams/assessments or being entered late/late or other penalty fees being charged by awarding bodies
- non-examination assessment tasks not set/issued/taken by candidates as scheduled
- candidates not being informed of centre assessed marks before marks are submitted to the awarding body and therefore not being able to consider appealing internal assessment decisions and requesting a review of the centre's marking
- Internal assessment marks and candidates' work not provided to meet awarding body submission deadlines

Centre Actions:
- SLT to nominate a deputy to cover the role

4. Invigilators - lack of appropriately trained invigilators or invigilator absence

Criteria for implementation of the plan:
- Failure to recruit and train sufficient invigilators to conduct exams
- Invigilator shortage on peak exam days
- Invigilator absence on the day of an exam

Centre Actions:
- Operations and Cover Manager to ensure appropriate number of invigilators are ~~trained~~ available to cover all exams and backups available at short notice
- Recruit on an annual basis
- Arrange regular training sessions
- Exams officer to provide invigilator training to appropriate number of invigilators to cover all exams including the administration team and ~~Operations to liaise with~~ cover supervisors in the event of a last minute invigilator absence.

5. Exam Rooms - lack of appropriate rooms or main venue(s) unavailable at short notice

Criteria for implementation of the plan:

- Exams Officer unable to identify sufficient/appropriate rooms during exams timetable planning
- Insufficient rooms available on peak exam days
- Main exam venues unavailable due to an unexpected incident at exam time

Centre Actions:
- SLT, Exams Officer and Operations and Cover Manager and Site Manager to identify rooms for exams
- Sports Hall is made available for peak exam periods
- The Learning Resource Centre and Lecture Theatre are ~~is~~ made available during exam periods to house candidates with access arrangements and last minute special arrangements

- In the event of all venues becoming unavailable, alternative site arrangements have been made, candidates whose progression will be severely delayed if they do not take their exam when planned will be prioritised.

Alternative site(s) details:

Venue	Size / Capacity	Contact
Preesall Sports Hall Sandy Lane, FY6 0EJ	100ft-50ft (similar size to school sports hall)	Mark Brakewell: 01253 799159 Barry Banks: 01253 790250
Hambleton Village Hall Hambleton, FY6 9BZ	Approx 200 people depending on set up, does have some chairs and tables	Keely Jones: 07970 865020 keely.jones1966@icloud.com
Stalmine Village Hall Smithy Lane, Stalmine, FY6 0LE	Approx 150 people, does also have a smaller meeting room	David Makinson: 01253 700232
Pilling Village Hall Taylor's Lane, Pilling, Preston, PR3 6AB	Approx 200 people depending on set up, does also have smaller meeting room	Mike Arkwright: 07540 766112 01253 790324

Transport options:

Company	Contact
Archway Travel Fleetwood	01253 874358
Bradshaw's Travel Bispham	01253 810058
Poulton Taxi's	01253 884500

6. Cyber-attack

Where it is identified that a cyber attack may compromise any aspect of the delivery of examinations, the Exams Officer will work with IT and make contact with the relevant Awarding Body to seek further guidance. Senior Leaders will monitor the situation and take any action required as directed by the Awarding Bodies. Further information can be found in the Cyber Security Policy, Appendix 16.

7. Failure of IT Systems

Criteria for implementation of the plan:
- MIS/IT system failure at final entry deadline
- MIS/IT system failure during exams preparation
- MIS/IT system failure at results release time

Centre Actions:

In the event of a MIS system failure at crucial times during the exam cycle the ICT Manager will be informed as soon as possible and every step will be taken to reinstate the MIS to working condition. Exam boards will be notified in good time and steps will be taken to continue proceedings using manual systems.

- If MIS failure at final entry deadline, the centre must immediately liaise with Awarding body with which examination entries are with and seek guidance as to how an alternative entry can be made.
- If MIS failure during exam preparation for example preparing seating plans. An alternative equivalent should be prepared and Awarding bodies made aware of the alternative methods being used.
- If MIS failure at results stage candidates to be made aware of delay to release of results and expectations managed. Awarding bodies to be informed of failure and alternative methods such as postal and/or courier be considered to ensure results received at the centre.

8. Emergency evacuation of the exam room or centre lockdown

Criteria for implementation of the plan:
- whole centre evacuation (or lockdown) during exam time due to serious incident resulting in exam candidates being unable to start, proceed with or complete their exams

Centre Actions:
- centre to refer to emergency evacuation policy and lock down policy separately prepared
- Exam Invigilators will be briefed on the schools Lockdown Procedure prior to commencing their roles for external examinations
- the Exams Officer will ensure a copy of the "Sounding of the Fire Bell or Lock Down bell during examinations" document will be present in each exam room. This documents the Evacuation Routes and Assembly Points
- Exam Candidates will be briefed on how to follow the lockdown procedure prior to the commencement of their examinations
- during the pre-exam briefing, the Lead Invigilator will assign each invigilator a row or rows of students to oversee in the event of an evacuation
- the Exams Officer will always provide spare copies of the seating plan for each examination to ensure invigilators can register their evacuated students and report back to the Exams Officer
- on occasions when there is the maximum number of students in the Main Exam Room (Gym/Hall) the Lead Invigilator will assign themselves a row or rows of students to assist a safe and swift evacuation.

If the need arises for an evacuation the centre will ensure:

A member of the Senior Leadership Team (SLT) will report to the Main Exam Room (Gym/Hall) to advise the Lead Invigilator of the decision to remain or evacuate and support the invigilators with the evacuation if applicable.

- The Lead Invigilator will instruct candidates to stop writing, close their papers and leave everything on the desk.

- The Lead Invigilator will make a note of the time of the alarm, reassure the candidates of their safety and ask them to follow their instructions.
- The Lead Invigilator will remind candidates of the need to remain in silence and not communicate with any other candidate.
- The Lead invigilator will instruct candidates to evacuate the room one or two rows at a time with their designated Invigilator and follow them to the assembly points via the evacuation route.
- Once all the students have been evacuated the Lead Invigilator will take the attendance register to the evacuation point and ensure all the candidates are accounted for.
- The Exams Officer will report to the Head of Centre when all students are accounted for or to report any missing candidates.
- If any Ancillary Rooms are in use (most likely the Lecture Theatre, the Library, the Achievement Room or Ingram Wing) the Invigilators will take overall responsibility for the students in these rooms. Any facilitators will assist their Invigilators and accompany the evacuation.

Building Evacuations:

GYM - ALL rows will exit, with their Invigilators, via the Fire Doors facing the score board on to the field. Commence evacuation with the rows nearest he Fire Doors, working forwards.

HALL - ALL rows will exit, with their Invigilators, via the EAST fire door (left side as you look at the stage. The Lead Invigilator will direct this two rows at a time, taking his/her row or rows out last (when required). When we have a full Hall – during Mock or KS3 exams, both East and West exits will be utilised.

ANCILLARY ROOMS - ALL Candidates to follow their Invigilator to the designated Assembly Point for that room.

ASSEMBLY POINT & REGISTRATION:

Once at the Assembly point, the Invigilators will instruct the candidates:
- To remain in silence
- To line up as follows

GYM - OUTSIDE ON THE FIELD	HALL - IN FRONT OF THE CRICKET PAVILION
ROWS: K-P F-J A-E	**ROWS:** A-B C-D E-F G-H

Once the candidates are lined up in their rows, the Invigilators will use the seating plans to take a register.

LECTURE THEATRE / INGRAM WING : Outside on the Field – register the students and report "all present" to Operational Manager Deborah Ratcliffe, who in turn will advise the Senior Fire Marshall and Felicity Price.

LRC/ACHIEVEMENT ROOM : Report to the Top Yard with the students. One member of the Team from each room can report "all present" to the Operations and Cover Manager, who in turn will advise the Senior Fire Marshall and Exams Officer.

Registers:
Marked registers for the Main Exam room will be collected by the Exams Officer who, in turn, will report to the Senior Fire Marshall that all students, Invigilators and Facilitators are present at the Assembly Point.

Returning to the Exam Room:
Invigilators will be notified when it is safe to re-enter the building. Exam candidates will be given priority to re-enter their exam rooms.

The Invigilator will remind the candidates that there must be no communication.

If the Lock down bell is sounded:
The Lead/Sole Invigilator will reassure the candidates and instruct them to stop writing and turn their exam papers face down.

All students in Exam Rooms at this time will remain in their rooms, and if necessary the Invigilator/s will lock/barricade the doors, as per the "Lockdown Procedure", separately prepared and await further instructions.

Resuming the Examination

In assessing whether or not to continue the exam the Exams Officer will liaise with the Head of centre (or nominated deputy) as to whether or not the session will continue.
The Head of Centre will consider
- the length of time that has passed since the official start time
- whether the minimum time for remaining the examination has passed to maintain the integrity of the exam
- the amount of time left to complete the exam(s)
- whether there is sufficient time to complete the exam before another session starts.
- whether continuing the exam will take candidates over the session limit of 3 hours, taking particular care to consider candidates with access arrangements which include extra time.

If the Head of Centre is satisfied that the above conditions have not been breached he will ask the Exams Officer to continue the exam.

- The Lead Invigilator will ask all candidates to mark their work with an Asterisk so that the exam board can identify where the candidates' concentration was disturbed.
- The candidates will continue with the exam and be given the full allocated amount of time (including stoppage) for the completion of the exam.
- The Lead Invigilator will make a note of the time the exam resumed on the Invigilator Incident Report Form and adjust the clock accordingly.
- Scripts will be submitted to the exam board in the usual manner at the end of the exam.
- The Exams Officer will apply for special consideration for all affected candidates.

- If the above conditions cannot be met the Exams Officer will liaise with the Head of Centre regarding a decision to abandon the session.

If the session is to be abandoned, this will be either:
- because of consideration of the criteria above,
- because re-entry to the premises cannot be secured
- because the risk of communication between candidates, the validation of the exam cannot be guaranteed
- The Exams Officer will contact the Exam Board at the first opportunity and then apply for Special Consideration of all affected candidates.
- Partially completed papers will be sent to the exam board by the usual means if requested.

8. Disruption of teaching time in the weeks before an exam - centre closed for an extended period

Criteria for implementation of the plan:
- Centre closed or candidates are unable to attend for an extended period during normal teaching or study supported time, interrupting the provision of normal teaching and learning

Centre Actions:
- recognise it remains the responsibility of the centre to prepare students, as usual, for examinations
- facilitate alternative methods of learning
- communicate with candidates and their parent/carers information relating to alternative methods of learning
- take advice offered by the awarding body regarding alternative arrangements for conducting examinations that may be available
- take advice offered by the awarding body on the options for candidates who have not been able to take scheduled examinations
- advise candidates, where appropriate, of the opportunities to take their exam or assessment at a later date

9. Candidates unable to take examinations because of a crisis - centre remains open

Criteria for implementation of the plan:
- Candidates are unable to attend the examination centre to take examinations as normal

Centre Actions:
- take advice offered by the awarding body on the options for candidates who have not been able to take scheduled examinations
- discuss alternative arrangements with the awarding body if a candidate misses an exam or loses their assessment due to an emergency, or other event, outside of the candidate's control

- identify whether the exam or timetabled assessment can be sat at an alternative venue, in agreement with the relevant awarding body, ensuring the secure transportation of questions papers or assessment materials to the alternative venue
- communicate with candidates and parents/carers any changes to the exam or assessment timetable or to the venue consider whether any candidates' ability to take the assessment or demonstrate their level of attainment has been materially affected and, if so, apply for special consideration

10. Centre unable to open as normal during the examination period (including in the event of the centre being unavailable for examinations owing to an unforeseen emergency)

Criteria for implementation of the plan:
- Centre unable to open as normal for scheduled examinations

Centre Actions:
- take advice, or follow instructions, from relevant local or national agencies in deciding whether the centre is able to open
- contact the relevant awarding body as soon as possible and follow its instructions
- discuss alternative arrangements with the awarding body if the exam or assessment cannot take place
- follow guidance provided by the awarding body on the conduct of examinations in such circumstances
- where accommodation is limited, prioritise candidates whose progression will be severely delayed if they do not take their exam or timetabled assessment when planned
- communicate with candidates (and where appropriate, parents/carers) any changes to the exam or assessment timetable or to the venue
- consider whether any candidates' ability to take the assessment or demonstrate their level of attainment has been materially affected and, if so, apply for special consideration

11. Disruption in the distribution of examination papers

Criteria for implementation of the plan:
- disruption to the distribution of examination papers to the centre in advance of examinations

Centre Actions:

- liaise with awarding bodies regarding the provision of electronic access to examination papers via a secure external network and will ensure when copies are received/made these are stored under secure conditions
- follow guidance provided by the awarding body on the conduct of examinations in such circumstances
- understand that as a last resort, and in close collaboration with centres and regulators, awarding organisations will consider scheduling of the examination on an alternative date
- communicate with candidates (and where appropriate, parents/carers) any changes to the exam or assessment timetable or to the venue

12. Disruption to the transportation of completed examination scripts

Criteria for implementation of the plan:
- Delay in normal collection arrangements for completed examination scripts/assessment evidence

Centre Actions:

- where examinations are part of the national 'yellow label' service or where awarding bodies arrange collections, seek advice from awarding bodies and will not make its own arrangements for transportation unless told to do so by the awarding body
- for any examinations where the centre makes its own arrangements for transportation, investigate alternative dispatch options that comply with the requirements detailed in the JCQ's Instructions for Conducting Examination
- ensure the secure storage of completed examination scripts until collection

13. Assessment evidence is not available to be marked

Criteria for implementation of the plan:
- large scale damage to or destruction of completed examination scripts/assessment evidence before it can be marked
- completed examination scripts/assessment evidence does not reach awarding organisations

Centre Actions:

- liaise with the awarding body to determine if candidate marks for affected assessments may be able to be generated based on other appropriate evidence of candidate achievement as defined by the awarding body
- where marks cannot be generated by awarding body, inform candidates they may need to retake the affected assessment in a subsequent assessment series

14. Centre unable to distribute results as normal (including in the event of the centre being unavailable on results day owing to an unforeseen emergency) or facilitate post-results services

Criteria for implementation of the plan:
- Centre is unable to access or manage the distribution of results to candidates, or to facilitate post-results services

Centre Actions:
- make every effort to make arrangements to access results at an alternative site and/or share facilities with other schools and colleges if possible
- contact the awarding organisations about alternative options
- arrange for the results to be collected from an alternative venue and communicate this to students via the school website and any other means possible
- arrange to make post results requests at an alternative location and contact relevant awarding organisations if electric post results requests are not possible

Alternative Site details:

Venue	Size / Capacity	Contact
Preesall Sports Hall Sandy Lane, FY6 0EJ	100ft-50ft (similar size to school sports hall)	Mark Brakewell: 01253 799159 Barry Banks: 01253 790250
Hambleton Village Hall Hambleton, FY6 9BZ	Approx 200 people depending on set up, does have some chairs and tables	Keely Jones: 07970 865020 keely.jones1966@icloud.com
Stalmine Village Hall Smithy Lane, Stalmine, FY6 0LE	Approx 150 people, does also have a smaller meeting room	David Makinson: 01253 700232
Pilling Village Hall Taylor's Lane, Pilling, Preston, PR3 6AB	Approx 200 people depending on set up, does also have smaller meeting room	Mike Arkwright: 07540 766112 01253 790324

Further guidance to inform procedures and implement contingency planning is provided by Ofqual's Exam system contingency plan: England, Wales and Northern Ireland. This explains further what centres should do if exams or other assessments are seriously disrupted (see Appendix 6).

Appendix 5

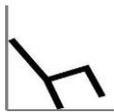## 'LOCKDOWN' PROCEDURE

What is a 'Lockdown'?

There might be an occasion when it is necessary to secure the safety of all students and staff within the premises following an alert from the Emergency services or a 'threat' on the premises has been identified.

What is the signal for a 'Lockdown'?

If we have been informed by the emergency services or any member of the staff has identified that there is an imminent 'threat' to the personal safety of any of students or staff **the school bell will be rung continuously.**

What happens next?

- ▸ Verbal instructions will be given from all members of staff to all students after a continuous ringing of the school bell.
- ▸ All students outside buildings should quickly and immediately make their way inside to the nearest classroom.
- ▸ **Stay in your room and lock or barricade the door**
- ▸ Ensure all pupils are inside the room. Alternatively, ask pupils to hide or disperse if this will improve their safety.
- ▸ Lock / secure entrance points (e.g. doors, windows) to prevent the intruder entering the room.
- ▸ Ensure people take action to increase protection from attack.
- ▸ Block access points (e.g. move furniture to obstruct doorways).
- ▸ Sit on the floor, under tables or against a wall.
- ▸ Keep out of sight.
- ▸ Draw curtains / blinds.
- ▸ Turn off lights.
- ▸ Stay away from windows and doors.
- ▸ If a phone is present / (fixed line, mobile staff or student) Dial 999. Dial once for each emergency service that you require.
- ▸ Remain inside until **an all-clear has been given (five short rings of the bell), or unless toldto evacuate by the emergency services.**
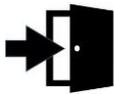
Actions	
	Return to your classroom with pupils, as quickly and safely as possible
	Close all doors and windows, lock if able to.
	Block any access points into the classroom by moving furniture in front of door.
	Draw all curtains/blinds and switch off lights.
	Sit on floor, against a wall if possible.
	Undertake a register as soon as possible. If possible report any missing pupils to the office or a member of the SLT by telephone.
STAY IN	Remain inside with doors locked until the all-clear has been given, or unless told to evacuate by the emergency services. **DO NOT** leave the classroom to find out what is happening.
KEEP CALM	Keep pupils calm by offering constant reassurance. Keep as quiet as possible.

The all clear will be given to staff from the SLT or the emergency services when the 'threat' is no longer present

What happens during external examinations?

1. Exam invigilators need to be briefed on the 'Lockdown' procedure prior to commencing their roles for external examinations. This is to be done by the Exams Officer with support from the SLT.
2. Examination students need to be briefed on what to do in the case of the 'Lockdown' bell sounding. This is to be included in the "reading of notices" prior to each exam.
3. If the lockdown bell sounds, the Gym (and any ancillary rooms) will be locked down by the exam invigilation team.

4. Those in the Gym will remain where they are. All exam students will be instructed to stop writing and turn their papers face down until such time as they are instructed to continue.
5. **Other exam students, all staff and students in classes will not move to the Gym but will remain in their rooms and if necessary barricade / lock the doors awaiting further instructions.**
6. Where possible staff will try to keep in contact with other colleagues by telephone or await further instructions.

Appendix 6

Further guidance to inform procedures and implement contingency planning

OFQUAL WHAT SCHOOLS AND COLLEGES AND OTHER CENTRE SHOULD DO IF EXAMS OR OTHER ASSESSMENTS ARE SERIOUSLY DISRUPTED

1. Contingency planning

Awarding organisations are required to establish, maintain and comply with an up-to-date detailed written contingency plan, to mitigate any incident they have identified may occur. This includes having communication plans for external parties (Ofqual General Condition of Recognition A6). Schools and colleges should also be prepared for possible disruption to exams and assessments and make sure staff are aware of these plans.

General Contingency Guidance

- emergency planning and response from the Department for Education in England
- school organisation: local-authority-maintained schools from the Department for Education in England
- exceptional closure days from the Department of Education in Northern Ireland
- checklist - exceptional closure of schools from the Department of Education in Northern Ireland
- school terms and school closures from NI Direct
- opening schools in extremely bad weather - guidance for schools from the Welsh Government
- police guidance from National Counter Terrorism Security Office and partners on preparing for threats

2. Disruption to assessments or exams

In the absence of any instruction from the relevant awarding organisation, you should make sure that any exam or timetabled assessment takes place if it is possible to hold it. This may mean relocating to alternative premises.

You should discuss alternative arrangements with your awarding organisation if:
- the exam or assessment cannot take place
- a student misses an exam or loses their assessment due to an emergency, or other event, outside of the student's control

You may also wish to see the JCQ's notice to centres on exam contingency plans and JCQ's notice on preparing for disruption to examinations in England, Wales and Northern Ireland for qualifications within its scope.

3. Steps you should take

3.1 Exam planning

Review contingency plans well in advance of each exam or assessment series. Consider how, if the contingency plan is invoked, you will comply with the awarding organisation's requirements.

3.2 In the event of disruption

- Contact the relevant awarding organisation and follow its instructions.
- Take advice, or follow instructions, from relevant local or national agencies in deciding whether your centre is able to open.
- Identify whether the exam or timetabled assessment can be sat at an alternative venue, in agreement with the relevant awarding organisation, ensuring the secure transportation of questions papers or assessment materials to the alternative venue.
- Where accommodation is limited, prioritise students whose progression will be severely delayed if they do not take their exam or timetabled assessment when planned.
- In the event of an evacuation during an examination please refer to JCQ's 'Centre emergency evacuation procedure'.
- Communicate with students, parents and carers ~~and students~~ any changes to the exam or assessment timetable or to the venue.
- Communicate with any external assessors or relevant third parties regarding any changes to the exam or assessment timetable.

3.3 After the exam

- Consider whether any students' ability to take the assessment or demonstrate their level of attainment has been materially affected and, if so, apply to the relevant awarding organisation for special consideration.
- Advise students, where appropriate, of the opportunities to take their exam or assessment at a later date.
- Ensure that scripts are stored under secure conditions.
- Return scripts to awarding organisations in line with their instructions. Never make alternative arrangements for the transportation of completed exam scripts, unless told to do so by the awarding organisation.

4. Steps the awarding organisation should take

4.1 Exam planning

Establish and maintain, and at all times comply with, an up-to-date, written contingency plan. Ensure that the arrangements in place with centres and other third parties enable them to deliver and award qualifications in accordance with their conditions of recognition.

4.2 In the event of disruption

- Take all reasonable steps to mitigate any adverse effect, in relation to their qualifications, arising from any disruption.
- Provide effective guidance to any of their centres delivering qualifications.
- Ensure that where an assessment must be completed under specified conditions, students are able to complete the assessment under those conditions (other than where any reasonable adjustments or special considerations require alternative conditions).
- Promptly notify the relevant regulators about any event which could have an adverse effect on students, standards or public confidence.
- Coordinate its communications with the relevant regulators where the disruption has an impact on multiple centres or a wide range of learners.

4.3 After the exam

Consider any requests for special consideration for affected students; for example, those who may have lost their internally assessed work or whose performance in assessments or exams could have been affected by the disruption.

4.4 If any students miss an exam or are disadvantaged by the disruption

If some of the students have been adversely affected by the disruption, consider asking the awarding organisation about applying for special consideration.
Decisions about special consideration, when it is or is not appropriate, is for each awarding organisation to make. Their decisions might be different for different qualifications and for different subjects, depending on their specific policies.

 See also:
- JCQ's guidance on special considerations

Wider communications

The regulators, Ofqual in England, Qualifications Wales in Wales and CCEA in Northern Ireland, will share timely and accurate information, as required, with awarding organisations, government departments and other stakeholders.
The Department for Education in England, the Department of Education in Northern Ireland and the Welsh Government will inform the relevant government ministers as soon as it becomes apparent that there will be significant local or national disruption; and ensure that they are kept updated until the matter is resolved.
Awarding organisations will alert the Universities and Colleges Admissions Service (UCAS) and the Central Applications Office (CAO) about any impact of the disruption on their deadlines and liaise regarding student progression to further and higher education.
Awarding organisations will alert relevant professional bodies or employer groups if the impact of disruption particularly affects them.

Widespread national disruption to the taking of examinations or assessments

In the event of widespread sustained national disruption, the government departments will communicate with regulators, awarding organisations and centres prior to a public announcement. Regulators will provide advice to government departments on implications for examinations and assessments, including exam timetables.

In September 2023, Ofqual and the DfE published joint consultation decisions on long-term resilience arrangements. As in 2023, Ofqual has provided guidance on collecting evidence of student performance to ensure resilience in the qualifications system for students entering GCSEs, AS and A levels, the Advanced Extension Award and Project qualifications. For VTQs and other qualifications used alongside or instead of GCSEs, AS and A levels, awarding organisations will provide guidance where needed and will contact schools and colleges with more information.

The DfE has updated its guidance on handling strike action in schools in England in light of the industrial action in 2023. The guidance recommends schools should prioritise the running of examinations and assessments on any strike days, and should review their contingency plans to make this happen. Schools, colleges and other exam centres must speak to the relevant awarding organisations if they are expecting any disruption that might affect the sitting of exams and assessments.

The DfE has also issued guidance for education settings with confirmed reinforced autoclaved aerated concrete (RAAC) in their buildings. It includes the need for contingencies for possible disruption to examinations and links to the existing emergency planning guidance.

General contingency guidance
- emergency planning and response for education, childcare and children's social care settings from the DfE in England
- handling strike action in schools from the DfE in England
- school organisation: local-authority-maintained schools from the DfE in England
- reinforced autoclaved aerated concrete: guidance for education settings with confirmed RAAC from the DfE in England
- exceptional closure days from the Department of Education in Northern Ireland
- checklist - exceptional closure of schools from the Department of Education in Northern Ireland
- school terms and school closures from NI Direct
- opening schools as well as childcare and play settings in extreme bad weather and extreme hot weather - guidance for schools from the Welsh Government
- emergency planning and response guidance for education and childcare settings- guidance for schools and education settings from the Welsh Government
- police guidance from National Counter Terrorism Security Office and partners on preparing for threats

cyber security guidance for schools and colleges from the National Cyber Security Centre

Ofqual guidance extract above taken directly from the Exam system contingency plan: England, Wales and Northern Ireland - **What schools and colleges and other centres should do if exams or other assessments are seriously disrupted** (last updated 5 October 2023) https://www.gov.uk/government/publications/exam-system-contingency-plan-england-wales-

and-northern-ireland/what-schools-and-colleges-should-do-if-exams-or-other-assessments-are-seriously-disrupted)

JCQ

15.1 The qualification regulators, awarding bodies and government departments responsible for education have prepared and agreed information for schools and colleges in the event of examinations being seriously disrupted. This jointly agreed information will ensure consistency of response in the event of major disruption to the examinations system affecting significant numbers of candidates.

Further information may be found at: https://www.gov.uk/government/publications/exam-system-contingency-plan-england-wales-and-northern-ireland

15.2 In addition, awarding bodies have their own well-established contingency plans in place to respond to disruptions. It is important that exams officers who are facing disruption liaise directly with the relevant awarding body/bodies.

15.3 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.

15.4 In the event that the head of centre decides the centre cannot be opened for scheduled examinations, the relevant awarding body must be informed as soon as possible. Awarding bodies will be able to offer advice regarding the alternative arrangements for conducting examinations that may be available and the options for candidates who have not been able to take scheduled examinations.

15.5 The awarding bodies will designate 'contingency ~~days~~ sessions' for examinations, summer 2024. This is consistent with the qualification regulators' document *Exam system contingency plan: England, Wales and Northern Ireland*: https://www.gov.uk/government/publications/exam-system-contingency-plan-england-wales-and-northern-ireland

The designation of 'contingency ~~days~~ sessions' within the common examination timetable is in the event of national or significant local disruption to examinations. It is part of the awarding bodies' standard contingency planning for examinations.

In the event of national disruption to a day of examinations in summer 2024, the awarding bodies will liaise with the qualification regulators and government departments to agree the most appropriate option for managing the impact. As a last resort the affected examinations will be rescheduled. Although every effort would be taken to keep the impact to a minimum, it is possible that there could be more than one timetable date affected following the disruption, up to and including the last contingency day. Centres will be alerted if it is agreed to reschedule the examinations and the affected candidates will be expected to make themselves available in such circumstances. The decision regarding the rescheduling of examinations will always rest with the awarding body. The centre must conduct the examination on the scheduled date unless instructed to do otherwise by the awarding body.

Where candidates choose not to be available for the rescheduled examination(s) for reasons other than those traditionally covered by special consideration, they will not be eligible for enhanced grading arrangements. Centres must therefore ensure candidates and parents are aware of the contingency arrangements so that they may take them into account when making their plans for the summer.

National Cyber Security Centre

The NCSC's free Web Check and Mail Check services can help protect schools from cyber-attacks. Two NCSC cyber security services, which are already helping thousands of organisations to protect their websites and email servers from cyber-attacks, are now available to **all UK schools**. Both tools are available free of charge, are quick to set up, and thereafter run automatically. More information is available from the NCSC website.

The Department for Education has been asking centres to review **National Cyber Security Centre advice** following increasing number of cyber-attacks involving ransomware infections. The NCSC information supports centres in cyber security preparedness and mitigation work.

Ransomware attacks continue and the Department is reminding centres to review the NCSC advice and to take precautions. This includes ensuring that you have backups in place for your key services and data.

For ease of reference, the Department has highlighted key links relating to the NCSC cyber security guidance below:

1. Further ransomware attacks on UK education by cyber criminals - NCSC.GOV.UK
2. Mitigating malware and ransomware attacks
3. Offline backups in an online world
4. Backing up your data
5. Practical resources to help schools improve their cyber security
6. Building Resilience: Ransomware, the risk to schools and ways to prevent it
7. School staff offered training to help shore up cyber defences - NCSC.GOV.UK

Appendix 7

<u>Candidate Absence Policy</u>

This policy is reviewed and updated annually to ensure that candidate absence from examinations at Saint Aidan's C of E High School is managed in accordance with current requirements and regulations.
References in this policy to ICE and SC refer to the JCQ publications **Instructions for conducting examinations** and **A guide to the special consideration process**

Purpose of the Policy
The purpose of this policy is to confirm the arrangements for candidates who are absent from an examination at Saint Aidan's C of E High School.
An absent candidate may subsequently arrive once the exam is underway, becoming a late or very late arrival, at which point Saint Aidan's C of E High School reserves the right to exercise discretion whether to allow a candidate who arrives after the start of the examination to enter the examination room and sit the examination. Based upon the circumstances for the absence, and subject to the required conditions being met, an application for special consideration may also be made to the relevant awarding body.

Identifying and dealing with candidate absence
A candidate will be considered absent from an examination if:
- the candidate is not present on completion of the attendance register once candidates are seated and have started the examination (ICE 22.5)

Once a candidate is identified as absent from an examination, the following action will be taken:
- the candidate will be contacted immediately as to their whereabouts and as far as possible arrangements made to ensure their immediate arrival

If a candidate fails to sit an examination, the following action is taken:
- a confirmed candidate absence is clearly recorded on the attendance register which is sent to the examiner/marker
- the candidate absence is noted on the seating plan by crossing through the candidate details

Roles and Responsibilities
It is the responsibility of the following members of staff to deal with candidate absence once it has been identified:
- Exams Officer
- Reception Team
- Attendance Officer

It is the responsibility of the following member(s) of staff to deal with candidates who are persistently absent from examinations:
- Attendance Officer
- Senior Leadership Team

The Role of Invigilators

Invigilators will:

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

The Role of Candidates

Candidates will be:

- re-charged any relevant entry fees for unauthorised absence from examinations

Special Consideration

At Saint Aidan's C of E High School if a candidate is absent from a timetabled written examination for an acceptable reason, the candidate may be eligible for special consideration. This is where an adjustment may be made to the candidate's terminal grade by the awarding body, providing the following conditions are met:

- the examination is in the candidate's terminal exam series (SC 4.1)
- the candidate has completed or will be able to complete the required percentage of the assessment to meet the minimum requirements for enhanced grading in cases of acceptable absence (SC 4.3)
- he application for special consideration can be supported by signed evidence produced by a senior leader (SC 6)

It is the responsibility of the Exam Officer to deal with special consideration requests and applications

Appendix 8

<u>**Access Arrangements Policy**</u>

This policy is reviewed and updated annually to ensure that access arrangements process at Saint Aidan's C od E High School is managed in accordance with current requirements and regulations.

References in this policy to GR, ICE and AA refer to the JCQ publications **General Regulations for Approved Centres, Instructions for conducting examinations and Access Arrangements and Reasonable Adjustments.**

Purpose of the Policy

The purpose of this policy is to confirm that Saint Aidan's C of E High School has a written record which clearly shows the centre is leading on the access arrangements process and:

- is complying with its obligation to identify the need for, request and implement access arrangements (GR 5.5 4)
- has a written process in place to not only check the qualification(s) of its assessor(s) but that the correct procedures are followed as per Chapter 7 of the JCQ publication Access Arrangements and Reasonable Adjustments (GR 5.4)

General Principles

The general principles of access arrangements for Saint Aidan's C of E High School to consider include:

- The purpose of an access arrangement is to ensure, where possible, that barriers to assessment are removed for a disabled candidate preventing him/her from being placed at a substantial disadvantage due to persistent and significant difficulties. The integrity of the assessment is maintained, whilst at the same time providing access to assessments for a disabled candidate. (AA 4.2.1)
- The person who leads on additional learning support/special educational needs, must ensure that the proposed access arrangement does not disadvantage or advantage the candidate (AA 4.2.1)
- Although access arrangements are intended to allow access to assessments, they cannot be granted where they will compromise the assessment objectives of the specification in question (AA 4.2.2)
- Candidates may not require the same access arrangements in each specification. Subjects and their methods of assessments may vary, leading to different demands of the candidate. The need for access arrangements must be considered on a subject-by-subject basis. (AA 4.2.3)
- Access arrangements should be processed at the start of the course (AA 4.2.4)
- Arrangements must always be approved **before** an examination or assessment (AA 4.2.4)
- The arrangement(s) put in place **must** reflect the support given to the candidate in the centre (AA 4.2.5)
- The candidate **must** have had appropriate opportunities to practise using the access arrangement(s) before their first examination (AA 4.2.7)

The Assessment Process

At Saint Aidan's C of E High School, assessments are carried out by: an appropriately qualified assessor(s) appointed by the head of centre in accordance with the JCQ requirements (AA 7.3)

Appointment of assessors of candidates with learning difficulties

At the point an assessor is engaged/employed at Saint Aidan's C od E High School:
- evidence of the assessor's qualification is obtained and checked against the current requirements (AA 7.3.4)
- this process is carried out prior to the assessor undertaking any assessment of a candidate (AA 7.3.4)
- a photocopy of the assessor's certificate(s) (or a printout of screenshot of HCPC or SASC registration) is kept on file (AA 7.3.1)

Reporting the appointment of the assessor(s)

Evidence that the assessor(s) is/are suitably qualified is held on file for inspection purposes (AA 7.4.1) When requested, the evidence will be presented to the JCQ Centre Inspector by either

- Kate Bray SENCo
- Michael Broughton Assistant SENCo
- Felicity Price, Exams Officer
- A member of SLT

In the case of appropriately qualified psychologists (registered with the Health & Care Professions Council), or specialist assessors holding a current SpLD Assessment Practising Certificate, who are directly employed within the centre, there is no need to record the names of these individuals within **Access arrangements online**. (AA 4.4.2)

The names of all other assessors, who are assessing candidates studying qualifications as covered by AA must be entered into **Access arrangements online** to confirm their status. This will include all other professionals working outside the centre. (AA 7.4.3) **Process for the assessment of a candidate's learning difficulties by an assessor**

Saint Aidan's C od E High School confirms:
- Guidelines for the assessment of the candidate's learning difficulties by an assessor will be followed and Form 8 (JCQ/AA/LD - Profile of Learning Difficulties) will be completed (AA 7.5, 7.6)
- Assessors must personally conduct the assessments. They must not sign off assessments carried out by another professional. (AA 7.5.5)
- The assessor must carry out tests which are relevant to support the application. (AA 7.5.6)
- A privately commissioned assessment carried out without prior consultation with the centre cannot be used to award access arrangements and cannot be used to process an application using Access arrangements online. (AA 7.3.6)
- Any privately commissioned assessment to see whether the process of gathering a picture of need, demonstrating normal way of working within the centre and ultimately assessing the candidate themselves should be instigated. (AA 7.3.6)

Picture of Need/Normal Way of Working

Saint Aidan's C of E High School confirms:
- Before the candidate's assessment, the person appointed in the centre must provide the assessor with background information, i.e. a picture of need has been painted as per Part 1 of Form 8. The centre and the assessor must work together to ensure a joined-up and consistent process.(AA 7.5.2)
- An independent assessor must contact the centre and ask for evidence of the candidate's normal way of working and relevant background information. This must take place before the candidate is assessed.
- All candidates must be assessed in light of the picture of need and the background information as detailed within Part 1 of Form 8.
- An independent assessor must discuss access arrangements with the person appointed in the centre. The responsibility to request access arrangements specifically lies with the centre. (AA 7.5.3)

Processing Access Arrangements

Arrangements Requiring Awarding Body Approval

Access arrangements online (AAO) is used to apply for approval of arrangements for the qualifications listed within the JCQ publication **Access Arrangements and Reasonable Adjustments.**

AAO is accessed through the JCQ Centre Admin Portal (CAP) by logging in to one of the awarding body secure extranet sites. A single application for approval is required for each candidate regardless of the awarding body used.

The completion of the **Candidate Personal data consent form** and the **Data protection confirmation** by the SENCo must be completed prior to the processing of the online application, which must be retained for 26 months from the date of the online application being approved.

The SENCo **must** keep detailed records, whether electronically or in hard copy paper format, of all the essential information on file. This includes a copy of the candidate's approved application, appropriate evidence of need (where required) **and** a signed candidate personal data consent form for inspection by the JCQ Centre Inspection Service. (AA, section 8.6)

Deadlines apply for each examination series for submitting applications for approval using AAO.

Centre Delegated Arrangements

Decisions relating to the approval of centre delegated arrangements are made by

Kate Bray SENCo

Appropriate evidence, where required by the arrangement, is held on file by

Kate Bray SENCo

The Use of a Word Processor
The Word Processor Policy (Appendix 1) details the criteria Saint Aidan's C od E High School uses to award and allocate word processors in examinations/assessments. This policy must be available for inspection. (AA, section 5.8)

Separate Invigilation within the Centre

The Separate Invigilation Policy (Appendix 2) details the criteria Saint Aidan's C od E High School uses to award separate invigilation within the centre.

Modified Papers
- Modified papers are ordered through AAO.
- Modified papers must be ordered in advance of a specific examination series, no later than the published deadline for the series concerned (AA 6.1)
- Modified papers are individually prepared for candidates for whom other access arrangements are unsuitable. The modification of papers involves additional resources. Therefore centres are required to provide the awarding bodies with early notification that a candidate will require a modified paper. (AA 6.1)
- Modified papers must not be ordered for candidates unless they intend to enter them for the relevant examination series (AA 6.1)
- For the adjustment to be effective, the candidate must have had appropriate opportunities to practise using an awarding body's past modified papers before his/her first examination (AA 6.1)

Roles and Responsibilities

When an access arrangement has been processed on-line and approved, the evidence of need (where required) must be made available to a JCQ Centre Inspector upon request. An awarding body may also request evidence of need when considered necessary. This can either be in hard copy paper format or electronically. (AA 4.2.13)

Where access arrangements documentation is stored electronically an e-folder for each individual candidate must be created. The candidate's e-folder must hold each of the required documents for inspection. (AA 4.2.13)

It is the responsibility of the SENCo:
- to collect a candidate's consent (a completed candidate personal data consent form) to record their personal data on-line through AAO
- to submit applications for approval through AAO
- to hold file/e-folder for each candidate containing a copy of the candidate's approved application, appropriate evidence of need (where required) and a signed personal data consent form (AA 8.6)

It is the responsibility of the Exam Officer:
- to order modified papers from Awarding Bodies

Appendix 9

Leaving the Examination Room Policy

Purpose of the Policy

The purpose of this policy is to confirm that candidates leaving the examination room at Saint Aidan's C of E High School is managed in line with JCQ regulations.

This policy confirms:
- the correct procedures are followed in relation to candidates leaving the examination room
- Saint Aidan's C of E High School reserves the right to exercise discretion whether to allow extra time to compensate candidates for their temporary absence from the examination room

Arrangements for leaving the examination room

- For examinations that last one hour or more, JCQ states that candidates must stay under centre supervision until 10.00am for a morning examination or 2.30pm for an afternoon examination, i.e. one hour after the awarding body's published starting time for that examination. (ICE 23.1) Saint Aidan's C of E High School will insist candidates stay for the duration of the examination and this will only be relaxed in extenuating circumstances.
- For examinations that last less than one hour, candidates must be supervised and question papers must be kept in secure storage until the published finishing time of the examination. (ICE 23.2)
- Candidates who are allowed to leave the examination room temporarily must be accompanied by a member of centre staff. This must not be the candidate's subject teacher or a subject expert for the examination in question. Those candidates may be allowed extra time at the discretion of the centre to compensate for their temporary absence. (ICE 23.3)
- Candidates who have finished the examination and have been allowed to leave the examination room early must hand in their script, question paper and any other material before they leave the examination room. Those candidates must not be allowed back into the room. (ICE 23.4)
- At the end of the examination, candidates must hand in their script, question paper and any other material before they leave the examination room. (ICE 23.5) The following arrangements are applied at Saint Aidan's C of E High School: Candidates who are allowed to leave the examination room temporarily may be allowed extra time to compensate for their temporary absence. (ICE 23.3)

Roles and Responsibilities

The Role of the Exams Officer

- Through training, ensure invigilators are aware how candidates who may be allowed to leave the examination room temporarily should be managed and recorded

The Role of the Invigilator

- Ensure a candidate who may be allowed to leave the examination room temporarily is accompanied by a member of centre staff who is not the candidate's subject teacher or a subject expert for the examination in question (ICE 23.3)
- Record instances on the exam room incident log of candidates who may be allowed to leave the examination room temporarily because they may be feeling unwell or require a toilet break (ICE 20.2)
- Ensure candidates who have finished the examination and have been allowed to leave the examination room early hand in their script, question paper and any other material before they leave the examination room. Ensure those candidates are not allowed back into the room (ICE 23.4)

At the end of the examination, ensure candidates hand in their script, question paper and any other material before they leave the examination room (ICE 23.5)

Appendix 10

<u>**Managing Behaviour Policy**</u>

Purpose of the Policy

The purpose of this policy is to confirm that candidate behaviour in the examination room at Saint Aidan's CofE High School is managed in line with JCQ regulations.

Briefing Candidates

To ensure candidates are aware of the standard of behaviour that is required in the examination room, Saint Aidan's Cof E High School will:
- ensure the JCQ Information for candidates (coursework, non-examination assessments, on-screen tests, social media and written examinations) is distributed to all candidates whether electronically or in hard copy format prior to assessments and/or examinations taking place (GR 5.8)
- ensure candidates are also made aware of the content of the JCQ Unauthorised items and Warning to candidates posters (GR 5.8)
- prior to assessments and/or examinations taking place, ensure candidates are briefed on what they must and must not do when sitting written examinations and/or on-screen tests, and when producing coursework and/or non-examination assessments (GR 5.8)

At Saint Aidan's C of E High School candidates mock examinations are conducted under JCQ regulations to familiarise the candidates with the rules and regulations and the expected behaviour and conduct within the exam room.

Exam candidates are provided with a handbook in advance of their external assessment which include the JCQ documentation candidates need to be made aware of. This is followed by a briefing session led by senior leadership.

Candidate Malpractice

- Inappropriate behaviour by a candidate in the examination room is deemed 'candidate malpractice'
- 'Candidate malpractice' means malpractice by a candidate in connection with any examination or assessment (SMPP, Definitions)
- 'Malpractice', means any act, default or practice which is a breach of the Regulations (SMPP, Definitions)
- Failure by a centre to notify, investigate and report to an awarding body all allegations of malpractice or suspected malpractice constitutes malpractice in itself (SMPP, Definitions, Malpractice)
- Suspected malpractice means all alleged or suspected incidents of malpractice (SMPP, Definitions)

Instructions for conducting examinations - Malpractice in the examination room

The following requirements are applied at Saint Aidan's C of E High School:
- Where a candidate is being disruptive, the invigilator must warn the candidate that he/she may be removed from the examination room. The candidate must also be warned that the awarding body will be informed and may decide to penalise them, which could include disqualification (ICE 24.1)
- The head of centre must report to the awarding body immediately all cases of suspected or actual malpractice in connection with the examination (ICE 24.3) Form JCQ/M1 - **Report of suspected candidate malpractice** must be completed (ICE 24.3)
- Where candidates commit malpractice, the awarding body may decide to penalise them, which could include disqualification. Candidates should be warned of the possible penalties an awarding body may apply as detailed in the JCQ publication
- In cases of suspected malpractice, examination scripts must be packed as normal and Form JCQ/M1 must be submitted separately to the relevant awarding body (ICE 24.6

Appendix 11

Special Consideration Policy

Introduction

Special consideration is a post-examination adjustment to a candidate's mark or grade. This is to reflect temporary illness, temporary injury or some other event outside of the candidate's 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. (SC 1)

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. (SC 1)

Purpose of the Policy

The purpose of this policy is to identify roles and responsibilities within the special consideration process and confirms Saint Aidan's C of E High School will submit an application for special consideration where a candidate meets the published criteria. (GR 5.9)

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 (SC 2.1)
- Special consideration must be applied for at the time of the assessment (SC 2)
- 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 (SC 2.3)

Roles and Responsibilities

The Role of the Head of Centre

- Be familiar with, refers to and directs relevant centre staff to the annually updated JCQ publication A guide to the special consideration process (SC 2.3)
- Ensure where a candidate meets the published criteria, an application for special consideration will be submitted to the relevant awarding body by the exams office/officer

The Role of the Exams Officer

- Refer to the criteria detailed in the JCQ publication A guide to the special consideration process to determine where a candidate is/is not eligible for special consideration
- Where a candidate meets the published criteria, submit an application for special consideration to the relevant awarding body

The Role of the Senior Leader

- Produce signed evidence to support all applications for special consideration (SC 6)

The Role of Other Staff

- Provide any appropriate evidence or information that may be required to determine a candidate's eligibility for special consideration

The Role of an Affected Candidate (or parent/carer)

- Provide any medical or other evidence that may be required to confirm eligibility for special consideration

Applying for Special Consideration

At Saint Aidan's C of E High School, where a candidate is eligible, special consideration will be applied for at the time of the assessment in accordance with the regulations as detailed in the JCQ publication **A guide to the special consideration process**.

Examples where a candidate/candidates may be eligible for special consideration include:
- A candidate arrives for the examination and is clearly unwell, extremely distressed and/or may have sustained an injury that requires emergency access arrangements to be put in place:
- The candidate is kept under centre supervision (from 30 minutes after the published starting time for that examination until they begin it) while appropriate arrangements are put in place for the candidate to take the examination (ICE 7.4)
- Special consideration is applied if this indisposition has had, or is reasonably likely to have had, a material effect on the candidate's ability to demonstrate his or her normal level of attainment in the examination (SC 1)
- Application for an allowance on the last paper taken in a day when a candidate has been entered for three or more examinations timetabled for the same day and the total duration of those papers is more than 5 hours 30 minutes (GCSE examinations) or more than 6 hours (GCE examinations) (SC 3.3) Serious disturbance during the examination (SC 2.1)
- Candidates will not be eligible for special consideration if preparation for, or performance in the examination is affected by a minor disturbance in the examination room caused by another candidate, such as momentary bad behaviour or a mobile phone ringing (SC 2.3)

Candidates who are absent from a timetabled component/unit for acceptable reasons

If a candidate is absent for acceptable reasons, and Saint Aidan's C of E High School can support this, special consideration will be applied for if the examination missed is in the terminal series and the minimum requirements for enhanced grading in cases of acceptable absence can be met. (SC 4)

For unitised examinations taken in an examination series prior to certification, unless there are particular difficulties with the type of assessment, candidates will be re-entered for any missed units at the next assessment opportunity. (SC 4)

Other issues

Where other issues or problems affect a candidate or a group of candidates, special consideration will be explored in **A guide to the special consideration** process and applied for where eligible. This may include, for example:

- other certification (SC 5)
- coursework/non-examination assessment extensions (SC 5)
- shortfall in work (coursework/non-examination assessment) (SC 5)
- lost or damaged work (non-examination assessment components) (SC 5)
- candidates taking an incorrect or defective question paper (SC 5)
- candidates undertaking the wrong controlled assessment or non-examination assessment assignment (SC 5)

Where a candidate may be eligible for special consideration (a post assessment adjustment) in a vocational qualification, Saint Aidan's C of E High School will follow **A guide to special consideration** (section 7) and awarding body guidance to determine if, when and how an adjustment can be applied for.

Processing Applications for Special Consideration

The Role of the Head of Centre

- Ensure all eligible applications are supported by signed evidence produced by a senior leader (SC 6)

The Role of the Exams Office/Officer

- Ensure applications are processed as required by the awarding bodies
- Ensure a candidate/candidates (or a parent/carer) understands that all cases must be dealt with by the centre [SC 6]
- Ensure that special consideration is applied for at the time of the assessment
- Ensure special consideration is not applied for in a cumulative fashion and where a candidate may be affected by different indispositions, ensure special consideration is only applied for the most serious indisposition
- Keep evidence to support all applications on file until after the publication of results and provide the signed evidence produced by a senior leader in support an application where this may be requested by an awarding body (SC 6)
- Meet the awarding body deadline(s) for submitting applications

Submitting Applications for Special Consideration

At Saint Aidan's C of E High School, where a candidate or group of candidates is/are eligible for special consideration, applications will be submitted to the relevant awarding body following the published processes in A guide to the special consideration process.

Timetabled Written Examinations

- Applications for individual candidates will be submitted online by logging into the relevant awarding body secure extranet site and following the links to special consideration (where the awarding body's secure site accepts applications online)
- A single application to cover all examinations where a candidate is present but disadvantaged and a separate application for each day where a candidate is absent from an examination for an acceptable reason will be submitted
- The paper form 10 **Application for special consideration** will only be completed and submitted to the awarding body where the online system does not accept applications for a particular qualification
- For groups of candidates, applications will be made online where the awarding body's secure system accepts group applications or form 10 will be completed
- The paper form 14 Self certification form (Self certification for candidates who have missed an examination) will only be completed by a candidate where circumstances warrant this and will not be used where the centre knows the candidate was ill

Internally Assessed Work

- Where appropriate, applications will be made online where the awarding body's secure system accepts them or form 10 will be completed and submitted to the awarding body
- Where a short extension to a deadline is being requested, the awarding body will be contacted directly
- Where an application relates to a shortfall in work, this will be submitted online or by completing form 10, dependent on the awarding body

Post-assessment Adjustments - Vocational Qualifications

- Where relevant and eligible, form 10 or form VQ/SC **Application for special consideration Vocational qualifications** will be completed and submitted to the awarding body

Late Applications

If, after the publication of results for a particular examination series, a claim is made that special consideration was not applied for at the time of an assessment where a candidate was eligible, the claimant will be informed that late applications will only be accepted by an awarding body in the most exceptional circumstances and where a senior leader is able to produce evidence to support a late application.

If a claim is made after the completion of a review of results, the claimant will be informed that an application for special consideration cannot be submitted.

Appendix 12

Internal Appeals Procedure

1. Appeals against internally assessment decisions (centre assessed marks)

This procedure confirms Saint Aidan's C of E High School's compliance with JCQ's General Regulations for Approved Centres, section 5.7 that the centre agrees to "have in place and be available for inspection purposes, a written internal appeals procedure relating to internal assessment decisions and to ensure that details of this procedure are communicated, made widely available and accessible to all candidates" and that the centre "must inform candidates of their centre assessed marks. A candidate is allowed to request a review of the centre's marking before marks are submitted to the awarding body."

Certain components of GCSE (and GCSE non-examination assessments) and other qualifications that contribute to the final grade of the qualification are internally assessed (marked) by the centre. The marks awarded (the internal assessment decisions) are then submitted by the deadline set by the awarding body for external moderation.
Saint Aidan's is committed to ensuring that whenever its staff mark candidates' work this is done fairly, consistently and in accordance with the awarding body's specification and subject-specific associated documents.

Saint Aidan's ensures that all centre staff follow a robust Non-examination assessment policy (for the management of GCSE non-examination assessments). This policy details all procedures relating to non-examination assessments, including the marking and quality assurance processes which relevant teaching staff are required to follow.

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

On being informed of their centre assessed marks, if a candidate believes that the above procedures were not followed in relation to the marking of his/her work, or that the assessor has not properly applied the mark scheme to his/her marking, then he/she may make use of the appeals procedure below to consider whether to request a review of the centre's marking.

Saint Aidan's CofE High School will:
- ensure that candidates are informed of their centre assessed marks so that they may request a review of the centre's marking before marks are submitted to the awarding body
- inform candidates that they may request copies of materials (for example, a copy of their marked work, the relevant specification, the mark scheme and any other associated subject specific documents) to assist them in considering whether to request a review of the centre's marking of the assessment.
- having received a request for copies of materials, promptly make them available to the candidate

- provide candidates with sufficient time in order to allow them to review copies of materials, reach a decision and make a request
- provide a clear deadline for candidates to submit a request for a review of the centre's marking. Requests will not be accepted after this deadline. Requests for reviews of marking must be made in writing
- allow sufficient time for the review to be carried out, to make any necessary changes to marks and to inform the candidate of the outcome, all before the awarding body's deadline.
- ensure that the review of marking is carried out by an assessor who has appropriate competence, has had no previous involvement in the assessment of that candidate and has no personal interest in the review.
- instruct the reviewer to ensure that the candidate's mark is consistent with the standard set by the centre.
- ensure the candidate is informed in writing of the outcome of the review of the centre's marking.

The outcome of the review of the centre's marking will be made known to the head of centre. A written record will be kept and made available to the awarding body upon request.

The moderation process carried out by the awarding bodies may result in a mark change either upwards or downwards, even after an internal review. The internal review process is in place to ensure consistency of marking within the centre, whereas moderation by the awarding body ensures that centre marking is in line with national standards. The mark submitted to the awarding body is subject to change and should therefore be considered provisional.

2. Appeals against centre's decision not to support a clerical check, a review of marking, a review of moderation or an appeal

This procedure confirms Saint Aidan's C of E High Schools compliance with JCQ's General Regulations for Approved Centres, section 5.13 that the centre has in place "a written internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support a clerical 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 are provided by the Exams Officer.

Candidates are also informed of the arrangements for post-results services before they sit any exams.

If the centre or a candidate (or his/her parent/carer) has a concern and believes a result may not be accurate, a review of the result may be requested.

Reviews of Results (RoRs) offers three services.
Service 1 – clerical re-check
Service 2 – review of marking
Service 3 – review of moderation (this service is not available to an individual candidate)

Written candidate consent (informed consent via candidate email is acceptable) is required in all cases before a request for an RoR service 1 or 2 is submitted to the awarding body as with these

services candidates' marks and subject grades may be lowered. Candidate consent can only be collected **after** the publication of results.

If a concern is raised about a particular examination result, the exams officer, teaching staff and head of centre will investigate the feasibility of requesting a review at the centre's expense. Where the centre does not uphold a request from a candidate, the candidate may pay the appropriate fee, and a request will be made to the awarding body on the candidate's behalf.

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

3. Appeals following the outcome of an enquiry about results

Where the head of centre remains dissatisfied after receiving the outcome of a RoR, an appeal will be made to the awarding body, following the guidance in the JCQ publications Post-results services and JCQ Appeals Booklet.

Where the head of centre is satisfied after receiving the RoR outcome, but the candidate and/or their parent/carer 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.

The internal appeals form (attached below) should be completed and submitted to the centre within 10 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 receiving 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. 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.

4. Internal Appeals Form

Please tick the box to indicate the nature of your appeal and complete the white boxes on the form below.

☐   Appeal against an internal assessment decision and or a request for review of marking

☐   Appeal against a centre's decision not to support a clerical check, a review of marking, a review of moderation or an appeal

Name of appellant		Candidate Name (If different to appellant)	
Awarding body		Exam paper code	
Subject		Exam paper title	

Please state the grounds for your appeal below:

(If applicable, tick below)

☐   Where my appeal is against an internal assessment decision I wish to request a review of the centre's marking

Appellant Signature: **Date of Signature:**

This form must be signed, dated and returned to the Exams Officer on behalf of the head of centre to the timescale indicated in the relevant appeals procedure.

5. Further guidance to inform and implement appeals procedures

JCQ Publications
General Regulations for Approved Centres
https://www.jcq.org.uk/exams-office/general-regulations
Post-Results Services
https://www.jcq.org.uk/exams-office/post-results-services
JCQ Appeals Booklet
https://www.jcq.org.uk/exams-office/appeals
Notice to Centres - Reviews of marking (centre-assessed marks)
https://www.jcq.org.uk/exams-office/controlled-assessments
https://www.jcq.org.uk/exams-office/coursework
https://www.jcq.org.uk/exams-office/non-examination-assessments
Ofqual Publications
GCSE (9 to 1) qualification-level conditions and requirements
https://www.gov.uk/government/publications/gcse-9-to-1-qualification-level-conditions

Appendix 13

Malpractice Policy

Introduction

Malpractice' and 'maladministration' are related concepts, the common theme of which is that they involve a failure to follow the rules of an examination or assessment. This policy and procedure uses the word 'malpractice' to cover both 'malpractice' and 'maladministration' and it means any act, default or practice which is:

- a breach of the Regulations

- a breach of awarding body requirements regarding how a qualification should be delivered

- a failure to follow established procedures in relation to a qualification

which:

- gives rise to prejudice to candidates

- compromises public confidence in qualifications

- compromises, attempts to compromise or may compromise the process of assessment, the integrity of any qualification or the validity of a result or certificate

- damages the authority, reputation or credibility of any awarding body or centre or any officer, employee or agent of any awarding body or centre (SMPP 1)

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. (SMPP 2)

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 (SMPP 2)

Suspected malpractice

For the purposes of this document, suspected malpractice means all alleged or suspected incidents of malpractice. (SMPP 2)

Purpose of the Policy

To confirm Saint Aidan's Church of England High School has in place a written malpractice policy which covers all qualifications delivered by the centre and details how candidates are informed and advised to avoid committing malpractice in examinations/assessments, how suspected malpractice issues should be escalated within the centre and reported to the relevant awarding body (GR 5.3)

General principles

In accordance with the regulations Saint Aidan's Church of England High School 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)
-

Preventing malpractice

Saint Aidan's Church of England High School has in place:

- Robust processes to prevent and identify malpractice, as outlined in section 3 of the JCQ publication **Suspected Malpractice: Policies and Procedures**. (SMPP 4.3)
- This includes ensuring that all staff involved in the delivery of assessments and examinations understand the requirements for conducting these as specified in the following JCQ documents and any further awarding body guidance:

- General Regulations for Approved Centres 2023-2024; Instructions for conducting examinations (ICE) 2023-2024;
- Instructions for conducting coursework 2023-2024;
- Instructions for conducting non-examination assessments 2023-2024;
- Access Arrangements and Reasonable Adjustments 2023-2024;
- A guide to the special consideration process 2023-2024;
- Suspected Malpractice: Policies and Procedures 2023-2024;
- Plagiarism in Assessments; AI Use in Assessments: Protecting the Integrity of Qualifications; A guide to the awarding bodies' appeals processes 2023-2024 (SMPP

3.3.1)

Identification and reporting of malpractice

Escalating suspected malpractice issues

Once suspected malpractice is identified, any member of staff at the centre can report it using the appropriate channels (SMPP 4.3)

Reporting suspected malpractice to the awarding body

- 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** (SMPP 4.1.3)
- The head of centre will ensure that where a candidate who is a child/vulnerable adult is the subject of a malpractice investigation, the candidate's parent/carer/ appropriate adult is kept informed of the progress of the investigation (SMPP 4.1.3)
- 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 (SMPP 4.4, 4.6)
- 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 (SMPP 4.5)
- 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 (SMPP 5.33)
- Once the information gathering has concluded, the head of centre (or other appointed information-gatherer) will submit a written report summarising the information obtained and actions taken to the relevant awarding body, accompanied by the information obtained during the course of their enquiries (5.35)
- Form JCQ/M1 will be used when reporting candidate cases; for centre staff, form JCQ/M3 will be used (SMPP 5.37)
- The awarding body will decide on the basis of 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 (SMPP 5.40

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. (SMPP 11.1)

Appeals against decisions made in cases of malpractice

Saint Aidan's Church of England High School will:

- Provide the individual with information on the process and timeframe 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**

Malpractice involving Artificial Intelligence (AI)

AI - Use in Assessments

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 still being developed and there are often 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 format

What is AI Misuse

AI misuse constitutes malpractice as defined in the JCQ Suspected Malpractice:

Policies and Procedures (https://www.jcq.org.uk/exams-office/malpractice/). The malpractice sanctions available for the offences of 'making a false declaration of authenticity' and 'plagiarism' include disqualification and debarment from taking qualifications for a number of years. Students' marks may also be affected if they have relied on AI to complete an assessment and, as noted above, the attainment that they have demonstrated in relation to the requirements of the qualification does not accurately reflect their own work.

Examples of AI misuse include, but are not limited to, the following:
- Copying or paraphrasing sections of AI-generated content so that the work is no longer the student's own
- Copying or paraphrasing whole responses of AI-generated content
- Using AI to complete parts of the assessment so that the work does not reflect the student's own work, analysis, evaluation or calculations
- Failing to acknowledge use of AI tools when they have been used as a source of information
- Incomplete or poor acknowledgement of AI tools
- Submitting work with intentionally incomplete or misleading references or bibliographies.

Acknowledging AI Use

If a student uses an AI tool which provides details of the sources it has used in generating content, these sources must be verified by the student and referenced in their work in the normal way. Where an AI tool does not provide such details, students should ensure that they independently verify the AI-generated content – and then reference the sources they have used.

In addition to the above, where students use AI, they must acknowledge its use and show clearly how they have used it. This allows teachers and assessors to review how AI has been used and whether that use was appropriate in the context of the particular assessment. This is particularly important given that AI-generated content is not subject to the same academic scrutiny as other published sources.

Where AI tools have been used as a source of information, a student's acknowledgement must show the name of the AI source used and should show the date the content was generated. For example: ChatGPT 3.5 (https://openai.com/ blog/chatgpt/), 25/01/2023. The student must retain a copy of the question(s) and computer-generated content for reference and authentication purposes, in a non-editable format (such as a screenshot) and provide a brief explanation of how it has been used.

This must be submitted with the work so the teacher/assessor is able to review the work, the AI generated content and how it has been used. Where this is not submitted, and the teacher/assessor suspects that the student has used AI tools, the teacher/assessor will need to consult the centre's malpractice policy for appropriate next steps and should take action to assure themselves that the work is the student's own.

See https://www.jcq.org.uk/exams-office/malpractice/artificial-intelligence/ for further information.

Appendix 14

<p align="center">**Escalation Process**</p>

Purpose of the process

In terms of internal governance arrangements, it is the responsibility of the head of centre to ensure that Saint Aidan's 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 Saint Aidan's 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 Katie Benter, the head of centre or Simon Calvert, 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;

- Anthony Lord – Deputy Headteacher
- Kate Bray – Assistant Headteacher
- David Eccles – Assistant Headteacher
- Vicky Leah – Business Manager

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:
    o JCQ Centre Inspection Service Changes

- Policies available for inspection

  Specific JCQ publications for reference:
    o General Regulations for Approved Centres (section 5)
    o Instructions for conducting examinations (section 25)
    o Access Arrangements and Reasonable Adjustments (section 5)

- Personal data, freedom of information and copyright

  Additional JCQ publication for reference:
    o Information for candidates – Privacy Notice

Before Examinations (entries and Pre-exams)

In the event of the absence of Katie Benter, the head of centre or Simon Calvert, 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;

- Anthony Lord – Deputy Headteacher
- Kate Bray – Assistant Headteacher
- David Eccles – Assistant Headteacher
- Vicky Leah – Business Manager

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:

- o Key dates
- o Guidance Notes for Transferred Candidates
- o Alternative Site guidance notes
- o 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:
  - o Guidance Notes – Centre Consortium Arrangements

- Candidate information

  Additional JCQ publications for reference:
  - o Information for candidates documents
  - o Exam Room Posters

During Examinations (Exam time)

In the event of the absence of Katie Benter, the head of centre or Simon Calvert, 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;

- Anthony Lord – Deputy Headteacher
- Kate Bray – Assistant Headteacher
- David Eccles – Assistant Headteacher
- Vicky Leah – Business Manager

The centre also has in place 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:
  - o 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 Katie Benter, the head of centre or Simon Calvert, the member of senior leadership with oversight of examination administration, responsibility for implementing JCQ regulations and requirements relating to after exam examinations will be escalated to;

- Anthony Lord – Deputy Headteacher
- Kate Bray – Assistant Headteacher
- David Eccles – Assistant Headteacher
- Vicky Leah – Business Manager

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

Appendix 15

Candidate Identification Procedure

Purpose of the Policy

This policy outlines the procedures for verifying the identity of candidates sitting exams at Saint Aidan's CE High School. It ensures that all candidates are properly identified in line with the Joint Council for Qualifications (JCQ) regulations, thereby safeguarding the integrity of the examination process

All candidates sit all their examinations in full school uniform. External invigilators are used during all KS4 internal examinations to get to know the students during their external examinations. Saint Aidan's does not except private candidates and all internal candidates have already provided documented proof of identity during the admissions procedure.

Procedures

- Seating Arrangements: Each candidate will be assigned a seat with a corresponding candidate number. The seating plan will be verified against the candidate register to ensure each candidate is in the correct position. Candidates notified of their seat number in advance via an individual candidate timetable.

- Candidate photographic identification cards are placed on desks according to the seating plan for each external examination.
- A document listing all student photographs, names and exam numbers is provided for every examination.
- Students are asked before the start of each exam; as part of the regulations they are read, to ensure they are sat in the correct seat by checking the photographic identification card on their desk.
- If there is any uncertainty regarding a candidate's identity, the Invigilator will immediately notify the Exams Officer.
- The Exams Officer will investigate any discrepancies and take the necessary steps to resolve the issue and any suspected malpractice will be reported to the examination board in line with JCQ regulations.

Appendix 16

Cyber Security Policy

Purpose of the policy

This policy details the measures taken at Saint Aidan's CE High School to mitigate the risk of cyber threats under the following sections:

1. Roles and responsibilities
2. Complying with JCQ regulations
3. Cyber security best practice
4. Account management best practice
5. Training

The senior leadership team recognises the need for staff involved in the management, administration and conducting of examinations to play a critical role in maintaining and improving cyber security at Saint Aidan's CE High School.

In addition to adhering to industry best practices, the following areas are addressed in this policy to ensure that members of the exams team protect their individual digital assets:

- Creating strong unique passwords
- Keeping all account details secret
- 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
- Staying alert for all types of social engineering/phishing attempts
- Monitoring accounts and reviewing account access regularly

1. Roles and responsibilities

Head of centre/Senior leadership team

- To ensure that members of the exams team, supported/led by the IT team, adhere to best practice(s) in relation to:
  - the management of individual/personal data/accounts
  - centre wide cyber security including:
    - Establishing a robust password policy
    - Enabling multi-factor authentication (MFA)
    - Keeping software and systems up to date
    - Implementing network security measures
    - Conducting regular data backups
    - Educating employees on security awareness
    - Developing and testing an incident response plan
    - Regularly assessing and auditing security controls

- Immediately contacting the relevant awarding body/bodies for advice and support in the event of a cyber-attack which impacts any learner data, assessment records or learner work

Exams officer/ Invigilation Team

- To ensure that they follow best practice in relation to the management of individual/personal data/accounts
- To provide evidence of an awareness of best practice in relation to cyber security as defined by JCQ regulations/guidance

- To undertake training on:
  - the importance of creating strong unique passwords and keeping all account details secret
  - awareness of all types of social engineering/phishing attempts

2. Complying with JCQ regulations

The head of centre/senior leadership team at Saint Aidan's CE High School ensure that there are procedures in place to maintain the security of user accounts in line with JCQ regulations (sections 3.20 and 3.21 of the *General Regulations for Approved Centres* document) by:

- providing training for authorised staff on the importance of creating strong unique passwords and keeping all account details secret
- providing training for staff on awareness of all types of social engineering/phishing attempts
- enabling additional security settings wherever possible
- updating any passwords that may have been exposed
- setting up secure account recovery options
- reviewing and managing connected applications
- monitoring accounts and regularly reviewing account access, including removing access when no longer required
- ensuring authorised members of staff securely access awarding bodies' online systems in line with awarding body regulations regarding cyber security and the JCQ document *Guidance for centres on cyber security*: www.jcq.org.uk/exams-office/general-regulations

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

3. Cyber security best practice

The head of centre/senior leadership team ensure that they and all staff involved in the management, administration and conducting of examinations/assessments at Saint Aidans CE High School stay informed about the latest security threats and trends in account security.

All staff educated on how to identify phishing attempts, use secure devices and how to protect systems and data by completion of annual online training and review during invigilation meeting held annually.

Best practice, advice and guidance is observed for all IT systems, particularly those where learner information, learner work or assessment records are held.

National Cyber Security Centre (NCSC) training and guidance is followed at Saint Aidan's CE High School which includes:

- Establishing a robust password policy
- Enabling multi-factor authentication (MFA)
- Keeping software and systems up to date
- Implementing network security measures
- Conducting regular data backups
- Educating employees on security awareness
- Developing and testing an incident response plan

- Regularly assessing and auditing security controls

By adopting industry standard cyber security best practices, the head of centre/senior leadership team are significantly reducing the risk of cyber-attacks and protecting valuable data and assets within the centre.

If a cyber-attack which impacts any learner data, assessment records or learner work is experienced, the senior leadership team/exams officer will contact the relevant awarding body/bodies immediately for advice and support.

4. Account management best practice

Creating strong unique passwords

- Exams office staff are informed that password length is a more valuable defence than complexity and instructed to use a password creation approach such as three random words to generate suitably secure passwords
- Exams office staff will not use easily guessable information such as birthdays, singular names or common words for a password
- For every account, users are instructed to use a strong unique password and that the same password is not used across any other account(s)

Keeping all account details secret

- Exams office staff are instructed never to share login/password details or additional factor/authentication codes with anyone else
- Staff who require access to a system will request their own user account and never share an account assigned for their use with anyone else. Staff are reminded that anything done with an account assigned to someone will be attributed to that person in the first instance

Enabling additional security settings wherever possible

- All staff will follow awarding body two-step verification (2SV)/two-factor verification (2FA) or multi-factor authentication (MFA) wherever available/requested. Staff are made aware of the purpose of 2SV/2FA /MFA, which includes:

  o adding a layer of account security
  o helps to protect users if the extra steps/factors are protected

Updating any passwords that may have been exposed

- If it is believed that a password may have been exposed/become known to others, staff will inform their senior leader/line manager immediately
- Any exposed passwords will be changed as soon as possible and the new passwords should not be shared with anyone except their senior leader/line manager
- Staff are instructed to use strong unique passwords (e.g. three random words) when changing passwords and that old passwords should not be reused nor should cycling through a small set of passwords across multiple accounts be used

Setting up secure account recovery options

- Staff are instructed to follow centre account recovery options which include:

alternate email accounts or phone numbers protected by 2SV/2FA/MFA security measures

Reviewing and managing connected applications

- Staff within the exams team will regularly review and remove access for third-party applications or services that no longer require access to accounts
- Staff will be informed that access should only be provided to trusted services
- Staff will be asked to should be particularly cautious when interacting with content and services (e.g. quizzes, prize draws, surveys etc.)
- Staff will only grant permissions to applications and grant the necessary access required for them to function
- Staff will only download and install applications with established reputations from trusted sources
- Staff will not save passwords to local web browsers unless a secure password manager extension is used in a browser that requires unlocking (e.g. with another password) before the saved account details can be retrieved, however care will be taken to ensure that this is locked/signed out of after use
- When using a shared browser, staff will clear browser history and caches after use

Staying alert for all types of social engineering/phishing attempts

- Staff must take care if unsolicited or unexpected emails, instant messages, or phone calls are received asking for account credentials or personal or confidential information. Passwords and 2FA/MFA authentication codes should not be given out to anyone

- Staff are instructed that is they have a wariness of anyone or anything that seems to want to gain their trust, rush them into doing something or that just seems off, they should hang up/not reply and not click on links or take any action and check with a trusted party via a secure channel (i.e. call awarding body customer services via a known support number)
- Staff will never approve or authenticate a login request that they did not initiate
- Staff will not share codes/approve logins should not be approved and requests to do so should be treated with a high degree of suspicion
- Staff will not click on suspicious links, download attachments or scan QR codes from unknown sources
- The centre will provide exams team staff with a secure QR code scanner with a good reputation to help gauge whether a QR code is suspicious or malicious
- Staff will verify the authenticity of any communication by contacting the organisation directly through official known channels
- Staff will report any phishing attempts which reference awarding bodies/their systems to the awarding body concerned immediately

Monitoring accounts and reviewing account access

- Centre staff accounts will be routinely reviewed for any suspicious, unusual or unauthorised activity
- If any suspicious, unusual or potentially unauthorised activity on awarding body systems is observed this will be immediately reported to the relevant awarding body, particularly if is believed that user account security may have been compromised
- User access for staff who have left the centre is reviewed promptly
- Levels of access for all exams team staff are reviewed regularly to ensure accounts have the minimum level of access required for their current role

5. Training

The head of centre/senior leadership team ensure that 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

Information relating to the type and frequency of training provided for staff and appropriate evidence:

- Type/source of training – Online training completed as part of annual INSET
- Evidence - Certification via online training held as record of completion
- Frequency - Annually