



Exams Policy

Written by	Approved by	Status	Last Review	Next Review
JBIG	Trustees	Ratified	May 2025	May 2026



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**Key staff involved in the exams policy:**

Role	Name(s)
Head of Centre	Mark Midgley
Exams Officer Line Manager	Jo Biglands – Deputy Headteacher
Exams Officer	Jonathan Norman
ALS Lead/SENCo	(Acting) Jo Biglands
SLT member(s)	Jo Biglands – Deputy Headteacher SENCo Cheryl Marshallsay – Associate Deputy Headteacher Jack Hostead – Pastoral and Behaviour Lead



Purpose of the policy

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

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

Exam Policy documentation is available for all staff via the staff gateway and stored in the policies folder on the Academy's shared network.

Roles and responsibilities overview

"The Head of Centre is the individual who is accountable to the awarding bodies for ensuring that the centre is compliant with the published JCQ regulations and awarding body requirements in order to ensure the security and integrity of the examinations/assessments at all times.

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

Head of centre responsibilities



The 'head of centre' is the most senior operational officer in the organisation. This may be the headteacher of a school, the principal of a college, the Chief Executive Officer of an Academy Trust or the Managing Director of a company or training provider. It is the responsibility of the head of centre to ensure that all staff comply with the instructions in this booklet. Failure to do so may constitute malpractice as defined in the JCQ publication Suspected Malpractice: Policies and Procedures, 1 September 2022 to 31 August 2023: <http://www.jcq.org.uk/exams-office/malpractice>

For details about specific head of centre responsibilities, see sections 1, 8, 11, 12, 13, 16, 24, Appendix 1, section 6 and Appendix 8. (ICE Introduction).

Head of Centre

- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:
- General Regulations for Approved Centres (GR)
- Instructions for Conducting Examinations (ICE)
- Access Arrangements and Reasonable Adjustments (AA)
- Suspected Malpractice - Policies and Procedures (SM)
- Instructions for conducting non-examination assessments (NEA) (and the instructions for conducting coursework)
- A guide to the special consideration process (SC)

National centre number register

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



Recruitment, selection and training of staff

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

Internal governance arrangements

- 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.



Escalation process

Should the Head of centre be absent, the deputy head teacher will oversee all decision and strategic decision making relating to examinations. Should the deputy head teacher be absent along with the head of centre the Assistant head teacher Mr Simon Chadwick will oversee all decision making relating to examinations with the assistance of associate members of the Senior Leadership team listed in this document.

- 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 are maintained throughout an examination series
- Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the Exams Officer.
- Ensures that a teacher, tutor or a senior member of centre staff who teaches the subject being examined, is not an invigilator during an examination.

Delivery of qualifications

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

Public liability

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

Security of assessment materials

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



- the location of the centre's secure storage facility in a secure room solely assigned to examinations for the purpose of administering secure examination materials
- appropriate arrangements are in place to ensure that confidential materials are only handed over to authorized members of centre staff
- access to the secure room and secure storage facility is restricted to the authorized two to six keyholders (ensuring only persons authorized by the head of centre and the exams officer are allowed access to the centre's secure storage facility as one of the two to six key holders)
- the relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk
- that arrangements are in place to check that the correct question paper packets are opened by authorized members of centre staff
- Implements procedures to receive, check and store question papers and examination material safely and securely at all times and for as long as required in accordance with the current JCQ publication Instructions for conducting examinations
- Implements procedures to receive and issue material received from the awarding bodies to staff and candidates, and notify them of any advice and instructions relevant to the examinations and assessments
- Allows candidates access to relevant pre-release materials on, or as soon as possible after, the date specified by the awarding bodies
- Obtains written approval from the relevant awarding body before permitting a third party to deliver any part of a qualification including assessments
- Through taking an ethical approach and working proactively to avoid malpractice among students and staff takes all reasonable steps to prevent the occurrence of any malpractice/maladministration before, during the course of and after examinations have taken place
- Ensures irregularities are investigated and informs the awarding bodies of any cases of alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, are reports this to the awarding body immediately
- Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place (allowing the senior leadership team to act immediately in the event of an emergency or staff absence)



Exam contingency plan

Appendix – Exam contingency plan

“It is the responsibility of the head of centre to ensure that his/her centre...has 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 staff absence. The examination contingency plan must be available for inspection purposes;

(The examination contingency plan should also reinforce procedures in the event of the centre being unavailable for examinations or on results day owing to an unforeseen emergency.)”

- Ensures relevant internal appeals procedures are in place and these are communicated to candidates and (where relevant) their parents/carers

Internal appeals procedures

Appendix – Internal appeals procedure

“The centre will... have in place and be readily 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...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.”

“The centre will... have available for inspection purposes and draw to the attention of candidates and their parents/carers, a written internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support a clerical check, a review of marking, a review of moderation or an appeal...”

- Ensures the centre’s equalities policy demonstrating the centre’s compliance with relevant legislation is in place and details the processes followed in respect of identifying the need for, requesting and implementing access arrangements



Equalities policy

It is the responsibility of the **head of centre** to ensure that his/her centre... has in place the following policies available for inspection... a written equalities policy

...delivers qualifications, as required by the awarding body, in accordance with relevant equality legislation. This includes but is not limited to ensuring that qualifications are made available to all candidates capable of undertaking them and seeking reasonable adjustments for disabled candidates

The head of centre/senior leadership team will... recognise its duties towards disabled candidates, including private candidates, as defined under the terms of the Equality Act 2010†. This **must** include a duty to explore and provide access to suitable courses, through the access arrangements process submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates;

or any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect (GR 5.3, 5.4)

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

Complaints and appeals procedure

Complaints policy can be found on the school's website and on network.

"The centre will... draw to the attention of candidates and their parents/carers their written complaints and appeals procedure which will cover general complaints regarding the centre's delivery or administration of a qualification."

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



Child protection/safeguarding policy

Child protection/safeguarding policy can be found in the policies folder of the Academy shared network.

“It is the responsibility of the head of centre to ensure that his/her centre... has in place a written child protection/safeguarding policy, including Disclosure and Barring Service (DBS) clearance, which satisfies current legislative requirements...”

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

Data protection policy

GDPR/Data protection policy can be found in the policies folder on the Academy shared network.

“The General Regulations cover...obligations arising from current data protection, equality and freedom of information legislation. However, the general regulations are not intended to be relied upon to ensure compliance with the legislation (Section 6).

A centre will have confirmed its readiness to adhere to these regulations when first approved as a centre (see Section 3, page 4).”

“The centre will...ensure that all candidate data where required by the awarding body has been supplied to the awarding bodies within the terms of the General Data Protection Regulation, the Data Protection Act 2018 and the Freedom of Information Act 2000, and that candidates have been properly informed that this data has been transferred to the awarding bodies (see section 6, page 23, for more information

Legislation on sharing information

Under the principles of the General Data Protection Regulations 2018 and the Data Protection Act 2018, children and young adults can assume control over their personal information and restrict access to it from the age of 13. Suggesting candidates’ consent should be sought to share results or other exams-related information with a third party.

Other legislation and guidance may need to be considered regarding sharing information with parents, as example information from the DfE for schools regarding parental responsibility and school reports on pupil performance: Understanding and dealing with issues relating to parental responsibility

www.gov.uk/government/publications/dealing-with-issues-relating-to-parental-responsibility/understanding-and-dealing-with-issues-relating-to-parental-responsibility



School reports on pupil performance www.gov.uk/guidance/school-reports-on-pupil-performance-guide-for-headteachers

Publication of exam results

Refer to ICO (Information Commissioner's Office) [Schools, universities and colleges](#) information and [Exam results](#)

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

Conflicts of interest

- Ensures the relevant awarding bodies are informed of any Conflict of Interest where
- a member of centre staff is taking a qualification at the centre which includes internally assessed components/units (taking at the centre as a last resort where unable to find an alternative centre)
- a candidate is being taught and prepared for a qualification which includes internally assessed components/units by a member of centre staff with a personal connection to the candidate
- Maintains records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected by the above, and where
- a member of exams office staff has a personal connection to a candidate being entered for exams and assessments at the centre or at another centre
- a member of centre staff is taking a qualification at the centre which does not include internally assessed components/units (taking at the centre as a last resort where unable to find an alternative centre)
- a member of centre staff is taking a qualification at another centre
- Ensures other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials are briefed on the requirements for maintaining the integrity and confidentiality of the exam materials
- Ensures members of centre staff do not forward e-mails and letters from awarding body or JCQ personnel without prior consent to third parties or upload such correspondence onto social media sites and applications
- Staff complete an annual declaration regarding any conflict of interests, by completing a Microsoft form. <http://tinyurl.com/5h7jb9r5>
- Measures taken to mitigate any potential risk to the integrity of the qualifications are recorded on the Conflicts of interest log.



Centre inspections

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

Exams Officer

- Understands the contents of annually updated JCQ publications including:
- General Regulations for Approved Centres
- Instructions for Conducting Examinations
- Suspected Malpractice - Policies and Procedures
- Post-results services (PRS)
- A guide to the special consideration process
- Completes/submits the National Centre Number Register annual update (administered on behalf of the JCQ member awarding bodies by OCR <https://ocr.org.uk/administration/ncn-annual-update/>) by the end of October each year
- Is familiar with the contents of annually updated information from awarding bodies on administrative procedures, key tasks, key dates and deadlines
- Ensures key tasks are undertaken and key dates and deadlines met
- Recruits, trains and deploys a team of internal/external invigilators; appoints lead invigilators, as required and keeps a record of the content of training provided to invigilators for the required period
- Works with the ALS lead/SENCo to ensure invigilators supervising access arrangement candidates and those acting as a facilitator supporting access arrangement candidates fully understand the respective role and what is and what is not permissible in the exam room
- Supports the head of centre in ensuring that awarding bodies are informed of any Conflict of Interest declared by members of centre staff and in maintaining records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected before the published deadline for entries



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

Senior Leaders

- Are familiar with the contents, refer to and direct relevant centre staff to annually updated
- JCQ publications including:
 - General Regulations for Approved Centres
 - Instructions for Conducting Examinations
 - Access Arrangements and Reasonable Adjustments
 - Suspected Malpractice - Policies and Procedures
- Instructions for conducting non-examination assessments (and the instructions for conducting coursework)
- A guide to the special consideration process

Additional Learning Support (ALS) lead/special education needs co-ordinator (SENCo)

- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ
- publications including:
 - Access Arrangements and Reasonable Adjustments
- Leads on the access arrangements and reasonable adjustments process (referred to in this policy as 'access arrangements')
- 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

Senior Leaders

- Ensure teaching staff undertake key tasks, as detailed in this policy, within the exams process (exam cycle) and meet internal deadlines set by the exams officer and the ALS lead/SENCo
- Ensure teaching staff keep themselves updated with awarding body subject and teacher- specific information to confirm effective delivery of qualifications
- Ensure teaching staff attend relevant awarding body training and update events

Teaching Staff



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

Invigilators

- Attend/undertake training, 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 exams officer in the receipt and dispatch of confidential exam materials and follow the requirements for maintaining the integrity and confidentiality of the exam materials

Site Staff

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

Candidates

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

The Exam Cycle

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

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

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

Planning: roles and responsibilities

Information Sharing

Head of centre



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

Exams officer

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

Information Sharing

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 exam plan of key tasks and key dates to ensure all external deadlines can be effectively met; informs key centre staff of internal deadlines
- Collects information on internal exams to enable preparation for and conduct of (insert the titles these internal exams are referred to in the centre)

Senior leaders

- Respond (or ensure teaching staff respond) to requests from the exams officer on information gathering
- Meet the internal deadline for the return of information
- Inform the exams officer of any changes to information in a timely manner 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 there is appropriate accommodation for candidates requiring access arrangements in the centre for all examinations and assessments
- Ensures a written process is in place to not only check the qualification(s) of the appointed assessor(s) but that the correct procedures are followed as per Chapter 7 of the JCQ publication Access Arrangements and Reasonable Adjustments
- Ensures the ALS lead/SENCo is fully supported in effectively implementing access arrangements and reasonable adjustments once approved



ALS lead/SENCo

- Assesses candidates (or works with the appropriately qualified assessor as appointed by the head of centre) to identify access arrangements 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** of an affected candidate
- Determines candidate eligibility for arrangements or adjustments that are centre-delegated
- Gathers signed **Personal data consent, Privacy Notice (AAO) and Data Protection confirmation** forms (from candidates where required)
- Applies for **approval through Access arrangements online (AAO)** via the **Centre Admin Portal (CAP)**, where required or through the awarding body where qualifications sit outside the scope of AAO
- Keeps a file for each candidate for JCQ inspection purposes containing all the required documentation (if documentation is stored electronically, an e-folder must be created for each individual candidate. The candidate's e-folder must hold each of the required documents for inspection)
- Employs good practice in relation to the Equality Act 2010
- Liaises with the exams officer regarding exam time arrangements for access arrangement candidates
- Ensures staff appointed to facilitate access arrangements for candidates are appropriately 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 exams officer 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



- Provides and annually reviews a centre policy on the use of word processors in exams and assessments

The SENCo must make their decision based on:

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

For example, in the case of separate invigilation, the candidate's difficulties are established within the centre (see Chapter 4, paragraph 4.1.4) and known to a Form Tutor, a Head of Year, the SENCo or a senior member of staff with pastoral responsibilities.

Separate invigilation reflects the candidate's normal way of working in internal school tests and mock examinations as a consequence of a long-term medical condition or long term social, mental or emotional needs. (AA 5.16)

The SENCo, or an equivalent member of staff within a FE college, must ensure that the proposed access arrangement does not disadvantage or advantage the candidate. (AA 4.2.1)

A candidate may only take their examinations under separate invigilation within the centre where he/she has **an established difficulty** - see **section 5.16** of the JCQ publication *Access Arrangements and Reasonable Adjustments...*

Where candidates are subject to separate invigilation within the centre, the regulations and guidance within this booklet must always be adhered to. This is particularly so in relation to accommodation and invigilation arrangements (see sections 11 and 12). (ICE 14)

In certain circumstances, a candidate with 'an established difficulty' may be eligible to take exams under separate invigilation. Centres may also receive requests from candidates (and/or parents/carers) to take their exams under separate invigilation (in a separate room with 1:1 invigilation). Having a documented policy ensures:

- the criteria for candidates granted separate invigilation within the centre is clear and complies with JCQ regulations
- the centre can demonstrate the policy if asked/challenged by a candidate (and/or parent/carer)

It may also be useful to include within this, the centre's policy for candidates seated in a 'small' room, 'access arrangements' room etc. (i.e. taking exams separate to the main cohort)

Word Processor Policy (Exams)

Please see **appendix** for word processor policy

Separate Invigilation Policy

Please see **appendix** for Separate invigilation policy

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



Senior leaders, Teaching staff

- Support the ALS lead/SENCo in determining and implementing appropriate access arrangements
- Provide a statement for inspection purposes 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 and non-examination assessments

- Ensures arrangements are in place to co-ordinate and standardize all marking of centre-assessed components and ensures that candidates' centre-assessed work is produced, authenticated and marked, or assessed and quality assured in accordance with the awarding bodies' instructions (including where relevant, private candidates)
- Ensures that teaching staff, in accordance with awarding bodies' instructions, return all subject-specific forms by the required date
- Provides fully qualified teachers to mark non-examination assessments
- Ensures an internal appeals procedure relating to internal assessment decisions is in place for a candidate to appeal against and request a review of the centre's marking (see Roles and responsibilities overview)
- Ensures a non-examination assessment policy is in place for GCE and GCSE qualifications which include components of non-examination assessment (For CCEA GCSE centres this would be a controlled assessment policy)

Please see Appendix for NEA policy

"The centre will...have in place and be available for inspection purposes, a written policy with regard to the management of GCE and GCSE non-examination assessments; (For CCEA GCSE centres this would be a written controlled assessments policy.)"

"The JCQ requires each centre to have a non-examination assessment policy in place:

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

Ensures any irregularities relating to the production of work by candidates are investigated and dealt with internally if discovered prior to a candidate signing the authentication statement (where required) or reported to the awarding body if a candidate has signed the authentication statement



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, standardization and verification processes are in place

Head of faculty

- Ensure teaching staff delivering AQA Applied General qualifications, OCR Cambridge Nationals, Entry Level Certificate or Project qualifications (and CCEA GCE unitized AS and A-level qualifications WJEC GCE legacy AS and A-level Health & Social Care) follow JCQ Instructions for conducting coursework and the specification provided by the awarding body
- Ensure teaching staff delivering GCE & GCSE specifications (which include components of non-examination assessment) follow JCQ Instructions for conducting non-examination assessments and the specification provided by the awarding body
- For other qualifications, ensure teaching staff follow appropriate instructions issued by the awarding body
- Ensure teaching staff inform candidates of their centre assessed marks as a candidate may request a review of the centre's marking before marks are submitted to the awarding body

Teaching staff

Ensure appropriate instructions for conducting internal assessment are followed

Ensure candidates are aware of JCQ and awarding body information for candidates on producing work that is internally assessed (coursework, non-examination assessments, social media) prior to assessments taking place

Ensure candidates are informed of their centre assessed marks as a candidate may request a review of the centre's marking before marks are submitted to the awarding body.

Exams officer

- Recruits additional invigilators where required to effectively cover all exam periods/series throughout the academic year
- Collects information on new recruits to identify if they have invigilated previously and if any current maladministration/malpractice sanctions are applied to them
- Provides training for new invigilators on the instructions for conducting exams and an annual update for the existing invigilation team so that they are aware of any changes in a new academic year before they are allocated to invigilate an exam
- Ensures invigilators supervising access arrangement candidates understand their role (and the role of a facilitator who may be supporting a candidate) and the rules and regulations of the access arrangement(s)



- Ensures invigilators are briefed on the access arrangement candidates in their exam room and made aware of the access arrangement(s) awarded (ensuring these candidates are identified on the seating plan) and confirms invigilators understand what is and what is not permissible
- Collects evaluation of training to inform future events

Entries: roles and responsibilities

Estimated entries

Exams officer

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

Estimated entries collection and submission procedure

Information gathering forms are sent to all head of faculties in September and estimated entries submitted via secure exam board websites directly.

Makes candidates aware of the JCQ Information for candidates – Privacy Notice at the start of a vocational qualification or when entries are being processed for a general qualification

Head of department

- Provides information requested by the exams officer to the internal deadline
- Informs the exams officer immediately of any subsequent changes to information

Final entries

Exams officer

- Requests final entry information from head of faculties in a timely manner to ensure awarding
- body external deadlines for submission can be met
- Informs head of faculties of subsequent deadlines for making changes to final entry information without charge
- Confirms with head of faculties final entry information that has been submitted to awarding bodies
- Ensures as far as possible that entry processes minimize the risk of entries or registrations being missed reducing the potential for late or other penalty fees being charged by awarding bodies
- Observes each awarding body's terms and conditions for the entry and withdrawal of candidates for their examinations and assessments



Final entries collection and submission procedure

Entries are collected via MIS examination sheets. Internal deadlines are set and all entries submitted via A2C directly too examination boards.

Senior Leaders

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

Entry fees

Exam entry budget is managed by the Examinations Officer and entry fees are received and processed via invoices and the centres finance officer. Late entry fees are re charged to departments if the late entry is requested by specific departments. Exam entry administration late entry fees are charged to the examination budget.

Late entries

Exams officer

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

Senior Leaders

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

Re-sit entries

Resit entry fees are charged to the Exam budget in centre.

Private candidates

The centre is closed to private candidates



Teaching staff

- Identify any affected candidates to the exams officer prior to the internal deadline set by the exams officer

Candidate statements of entry Exams

- Provides candidates with statements of entry for checking

Teaching staff

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

Candidates

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

Pre-exams: roles and responsibilities

Access arrangements

ALS Lead/SENCo

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



Briefing candidates

Exams officer

- Issues individual exam timetable information to candidates and informs candidates of any contingency day awarding bodies may identify in the event of national or local disruption to exams
- Prior to exams issues relevant JCQ information for candidate's documents
- 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
 - wrist watches in exam rooms
 - when and how results will be issued and the staff that will be available
 - the post-results services and how the centre deals with requests from candidates
 - when and how certificates will be issued

Dispatch of exam scripts

Exams Officer

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

Estimated grades

Senior leaders

- Ensures teaching staff provide estimated grade information to the exams officer by the internal deadline (where this still may be required by the awarding body).

Exams officer

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



Internal assessment and endorsements

Head of centre

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

ALS Lead/SENCo

- 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

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

Exams officer

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

Candidates

- Authenticate their work as required by the awarding body



Invigilation

Exams Officer

- Provides thorough training on the current JCQ regulations for any new invigilators and for those facilitating an access arrangement for a candidate under exam condition.
- Provides training to new invigilators on appointment and updates experienced invigilators annually.
- Invigilators are to be tested to ensure competence and understanding of the regulations. The training is currently provided through the exams office, and certificates are downloaded and kept within a training folder.
- Additional training is provided by the exams officer by way of a PowerPoint, highlighting all the key areas of change within the JCQ regulations. A record of attendance will be kept.
- Invigilators are to be deployed effectively to exam rooms throughout an exam series ensuring JCQ regulations encompassing student to staff ratios are adhered to.
- A roving invigilator may be deployed where a candidate and invigilator [acting as a practical assistant, reader or scribe] are accommodated on a 1:1 basis, entering the room at regular intervals in order to observe and ensure all relevant rules are being adhered to and supporting the practical assistant/reader and/or scribe in maintaining the integrity of the exam.
- Liaises with the SENCo regarding the facilitation and invigilation of access arrangement candidates
- Only in exceptional circumstances will a teaching assistant or a learning support assistant who has supported a candidate act as an invigilator. However, they may not be the sole invigilator.

SEnCo

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

Invigilators

- Provide information as requested on their availability to invigilate throughout an exam series
- Be familiar with the JCQ regulations
- Engage in training as required to carry out their duties competently
- Give all their attention to conducting the examination properly
- Always be able to see each candidate in the examination room
- Inform the exams officer or head of centre if they have concerns regarding the security of the question papers
- Must not carry out any other non-examination related tasks in the exam room. This also extends to reading the question paper.



JCQ Inspection visit

Exams officer or Senior leader

Exams officer or Senior leader

- Will accompany the Inspector throughout the visit

“It is the responsibility of the head of centre to ensure that his/her centre allows all venues used for examinations and assessments, paperwork and secure storage facilities to be open to inspection. (JCQ Centre)

Inspectors will identify themselves with a photo ID card.) The Inspector must be accompanied throughout his/her tour of the premises, including inspection of the centre’s secure storage facility”

SENCo or relevant Senior leader (in the absence of the SENCo)

- Will meet with the inspector when requested to provide documentary evidence regarding access arrangement candidates and address any questions, the inspector may raise



Seating and Identifying candidates in exam rooms

Exams officer

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

Candidate Identification Procedure

Students are required to meet before every external exam in the T4 corridor, where an initial attendance register is taken by a member of the SLT team. The identified absentees are communicated to the exams officer and the lead invigilators. Further attendance registers are taken once the candidates have entered their exam room. SLT will also verify first check of identity.

Each student will have a desk card unique to the candidate with Photograph, DoB, UCI and Candidate number. Lead invigilator will check each desk card correlates to the official attendance register for the specific exam/s.

Anomalies will be raised upon checking process and SLT and exams officer will resolve.

A private/external or a transferred candidate who is not known to the school or college must show photographic documentary evidence to prove that he/she is the same person who entered/registered for the examination/assessment, e.g. passport

Where it is impossible to identify a candidate due to the wearing of religious clothing, such as a veil, the candidate should be approached by a member of staff of the same gender and taken to a private room where they should be politely asked to remove the religious clothing for identification purposes. Candidates will be informed of this process in advance of this procedure and well before their first examination.

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

Invigilators

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

Security of exam materials

Exams Officer

- Confirms appropriate arrangements are in place to ensure that confidential materials are only
- handed over to those authorized by the head of centre



- Ensures only persons authorized by the head of centre and the exams officer are allowed access to the centre's secure storage facility as one of the two to six key holders
- 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
- Ensures the secure storage facility contains only current and live confidential material (ensuring that past examination question papers, internal tests and mock examinations are not kept in the centre's secure storage facility)
- Ensures that examination stationery, e.g. answer booklets and formula booklets are stored in the secure room (attempting to store this material in the secure storage facility, when sufficient space allows)
- Ensures the integrity and security of any electronic question paper is maintained during the downloading, printing and collating process (ensuring printing is carried out in an area that can be controlled to prevent unauthorized personnel accessing live assessment materials and ensuring only authorised members of centre staff have access to electronic question papers) exams officer

Reception staff

- Follow the process to log confidential materials delivered to/received by the centre to the point materials are issued to authorized staff for placing in 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 in rare and exceptional circumstances and as a last resort)
- Identifies exam rooms and specialist equipment requirements
- Allocates invigilators to exam rooms (or where supervising candidates due to an exam timetable clash) according to required ratios
- Liaises with site staff to ensure exam rooms are set up according to JCQ and awarding body requirements
- Liaises with the SENCo regarding rooming of access arrangement candidates



ALS Lead/SENCo

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

Site staff

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

Alternative site arrangements

Exams officer

- Ensures 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 by submitting a JCQ Alternative Site arrangement notification through CAP (or through the awarding body where a qualification may sit outside the scope of CAP) of any alternative sites that will be used to conduct timetabled examination components of the qualifications listed in the JCQ regulations

Centre consortium arrangements

Exams officer

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

Senior leaders

- Informs the exams officer of any joint teaching arrangements in place and where the centre is acting as the consortium coordinator

Transferred candidate arrangements

Exams officer

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



Internal exams

Exams officer

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

ALS Lead/SENCo

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

Teaching staff

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

Exam time: roles and responsibilities

Access arrangements

Exams officer

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

Candidate absence

Candidate absence policy

Attendance is checked prior to an examination in the meeting area of the T4 corridor by members of SLT. Attendance registers are provided for this purpose for every individual exam by Exams office staff. Any absent candidates at this point are called and chased by attendance officer and SLT and exams officer.

Official attendance register is then taken by exams officer or Lead Invigilator once student are escorted into the exam room by SLT members. Any absent students are chased immediately by SLT and exams officer.



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

Candidates behaviour

- Candidates not to talk to or try to communicate with, or disturb other candidates
- Exam conditions are effective on entrance to the exam room,
- Candidates must not write inappropriate, obscene or offensive material on their exam script.
- Candidates must not write on their hands or any other body part.
- Candidates must not become involved in any unfair or dishonest practice in any part of the exam
- Candidates must sit in their designated seat
- Candidates must follow the instruction of the invigilator
- Candidates are to only use the equipment provided
- Candidates are not to use correcting pens, fluid or tape, erasable pens, highlighters or gel pens in your answers.

Candidate belongings

- Candidates must not take into the exam room:
- bags
- notes;
- an iPod, a mobile phone, a MP3/4 player, headphones or similar devices
- All watches must be removed whether digital, smart or traditional
- Any pencil cases taken into the exam room must be see-through.
- Any essential medication will need to be placed in a clear pouch, labelled and handed to the invigilator, where this will be kept at the front of the exam room in preparation of need.
- Water bottles are allowed however, these must be in a clear bottle free from writing, with only clear fluid all labels must be removed
- Possession of unauthorised material is breaking the rules, and will constitute malpractice. The examining body will be informed on completion of the exam



Candidate late arrival

Exams officer

- Ensures that candidates who arrive very late for an exam are reported to the awarding body through CAP to timescale
- Warns candidates that their work may not be accepted by the awarding body

Invigilators

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

Candidate late arrival policy

- The centre deals with late/very late arrivals in a structured manner. Attendance is checked twice before the examination commences to ensure any late arrivals are minimised.
- If a student is absent and is unable to be contacted. SLT members and attendance officer will telephone/attempt contact immediately to ensure the student arrives within 1 hour of the published start time.
- All candidates are briefed by way of exams booklet the procedures if they arrive late. Candidates are informed that if they arrive late but within 1 hour of the published start time of the examination they will sit the exam as normal with the full time and the exam will be sent off but exam boards will need to be notified.
- The candidates are also notified by way of booklet and assemblies that if they arrive 1 hour or over after the published exam start time they will be permitted to sit the exam but will not be guaranteed that the exam will be marked or processed. Exam boards will be notified and the appropriate documentation completed to send to the exam boards.

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



Exams papers and materials

Exams officer

- Organizes exam question papers and associated confidential resources in date order in the secure storage facility
- Attaches erratum notices received to relevant exam 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 confirm the correct question paper packets are opened by ensuring an additional member of centre staff, e.g. an invigilator, checks the day, date, time, subject, unit/component and tier of entry, with the exams officer, immediately before a question paper packet is opened ensuring the 'second pair of eyes' paperwork is checked and signed. Additionally, adopt an 'eyes and ears' approach.
- One person reads the information from the question paper packet to the second. This mitigates the risk that people read what they expect
- If it is subsequently identified following the 'second pair of eyes' checks that the wrong question paper packet has been opened, it must be resealed. The incident must be reported to the relevant awarding body's Malpractice Investigation Team immediately by the exams officer
- All question paper packets should be opened in designated exam rooms, unless papers need to be split into more manageable sizes. This process must be undertaken in the secure store and both packets need to be resealed
- The question papers extracted from the packet must be sealed in a non-transparent envelope.
- Papers should not be taken from the secure room any earlier than 60 minutes prior to the awarding bodies published starting time, unless the papers are need to be transported to an alternative site and it would then be possible to open the packets 90 mins prior to the published starting time
- When a paper needs to be scanned or photocopied the exams officer or an authorised staff member must take the paper in a sealed non-transparent envelope, to be copied and then returned to the secure store with the original.
- Where allowed by the awarding body, only release exam papers and materials to teaching departments for teaching and learning purposes after the published finishing time of the exam, or until any timetable clash candidates have completed the exam.
- Ensures invigilation team do not leave the question papers unattended.
- If a candidate requires a question paper on coloured paper and/or enlarged from A4 to A3 a PDF copy should be downloaded from the appropriate exam board no earlier than 90 mins before the awarding body's published starting time.
- A reader and/or scribe is not allowed access to the question paper prior to the start time to prepare

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

Dispatch of exam scripts

Exams officer

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

Food and drink in exam rooms

Only water is permitted in exam rooms in a clear plastic bottle with a sports cap. All labelling needs to be removed. Exception may be considered for medical purposes, and these items will be held at the front of the exam room in a clear plastic wallet with the students name clearly marked. The candidate will need to request these items from an invigilator and if required be accompanied out of the exam room to eat or drink if necessary.

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
- Ensures invigilators understand how to deal with candidates who may need to leave the exam room temporarily
- Provides authorised exam materials which candidates are not expected to provide themselves
- Ensures invigilators and candidates are aware of the emergency evacuation procedure
- Ensures invigilators are aware of arrangements in place for a candidate with a disability who may need assistance if an exam room is evacuated



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

Emergency Evacuation Policy

Appendix – Emergency evacuation procedures

“...Reference should also be made to the following document - <https://www.gov.uk/government/publications/bomb-threats-guidance/procedures-for-handling-bomb-threats> ...You must have a written centre policy for dealing with an emergency evacuation of the examination room, which will be subject to inspection by the JCQ Centre Inspection Service.” [ICE 25]

Site staff

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

Invigilators

- Conduct exams in every exam room as instructed in training/update events and briefing sessions

Candidates

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

Irregularities

Head of centre

- Ensures (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

Managing behaviour

Senior leaders

- Ensure support is provided for the exams officer and invigilators when dealing with disruptive
- Candidates in exam rooms



- Ensure that internal disciplinary procedures relating to candidate behaviour are instigated, when appropriate

Exams officer

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

Invigilators

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

Malpractice

See appendix for policy

Special consideration

Senior leaders

- Provide signed evidence to support eligible applications for special consideration

Exams officer

- Processes eligible applications 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

Unauthorised items

Arrangements for unauthorised items taking into the exam room

In the examination room candidates must not have access to items other than those stated in the instructions on the question paper, the stationery list or the specification for that subject.

Potential technological/web enabled sources of information such as... are not permitted... ideally, all unauthorised items are left outside of the examination room... any pencil cases taken into the examination room must be see-through... any unauthorised items that have been taken into the examination room must be placed out of reach of the candidates (and not under their desks) before the examination starts. This would normally be at the front of the examination room or a similar arrangement that enables the invigilator to control access to the items... If candidates have access to unauthorised items in the examination room this may be considered as malpractice. They could be subject to penalties in accordance with the JCQ publication *Suspected Malpractice in Examinations and Assessments: Policies and Procedures...*



Invigilators

- Are informed of the arrangements through training

Internal exams

Exams officer

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

Invigilators

- Conduct internal exams as briefed by the exams officer

Results and post-results: roles and responsibilities

Internal assessment

Head of department

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

Managing results day(s)

Senior leaders

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

Exams officer

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

Site staff

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



Accessing results

Head of centre

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

Exams officer

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

Post-results services

Head of centre

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

Exams officer

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



Teaching staff

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

Candidates

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

Analysis of results

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

Certificates

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

Candidates

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

Retention of certificates policy

Retention of certificates are in line with JCQ and awarding bodies guidelines.

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 staff, candidates and invigilators to inform an exams review

Senior leaders



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

Retention of records: roles and responsibilities

Exams officer

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

Exams archiving policy

Appendix – Exams archiving policy



Exam Contingency Plan

Approved by	Next Review
M Midgley	March 2026

This plan is reviewed annually to ensure compliance with current regulations



Key staff involved in contingency planning

Role	Name(s)
Head of centre	Mark Midgley
Exams officer line manager (Senior leader)	Jo Biglands
Exams officer	Jonathan Norman
ALS Lead/SENCo	Jo Biglands
Senior Leaders	J Biglands – Deputy Headteacher (Acting SENCo)
	C Marshallsay – Associate Deputy
	Jack Hostead – Pastoral and Behaviour Lead



Purpose of the plan

This plan examines potential risks and issues that could cause disruption to the exams process at Caistor Yarborough Academy. 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.

Alongside internal processes, this plan is informed by the Exam system contingency plan: England, Wales and Northern Ireland which provides guidance in the publication What schools and colleges and other centres should do if exams or other assessments are seriously disrupted.

This plan also confirms Caistor Yarborough Academy is compliant with the JCQ regulation (section 5.3, General Regulations for Approved Centres 2022 - 2023) that the centre has 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 staff absence. The examination contingency plan should reinforce procedures in the event of the centre being unavailable for examinations, or on results day, owing to an unforeseen emergency.

Possible causes of disruption to the exam process

1. Exam officer extended absence at key points in the exam process (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 the post-results services

Centre actions to mitigate the impact of the disruption

- Lead Invigilator fully trained in Exams processes and procedures. Appropriate cascading of tasks with overview from Deputy Headteacher (exams officer Line Manager) who has a sound knowledge of process.
- Further collaboration with exams officer's in local networks who can assist with any urgent and complex queries.

2. ALS Lead/SENCo extended absence at key points in 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
- 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

- External agencies used and deputy SENCo to cover any administration tasks.

3. Teaching staff extended absence at key points in 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 to mitigate the impact of the disruption

- Appropriate line management structure with cascading of tasks within departments.
- External qualified subject specific approved agencies used. Portfolio of specific subject expert cover teaching staff.
- Effective senior leadership team

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

5. Exam rooms – lack of appropriate rooms or main venues 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 to mitigate the impact of the disruption

- Priority system of rooming of examinations in centre.
- Effective SLT and cover systems in place to ensure rooms are available on site.

6. Failure of IT Systems

Criteria for implementation of the plan

- MIS system failure at final entry deadline
- MIS system failure during exams preparation
- MIS system failure at results release time

Centre actions to mitigate the impact of the disruption

- Cloud based MIS system which allows entries to be undertaken remotely using secure remote logons for key members of exams and senior leadership team.

7. Emergency evacuation of the exam room (or centre lock down)

Criteria for implementation of the plan

- Whole centre evacuation (or lock down) during exam time due to serious incident resulting in exam candidates being unable to start, proceed with or complete their exams

Centre actions to mitigate the impact of the disruption

- Centre Examination staff to ensure all candidates and staff follow the lock down procedure for centre.
- Examinations officer will ensure candidates are evacuated according to the lock down procedures but are held under exam conditions in the assigned evacuation area until



the situation has been resolved and either the examination can be restarted and completed. Examination boards will be notified and advice sought from the relevant examination boards and other agencies regarding special consideration etc.

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 to mitigate the impact of the disruption

- Centre has an online teaching portal Doodle and Microsoft teams which allows for classwork, assessment and homework to be uploaded remotely by teaching staff or all students. Laptops are available to students who do not have a laptop at home.

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 to mitigate the impact of the disruption

- Head of centre will contact examining bodies and parents/carers. Alternative arrangements will be sort immediately or as soon as possible.

10. Centre unable to open as normal during the exams 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 to mitigate the impact of the disruption



- Head of centre and Examinations Officer will contact parents/carers and examinations boards immediately to discuss possible options for centre candidates.
- Caistor Town Hall caretaker to be contacted to ensure provision is available to use facilities.

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 to mitigate the impact of the disruption

- Exams officer and Head of centre to arrange delivery of exam scripts where possible during office hours during term time. Centre is open for deliveries every day throughout the academic year. Designated Exams assistant who is an exams office key holder to secure storage works throughout holidays and during full office hours to cover all deliveries.

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 to mitigate the impact of the disruption

- Centre will hold any uncollected script packets in secure storage until Parcelforce can collect ASAP. exams officer will inform examination board.
- Exams officer will arrange to deliver the examination script packets to the closest Parcelforce depot directly to enable prompt delivery of scripts to examiners. Examination boards will be notified and despatch logs will be completed by Parcelforce depot.

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 to mitigate the impact of the disruption

- Scripts are processed and packaged ASAP after the completion of examination. Exam scripts are stored in secure store until collection via Parcelforce.
- Special consideration procedures will apply for any damage or destruction caused in centre of script or assessment evidence.

14. Centre unable to distribute results as normal

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 to mitigate the impact of the disruption

- Results can be downloaded and processed using remote secure cloud-based systems. Exam staff and IT Manager with specific access to systems in order to minimise risk.

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 to mitigate the impact of the disruption

Results can be downloaded and processed using remote secure cloud-based systems. Exam staff and IT Manager with specific access to systems in order to minimise risk.

15. Centre secure store compromised due to external site development

Criteria for implementation of the plan

- Centre is unable to store exam papers in the secure store, due to essential remedial works.

Centre actions to mitigate the impact of the disruption

- Exam materials to be stored in the Finance safe, access is restricted to 2 keyholders only.



Further guidance to inform procedures and implement contingency planning

Ofqual

What schools and colleges and other centres should do if exams or other assessments are seriously disrupted

Contingency planning

You should prepare for possible disruption to exams and other assessments as part of your emergency planning and make sure your staff are aware of these plans.

When drafting contingency plans, you should consider the following guidance...

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.

Steps you should take

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.

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 parents, 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.

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 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.

Steps the awarding organisation should take

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.

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 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.

After the exams

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.



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

If some of the students have been adversely affected by the disruption, you should ask 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.

See also:

- JCQ's guidance on special considerations
- FAB's guidance on special considerations

3. 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.

4. Widespread national disruption

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 exam timetables.

[Ofqual guidance extract 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, updated 30 September 2022

<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



The qualification regulators, JCQ 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/what-schools-and-colleges-should-do-if-exams-or-other-assessments-are-seriously-disrupted>

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.

Centres should prepare plans for any disruption to examinations as part of their general emergency planning. It is important to ensure that relevant centre staff are familiar with the plan. Consideration should be given as to how these arrangements will be communicated to candidates, parents and staff should disruption to examinations occur.

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.

The awarding bodies will designate a 'contingency day' for examinations in summer 2021. This is consistent with the qualification regulators' document Exam system contingency plan: England, Wales and Northern Ireland - <https://www.gov.uk/government/publications/examsystem-contingency-plan-England-wales-and-northern-Ireland>

The designation of a 'contingency day' 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 2021, 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 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 this contingency arrangement so that they may take it into account when making their



plans for the summer. However, the awarding bodies will not insist upon candidates being available throughout the entire timetable period as a matter of course.

JCQ guidance taken directly from JCQ *Instructions for Conducting Examinations 2021 to 2022*

<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>
General Regulations for Approved Centres

<http://www.jcq.org.uk/exams-office/general-regulations>

Guidance on *Alternative Site* arrangements and *Transferred Candidate* arrangements

Accessed through secure login to the Centre Admin Portal (CAP) or through the JCQ training site <http://jqc.training.jcq.org.uk/CAP/Home/Training>

Instructions for Conducting Examinations <http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations>

A guide to the special consideration process <http://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance>

GOV.UK

Emergency planning and response: Severe weather; Exam disruption
www.gov.uk/guidance/emergencies-and-severe-weather-schools-and-early-years-settings

Opening and closing local-authority-maintained schools
www.gov.uk/government/publications/school-organisation-maintained-schools

Dispatch of exam scripts guide: Ensuring the service runs smoothly; Contingency planning
<https://www.gov.uk/government/publications/dispatch-of-exam-scripts-yellow-label-service>

Wales

School closures – examinations gov.wales/school-closures-examinations

Opening schools in extremely bad weather gov.wales/opening-schools-extremely-bad-weather-guidance-schools

Exceptional closure days www.education-ni.gov.uk/articles/exceptional-closure-days

Checklist for Principals when considering Opening or Closure of School www.education-ni.gov.uk/publications/checklist-exceptional-closure-schools

School closures www.nidirect.gov.uk/articles/school-closures



National Counter Terrorism Security Office

Procedures for handling bomb threats

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



Internal Appeals Procedures

2024/2025

Approved by	Next Review
M Midgley	March 2026

This plan is reviewed annually to ensure compliance with current regulations



Key staff involved in internal appeals procedures

Role	Name(s)
Head of centre	Mark Midgley
Senior Leaders	Jo Biglands C Marshallsay J Hostead
Exams officer	J Norman

Appeals against internal assessment decisions (centre assessed marks)

Certain GCSE, GCE and other qualifications contain components of non-examination assessment (or units of coursework) which are internally assessed (marked) by Caistor Yarborough Academy and internally standardised. The marks awarded (the internal assessment decisions) which contribute to the final grade of the qualification are then submitted by the deadline set by the awarding body for external moderation.

This procedure confirms Caistor Yarborough Academy compliance with JCQ's General Regulations for Approved Centres 2022 - 2023 (section 5.7) that the centre will:

- 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
- before submitting marks to the awarding body inform candidates of their centre assessed marks and allow a candidate to request a review of the centre's marking

Deadlines for the submission of marks

See current JCQ and Exam board Guidance

Caistor Yarborough Academy 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.

Caistor Yarborough Academy ensures that all centre staff follow a robust Non-examination Assessment Policy (for the management of GCE and GCSE non-examination assessments). This policy details all procedures relating to non-examination assessments for GCSE,



Vocational and NCFE 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. Caistor Yarborough Academy 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.

Caistor Yarborough Academy will:

1.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.

2.inform candidates that they will need to explain on what grounds they wish to request a review of an internally assessed mark as a review will only focus on the quality of their work in meeting the published assessment criteria. A list of appropriate reasons for appeal can be provided on request.

3.inform candidates that they may request copies of materials (for example, as a minimum, a copy their marked assessment material (work) and the mark scheme or assessment criteria plus additional materials which may vary from subject to subject) to assist them in considering whether to request a review of the centre's marking of the assessment.

4.having received a request for copies of materials, promptly make them available to the candidate (or for some marked assessment materials, such as art work and recordings, inform the candidate that these will be shared under supervised conditions) within 3 calendar days.

5.inform candidates they will not be allowed access to original assessment material unless supervised

6.provide candidates with sufficient time in order to allow them to review copies of materials and reach a decision, informing candidates that if their decision is to request a review they will need to explain what they believe the issue to be

7.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 must be made in writing within 3 calendar days of receiving copies of the requested materials by completing the internal appeals form.

8.allow 3 calendar days 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

9.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



10.instruct the reviewer to ensure that the candidate's mark is consistent with the standard set by the centre

11.inform the candidate 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 who will have the final decision if there is any disagreement on the mark to be submitted to the awarding body. A written record of the review will be kept and made available to the awarding body upon request.

The awarding body will be informed if the centre does not accept the outcome of a review.

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 line with national standards. The mark submitted to the awarding body is subject to change and should therefore be considered provisional.

The procedure is informed by the JCQ publications [Instructions for conducting non-examination assessments](#) (6.1), [Reviews of marking \(centre assessed marks\) suggested template for centres](#). and [Notice to Centres -Informing candidates of their centre assessed marks](#)

Appeals against the centre's decision not to support a clerical re-check, a review of marking, a review of moderation or appeal

This procedure confirms Caistor Yarborough Academy compliance with JCQ's General Regulations for Approved Centres 2022-2023 (section 5.13) that the centre will:

have available for inspection purposes and draw to the attention of candidates and their parents/carers, a written internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support a clerical re-check, a review of marking, a review of moderation or an appeal

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

Candidates are informed of the arrangements for post-results services and the availability of senior members of centre staff immediately after the publication of results

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

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

Reviews of Results (RoRs):

- Service 1 (Clerical re-check)



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

Access to Scripts (ATS):

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

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

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

1. Where a place a university or college is at risk, consider supporting a request for a Priority Service 2 review of marking

2. In all other instances, consider accessing the script by:

- a) (where the service is made available by the awarding body) requesting a priority copy of the candidate's script to support a review of marking by the awarding body deadline or
- b) (where the option is made available by the awarding body) viewing the candidate's marked script online to consider if requesting a review of marking is appropriate

3. Collect informed written consent/permission from the candidate to access his/her script

4. On access to the script, consider if it is felt that the agreed mark scheme has been applied correctly in the original marking and if the centre considers there are any errors in the marking

5. Support a request for the appropriate RoR service (clerical re-check or review of marking) if any error is identified]

6. Collect informed written consent from the candidate to request the RoR service before the request is submitted

7. Where relevant, advise an affected candidate to inform any third party (such as a university or college) that a review of marking has been submitted to an awarding body

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

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



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

Where a candidate disagrees with a centre decision not to support a clerical re-check, a review of marking or a review of moderation, the centre will:

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

If the candidate (or his/her parent/carer) believes there are grounds to appeal against the centre's decision not to support a review of results, an internal appeal can be submitted to the centre by:

completing the internal appeals form at least 10 calendar days prior to the internal deadline for submitting a request for a review of results.

The appellant will be informed of the outcome of his/her appeal before the internal deadline for submitting a RoR.

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

Where the head of centre is satisfied after receiving the RoR outcome, but the candidate (or his/her parent/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** should be completed and submitted to the centre within 14 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 (fees are available from the exams officer). If the appeal is upheld by the awarding body, this fee will be refunded by the awarding body and repaid to the appellant by the centre.



Internal appeals form

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

- ☐ Appeal against an internal assessment decision and/or request for a review of marking
- ☐ Appeal against the centre's decision not to support a clerical re-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	
Qualification type 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

If necessary, continue on an additional page if this form is being completed electronically or overleaf if hard copy being completed

Appellant signature:	Date of signature:
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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

Complaints and appeals log

On receipt, all complaints/appeals are assigned a reference number and logged. Outcome and outcome date are also recorded.

The outcome of any review of the centre's marking will be made known to the head of centre. A written record of the review will be kept and logged as an appeal, so information can be easily made available to an awarding body upon request. The awarding body will be informed if the centre does not accept the outcome of a review – this will be noted on this log.

Ref no.	Date received	Complaint or Appeal	Outcome	Outcome date



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 – informing candidates of their centre assessed marks <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>
- GCE qualification-level conditions and requirements <https://www.gov.uk/government/publications/gce-qualification-level-conditions-and-requirements>



Non-examination assessment policy

2024/2025

Approved by	Next Review
M Midgley	March 2026

This plan is reviewed annually to ensure compliance with current regulations



Key staff involved in internal appeals procedures

Role	Name(s)
Head of centre	Mark Midgley
Quality assurance lead/Lead internal verifier	Leader of Faculty – Creativity - Simon Chadwick Humanities - Ben Curtis English - Tony Edmondson Maths - Cheryl Marshallsay
SLT Members(s)	Jo Biglands – Deputy Head Teacher Cheryl Marshallsay – Associate Deputy Headteacher Simon Chadwick – Assistant Head Teacher Jack Hostead – Safeguarding lead
ALS Lead/SENCo	Jo Biglands (acting)
Exams Officer	Jonathan Norman



What does this policy affect?

This policy affects the delivery of subjects of GCE and GCSE qualifications which contain a component(s) of non-examination assessment.

The regulator's definition of an examination is very narrow and 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'.

[Definition taken directly from the JCQ publication]

[Instructions for conducting non-examination assessments](#)

Purpose of the policy

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

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

The policy will need to cover all types of non-examination assessment.

What are non-examination assessments?

This is explained in NEA.

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.



Procedures for planning and managing non-examination assessments identifying staff roles and responsibilities

The Basic Principles

Head of centre

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 NEA

- Provides a signed declaration 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 NEA
- Ensures the centre's non-examination assessment policy is fit for purpose
- Ensures the centre's internal appeals procedures clearly detail the procedure 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 leaders

- Ensure the correct conduct of non-examination assessments (including endorsements) which comply with NEA and awarding body subject-specific instructions
- Ensure the centre-wide calendar records assessment schedules by the start of the academic year

Quality assurance (QA) lead/Lead internal verifier

- Confirms with subject heads that appropriate awarding body forms and templates for non-examination assessments (including endorsements) are used by teachers and candidates
- Ensures appropriate procedures are in place to internally standardise/verify the marks awarded by subject teachers in line with awarding body criteria
- Ensures appropriate centre-devised templates are provided to capture/record relevant information given to candidates by subject teachers
- Ensures appropriate centre-devised templates are provided to capture/record relevant information is received and understood by candidates
- Where not provided by the awarding body, ensures a centre-devised template is provided for candidates to keep a detailed record of their own research, planning, resources etc.

Subject head/lead

- Ensures subject teachers understand their role and responsibilities within the non-examination assessment process
- Ensures NEA and relevant awarding body subject specific instructions are followed in relation to the conduct of non-examination assessments (including endorsements)



- Works with the QA lead/Lead internal verifier to ensure appropriate procedures are followed to internally standardise/verify the marks awarded by subject teachers

Subject teacher

- Understands and complies with the general instructions as detailed in NEA
- Where these may also be provided by the awarding body, understands and complies 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
- Marks internally assessed work to the criteria provided by the awarding body
- Ensures 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

Exam Officer

- Signposts the annually updated JCQ publication NEA to relevant centre staff
- Carries out tasks where these may be applicable to the role in supporting the administration/management of non-examination assessment

Task Setting

Subject teacher

- Selects 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
- Makes candidates aware of the criteria used to assess their work

Issuing of tasks

Subject teacher

- Determines when set tasks are issued by the awarding body
- Identifies date(s) when tasks should be taken by candidates
- Accesses set tasks in sufficient time to allow planning, resourcing and teaching and ensures that materials are stored securely at all times
- Ensures requirements for legacy specification tasks and new specification tasks are distinguished between

Task taking

Supervision

Subject teacher



- Checks the awarding body's subject-specific requirements ensuring candidates take tasks under the required conditions and supervision arrangements
- Ensures there is sufficient supervision to enable the work of a candidate to be authenticated
- Ensures there is sufficient supervision to ensure the work a candidate submits is their own
- Is confident 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, keeps a record of each candidate's contribution
- Ensures candidates are aware of the current JCQ documents Information for candidates - non- examination assessments and Information for candidates - Social Media
- Ensures candidates understand and comply with the regulations in relevant JCQ documents Information for candidates

Advice and feedback

Subject teacher

- As relevant to the subject/component, advises candidates on relevant aspects before candidates begin working on a task
- Will not provide candidates with model answers or outlines/headings specific to the task
- When reviewing candidates' work, unless prohibited by the specification, provides oral and written advice at a general level to candidates
- Allows candidates to revise and re-draft work after advice has been given at a general level
- Records any assistance given beyond general advice and takes it into account in the marking or submits it to the external examiner
- Ensures when work has been assessed, candidates are not allowed to revise it

Resources

Subject teacher

- Refers to the awarding body's specification and/or associated documentation to determine if candidates have restricted/unrestricted access to resources when planning and researching their tasks
- Ensures conditions for any formally supervised sessions are known and put in place
- Ensures 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
- Ensures conditions for any formally supervised sessions are understood and followed by candidates
- Ensures candidates understand that they are not allowed to introduce improved notes or new resources between formally supervised sessions
- Ensures that where appropriate to include references, candidates keep a detailed record of their own research, planning, resources etc.



Word and time limits

Subject teacher

- Refers to the awarding body's specification to determine where word and time limits apply/are mandatory

Collaboration and group work

Subject teacher

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

Authentication procedures

Subject teacher

- Where required by the awarding body's specification
- ensures candidates sign a declaration confirming the work they submit for final assessment is their own unaided work
- signs the teacher declaration of authentication confirming the requirements have been met
- Keeps 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
- Provides signed candidate declarations where these may be requested by a JCQ Centre Inspector
- Where there may be doubt about the authenticity of the work of a candidate or if malpractice is suspected, follows the authentication procedures and malpractice information in NEA and informs a member of the senior leadership team



Presentation at work

Subject teacher

- Obtains 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
- Instructs candidates to present work as detailed in NEA unless the awarding body's specification gives different subject-specific instructions
- Instructs 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

Keeping materials secure

Subject teacher

- When work is being undertaken by candidates under formal supervision, ensures work is securely stored between sessions (if more than one session)
- When work is submitted by candidates for final assessment, ensures work is securely stored
- Follows secure storage instructions as defined in NEA 4.8
- Takes sensible precautions when work is taken home for marking
- Stores internally assessed work, including the sample returned after awarding body moderation, securely until the closing date for reviews of results or until the outcome of a review or any subsequent appeal has been completed
- Reminds 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 (the JCQ document Information for candidates – social media should be brought to the attention of candidates)
- Liaises with the IT Manager to ensure that appropriate arrangements are in place to restrict access between sessions to candidates' work where work is stored electronically

IT manager

- Ensures appropriate arrangements are in place to restrict access between sessions to candidates' work where work is stored electronically

Task marking – externally assessed components

Conduct of externally assessed work

Subject teacher

- Liaises 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 JCQ Instructions for conducting examinations
- Liaises with the Visiting Examiner where this may be applicable to any externally assessed component



Exams officer

- Arranges timetabling, rooming and invigilation where and if this is applicable to any externally assessed non-examination component of a specification
- Conducts the externally assessed component within the window specified by the awarding body and according to JCQ Instructions for conducting examinations

Submission of work

Subject teacher

- Provides the attendance register to a Visiting Examiner

Exams officer

- Provides the attendance register to the subject teacher where the component may be assessed by a Visiting Examiner
- Ensures 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, ensures the completed attendance register accompanies the work
- Keeps a copy of the attendance register until after the deadline for reviews of results for the exam series
- Packages the work as required by the awarding body and attaches the examiner address label
- Despatches the work to the awarding body's instructions by the required deadline

Task marking – internally assessed components

Marking and annotation

Head of centre

- Ensures where a teacher teaches his/her own child, 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 head/lead

- Sets 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 leader

- Attends awarding body training as required to ensure familiarity with the mark scheme/marking process
- Marks candidates' work in accordance with the marking criteria provided by the awarding body
- Annotates 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
- Informs candidates of their marks which could be subject to change by the awarding body moderation process
- Ensures 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

Quality assurance (QA) lead/Lead internal verifier

- Ensures that internal standardisation of marks across assessors and teaching groups takes place as required and to sequence
- Supports staff not familiar with the mark scheme (e.g. NQTs, supply staff etc.)
- Ensures 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
- Retains evidence that internal standardisation has been carried out

Subject leader

- Indicates on work (or cover sheet) the date of marking
- Marks to common standards
- Keeps 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

Consortium arrangements

Subject head/lead

- Ensures a consortium co-ordinator is nominated (where this may be required as the consortium lead)
- If the consortium lead, liaises with the exams officer to ensure the awarding body is notified by submission of the Centre consortium arrangements for centre-assessed



work (including Spoken Language Endorsements, GCSE English Language) for each exam series affected

- Ensures procedures for internal standardisation as a consortium are followed

Subject teacher

- Provides marks to the exams officer to the internal deadline
- Provides the moderation sample to the exams officer to the internal deadline
- Retains all candidates' work in the consortium until after the deadline for reviews of results for the exam series or until any appeal, malpractice or other results enquiry has been completed, whichever is later

Exams officer

Where the centre is the consortium lead

- submits the notification of Centre consortium arrangements for centre-assessed work via the awarding body's Centre Admin Portal (CAP) to the deadline for each exam series affected
- submits marks to the awarding body deadline
- liaises with other consortium exams officers to arrange despatch of a single moderation sample to the awarding body deadline

Submission of marks and work for moderation

Subject teacher

- Inputs and submits 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, ensures checks are made that marks for any additional candidates are submitted and ensures mark input is checked before submission to avoid transcription errors
- Submits 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
- Ensures 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
- 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



Exams officer

- Inputs and submits marks online, via the awarding body secure extranet site, keeping a record of the marks submitted, to the external deadline/Confirms with subject teachers that marks have been submitted to the awarding body deadline
- Where responsible for marks input, ensures checks are made that marks for any additional candidates are submitted and ensures 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
- Ensures 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

Storage and retention of work after submission of marks

Subject teacher

- Keeps a record of names and candidate numbers for candidates whose work was included in the moderation sample
- Retains all marked candidates' work (including any sample returned after moderation) under secure conditions for the required retention period
- Takes steps to protect any work stored electronically from corruption and has a back-up procedure in place
- Retains evidence of work where retention may be a problem (for example, photos of artefacts etc.)

Exams officer

- Ensures 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

- Ensures that awarding body or its moderator receive the correct samples of candidates' work
- Where relevant, liaises with the awarding body/moderator where the moderator visits the centre to mark the sample of work
- Complies with any request from the moderator for remaining work or further evidence of the centre's marking



External moderation – feedback

Subject head/lead

- Checks the final moderated marks when issued to the centre when the results are published
- Checks moderator reports and ensures that any remedial action, if necessary, is undertaken before the next exam series

Exams officer

- Accesses or signposts moderator reports to relevant staff
- Takes remedial action, if necessary, where feedback may relate to centre administration

Access arrangements

Subject teacher

- Works with the SENCo to ensure any access arrangements for eligible candidates are applied to assessments

Special educational needs coordinator (SENCo)

- Follows the regulations and guidance in the JCQ publication Access Arrangements and Reasonable Adjustments in relation to non-examination assessments including Reasonable Adjustments for GCE A-level sciences – Endorsement of practical skills
- Where arrangements do not undermine the integrity of the qualification and is the candidate's normal way of working, will ensure access arrangements are in place and awarding body approval, where required, has been obtained prior to assessments taking place
- Makes subject teachers aware of any access arrangements for eligible candidates which need to be applied to assessments
- Works with subject teachers to ensure requirements for access arrangement candidates requiring the support of a facilitator in assessments are met
- Ensures that staff acting as an access arrangement facilitator are fully trained in their role

Special consideration and loss of work

Subject teacher

- Understands 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
- Liaises with the exams officer when special consideration may need to be applied for a candidate taking assessments
- Liaises with the exams officer to report loss of work to the awarding body



Exams officer

- Refers to/directs relevant staff to the JCQ publication A guide to the special consideration process
- Where a candidate is eligible, applies 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
- Refers to/directs relevant staff to Form 15 – JCQ/LCW and where applicable submits to the relevant awarding body

Artificial intelligence (AI) misuse

Pupils found to be misusing artificial intelligence (AI) will have committed malpractice and may be subjected to substantial sanctions, e.g. disqualification.

Staff and pupils will be made aware of the risks of using AI and will be clear on what constitutes malpractice.

Pupils will be required to ensure that work submitted for assessment is demonstrably their own.

Teachers and assessors will only accept work for assessment which they consider to be pupils' own. Where teachers have doubts about authenticity and misuse of AI, they will investigate and take appropriate action.

AI misuse will include but will not be limited to the following:

- Copying or paraphrasing sections of AI-generated content to the extent that it is no longer the pupil's work.
- Copying or paraphrasing whole responses of AI-generated content.
- Using AI to complete parts of the assessment to the extent that work, calculation, analysis or evaluation is no longer the pupil's own.
- Failing to reference AI tools as a source of information.
- Incomplete or poor acknowledgement of AI tools.
- Submitting work with intentionally incomplete or misleading references or bibliographies.

Relevant individuals will discuss the use of AI and agree their approach to managing pupils' use of AI and ensure that pupils are aware of the consequences of malpractice.

The school's policy on malpractice and plagiarism will provide clear guidance on how pupils should reference appropriately, acknowledge AI misuse and when AI may be used.

Every pupil will be issued with a copy of the appropriate JCQ information for candidates and the school will ensure that this information is understood by pupils.



The school will consider whether it is necessary for pupils to sign a declaration that they have understood what AI misuse is and ensure that pupils are aware of what the consequences of a false declaration will be.

Pupils will be reminded that awarding organisation staff, examiners and moderators have established procedures for reporting and investigating malpractice.

Pupils will be informed of the importance of referencing AI use and how it should be done correctly and appropriately.

To prevent AI misuse, the school will:

- Consider restricting access to online AI tools on school devices and networks.
- Ensure that access to online AI tools is restricted on devices used for exams.
- Set reasonable deadlines for work submissions.
- Allocate time for sufficient portions of work to be done in class under supervision.
- Examine intermediate stages in the production of work in order to ensure that work is underway in a planned and timely manner and that submissions represent a natural continuation of earlier stages of work.
- Introduce classroom activities that use the level of knowledge and understanding achieved during the course so that the teacher can be confident that pupils understand the material.
- Consider whether it's appropriate and helpful to engage pupils in discussions about their work to ascertain that they understand it and that it reflects their own work.
- Not accept, without investigation, work which staff suspect has been taken from AI tools.
- Issue tasks which are topical, current and specific and require the creation of content which is less likely to be accessible to AI models trained using historic data.
- Assessors will look for indications of potential AI misuse including:
 - Default use of American spelling, currency, terms and other localisations.
 - A default use of language or vocabulary which may not be appropriate to the qualification level.
 - A lack of direct quotations and references where these are required.
 - Inclusion of references which cannot be found or verified.
 - A lack of reference to events occurring after a certain date.
 - Instances of incorrect and inconsistent use of first-person and third-person perspective.
 - A difference in language style.
 - A lack of graphs and visual aids where these would normally be expected.
 - A lack of specific local or topical knowledge.
 - Content being more generic in nature rather than relating to the pupil themselves if this is required or expected.
 - Inadvertent inclusion of warnings produced by AI to highlight the limits of its ability.
 - The submission of pupil work in a typed format where it would usually be handwritten.
 - Indications that AI has been asked to produce an essay several times to add depth, variety or to overcome its output limit.
 - The inclusion of confidently incorrect statements within otherwise cohesive content.



- Overly verbose or hyperbolic language not keeping in line with usual writing styles.

If AI misuse is detected or suspected by the school and a declaration of authentication has been signed, the case will be reported to the relevant awarding organisation for further investigation.

Malpractice

Head of centre

- Understands the responsibility to immediately report to the relevant awarding body any alleged, suspected or actual incidents of malpractice involving candidates, teachers, invigilators or other administrative staff
- Is familiar with the JCQ publication Suspected Malpractice in Examinations and Assessments: Policies and Procedures
- Ensures 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 ensures that teaching staff are reminded that failure to report allegations of malpractice or suspected malpractice constitutes malpractice in itself

Subject teacher

- Is aware of the JCQ Notice to Centres - Sharing NEA material and candidates' work to mitigate against candidate and centre malpractice
- Ensures candidates understand the JCQ document Information for candidates - non-examination assessments
- Ensures candidates understand the JCQ document Information for candidates - Social Media
- Escalates and reports any alleged, suspected or actual incidents of malpractice involving candidates to the head of centre

Exams officer

- Signposts the JCQ publication Suspected Malpractice in Examinations and Assessments: Policies and Procedures to the head of centre
- Signposts the JCQ Notice to Centres - Sharing NEA material and candidates' work to subject heads
- Signposts candidates to the relevant JCQ information for candidates' documents
- Where required, supports the head of centre in investigating and reporting incidents of alleged, suspected or actual malpractice



Post results services

Head of centre

- Is familiar with the JCQ publication Post-Results Services
- Ensures the centre's internal appeals procedures clearly detail the procedure to be followed by candidates (or their parents/carers) appealing against a centre decision not to support a review of results or an appeal

Subject head/lead

- Provides relevant support to subject teachers making decisions about reviews of results

Subject teacher

- Provides advice and guidance to candidates on their results and the post-results services available
- Provides 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
- Supports the exams officer in collecting candidate consent where required

Exams officer

- 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...)
- Provides/signposts relevant centre staff and candidates to post-results services information
- Ensures 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
- Collects candidate consent where required

Spoken Language Endorsement for GCSE English Language specifications designed for use in England

Head of centre

- Provides a signed declaration as part of the National Centre Number Register Annual Update, that 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 Spoken Language endorsement

Quality assurance (QA) lead/Lead internal verifier

- Ensures the appropriate arrangements are in place for internal standardisation of assessments



Subject head/lead

- Confirms understanding of the Spoken Language Endorsement for GCSE English Language specifications designed for use in England and ensures any relevant JCQ/awarding body instructions are followed
- Ensures the required task setting and task taking instructions are followed by subject teachers
- Ensures subject teachers assess candidates, either live or from recordings, using the common assessment criteria
- Ensures for monitoring purposes, audio-visual recordings of the presentations of a sample of candidates are provided

Subject teacher

- Ensures all the requirements in relation to the endorsement are known and understood
- Follows the required task setting and task taking instructions
- Assesses candidates, either live or from recordings, using the common assessment criteria
- Provides audio-visual recordings of the presentations of a sample of candidates for monitoring purposes
- Follows the awarding body's instructions for the submission of grades (Pass, Merit, Distinction or Not Classified) and the storage and submission of recordings

Exams officer

- Follows the awarding body's instructions for the submission of grades and recordings

Private candidates

Subject head/lead

- According to centre policy, confirms if private candidates (including distance learners and home educated candidates) are accepted by the centre for entry for subjects containing components of non-examination assessment (where the specification may be made available to private candidates by the awarding body)
- Ensures relevant staff in the centre administer all aspects of the non-examination assessment process for a private candidate, according to the awarding body's specification



Management of issues and potential risks associated with non-examination assessments

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
Task setting		
Awarding body set task: IT failure/corruption of task details where set task details accessed from the awarding body online	Awarding body key date for accessing/downloading set task noted prior to start of course IT systems checked prior to key date Alternative IT system used to gain access Awarding body contacted to request direct email of task details	Jnor
Centre set task: Subject teacher fails to meet the assessment criteria as detailed in the specification	Ensures that subject teachers access awarding body training information, practice materials etc. Records confirmation that subject teachers understand the task setting arrangements as defined in the awarding body's specification Samples assessment criteria in the centre set task	HOFs
Candidates do not understand the marking criteria and what they need to do to gain credit	A simplified version of the awarding body's marking criteria described in the specification that is not specific to the work of an individual candidate or group of candidates is produced for candidates Records confirm all candidates understand the marking criteria Candidates confirm/record they understand the marking criteria	HOFs
Subject teacher long term absence during the task setting stage	See centre's exam contingency plan - Teaching staff extended absence at key points in the exam cycle	HOFs / SLT
Issuing of tasks		



Task for legacy specification given to candidates undertaking new specification	Ensures subject teachers take care to distinguish between requirements/tasks for legacy specifications and requirements/tasks for new specifications Awarding body guidance sought where this issue remains unresolved	HOFs/SLT
Awarding body set task not issued to candidates on time	Awarding body key date for accessing set task as detailed in the specification noted prior to start of course Course information issued to candidates contains details when set task will be issued and needs to be completed by Set task accessed well in advance to allow time for planning, resourcing and teaching	HOFs/SLT
The wrong task is given to candidates	Ensures course planning and information taken from the awarding body's specification confirms the correct task will be issued to candidates Awarding body guidance sought where this issue remains unresolved	HOFs/SLT
Subject teacher long term absence during the issuing of tasks stage	See centre's exam contingency plan - Teaching staff extended absence at key points in the exam cycle	HOFs/SLT
A candidate (or parent/carer) expresses concern about safeguarding, confidentiality or faith in undertaking a task such as a presentation that may be recorded	Ensures the candidate's presentation does not form part of the sample which will be recorded Contacts the awarding body at the earliest opportunity where unable to record the required number of candidates for the monitoring sample	HOFs/SLT
Task taking		
Supervision		
Planned assessments clash with other centre or candidate activities	Assessment plan identified for the start of the course Assessment dates/periods	HOFs/SLT



	included in centre wide calendar	
Rooms or facilities inadequate for candidates to take tasks under appropriate supervision	<p>Timetabling organised to allocate appropriate rooms and IT facilities for the start of the course</p> <p>Staggered sessions arranged where IT facilities insufficient for number of candidates</p> <p>Whole cohort to undertake written task in large exam venue at the same time (exam conditions do not apply)</p>	HOFs/SLT
Insufficient supervision of candidates to enable work to be authenticated	<p>Confirm subject teachers are aware of and follow the current JCQ publication Instructions for conducting non-examination assessments and any other specific instructions detailed in the awarding body's specification in relation to the supervision of candidates</p> <p>Confirm subject teachers understand their role and responsibilities as detailed in the centre's non-examination assessment policy</p>	HOFs/SLT
Insufficient supervision of candidates to enable work to be authenticated	<p>Confirm subject teachers are aware of and follow the current JCQ publication Instructions for conducting non-examination assessments and any other specific instructions detailed in the awarding body's specification in relation to the supervision of candidates</p> <p>Confirm subject teachers understand their role and responsibilities as detailed in the centre's non-examination assessment policy</p>	HOFs/SLT



A candidate is suspected of malpractice prior to submitting their work for assessment	Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (section 9 Malpractice) are followed An internal investigation and where appropriate internal disciplinary procedures are followed	HOFs/SLT
Access arrangements were not put in place for an assessment where a candidate is approved for arrangements	Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 2), to determine the process to be followed to apply for special consideration for the candidate	HOFs/SLT
Advice and feedback		
Candidate claims appropriate advice and feedback not given by subject teacher prior to starting on their work	Ensures a centre-wide process is in place for subject teachers to record all information provided to candidates before work begins as part of the centre's quality assurance procedures Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity Full records kept detailing all information and advice given to candidates prior to starting on their work as appropriate to the subject and component Candidate confirms/records advice and feedback given prior to starting on their work	HOFs/SLT



Candidate claims no advice and feedback given by subject teacher during the task-taking stage	Ensures a centre-wide process is in place for subject teachers to record all advice and feedback provided to candidates during the task-taking stage as part of the centre's quality assurance procedures Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity Full records kept detailing all advice and feedback given to candidates during the task-taking stage as appropriate to the subject and component Candidate confirms/records advice and feedback given during the task-taking stage	HOFs/SLT
A third party claims that assistance was given to candidates by the subject teacher over and above that allowed in the regulations and specification	An investigation is conducted; candidates and subject teacher are interviewed and statements recorded where relevant Records as detailed above are provided to confirm all assistance given Where appropriate, a suspected malpractice report is submitted to the awarding body	HOFs/SLT
Candidate does not reference information from published source	Candidate is advised at a general level to reference information before work is submitted for formal assessment Candidate is again referred to the JCQ document Information for candidates: non-examination assessments Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion	HOFs/SLT



Candidate does not set out references as required	<p>Candidate is advised at a general level to review and re-draft the set out of references before work is submitted for formal assessment</p> <p>Candidate is again referred to the JCQ document</p> <p>Information for candidates: non-examination assessments</p> <p>Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion</p>	HOFs/SLT
Candidate joins the course late after formally supervised task taking has started	A separate supervised session(s) is arranged for the candidate to catch up	HOFs/SLT
An excluded pupil wants to complete his/her non-examination assessment(s)	<p>The awarding body specification is checked to determine if the specification is available to a candidate outside mainstream education</p> <p>If so, arrangements for supervision, authentication and marking are made separately for the candidate</p>	HOFs/SLT
Resources		
A candidate augments notes and resources between formally supervised sessions	<p>Preparatory notes and the work to be assessed are collected in and kept secure between formally supervised sessions</p> <p>Where memory sticks are used by candidates, these are collected in and kept secure between formally supervised sessions</p> <p>Where work is stored on the centre's network, access for candidates are restricted between formally supervised sessions</p>	HOFs/SLT



A candidate fails to acknowledge sources on work that is submitted for assessment	Candidate's detailed record of his/her own research, planning, resources etc. is checked to confirm all the sources used, including books, websites and audio/visual resources Awarding body guidance is sought on whether the work of the candidate should be marked where candidate's detailed records acknowledges sources appropriately Where confirmation is unavailable from candidate's records, awarding body guidance is sought and/or a mark of zero is submitted to the awarding body for the candidate	HOFs/SLT
Word and time limits		
A candidate is penalised by the awarding body for exceeding word or time limits	Records confirm the awarding body specification has been checked to determine if word or time limits are mandatory Where limits are for guidance only, candidates are discouraged from exceeding them Candidates confirm/record any information provided to them on word or time limits is known and understood	HOFs/SLT
Collaboration and group work		
Candidates have worked in groups where the awarding body specification states this is not permitted	Records confirm the awarding body specification has been checked to determine if group work is permitted Awarding body guidance sought where this issue remains unresolved	HOFs/SLT
Authentication procedures		
A teacher has doubts about the authenticity of the work submitted by a candidate for internal assessment	Records confirm subject staff have been made aware of the JCQ document Teachers sharing	HOFs/SLT



Candidate plagiarises other material	<p>assessment material and candidates' work</p> <p>Records confirm that candidates have been issued with the current JCQ document Information for candidates: non-examination assessments</p> <p>Candidates confirm/record that they understand what they need to do to comply with the regulations for non-examination assessments as outlined in the JCQ document Information for candidates: non-examination assessments</p> <p>The candidate's work is not accepted for assessment</p> <p>A mark of zero is recorded and submitted to the awarding body</p>	
Candidate does not sign their authentication statement/declaration	<p>Records confirm that candidates have been issued with the current JCQ document Information for candidates: non-examination assessments</p> <p>Candidates confirm/record they understand what they need to do to comply with the regulations as outlined in the JCQ document</p> <p>Information for candidates: non-examination assessments</p> <p>Declaration is checked for signature before accepting the work of a candidate for formal assessment</p>	HOFs/SLT
Subject teacher not available to sign authentication forms	<p>Ensures a centre-wide process is in place for subject teachers to sign authentication forms at the point of marking candidates work as part of the centre's quality assurance procedures</p>	HOFs/SLT
Presentation of work		



Candidate does not fully complete the awarding body's cover sheet that is attached to their work submitted for formal assessment	Cover sheet is checked to ensure it is fully completed before accepting the work of a candidate for formal assessment	HOFs/SLT
Keeping materials secure		
Candidates work between formal supervised sessions is not securely stored	Records confirm subject teachers are aware of and follow current JCQ publication Instructions for conducting non-examination assessments Regular monitoring/internal audit ensures subject teacher use of appropriate secure storage	HOFs/SLT
Adequate secure storage not available to subject teacher	Records confirm adequate/sufficient secure storage is available to subject teacher prior to the start of the course Alternative secure storage sourced where required	HOFs/SLT
Task marking – externally assessed components		
A candidate is absent on the day of the examiner visit for an acceptable reason	Awarding body guidance is sought to determine if alternative assessment arrangements can be made for the candidate If not, eligibility for special consideration is explored and a request submitted to the awarding body where appropriate	HOFs/SLT
A candidate is absent on the day of the examiner visit for an unacceptable reason	The candidate is marked absent on the attendance register	HOFs/SLT
Task marking – internally assessed components		
A candidate submits little or no work	Where a candidate submits no work, the candidate is recorded as absent when marks are submitted to the awarding body Where a candidate submits little work, the work produced is assessed against the assessment	HOFs/SLT



	criteria and a mark allocated appropriately; where the work does not meet any of the assessment criteria a mark of zero is submitted to the awarding body.	
A candidate is unable to finish their work for unforeseen reason	Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 5), to determine eligibility and the process to be followed for shortfall in work	HOFs/SLT
The work of a candidate is lost or damaged	Relevant staff are signposted to the JCQ publication Instructions for conducting non-examination assessments (section 8), to determine eligibility and the process to be followed for lost or damaged work	HOFs/SLT
Candidate malpractice is discovered	Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (section 9 Malpractice) are followed Investigation and reporting procedures in the current JCQ publication Suspected Malpractice in Examinations and Assessments are followed Appropriate internal disciplinary procedures are also followed	HOFs/SLT
A teacher marks the work of his/her own child	A conflict of interest is declared by informing the awarding body that a teacher is teaching his/her own child at the start of the course Marked work of said child is submitted for moderation whether part of the sample requested or not	HOFs/SLT
An extension to the deadline for submission of marks is	Awarding body is contacted to determine if an extension can be granted	HOFs/SLT



required for a legitimate reason	Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 5), to determine eligibility and the process to be followed for non-examination assessment extension	
After submission of marks, it is discovered that the wrong task was given to candidates	Awarding body is contacted for guidance Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 2), to determine eligibility and the process to be followed to apply for special consideration for candidates	HOFs/SLT
A candidate wishes to appeal/request a review of the marks awarded for their work by their teacher	Candidates are informed of the marks they have been awarded for their work prior to the marks being submitted to the awarding body Records confirm candidates have been informed of their marks Candidates are informed that these marks are subject to change through the awarding body's moderation process Candidates are informed of their marks to the timescale identified in the centre's internal appeals procedure and prior to the internal deadline set by the exams officer for the submission of marks Through the candidate exam handbook, candidates are made aware of the centre's internal appeals procedures and timescale for submitting an appeal/request for a review of the centre's marking prior to the submission of marks to the awarding body	HOFs/SLT



Deadline for submitting work for formal assessment not met by candidate	<p>Records confirm deadlines given and understood by candidates at the start of the course</p> <p>Candidates confirm/record deadlines known and understood Depending on the circumstances, awarding body guidance sought to determine if the work can be accepted late for marking providing the awarding body's deadline for submitting marks can be met</p> <p>Decision made (depending on the circumstances) if the work will be accepted late for marking or a mark of zero submitted to the awarding body for the candidate</p>	HOFs/SLT
Deadline for submitting marks and samples of candidates work ignored by subject teacher	<p>Internal/external deadlines are published at the start of each academic year</p> <p>Reminders are issued through senior leaders/subject heads as deadlines approach</p> <p>Records confirm deadlines known and understood by subject teachers</p> <p>Where appropriate, internal disciplinary procedures are followed</p>	HOFs/SLT



Exam Archiving Policy

2024/2025



Paper Record	Record detail	Period of retention	Action at the end of retention period
Entry information	Lists of candidate name, DoB, gender, candidate number, UCI, ULN, exam entries by exam series	To be held on file in the Exams Office until the deadline for post results services and the resolution of outstanding enquiries or appeals.	Confidential shredding
Access arrangements information	Access Arrangements online approval, data protection notices and Form	SENCo to hold as records owner until candidate leaves centre.	Pupil files until 25 yrs. non-SEN or 35 yrs. SEN then confidential shredding
Dispatch of script logs	Consignment No, delivery postcode	Filed in general office for the exam series. Held on file in the Exams office until deadline for EARs and resolution of outstanding enquiries or appeals.	Confidential shredding.
Exam room checklists Exam room incident log reports Seating plans Attendance register copies Clash resolution information Overnight supervision copy forms	Candidate details, name and candidate number. Exam dates and times. Invigilator notes of incidents.	Held on file in the Exams Office until the deadline for EARs and the resolution of outstanding enquiries or appeals	Confidential shredding.
Malpractice copy reports and outcomes	Candidate details for the paper involved in malpractice and letters from relevant awarding bodies.	Held on file in the Exams office until candidate leaves the centre. Transferred to pupil file.	Pupil files until 25 yrs. Non-SEN or 35 yrs. SEN then confidential shredding.
Special consideration information	Applications are completed online and print outs are not made.	Held on file in the Exams office until	Confidential shredding



	Supporting evidence and outcomes from awarding bodies if provided.	the deadline for EARs and resolution of outstanding enquiries or appeals	
Results information	Broadsheets	Current year plus 6 yrs.	Confidential shredding
Candidates work	Controlled Assessments/Coursework returned from Moderator	To be returned to HOFs as records owner. Kept secure until deadline of EARs.	Returned to candidate or confidential shredding
Moderator reports	Copy kept with results for relevant exam series	To be returned to HOFs as records owner.	
EAR request forms/outcomes/ATS request forms	Candidate details required to make the appropriate requests	Kept on file in the Exams Office until resolution and invoicing	Confidential shredding
Certificates	Y11 issued on Certs evening in Nov each year.	Unclaimed certificates held on file for 12 months after leave date. Can be posted after this time should candidate wish at a £2 cost.	Confidential shredding. Register of destroyed certificates kept by Exams Officer.
JSQ documentations and awarding body manuals/guides		To be retained until the current academic year update is provided	recycling
Finance information	Invoices relating to invigilator timesheets and exam related fees	To be returned to Finance department.	



Emergency Evacuation and Lockdown Procedure

2024/2025



Emergency Evacuation and Lockdown procedures

In the event of fire or serious or imminent danger, the safety of all persons is the first priority followed by the containment of any fire or spillage and/or the security of the building.

The evacuation of the academy will be practiced at least once in every term. This will be undertaken at random times.

The serious and imminent dangers identified as being likely to befall the academy are:

- Fire
- Bomb threat
- Threatening person in/around the Caistor area.

FIRE

- **Fire alarm**

A fire alarm system is installed on the premises. Alarm points are located at strategic positions around the premises. The alarm is tested at regular intervals to ensure that it functions correctly.

- **Fire action notices**

Fire action notices are posted at alarm points. The notice gives details of the correct procedure to follow when the alarm sounds and upon discovering fire.

- **Procedure**

Any person discovering a fire should:

- Sound the alarm.
- Dial 999 to call the fire brigade (if telephone nearby).
- Tackle the fire if possible with the appliances provided, but without taking undue risks.

On hearing the fire alarm staff, students and visitors should:

- Leave the building by the nearest route leaving belongings behind.
- Close all doors behind them.
- Report to the muster point. – as per the posters displayed around the academy and in each classroom.

Staff responsible for learners or visitors must escort them from the building to the muster point where a roll call will be taken. No one should return to the building for any reason until authorised to do so.



- **Firefighting equipment**

Firefighting equipment is located at strategic positions around the academy. The type of firefighting equipment available varies dependant on the location, but includes the following:

- Water extinguisher: for paper, fabric, wood, etc. Not to be used on electrical or flammable liquid fires.
- Carbon dioxide (Co2): for electrical fires.
- AFFF foam: for solid burning and liquid burning fires.
- Dry powder: for most fires.
- Fire blanket: for use in the food production area only to smother flames.

Any person using a piece of firefighting equipment must report its use to the Operations – Site Management Team in order that the equipment can be replaced as necessary.

- **Escape routes**

All doorways and passageways must be kept clear at all times. It is the responsibility of every member of staff, including learners, not to block these areas and to report any blockage in order that it may be cleared. Doors designed specifically as fire exits are identified as such by an appropriate sign.

- **Refuge points**

Anyone who is unable to use the stairs to evacuate the building will be escorted by a member of staff to a refuge point to await the fire brigade. Any visitors that are unable to use the stairs should make the reception aware of this when they arrive and sign in.

- **Fire Assembly point**

The designated location of the assembly point for staff, learners and visitors is top field, beyond the first hedge.

- **Fire Marshalls**

The academy has designated fire marshals who upon hearing the alarm will ensure that their assigned area of the building is clear of all persons, but without putting themselves in danger

BOMB THREAT

- On receipt of a bomb threat, or on discovery of a suspect package, it must be assumed that the threat communication or the suspicion aroused has real foundation and that there is no hoax involved.
- **If a message containing a threat is received (usually by telephone), the following should be done:**
 - Note the exact time of receipt of the message.
 - Write the message down exactly as given.
 - Notify the police immediately, repeating the message exactly as received.



- Immediately alert the Headteacher (or Deputy) who will decide on the appropriate course of action.
- If it is decided that evacuation is necessary, both the fire alarm and class change bell will ring continuously. Instead, of going to the fire assembly point, staff and students will make their way to the farthest point of the 'top field' near the top gate.

Threatening Person in/around the Caistor Area

- The Headteacher (or deputy) after consulting with the police will decide whether it is safe for the academy to be reoccupied.
- Any person receiving the call or lockdown command should immediately alert the following staff:
 - Head teacher (or his deputy)/Operations Manager.
 - Assistant Head teachers.
 - Progress Managers

Information shared via the radios should include:

- Location of danger
- Description of the person
- Direction of travel
- Any other key information, e.g. visual weapons or threat.
- This information should be then relayed to the person who is on the phone to the emergency services.

Procedure 1: Learners in lessons

- The Operations team will ensure that:
 - The school bell will be rung continuously;
 - The front gates are locked;
 - Mill lane gate is locked;
 - External doors are locked and windows are closed;
- Working from the ground floor up, all staff in teaching rooms/offices are told calmly and quietly that it is a lockdown situation. Any learners not in teaching rooms are to go back to their teaching rooms;
- When all students are accounted for in their teaching room, the doors must be locked and then furniture to be used to barricade the door;
- Ensure windows are closed. Lights are to be turned off and blinds shut;
- Students need to be seated and away from windows and doors (under the tables);
- Any staff who are not teaching should report to the Head's office, if safe to do so.



Procedure 2: Students on break or lunch

- The Operations team will ensure that:
- The school bell is pressed continuously;
- The front gates are locked;
- Mill lane gate is locked;
- Staff on duty move students to the nearest classroom, sports hall or to the drama studio/A1;
- Working from the ground floor up, all staff in teaching rooms/offices are told calmly and quietly that it is a lockdown situation;
- When all students are in, doors are locked and windows are closed, curtains drawn;
- Furniture to be used to barricade the door;
- They must lock the door and ensure windows are closed. Lights are to be turned off and blinds shut;
- Students need to be seated and away from windows and doors;
- Staff to make a list of names of students and adults present and send via email if possible to SLT@cyac.org.uk – this can be written and then photographed to send.

Procedure 3: Students in examinations – Please see separate policy

STAFF AND STUDENTS ARE TO STAY IN THEIR ROOMS UNTIL THEY HAVE BEEN TOLD BY A MEMBER OF SLT OR EMERGENCY SERVICES (PROOF OF IDENTITY REQUIRED) THAT IT IS SAFE TO LEAVE.



Lockdown Procedure

Lockdown is necessary when children and staff need to be **locked** within buildings for their own safety i.e. in an emergency situation such as a hostile intruder, terrorist attack or other criminal activity.

Signals

Alarm of signal for lockdown shelter	Continuous school bell
Signal for stand down / all-clear	Bell silenced, notification on screen, & SLT staff member

Incident control officers & Response Team

Role	Name	Emergency Contact Number
Headteacher	Mark Midgley	Ext. 207
CFO	Emma Johnson	Ext. 216
Site Manager	Mick Klug	Ext. 224

It is important to remember that it is very much **the exception** to evacuate a building in the event of a hostile intruder. Unless the location of the intruders is known, a "blind" evacuation may be putting people in more danger (e.g. from an intruder or device at one of the entrances/exits) than if they had remained within the building.



Rooms most suitable for lockdown
1 Classrooms
2 Hall
3 Sports hall
4 Drama studio
5 Offices

It is important to make sure that items that could be used as weapons (kitchen implements, sports equipment, tools, cleaning products) are securely locked away when not in use.

Internal communication arrangements
Wherever possible use silent communications and keep noise to a minimum especially if the intruders are close by. Make sure any communications devices are secure and cannot be intercepted.
Two-way radios
Classroom telephones
Mobile phones
Instant messaging / email
Pop up on staff computers



Action Plan	Completed by (sign and time)
Sound Alert (continuous school bell) - Activate lock-down procedures immediately	
Dial 999	
Direct all children, staff, parents and signed in visitors to the nearest safe place (this may be dependent on what and where the risk is)	
Secure rooms and act to increase protection from attack - Lock and secure doors and windows	
Close windows / blinds	
Turn off the lights, fans or mobile air conditioning units (this will reduce noise and the risk of exposure to any chemical/biological attack)	
Hide, sit on the floor under desks, and away from windows	
Stay as silent as possible - put any mobile devices to silent (consider writing / displaying instructions on whiteboards / TVs etc as long as it can't be seen by the intruder)	
Ensure that students, staff and visitors are aware of an exit point in case the intruder does manage to gain access	
If possible, check for missing / injured students, staff and visitors	
Keep doors and windows locked shut and remain inside until an all-clear has been given, or unless told to evacuate by the emergency services	



Emergency Evacuation Procedures **- EXAMS**

2024/2025



IN CASE OF FIRE OR SIMILAR EMEGENCY DURING AN EXAMINATION

Candidates must comply with the invigilator's instructions at all times

In an emergency such as a fire alarm or a bomb alert, the invigilator must take the following action:

- stop the candidates from writing;
- collect the attendance register (in order to ensure all candidates are present) and evacuate the examination room in line with the instructions given by the appropriate authority;
- advise candidates to leave all question papers and scripts in the examination room. Candidates must be advised to close their answer booklet;
- ensure the candidates leave the room in silence;
- ensure candidates are supervised as closely as possible while they are out of the examination room so that there is no discussion about the examination;
- make a note of the time of the interruption and how long it lasted;
- allow the candidates the remainder of the working time set for the examination once it resumes;
- if there are only a few candidates, consider the possibility of taking the candidates (with question papers and scripts) to another place to finish the examination;
- make a full report of the incident and of the action taken and send to the relevant awarding body.
- Follow the invigilator's instructions and exit the building using the nearest fire door.
 - Remain calm and do not panic
 - Leave all exam materials on your desk
 - Do not run
 - Stay silence
 - Do not stop to collect bags or any personal items

Go to the EXAMS ASSEMBLY POINT which is ON THE TOP FIELD AT THE SPORTS HALL END



You must stay together but you must not talk about the exam with another candidate or anyone else.

Answer the attendance register and tell the member of staff in charge if someone who was present in the exam is not present at the assembly point.

**ALL STAFF AND PUPILS REMAIN AT ASSEMBLY POINT UNTIL THE HEADMASTER
AUTHORISES DISMISSAL**

Once you have been informed that it is safe to return to the exam room you will be asked to return to the exam rooms.

- Line up outside
- Enter when advised by the invigilators or Exams officer
- Once you have entered the hall you are in exam conditions and will be required to remain silent and follow normal exam procedures
- Do not start until you are told to do so by the invigilator.
- Any lost time will be added to the end of the exam

As each incident is different, advice will be sought from the relevant awarding body as soon as it is safe to do so.

If it is not feasible for the exam to be completed the awarding body will be contacted so as not to disadvantage any student.

Separate invigilation/rooming' for candidates

Separate invigilation is determined by the ALS Lead/ SENCo, in conjunction with relevant teaching staff and exam office personnel. JCQ are clear in that the decision to offer separate invigilation to candidates is the responsibility of the SENCo.

On page 71 of JCQ's Access Arrangements and Reasonable Adjustments publication, it is clearly stated that the centre must make its decision based on whether the candidate has a substantial and long-term impairment which has an adverse effect and the candidate's normal way of working within the centre.



This would include separate invigilation during mock examinations, internal school tests and/or high-level GCSE controlled assessments.

- Candidates would be eligible for separate invigilation if:
- A candidate with depression who has been under Child and Adolescent Mental Health Services (CAMHS).

A candidate with an established medical condition or formally recognized social, emotional and behavioural difficulties.

Where a candidate simply panics on the day of an examination or becomes anxious, then he/she should indeed be seated more appropriately within the main examination hall.

Separate invigilation is no different to other access arrangements; such as prompters, supervised rest breaks etc. Heads of year and assistant headteachers with pastoral responsibilities will know precisely those students with established and long-term health conditions and whether separate invigilation is warranted.

Working with the SENCo and exams officer (exams officer), who may highlight issues such as room availability and the need for additional invigilation, a centre-based decision is made on the need for separate invigilation.



Word Processor Policy

A word processor cannot be granted to a candidate because he/she prefers to type rather than write or can work faster on a keyboard, or because he/she uses a laptop at home.

The use of a word processor **MUST** reflect the candidate's normal way of working within the centre and be appropriate to the candidate's needs. This will be implemented by the exams officer on the direction of the SENco and their team.

This list helps to identify candidates who would benefit from the use of a word processor, although it is not exhaustive;

- A learning difficulty which has a substantial and long-term adverse effect on the ability to write legibly
- A medical condition
- A physical disability
- A sensory impairment
- Planning and organisation problems when writing by hand
- Poor handwriting

A word processor will be provided with the spelling and grammar checkers and predictive text facility switched off. ExamWritePad is the software installed on word processors used for examination purposes. Word processors will be in good working order at the time of the examination. Candidate seating where appropriate will take into consideration plug sockets so laptops can have charges readily available.

Candidates may use their answer booklet in addition to the word processor if they wish to do so. They will need to complete all the relevant details on the front-page of the script as well as completing the details outlined below.

Candidates must ensure that the centre number, candidate number and unit code are typed on the software landing page. This information will then appear on all subsequent pages. Page numbers will autogenerate dependent on use. A signature area is printed at the bottom of the page to allow for candidates to verify that the work is their own and that all pages have printed correctly.

Candidates must save their work at regular intervals; however, the software has an autosave facility that backs up the candidates work every 2 minutes.

Once an exam has concluded, an IT technician will send the candidates work to a secure printer, the exams officer will collect the paper work and ensure the candidate verifies and signs the printed pages.

The exams officer will prepare the paperwork for dispatch by adding the cover sheet, the script, the printed pages and any resource material where appropriate.



For electronic retention an IT technician will move the candidates work to a secure folder located on the Academy network. This folder is secured via NTFS permissions, only accessible to IT Staff, Exams Officer & the Deputy Head.

The retained work will be deleted once the review and appeals procedure has concluded for the current exam series.



Arrangements for handling secure electronic materials

Centre authorization

- Electronic question paper materials will only be handled by members of staff authorised to do so by the head of centre.
- The head of centre must ensure that authorised staff are familiar with the most recent instructions issued by the relevant awarding bodies.
- At least two and no more than six members of centre staff are authorised to handle secure electronic materials, one of which must be the exams officer. Other members of centre staff may assist with printing and collation provided they are under supervision.
- For AQA examinations, one member of centre staff can be authorised to handle secure electronic material.

Secure account management

- Email accounts used for secure material access are allocated to named individuals authorised by the head of centre to handle secure materials. Regular checks are conducted to ensure all authorised individuals still require access.
- Files must only be accessed by the named individual(s) to whom they have been sent. Emails or links to secure materials are not forwarded or shared.
- By accessing secure material, the individual is accepting personal responsibility for maintaining the security of the material.
- Accounts used to access secure material are audited regularly. Any unused or unneeded accounts are closed promptly, for example when a member of staff has left the centre or changed roles.
- Accounts are reviewed by the head of centre ahead of each examination series to ensure that users have appropriate levels of access and all inactive accounts have been removed.
- Secure password management is critical. Passwords used to access secure material must be strong and changed regularly. Passwords must never be written down or shared.

Accessing and printing secure files

- The integrity and security of the electronic question paper will be maintained during the downloading, printing and collating process.
- The file will only be accessed and downloaded for the use of the candidate(s) who have been entered for the examination.
- A PDF copy of the standard question paper will be downloaded from the awarding bodies extranet site within 60 mins of the published starting time of the exam.
- The file will be stored locally in S:\Exams\2024Exams\Electronic Exam paper downloads only for the purposes of printing and will then be deleted immediately. Access will be restricted to the exams officer, IT manager and Deputy Headteacher.
- The file will also be deleted from the deleted items folder.
- Any emails or links associated with the secure file will also be immediately deleted and then deleted from the deleted items folder.



- No unnecessary hard copies of the file will be printed, and any un-needed hard copies will be securely destroyed
- Secure files are to be accessed and printed within a secure environment. Ideally these will be printed in the exam's office or in the secure store, with only authorized staff present in the room. A subject teacher must not be present in the room.
- Once printed, question papers will be sealed within a non-transparent envelope marked clearly with the exam details on the outside of the envelope. The envelope will be stored securely ready for transfer to the examination room at the appropriate time.
- Any deviations will be reported to the awarding body using a JCQ Form M2.

Any potential breaches of security will be reported to the relevant awarding body



Potential effects to Exams during a Cyber Attack

In the event of a cyber-attack, some examinations could be affected. This depends on the following: -

- If the exam is a live online exam
- Severity of cyber attack

Loss of connection to the internet

If the cyber-attack results in loss of connection to WAN (no connection to outside our school network), then the following would be affected

Any Online live exam which requires a constant connection to an external server would automatically be stopped. Depending on the provider of the exam, progress may be lost.

In this case, the examining board will need to be informed immediately of the issue & any guidance from the examining board would need to be implemented. The affected exam may need to be rescheduled. Depending on the severity of the cyber-attack, any candidates following online exams may also be affected, and may have to be rescheduled. The IT team will liaise with the Exams Officer as the situation progresses.

Students Eligible to use Word Processors

Students who are eligible to use word processors during their exams will not be affected, as provision has been made to ensure students work is protected by using software called ExamWritePad this is installed on each exam laptop and desktop.

- Student's work is auto saved in increments of 5 minutes through the software, and saved onto the C:\ drive of the laptop.
- Exams materials are backed up onto the SAN at the end of the exam, into a secure folder on the S:\ Drive.
- Electronic exam scripts are sent to print in the Exams Secure store.
- Printed documents are attached to scripts, in addition to any further paperwork relevant to the examining board
- Electronic copies of word-processed scripts are retained in the secure folder of the S: Drive, with access restricted to IT technicians, exams officer and the deputy headteacher, until all scripts have been accounted for and the appeals process has been completed.

As a result of the auto saved documents, plus local saves still being available during a loss of networking, exams taken using ExamWritePad will experience no loss of functionality and work will not be at risk of being lost or incomplete.



Students Eligible to use Read & Write software

Read&Write is a literacy support tool that is used alongside ExamWritePad. Read&Write offers features such as, but not exhaustive of the following:

- Text to Speech
- Talk&Type (Scribing students' speech)
- Grammar Checking
- Spell Checking
- Screen tint/Overlay
- Dictionary
- Predictive typing

The software features an "Exam Profile". This enables an administrator to block certain features of the software during exams. This has been set up and applied to the exam user accounts. The features which have been switched off are:

- Grammar checking
- Spell Checking
- Dictionary
- Prediction / Predictive Typing

At the beginning of the exam:

- Students exam papers are to be downloaded electronically from the awarding bodies extranet platform no earlier than 60 mins prior to the awarding bodies official start time. The papers are too be placed in a restricted folder accessed only by the IT Technician and the exams officer. The designated paper will then be made available to the student at the start of the exam.

At the end of the exam.

- Any students that have used the software to read their responses will have the paper removed from their profile.

For those students that have used the software to write their responses, the exam papers will be sent to print in the exam's office, where students will be required to sign their printed work.

IT Technicians –

- **Amir Makni**
- **Luke Hutchinson**
- **Lewis Smith**

Exams Officer – Jonathan Norman

Deputy Headteacher – Jo Biglands

Headteacher – Mark Midgley



Equalities Policy

2024/2025

Approved by	Next Review
M Midgley	March 2026

This plan is reviewed annually to ensure compliance with current regulations



National and Legal Context

Caistor Yarborough Academy recognises that we have duties under the Equality Act 2010, and subsequent amendments, in relation to the academy community to eliminate discrimination, advance equality of opportunity and foster good relations in relation to age, disability, ethnicity, gender (including issues of transgender, maternity and pregnancy), religion and belief, sexual orientation and marital status. We recognise that we also have a duty under the Education & Inspections Act 2006 to promote community cohesion, i.e. developing good relations across different cultures and groups.

We appreciate that these duties reflect the international human rights standards as expressed in the UN Convention on Rights of the Child, the UN Convention on the Rights of People with Disabilities, and the Human Rights Act 1998. We welcome our duties under the Equality Act 2010 as both a provider of education and as an employer.

This document meets the requirements under the following legislation:

- The Equality Act 2010, which introduced the public sector equality duty and protects people from discrimination;
- The Equality Act 2010 (Specific Duties) Regulations 2011, which require schools to publish information to demonstrate how they are complying with the public sector equality duty and to publish equality objectives.

This document is also based on Department for Education (DfE) guidance: **The Equality Act 2010 and schools.**

Statement of intent

At Caistor Yarborough Academy, we are committed to ensuring equality of education and opportunity for all pupils, staff, parents and carers, governors connected to the academy, irrespective of race, gender, disability, faith or religion or socio-economic background. We recognise that equality will only be achieved by the whole school community working together with common goals.

We aim to develop a culture of inclusion and diversity in which all those connected to the academy feel proud of their identity and are able to participate fully in academy life. We will tackle discrimination by the positive promotion of equality, challenging bullying and stereotypes and creating an environment which champions respect for all. At Caistor Yarborough Academy, we believe that diversity is a strength, which should be respected and celebrated by all.



Our Academy Context

At Caistor Yarborough Academy we have an increasing number of pupils from a range of ethnic backgrounds. Pupils attend our academy from all areas of the city of Grimsby. Our staff are predominantly female. There are a widespread of ages. A small number are of nationalities other than British

Rationale

Our Equality Policy brings together all previous policies, schemes and action plans around equality including Race, Gender and Disability.

The Equality Policy includes all the protected characteristics covered under the Equality Act 2010 as well as other aspects, which have the potential to discriminate against or to devalue any individuals within our community.

We are further committed to the development of cohesive communities both within our academy's physical boundaries and within our local, national and global environments. Our academy embraces the aim of working together with others to improve children's educational and wellbeing outcomes, and notes the rights set out in the UN Convention on the Rights of the Child.

Our Equality Policy is inclusive of our whole academy community – pupils/students, staff, governors, parents/carers, visitors and partner agencies and is built upon active engagement with them.

Objectives

- To ensure that all learners have equal access to a rich, broad, balanced and relevant curriculum.
- To advance equality of opportunity by ensuring that teaching, learning and the curriculum promote equality, celebrate diversity and promote community cohesion by fostering good relations.
- To eliminate any discrimination, harassment and victimisation. To ensure that no-one is unfairly or illegally disadvantaged as a consequence of their age, disability, gender, gender- identity, sexual orientation, colour, race, ethnic or national origin, disability or religious beliefs.
- To recognise and celebrate diversity within our community whilst promoting community cohesion.
- To ensure that this policy is applied to all we do.
- To ensure that pupils and parents are fully involved in the provision made by the academy.

We will endeavour:

- to raise standards and ensure inclusive teaching
- to provide our pupils with self-esteem and confidence which will enable them to fulfil their potential, regardless of gender or stereotypes
- to provide all pupils and staff with opportunities to develop tolerance, respect understanding and empathy to live in a diverse environment and challenge stereotypes.



- to ensure equal treatment of employees, pupils and any others involved in the academy community

Our Approach

We seek to embed equality of access, opportunity and outcome for all members of our academy community, within all aspects of academy life.

We actively seek out opportunities to embrace the following key concepts:

- Identifying commonality and shared values, aspirations and needs underpins our approach to equality;
- We value our fundamental similarities and universality while valuing difference and diversity. We appreciate the richness within our differences and look for ways of celebrating and understanding them better;
- Interdependence, interaction and influence. We recognise that, as they evolve, distinct cultures, beliefs and lifestyles will impact on social cohesion within our academy and within our local community;
- Excellence for All. We aim to inspire and recognise high personal and collective achievement throughout our community, the UK and the wider world. Excellence is to be found everywhere;
- Personal and cultural identity. We will provide opportunities to explore and value the complexity of our personal and cultural identities;
- Fairness and social justice. We will develop our understanding of the inequality that exists in society and explore ways of individually and collectively promoting a more equitable society.

Our vision statement about Equality

Caistor Yarborough Academy seeks to foster warm, welcoming and respectful environments, which allow us to question and challenge discrimination and inequality, resolve conflicts peacefully, and work and learn free from harassment and violence. We recognise that there are similarities and differences between individuals and groups but we will strive to ensure that our differences do not become barriers to participation, access and learning.

We will strive to create inclusive processes and practices, where the varying needs of individuals and groups are identified and met. We recognise that we cannot achieve equality for all by treating everyone the same. We will build on our similarities and seek enrichment from our differences and so promote understanding and learning between and towards others to create a cohesive community.



Our duties

We recognise and accept our equality duties as set out in the Equality Act 2010 and have ensured that they are recognised and embedded in all aspects of academy development to ensure better outcomes for all. We are also guided by the United Nations Convention on the Rights of the Child.

We will ensure we identify opportunities for promoting our vision, the key concepts and our duties on equality legislation across all aspects of academy life, including the provision of extended services.

These opportunities are likely to include all or some of the following, dependent on our current priorities:

- the engagement, participation and involvement of a broad and diverse range of children, young people, their parents and partner agencies;
- learning and teaching and the planned curriculum – including academy sports, interaction with peers;
- classroom organisation – including timetabling, grouping of pupils • access to academy facilities;
- preparation for transition to the academy/preparation of pupils for the next phase of education;
- academy policies;
- breaks and lunchtimes;
- the provision of academy meals;
- opportunities for assessment and accreditation;
- behaviour management approach and sanctions;
- academy clubs;
- activities and educational visits;
- the academy's arrangements for working with other agencies;
- recruitment of staff/staff well-being/staff professional development.

Teaching and learning

- We aim to provide all our pupils with the opportunity to succeed, and to reach the highest level of personal achievement. To do this, we will:
- Use contextual data to improve the ways in which we provide support to individuals and groups of pupils;
- Monitor achievement data by ethnicity, gender and disability and action any gaps;
- Take account of the achievement of all pupils when planning for future learning and setting challenging targets;
- Ensure equality of access for all pupils and prepare them for life in a diverse society;
- Use materials that reflect the diversity of the academy population and local community in terms of race, gender and disability, without stereotyping;
- Promote attitudes and values that will challenge racist and other discriminatory behaviour or prejudice;
- Provide opportunities for pupils to appreciate their own culture and celebrate the diversity of other cultures;



- Seek to involve all parents in supporting their child's education;
- Encourage classroom and staffroom discussion of equality issues which reflect on social stereotypes, expectations and the impact on learning;
- Include teaching and classroom-based approaches appropriate for the whole academy population, which are inclusive and reflective of our pupils.

As an employer

We recognise that our Equality duty underpins every aspect of employment including:

- recruitment and selection;
- pay policy;
- grievance procedures;
- disciplinary procedures;
- harassment procedures;
- staff development and training;
- school improvement/development plan;
- performance management.

The roles and responsibilities within our academy community

Our Governors will ensure that the academy's public sector duty is carried out in relation to:

1. their statutory duty to protect from discrimination is carried out with regard to the 'protected characteristics' that qualify for protection:
 - a. Age
 - b. Disability
 - c. Gender reassignment
 - d. Marriage and civil partnership
 - e. Pregnancy and maternity
 - f. Race g. Religion or belief
 - g. Sex; and
 - h. Sexual orientation
2. the need to advance equality of opportunity between those people who share a protected characteristic and those who do not.
3. foster good relations between those people who share a protected characteristic and those who do not.



Our Headteacher and Senior Leadership Team will:

- ensure that staff, parents/carers, pupils/students and visitors and contractors are engaged in the development of and informed about the Equality Policy;
- oversee the effective implementation of the policy and actions to meet our duty;
- ensure staff have access to training which helps to implement the policy;
- ensure that all employment policies are implemented fairly and consistently across all groups with full respect for legal rights and our equality duty;
- develop partnerships with external agencies regarding the policy so that the academy's actions are in line with the best advice available;
- monitor the policy and report to the Governing Body on a three-yearly basis on the effectiveness of the policy and publish this information;
- have responsibility for supporting other staff in implementing this policy;
- provide a lead in the dissemination of information relating to the policy;
- provide advice/support in dealing with any incidents/issues

Our pupils will:

- be encouraged to develop attitudes and behaviour in line with the principles of our policy appropriate to their level of understanding

Our parents/carers will:

- have access to the policy through a range of different media appropriate to their requirements;
- be encouraged to actively support the policy;
- be encouraged to attend any relevant meetings and activities related to the policy;
- be informed of any incident related to this policy which could directly affect their child.

Our staff will:

- be fully aware of the Equality Policy and how it relates to them;
- understand that this is a whole academy issue and support the Equality Policy;
- make known any queries or training requirements.



Caistor Yarborough Academy

Equalities Plan

This plan brings together actions from the following existing, and former, policies and action plans:

- Community cohesion;
- Disability;
- Accessibility;
- Racial Equality

Notable recent achievements in these areas have been:

- Academy's focus on sharing best practice to improve outcomes for all pupils at the academy;
- Pupils benefitting from increasing our multi-cultural events and celebrations;
- Developing students' awareness of disability in general and helping them to recognize their own additional needs;
- Ensuring we consult with parents and staff on their needs and that we act on their feedback;
- Strengthening our relationship with the local community to foster greater understanding of the needs of the pupils;

Current Objectives: to be agreed by SLT and Governors;

- To monitor equality of opportunity across the academy to ensure that pupils of different abilities receive high quality learning opportunities appropriate to their needs;
- To monitor the different ways, we reach parents and carers and follow up actions required to ensure that we try to overcome any barriers that may exist.
- To involve our stakeholder groups in further developments of our equality policy through consultation and engagement.

Responding to and reporting incidents

It should be clear to pupils and staff how they report incidents. All staff, teaching and non-teaching, should view dealing with incidents as vital to the well-being of the whole academy.

A suggested procedure for responding and reporting is outlined below:

- Incident;
- Member of staff to investigate further (if incident reported) or challenge behaviour immediately;
- Senior Leadership Team informed;
- Response to perpetrator and family;
- Response to victim and family;
- Action taken to address issue with class group / academy if necessary e.g. through pastoral time / assembly;



- Incident form to be completed and filed;
- Incidents to be reported to Governing Body and Local Authority on a termly basis

Monitoring and review of Policy and Plan

We will review the Equality Policy and Plan on a three-yearly basis with Governors and stakeholders. We have a rolling programme for reviewing our academy policies and their impact. In line with legislative requirements, we will review progress against our Equality Plan three yearly and review the entire plan and accompanying action plan on a three-year cycle.

We make regular assessments of pupils' learning and use this information to track pupil progress. As part of this process, we regularly monitor achievement by ethnicity, gender and disability, to ensure that all groups of pupils are making the best possible progress, and take appropriate action to address any underachievement.



Secure Storage Facility Keyholder Responsibilities

This document has been created to ensure the nominated keyholders for Caistor Yarborough Academy are fully aware of their roles, responsibilities and the regulations relating to the secure room and the secure storage facility.

The main role of a key holder is to access the secure room and secure storage facility in the absence of the Exams Officer only.

Key duties would include:

- Moving examination papers to the secure room immediately for checking and transferring to the secure storage facility. Ensuring all receipt and secure movement paperwork is completed.
- Removing the papers from the secure storage facility on exam days.
- Returning packaged exam scripts to the secure storage whilst waiting for dispatch.

The Secure room (the exams cupboard)

- This must solely be used for the purpose of administering secure examination materials and must only contain exam-related material
- Access is restricted to named keyholders only (between 2-6)
- There must be at least 2 keys rather than one key accessed by two or more members of staff
- A spare set of keys must not be kept anywhere that can be accessed by members of staff who are not involved in exam administration. This includes a cabinet or safe.
- Keys must either be kept on the key holder's person or in a coded key safe which is only accessible to the designated keyholders.

Secure storage facility (the secure cabinets within the exams cupboard)

This must only contain current and 'live' confidential material, in exam date order – this includes question papers in any format, including modified papers, advance materials (e.g. pre-release materials) and assessment material downloaded from an awarding bodies secure site.

Past examination question papers, internal school test and mock examination materials must not be kept in the center's secure storage facility.

Scripts awaiting packaging and/or dispatch to the awarding body/examiner must be retained in the secure storage facility, until transferred to the relevant person.

I confirm I have read and understood the responsibilities I have as a key holder.

Signed:

Date:

Printed:



Privacy Notice

Information for Candidates

Information About You and How We Use It

You have entered general or vocational qualifications such as GCSE, A-level, functional skills qualifications etc with one or more of the awarding bodies listed above. In order to be able to provide examinations and assessments, the awarding body needs to collect and use information about you. This notice provides you with a high-level summary of the information the awarding body is required by law to give you about what happens to that information. For more detail see each awarding body's full Privacy Notice:

AQA: <https://www.aqa.org.uk/about-us/privacy-notice>

CCEA: <https://ccea.org.uk/legal/privacy-notice>

City & Guilds: <https://www.cityandguilds.com/help/help-for-learners/learner-policy>

NCFE: <https://www.ncfe.org.uk/legal-information>

OCR: <https://www.ocr.org.uk/about/our-policies/website-policies/privacy-policy/>

Pearson: <https://qualifications.pearson.com/en/about-us/qualification-brands/gdpr.html>

WJEC: <https://www.wjec.co.uk/home/privacy-policy/>

Who we are and how to contact us

Each awarding body is a separate organisation. Your school or examination centre will be able to confirm to you which awarding body is delivering each qualification you are undertaking and you will receive a statement confirming what qualifications you have been entered for and which awarding body. You will find links to each awarding body's website and information on how to contact them here: <https://www.jcq.org.uk/contact-our-members/>

Information about you and from where it is obtained

Each awarding body whose qualifications you enter will need to use a variety of information about you. This includes obvious identification details such as your name, address, date of birth and your school or examination centre. It also includes information about your gender, race and health, where appropriate. This information is provided by you or your parents/guardians and/or by your school or examination centre.

Each awarding body will create certain information about you such as a candidate number, examination results and certificates.

You will find further information about this in the awarding bodies' full Privacy Notice (see links above) or by contacting the awarding body (see above).



What happens to the information about you

The awarding bodies use the information about you to deliver the examinations and assessments which you have entered. This includes making a variety of arrangements for you to sit the examinations or assessments, marking, providing you and your school or centre with results and certificates. The awarding bodies also use some of the information about you for equality monitoring and other statistical analysis.

The awarding bodies may share information about your results with official bodies such as the Department for Education and the examinations regulators (e.g. Ofqual in England) and also relevant local authorities and the Universities and Colleges Admissions Service (UCAS). An awarding body may also use information about you to investigate cheating and other examination malpractice and will share information about malpractice with other awarding bodies.

The awarding bodies take the security of the information about you that they hold seriously.

You will find further, technical information about what the awarding bodies do with information about you, why and the legal basis in the awarding bodies' full Privacy Notice, which can be accessed here (see links on page one) or by contacting the awarding body (see above).

Your Rights

The law gives you a number of rights in relation to the information about you that the awarding bodies hold. Those rights are:

Access – you are entitled to ask each awarding body about the information it holds about you.

Rectification – you are entitled to ask each awarding body to correct any errors in the information that it holds about you.

Erasure – in certain circumstances you are entitled to ask each awarding body to erase the information about you that it holds.

Object to or restrict processing – in certain circumstances you are entitled to ask each awarding body to stop using information about you in certain ways.

Complain – you are entitled to complain to the Information Commissioner (the body regulating the use of personal information) about what each awarding body does with information about you.

You will find further information about your rights in relation to information about you in the awarding bodies' full Privacy Notice, which can be accessed here (see links on page one) or by contacting the awarding body (see above).

How long the information about you is held

Each awarding body retains information about you only for as long as it is needed. Some of the information is needed only during the period in which you are undertaking the examination or assessment and is securely destroyed a short while afterwards. Other information about you, such as your name, gender, address, qualification and subjects entered and the results, are held indefinitely and for at least 40 years.



Each awarding body has its own retention policy that sets out what information it retains, how it is retained and for how long. You can find out more about retention policies by contacting each awarding body (see above).

How to find out more about the information about you that the awarding bodies use

To find out more about the information about you that the awarding bodies collect and use, including what happens to that information and why, you can review the awarding bodies' full Privacy Notice, which can be accessed here (see links on page one) or contact the awarding body. You will find links to each awarding body's website and information on how to contact them here: <https://www.jcq.org.uk/contact-our-members/>.

Please note

It is important to note that this notice concerns only how the awarding bodies use information about you (called your "personal data"). Complaints about how an awarding body handles your personal data can be made to the Information Commissioner (www.ico.org.uk). Information about the examinations and assessments themselves, including the rules about assessments, can be found on the JCQ Exams Office pages (www.jcq.org.uk/exams-office). The awarding bodies are regulated by Ofqual (<https://www.gov.uk/government/organisations/ofqual>) in England; Qualifications Wales (www.qualificationswales.org) in Wales, and the Council for the Curriculum, Examinations and Assessment (<http://ccea.org.uk/regulation>) in Northern Ireland.



Caistor Yarborough Academy

Suspected Malpractice Policy

What is malpractice and maladministration?

‘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 use 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

Purpose of the policy

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

General principles

In accordance with Caistor Yarborough Academy will:

- Take all reasonable steps to prevent the occurrence of any malpractice (which includes maladministration) before, during and after examinations have taken place
- 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
- 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



Candidate malpractice

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

Centre staff malpractice

‘Centre staff malpractice’ means malpractice committed by:

a member of staff, contractor (whether employed under a contract of employment or a contract for services) or a volunteer at a centre; or

an individual appointed in another capacity by a centre such as an invigilator, a Communication Professional, a Language Modifier, a practical assistant, a prompter, a reader or a scribe

Preventing malpractice

Caistor Yarborough Academy has in place:

Robust processes to prevent and identify malpractice, as outlined in section 3.3 of the JCQ publication Suspected Malpractice: Policies and Procedures to include:

Candidates are challenged at multiple points prior to entry into the exam room.

Plastic wallets are provided for personal items to ensure that these do not enter the exam room.

The JCQ Information for Candidate booklet is shared with students:

- Via the Caistor Yarborough Academy website.
- Through the Academy MIS, on the students MCAS account.
- Students receive a printed copy prior to the exams.
- A note is added to the student’s exam timetables.

JCQ signs are displayed on the outside of each exam room

No food allowed unless for medical purpose, the student will need to place items in a clear plastic wallet and this will be left with the invigilator at front of room. Student will need to raise their hand if items required.

Identification and reporting of malpractice

- The head of centre will notify the appropriate awarding body immediately of all alleged, suspected or actual incidents of malpractice, using the appropriate forms, and will



conduct any investigation and gathering of information in accordance with the requirements of the JCQ publication Suspected Malpractice: Policies and Procedures

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

Communicating malpractice decisions

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

Appeals against decisions made in cases of malpractice

Caistor Yarborough Academy will:

Provide the individual with information on the process for submitting an appeal, where relevant

Refer to further information and follow the process provided in the JCQ publication A guide to the awarding bodies' appeals processes