



## Exams Policy

Policy Lead:	<b>Deputy Headteacher (JN)</b>
Last Review Date:	October 2024
Next Review Date:	October 2025
Approval needed by:	<b>Headteacher</b>

## **Introduction and Aims**

The Oaks Academy is committed to ensuring that exams are managed and administered effectively.

The aim of this policy is to ensure:

- The planning and management of exams is conducted in the best interest of candidates
- Our system of exams administration is efficient and clear, and staff and pupils understand what is required and expected of them
- We comply with requirements and guidance set out by the Joint Council for Qualifications (JCQ) and awarding bodies
- This policy has been created using the publications produced by JCQ, including “Instructions for Conducting Examinations”, “General Regulations for Approved Centers”, “Access Arrangements and Reasonable Adjustments” and “Suspected Malpractice: Policies and Procedures”

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## **Roles and Responsibilities**

**The Head of Centre** has overall responsibility for:

- the school as an examination centre and advises on appeals and re-marks.
- reporting all suspected or actual incidents of malpractice in examinations and assessments (with reference to the JCQ document).

**The Deputy Headteacher (Progress and Culture) with the Exams Officer** is responsible for:

- the administration of internal exams and external exams.
- advising the senior leadership team, subject and class tutors, and other relevant support staff on annual exams timetables and procedures as set by the various awarding bodies.
- overseeing the production and distribution, to all centre staff and candidates, of an annual calendar for all exams in which candidates will be involved and communicates regularly with staff concerning imminent deadlines and events.
- ensuring that candidates and their parents are informed of and understand those aspects of the exams timetable that will affect them.
- checking with teaching staff that the necessary coursework and/or controlled assessments are completed on time and in accordance with JCQ guidelines.
- providing and confirming detailed data on estimated entries.
- maintaining systems and processes to support the timely entry of candidates for their exams.
- receiving, checking and storing securely all exam papers and completed scripts and ensuring that scripts are dispatched as per the guidelines.
- identifying and managing exam timetable clashes.
- accounting for income and expenditures relating to all exam costs/charges.
- line managing and organising the recruitment, training, and monitoring of a team of exams invigilators responsible for the conduct of exams.
- ensuring candidates' non-examination assessment marks are submitted, and any other material required by the appropriate awarding bodies correctly and on schedule.
- tracking, dispatching, and storing returned non-examination assessments.
- arranging for dissemination of examination results and certificates to candidates and forwards any post results service requests.

**Curriculum Team Leaders** are responsible for:

- guidance and pastoral oversight of candidates who are unsure about exams entries or amendments to entries.
- accurate completion of entry and all other marksheets and adherence to deadlines as set by the Exams Officer.
- accurate completion of non-examination assessments marksheets and declaration sheets.
- decisions on post-results procedures.

**Teachers** are responsible for:

- supplying information on entries, non-examination assessments as required by the Curriculum Team Leader and Exams Officer.

**The Special Educational Needs and Disability Coordinator (SENCo)** is responsible for:

- identification and testing of candidates' requirements for access arrangements and notifying the Exams Officer in good time so that they are able to put in place examination day arrangements
- administering access arrangements and making applications for special consideration following the regulations in the JCQ publication '*A Guide to the Special Consideration Process*'.
- working with the Exams Officer to provide the access arrangements required by candidates in exams rooms.

**Invigilators** are responsible for:

- assisting the Exams Officer in the efficient running of examinations according to JCQ regulations.
- collection of exam papers and other material from the Examinations Office before the start of the exam.
- collection of all exam papers in the correct order at the end of the exam and ensuring their return to the Examinations Office.

**Candidates** are responsible for:

- checking their own exam entries.
- understanding non-examination assessment regulations and signing a declaration that authenticates the non-examination assessment as their own.
- ensuring they conduct themselves in all exams according to the JCQ regulations.

### **Qualifications Offered**

The qualifications offered at this centre are decided by the Curriculum Team Leaders and the Senior Leadership Team.

The types of qualifications offered are GCSEs and Vocational Qualifications, e.g. Cambridge Nationals and BTECs.

The subjects offered for these qualifications in any academic year may be found in the Oaks Academy's Options Booklet for that year. If there is to be a change of specification for the next year, the Examinations Office must be informed by 1<sup>st</sup> September in the year of first teaching.

Informing the Examinations Office of changes to a specification is the responsibility of the Curriculum Team Leaders and should be monitored by the Examinations Officer.

Decisions on whether a candidate should be entered for a particular subject will be taken by in consultation with the candidates, subject leaders and the Curriculum Team Leaders.

### **Exam Series**

Internal exams (mock or PPE exams) and assessments are scheduled in term 1B and 2A (year 11) and 3B (year 10).

PPE exam papers are to be securely stored by each department to adhere to Ofqual resilience guidelines.

External exams and assessments are scheduled in May and June.

Internal exams in Maths, English and Science and any other subjects that request this are held under external exam conditions.

The Head of Centre, Deputy Headteacher and the Senior Leadership Team decide which exam series are used in the centre.

### **Exam Timetables**

Once confirmed, the Examination Officer will circulate the exam timetables for external exams.

### **Entries, Entry Details and Late Entries**

The centre does not accept entries from private candidates. However, consideration will be given to candidates if they have previously attended the school. The centre does not act as an exams centre for other organisations. Entry deadlines are circulated to Curriculum Team Leaders via email. Curriculum Team Leaders will provide estimated entry information to the Examinations Officer to meet JCQ and awarding body deadlines.

Entries and amendments made after an awarding organisation's deadline (i.e. late) require the authorisation, in writing, of the Deputy Headteacher and the Examinations Officer. Any entries or amendments made after the deadlines will be charged to the appropriate department.

### **Exam Fees**

Candidates or departments will not be charged for changes of tier, withdrawals made by the proper procedures or alterations arising from administrative processes provided these are made within the time allowed by the awarding bodies.

The Examinations Officer will publish the deadline for actions well in advance for each examinations series.

All entry exam fees are paid by the centre.

Late entry or amendment fees are paid by the department.

### **Cheating and Plagiarism**

A fair assessment of student's work can only be made if that work is entirely the student's own. Therefore, students can expect an awarding body to be informed if:

- They are found guilty of copying, giving or sharing information or answers, unless part of a joint project
- They use an unauthorised aid during a test or examination
- They copy another student's answers during a test or examination
- They talk during a test or examination.

All allegations of cheating and plagiarism will lead to a full investigation which will follow the guidance of the relevant awarding body for malpractice.

If a student feels he/she has been wrongly accused of cheating or plagiarism, they should be referred to the Complaints Policy.

### **The Disability Discrimination Act (DDA), Special Needs and Access Arrangements**

**DDA:** The Disability Discrimination Act (DDA) extends the application of the DDA to general qualifications. All examination centre staff must ensure that access arrangements and special consideration regulations and guidance are consistent with the law.

### **Estimated Grades**

Curriculum Team Leaders will submit evidence-based grades via SIMS after every assessment point (internal). These can be used to inform the Examinations Officer when requested by the Deputy Headteacher.

### **Managing Invigilators**

- External staff will be used to invigilate examinations.
- These invigilators will be used for internal exams and external exams.
- Recruitment of invigilators is the responsibility of the centre administration.
- Securing the necessary Disclosure Barring Service (DBS) clearance for new invigilators is the responsibility of the centre administration.
- DBS fees for securing such clearance are paid by the centre.
- Invigilators' rates of pay are set by the centre administration.
- Invigilators are recruited, timetabled, trained, and briefed by the Exams Officer.
- The head of centre in consultation with exams officer is responsible for investigating suspected malpractice.
- The exams officer will book all exam rooms after liaison with other users and make the question papers, other exam

- stationery and materials available for the invigilator.
- Site management staff is responsible for setting up the allocated rooms, and will be advised of requirements well in advance.
- The senior leadership team/lead invigilator will start and finish all exams in accordance with JCQ guidelines.
- Subject staff may be present at the start of the exam to assist with identification of candidates. Any staff present must be in accordance with the rules defined by JCQ concerning who is allowed in the exam room and what they can do.
- In practical exams, subject teachers' availability will be in accordance with JCQ guidelines.
- Exam papers must not be read by subject teachers or removed from the exam room before the end of a session. Papers will be distributed to heads of department in accordance with JCQ's recommendations and no earlier than 24 hours after candidates have completed them.

### **Exam Days**

The Examinations Officer will:

- Book all exam rooms (after liaising with other relevant users)
- Make question papers, exam stationery and materials available for the invigilator

Site management staff are responsible for setting up the allocated rooms, and will be advised of requirements [number] days in advance.

The Exams Officer / Invigilation Team will start and finish all exams in accordance with JCQ guidelines.

Any staff present must be in accordance with the rules defined by JCQ concerning who is allowed in the exam room and what they can do as . In practical exams, subject teachers' availability will be in accordance with JCQ guidelines.

Exam papers must not be read by subject teachers or removed from the exam room before the end of a session. Papers will be distributed to Curriculum Team Leaders / Subject Leads in accordance with JCQ's recommendations and no later than the following day.

After an exam, the exams officer will arrange for the safe dispatch of completed exam scripts to awarding bodies, working in conjunction with the Deputy Headteacher (Progress and Culture).

### **Candidates**

The Examinations Officer will provide written information to candidates in advance of each exam series. A formal briefing session for candidates may be given by the Examinations Officer or Senior Leader.

Our published rules on acceptable dress and behaviour apply at all times. Candidates' personal belongings remain their own responsibility and we accept no liability for their loss or damage.

The process for identifying candidates is in two steps. First, candidates will gather in the Main Hall prior to the examination for SLT to ensure all candidates present have been entered for the exam. Second, upon entering the exam room and seating, a visual check of the identification of the student will be conducted by an invigilator using the photocard on the students assigned desk.

In an exam room, candidates must not have access to items other than those clearly allowed in the instructions on the question paper, the stationery list, or the specification for that subject. Students will be reminded of this at the start of the exam.

This is particularly true of mobile phones and other electronic devices with text or digital facilities.

Any precluded items must not be taken into the exam room.

Disruptive candidates are dealt with in accordance with JCQ guidelines.

Invigilators will take all reasonable steps to ensure candidates do not have access to prohibited items/materials during an exam (ICE 18.4)

Candidates are expected to stay for the full exam time at the discretion of Examinations Officer.

Candidates who leave an exam room must be accompanied by an appropriate member of staff at all times. The Examinations Officer is responsible for handling late or absent candidates on exam day.

### **GCSE Non-Examination Assessments (NEAs)**

Teaching staff who deliver non-examination assessments (NEAs) will follow the correct specifications and the specification and instructions provided by the awarding body, or JCQ instructions for conducting non-examination assessments if appropriate.

It is the responsibility of the subject teacher with support from the Curriculum Team Leader to ensure that all processes for NEAs are followed in line with the examination board specification. This process will involve checking that the candidate's work is their own, the assessment completed is within the specified timeframe and a due process of moderation and standardisation takes place to ensure that the assessment is marked accurately in line with the specification marking criteria.

It is the duty of subject Leads and Curriculum Team Leaders to ensure that all non-examination assessment is ready for dispatch at the correct time. The Examinations Officer will assist by keeping a record of each dispatch, including the recipient details, and the date and time sent. Marks for internally assessed work are provided to the Exams Office by Subject Leads/ Curriculum Team Leaders. The Examinations Officer will inform staff of the deadline date for appeals against internal assessments. Any appeals will be dealt with in accordance with our internal appeals procedure document.

### **Results, enquiries about results (EARS) and Access To Scripts (ATS)**

Candidates will receive individual results slips on results days,

- in person at the centre or by post to their home address - candidates to provide a self-addressed envelope
- Candidates sending a representative to collect their results should supply them with a signed letter requesting this. Previous contact with the school, regarding this, should take place.

Arrangements for the centre to be open on results days are made by the senior leader.

The provision of the necessary staff on results days is the responsibility of the senior leader.

### **Enquiries about Results (EAR)**

EARs may be requested by centre staff or the candidate following the release of results. A request for a re-mark or clerical check requires the written consent of the candidate, a request for a re-moderation of internally assessed work may be submitted without the consent of the group of candidates.

The cost of EARs will be paid by the centre.

If a candidate's request for an EAR is not supported, the candidate may appeal and the centre will respond by following the process outlined on the Internal Appeals Form.

All processing of EARs will be the responsibility of the exams officer, following the JCQ guidance.

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

After the release of results, candidates may ask subject staff to request the return of written exam papers within three days of the receipt of results.

Centre staff may also request scripts for investigation or for teaching purposes. For the latter, the consent of candidates must be obtained.



An EAR cannot be applied for once an original script has been returned.

The cost of EARs will be paid by the centre.

Processing of requests for ATS will be the responsibility of the Examinations Officer.

### **Certificates**

Candidates will receive their certificates

- collected and signed for
- posted (if not collected)

Certificates can be collected on behalf of a candidate by third parties, provided they have written authority from the candidate to do so, and bring suitable identification with them that confirms who they are. The centre retains certificates for one year.

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## Appendix 1



# Access Arrangements Policy

2024/2025

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

<b>Approved/reviewed by</b>	Jason Newham
<b>Date of next review</b>	October 2025

### Key staff involved in the procedure

Role	Names
SLT lead for Exams	Jason Newham
Head of Centre	Peter Kingdom
SENCo	Helen Holland
SLT members	Peter Kingdom, Joanne Mackreth, Jason Newham, Emma Leftwick, Alex Brooks, Emily Abberley and Helen Holland
Teaching staff	All staff

Access arrangement facilitator/Exams Officer	Helen Holland / David Copeland
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## What are access arrangements and reasonable adjustments?

### Access arrangements

Access arrangements are agreed **before** any examination series or assessment. They allow candidates with **specific needs**, such as special educational needs, disabilities or a learning difficulty to access the assessment and show what they know and can do without changing the demands of the assessment. The intention behind an access arrangement is to meet the needs of an individual candidate without affecting the integrity of the assessment. Access arrangements are the principal way in which awarding bodies comply with the duty under the Equality Act 2010\* to make 'reasonable adjustments'. (<sup>1</sup>Access Arrangements, Definitions)

### Reasonable adjustments

The Equality Act 2010 requires an awarding body to make reasonable adjustments where a candidate, who has additional needs, within the meaning of the Equality Act 2010, would be at a **substantial disadvantage** in comparison to someone who does not have additional needs. The awarding body is required to take reasonable steps to overcome that disadvantage. An example would be a Braille paper which would be a reasonable adjustment for a vision impaired candidate who could read Braille. A reasonable adjustment may be unique to that individual and may not be included in the list of available access arrangements. Whether an adjustment will be considered reasonable will depend on several factors which will include, but are not limited to:

- the needs of the candidate with additional needs;
- the effectiveness of the adjustment;
- the cost of the adjustment; **and**
- the likely impact of the adjustment upon the candidate and other candidates.

An adjustment will not be approved if it:

- involves unreasonable costs to the awarding body;
- involves unreasonable timeframes; **or**
- affects the security and integrity of the assessment.

This is because the adjustment is not 'reasonable'. (<sup>1</sup>Access Arrangements, Definitions)

### Purpose of the policy

The purpose of this policy is to confirm that The Oaks Academy has a written record which clearly shows the centre is leading on the access arrangements process and is complying with its '*obligation to identify the need for, request and implement access arrangements.*' (JCQ's **General Regulations for Approved Centres**, section 5.4) This publication is further referred to in this policy as General Regulations. This policy is maintained and held by the SENCo with the individual files/e-folders of each access arrangements candidate. Each file/e-folder contains detailed records of all the essential information that is required to be held according to the regulations.

Where the SENCo is storing documentation electronically they **must** create an efolder for each individual candidate. The candidate's e-folder **must** hold each of the required documents for inspection. (<sup>1</sup>Access Arrangements, section 4.2). This policy is annually reviewed to ensure that processes are carried out in accordance with the current edition of the JCQ publication '*Accessing the Need for Access Arrangements in Examinations: A Practical Guide*'.

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<sup>1</sup> This publication is further referred to in this policy as Access Arrangements

### **General principles**

The principles for the centre to consider are detailed in Access Arrangements (section 4.2). These include:

- The purpose of an access arrangement/reasonable adjustment is to ensure, where possible, that barriers to assessment are removed for a candidate with additional needs preventing them from being placed at a substantial disadvantage due to persistent and significant difficulties.
- The SENCo **must** ensure that the proposed access arrangement/reasonable adjustment does not unfairly disadvantage or advantage the candidate.
- Access arrangements/reasonable adjustments should be processed at the **start** of the course.
- Arrangements **must** always be approved **before** an examination or assessment.
- The arrangement(s) put in place **must** reflect the support given to the candidate in the centre.
- The candidate **must** have had appropriate opportunities to practise using the access arrangements / reasonable adjustments before their first examination.

### **Equalities Policy (Exams)**

A large part of the access arrangements/reasonable adjustments process is covered in the Equalities Policy (Exams) which covers staff roles and responsibilities in identifying the need for requesting and implementing access arrangements and the conduct of exams.

The Head of Centre / Senior Leadership Team will recognise its duties towards candidates with additional needs, ensuring compliance with all aspects of the Equality Act 2010<sup>†</sup>, particularly Section 20 (7). This must include a duty to explore and provide access to suitable courses, through the access arrangement process, submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to candidates with additional needs. Where the centre is under a duty to make a reasonable adjustment, the centre **must not** charge a candidate with additional needs any additional fee in relation to the adjustment or aid. <sup>†</sup>or any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect (General Regulations section 5.4).

### **Types of access arrangements include:**

1. Supervised rest breaks
2. Extra time of up to 25%
3. Extra time of up to 50%
4. Extra time of over 50%
5. Reader/Computer reader
6. Read aloud
7. Scribe/Voice to text software
8. Word processor
9. Braille transcript
10. Prompter
11. Oral Language Modifier
12. Communication and Language
13. Mathematical Processing Time
14. Live speaker for pre-recorded examinations components
15. Sign Language Interpreter
16. Practical Assistant
17. Alternative accommodation away from the centre
18. EAL Support
19. Other arrangements for candidates with additional needs

### **The Assessment Process**

Assessments are carried out by an assessor(s) appointed by the Head of Centre. The assessor(s) is (are) appropriately qualified as required by JCQ regulations in Access Arrangements, section 7.3. We have trained assessors - Assistant Headteacher (SENCo) and Assistant Headteacher (Inclusion) at the school to carry out assessments in line with JCQ guidance.

### **Appointment of assessors of candidates with learning difficulties**

If an additional assessor is engaged/employed by the centre, evidence of the assessor's qualification is obtained and checked against the current requirements in JCQ Access Arrangement Regulations. This process is carried out prior to the assessor undertaking any assessment of a candidate.

### **Checking the qualification(s) of the assessor(s)**

#### **The Oaks Academy ensures:**

The assessor must hold a post-graduate qualification in individual specialist assessment at or equivalent to Level 7 which must include training in all of the following:

- The theoretical basis underlying psychometric tests, such as the concepts of validity and reliability; standard deviations and the normal curve; raw scores, standard scores, quotients, percentiles and age equivalent scores; the concept of statistically significant discrepancies between scores; standard error of measurement and confidence intervals
- The appropriate use of nationally standardised tests for the age group being tested

Upon appointment at The Oaks Academy, the assessor is required to produce a copy of their qualification and assessment practicing certificate which is held in their personal file.

### **Reporting the appointment of the assessor(s)**

The SENCo holds a file evidencing that all assessors are suitably qualified. The names of all assessors are entered in Access Arrangements Online to confirm their status, as required by JCQ Regulations in Access Arrangements, Section 7.4.

### **Process for the assessment of a candidate's learning difficulties by an assessor**

- All previous relevant assessment records, diagnosis' reports and documentation pertaining to a student's needs will be requested upon joining Oaks Academy and held on record in the student file; this will assist the SENCo in determining any potential entitlement to access arrangements.
- Baseline assessments are conducted of all students on admission to The Oaks Academy, which is a full cognitive assessment. In addition, a speech, language and communication assessment and/or an occupational therapy assessment will be conducted if appropriate. Assessments are updated yearly. This provides recommendations to teaching staff on how to support the student in class and will provide further information regarding additional needs and identify potential candidates who qualify for access arrangements.
- A copy of the assessment scores and outcomes is kept in the students access arrangement file.
- All teaching staff are given a list detailing the access arrangement entitlement of all students, and this list is updated via the SEN Register.
- Parents can contact the school to ask for advice about further testing if they have concerns with the progress and learning of their child. Once contact has been made with the parent, the SENCo will investigate their concerns by speaking to the student's subject teachers. Following this, a decision will be made as to whether it is appropriate to test a student.
- Any staff member can contact the SENCo directly at any time to raise any concerns via the Access Arrangements Form about a candidate's learning or ability to access to the curriculum.

- Access arrangements will be applied for using Access Arrangements On-line before the annual JCQ deadline. The exception to this is where an emergency arrangement has been put in place as a consequence of a temporary injury or impairment.

### **Recording evidence of need**

- The SENCo has a separate file for each student with relevant information regarding any formal diagnosis and/or background information, relevant assessment reports, evidence of need/normal way of working as well as details of both individual and group interventions and summative assessment data.
- Standardised scores are produced and results are disseminated to all relevant subject teachers which inform staff about future teaching practices.
- Tests used to determine access arrangement examine the following:
  - Reading speed
  - Reading comprehension
  - Spelling ability
  - Writing speed/legibility
  - Processing speed
  - Short Term and Working memory
  - Handwriting
  - Phonological Awareness and Memory
  - Rapid Symbolic Naming
  - Oral Reading
- For that purpose, the Oaks Academy uses the CTOPP2, DASH, WRAT5, BPVS, Sparcs test.
- All tests used are on the SpLD Assessment Standards Committee (SASC) approved list of tests for access arrangements.
- At the time of applying for access arrangements, a Form 8 will be completed by the appropriate persons.
- Where a candidate has a current Education, Health and Care Plan, the SENCo must substantiate the documentation with a picture of need. The SENCo must complete the Form 9 with appropriate documentation e.g. Educational Psychologist Report.
- When assessments and/or mock exams are conducted to provide evidence, a note is made where the expected test time has elapsed by marking a line on the test/assessment paper. The student is then allowed the appropriate amount of extra time as designated. This enables the subject teacher to ascertain the effectiveness of the extra time awarded.
- The SENCo will monitor the effectiveness of any alternative ways of working and access arrangements to ensure that they are still required and continue to be of benefit to the student. If an arrangement is not used or is found to no longer be of benefit to the student, it will be removed in accordance with JCQ guidance.
- A data protection notice will be signed by the candidates.

### **Picture of need/normal way of working**

- As subjects vary, leading to different demands of the candidate, support may be needed in just one or two subjects; another candidate may need support in all their subjects. The key principle is that the specialist assessor can show a history of support and provision.
- All teaching staff are reminded on a regular basis by the SENCO to ensure that students are working with their correct access arrangement entitlement and that the students' workbooks are annotated to reflect their designated 'normal way of working'. The SENCO will do periodic spot checks of the student's work books to ensure that the

correct way of working is being observed. The SENCO may also talk directly to the students to enquire how well their designated arrangement is working.

- At the assessment stage, or anytime thereafter if a need is identified, any relevant assistive technology is arranged for the student which will become their 'normal way of working'.
- The timetable during assessments will be modified at source to take account of the student's slower pace of learning and working, and the need for extra time.
- The delivery of the teaching, the language used and resources are adapted at source to take account of our student's learning difficulties and this arrangement is therefore their 'normal way of working'.
- Students who are unable to write by hand will record their work using a word processor. Software is installed on laptop computers of students who are unable to write by hand and unable to use a word processor. Therefore, the student's work books will have typed work in them which will reflect their alternative and 'normal way of working'.

Where a student is not able to use either a word processor or voice to text technology because of their learning needs, the teacher or LSA will scribe where appropriate. The student's workbook will be annotated accordingly to reflect both '*evidence of need*' and '*normal way of working*'

### ***Processing access arrangements and adjustments***

#### ***Arrangements/adjustments requiring awarding body approval***

Access arrangements online is a tool provided by JCQ member awarding bodies for centres to apply for required access arrangement approval for the qualifications covered by the tool. This tool also provides the facility to order modified papers for those qualifications included. (Refer to Access Arrangements, chapter 8 (Processing applications for access arrangements and adjustments) and chapter 6 (Modified papers)).

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

If an application is not approved, additional paperwork/evidence may be required to justify the request being made. A printed copy of any such outcome is to be kept on file.

#### ***Centre-delegated arrangements/adjustments***

Some access arrangements can be "Centre-delegated" which means that an online application to JCQ is not required. Examples of such arrangements include supervised rest/movement breaks, candidates who read aloud, use of a word processor, use of a prompter, coloured overlays and alternative rooming within the centre. Where appropriate, the relevant examinations cover sheet will be completed and/or (if applicable), details noted of supervised rest/movement breaks on the exam incident log. The SENCO must be satisfied that there is a genuine need for the arrangement to be put in place and have supporting evidence on file.

#### ***Centre-specific criteria for particular arrangements/adjustments***

#### ***Word Processor Policy (Exams)***

An exam candidate may be approved the use of a word processor through Access Arrangements. The use of a word processor must reflect the candidate's normal way of working within the centre.

The Oaks Academy has a written Word Processor Policy (Exams) which details the criteria the centre uses to award and allocate word processors for exams.

### ***Alternative Rooming Arrangements Policy***

A decision where an exam candidate may be approved alternative rooming arrangements, e.g. a room for a smaller group of candidates with similar needs (formerly known as separate invigilation) will be made by SENCo in consultation with the Deputy Headteacher (Progress and Culture i/c Exams).

Some of our students have difficulty with self-regulation as a consequence of a long-term medical condition or long term social, mental or emotional needs. This means that some candidates routinely work with alternative rooming arrangements such as 'The Hub' or Thrive Centre, so that they can be better regulated in order to access the teaching and learning. It also prevents them from disrupting the learning of others in the same room. For this reason, some candidates may therefore require alternative rooming arrangements and it will reflect the candidate's normal way of working in the classroom and in internal school tests, assessments and mock examinations. The only exception to this would be a temporary illness or other temporary impairment which will be clearly evidenced.



## Appendix 2:



# ALTERNATIVE ROOMING ARRANGEMENTS POLICY (EXAMS)

**2024/2025**

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

<b>Approved/reviewed by</b>	Jason Newham
<b>Date of next review</b>	October 2025

## Key staff involved in the procedure

Role	Names
SLT lead for Exams	Jason Newham
Head of Centre	Peter Kingdom
SENCo / ALS Lead	Helen Holland
SLT members	Peter Kingdom, Joanne Mackreth, Jason Newham, Emma Leftwick, Alex Brooks, Emily Abberley and Helen Holland
Teaching staff	All staff
Access arrangement facilitator/Exams Officer	Helen Holland / David Copeland

### **Introduction**

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

### **Purpose of the policy**

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

### **1. Decisions on the awarding of the arrangement**

At Oaks Academy, decisions on the awarding of the arrangement are made by the SENCo and Exams Team.

Decisions are based on:

- Whether the candidate has a substantial and long-term impairment which has an adverse effect (Access Arrangements 5.16)
- The candidate's normal way of working within the centre (Access Arrangements 5.16)
- Ensuring the proposed arrangement does not unfairly disadvantage or advantage the candidate (Access Arrangements 4.2.1)

### **2. Criteria for the awarding of the arrangement**

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

- The candidate has an established difficulty as defined in section 5.16 of the JCQ's '*Access Arrangements and Reasonable Adjustments publication*' (ICE 14.18)
- The candidate has a long-term medical condition or long term social, emotional and mental health needs (Access Arrangements 5.16)
- The candidate's difficulties are established within the centre and known to relevant staff or a senior member of staff with pastoral responsibilities (Access Arrangements 5.16)
- Separate invigilation reflects the candidate's normal way of working in internal tests and mock examinations because of a long-term medical condition or long term social, emotional and mental health needs (Access Arrangements 5.16)
- Where a candidate sits their examinations in a smaller environment away from the main examination room, the regulations and guidance within the JCQ publication Instructions for conducting examinations will be adhered to, particularly in relation to accommodation and invigilation arrangements (ICE 14.18)

### **3. Other rooming arrangements**

At the Oaks Academy arrangements for seating candidates in rooms separate to the main cohort may be put in place in other circumstances. As and when applicable The Oaks Academy supports students who may require special provision. As such,

some of our students have difficulty with self-regulation as a consequence of a long-term medical condition or long term social, mental or emotional needs. This means that some candidates routinely work with alternative rooming arrangements so that they can be better regulated in order to access the teaching and learning. It also prevents them from disrupting the learning of others in the same room. For this reason, some candidates may therefore require alternative rooming arrangements and it will reflect the candidate's normal way of working in the classroom and in internal school tests, assessments and mock examinations. The only exception to this would be a temporary illness or other temporary impairment which will be clearly evidenced.



## CANDIDATE LATE ARRIVAL POLICY (EXAMS)

**2024/2025**

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

<b>Approved/reviewed by</b>	Jason Newham
<b>Date of next review</b>	October 2025

### *Key staff involved in the procedure*

Role	Names
SLT lead for Exams	Jason Newham
Head of Centre	Peter Kingdom
SENCo	Helen Holland
SLT members	Peter Kingdom, Joanne Mackreth, Jason Newham, Emma Leftwick, Alex Brooks, Emily Abberley and Helen Holland
Teaching staff	All staff
Access arrangement facilitator/Exams Officer	Helen Holland / David Copeland

### **Purpose of the policy**

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

#### **A candidate will be considered late if they arrive:**

- within one hour of the awarding body's published starting time for an examination which lasts an hour or more, i.e. candidates arriving between 9.00am and 10.00am for a morning examination or between 1.30pm and 2.30pm for an afternoon examination (reference updated 2021/22 - ICE 21.1)

#### **A candidate will be considered very late if they arrive:**

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

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

- the correct procedures are followed when dealing with a candidate who arrives late to an examination
- appropriate arrangements are in place for the management of late arrivals in order to maintain the security and integrity of the examination

### **Candidates who arrive late / very late**

The following procedures are applied at the Oaks Academy in relation to candidates who arrive late to examinations:

- A candidate who arrives after the start of the examination may be allowed to enter the examination room and sit the examination (ICE 21.1)
- A candidate who arrives late, and is permitted to sit the examination, will be allowed the full time for the examination (ICE 21.2)
- A candidate who arrives within one hour of the awarding body's published starting time for an examination which lasts an hour or more, i.e. candidates arriving between 9.00am and 10.00am for a morning examination or between 1.30pm and 2.30pm for an afternoon examination (ICE 21.1) will be permitted by the centre to sit the examination
- A candidate who arrives after 10.00am for a morning examination will be considered very late (ICE 21.3) and will be permitted by the centre to sit the examination
- A candidate who arrives after 2.30pm for an afternoon examination will be considered very late (ICE 21.3) and will be permitted by the centre to sit the examination
- A candidate who arrives after the awarding body's published finishing time for an examination that lasts less than one hour will be considered very late (ICE 21.3) and will be permitted by the centre to sit the examination
- A candidate who arrives very late will be warned that the awarding body may not accept their script (ICE 21.4)

- A candidate who arrives in the afternoon for a paper that had been re-arranged for a morning session, may be allowed to take the paper at the published time as long as the candidate has not had any contact with candidates who sat the paper earlier. The awarding body will be informed of the situation and will decide whether or not to accept the script (ICE 21.5)
- In all cases the centre will submit a declaration for the very late arrival of a candidate for examinations, in accordance with the current JCQ Instructions for conducting examinations (General Regulations 5.9)

#### **Actions for late candidates**

- Candidates who are running late for their exam should call the school office as soon as possible to advise why they are late and their expected time of arrival. This message must be relayed to the Exams Officer by the School Office as quickly as possible.
- All candidates who arrive late should report directly to reception as soon as they arrive. Candidates should not go straight to the exam room but wait to be escorted by a member of staff, as instructed by the Exams Officer or member of the leadership team.
- At The Oaks Academy, we will normally allow late candidates into the exam room to sit the examination. The candidate will be given the full time allowed for the exam. However, the candidate will be warned that the exam board may not accept their work. The late candidate's new start and finish times will be written clearly by an invigilator on the white board at the front of the exam room.
- The Exams Officer will ensure that invigilation supervision is in place for the duration of the candidate's exam.

#### **Actions for very late candidates**

- Where the school have been informed that a candidate is going to arrive "very late" for an exam, the parent/carer will be advised by the Exams Officer as quickly as possible to keep the candidate under supervision at all times until she/he is handed over to a member of centre staff.
- Parents/Carers will also be instructed to:
  - Immediately take away any internet-enabled devices (e.g. mobile phone, tablet, smart watch, laptop, PC, etc.)
  - If possible, the parent/carer will personally drive or escort the candidate from home to school, using a private vehicle or taxi and avoiding public transport
  - The parent/carer will ensure that the candidate is fully supervised as early as possible, and preferably from the published starting time of the exam, until the candidate is handed over to a member of staff at the school reception
- Both the candidate and the parent/carer who has supervised them will be asked to sign a letter confirming that the above measures have been put in place. The parent/carer and the candidate will also be asked to provide a signed statement giving details of the time the candidate was supervised from and by whom, and the reason for his late arrival.
- It may not be able to fully apply the above procedure where a candidate arrives at school by taxi.
- The Deputy Headteacher/Exams Officer will alert the Head of Centre on an individual basis to determine whether the security of the examination has been compromised and a decision will be made as to whether the candidate may sit the examination.

## After the exam

- In compliance with JCQ regulations, the centre will send the script to the awarding body in the normal way.
- In addition, Exams Officer must **complete Form JCQ/VLA – report on candidate admitted very late to examination room** within seven days of the examination having taken place. The following information will be provided:
  - The reason the candidate arrived late, including details of any special arrangements made for the candidate to reach the centre
  - The scheduled starting and finishing times of the examination
  - The time the candidate started the examination
  - The time the candidate finished the examination
- The awarding body will consider each case individually in light of statements from the parent/carer, the candidate and the centre. Candidates and their parents/carers should be warned that the awarding body may not accept their work.

Where a candidate persistently arrives late for an exam, the exams officer will liaise with a senior member of staff who has pastoral responsibilities, who will speak to the candidate and to the parents/carers to determine the reasons and to follow up accordingly.

## Roles and Responsibilities

### The role of the Exam's Office/Officer

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

### The role of invigilators

- Ensure candidates who arrive late/very late are given the required instructions prior to starting the examination (the invigilator's announcement) without disturbing other candidates
- Ensure relevant information is recorded on the exam room incident log relating to candidates who arrive late/very late

- Allow a candidate who arrived late/very late, and is allowed the full working time to do the examination, to continue after the normal finishing time, instructing them to stop working after the full working time allowed has passed (ICE 26.2)



Appendix 4:



## CERTIFICATE ISSUE PROCEDURE AND RETENTION POLICY

2024/2025

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

<b>Approved/reviewed by</b>	Jason Newham
<b>Date of next review</b>	October 2025

Key staff involved in the procedure

Role	Names
SLT lead for Exams	Jason Newham
Head of Centre	Peter Kingdom
SENCo	Helen Holland
SLT members	Peter Kingdom, Joanne Mackreth, Jason Newham, Emma Leftwick, Alex Brooks, Emily Abberley and Helen Holland
Teaching staff	All staff
Access arrangement facilitator/Exams Officer	Helen Holland / David Copeland

## **Introduction**

Certificates are provided by awarding bodies after examination results have been confirmed. Certificates always remain the property of the awarding bodies.

## **Purpose of the Procedure/Policy**

The purpose of this procedure/policy is to confirm how The Oaks Academy issues examination certificates to candidates and the policy for the retention of any unclaimed/uncollected certificates in compliance with JCQ regulations.

## **Issue of Certificates**

The Oaks Academy will:

- obtain and maintain accurate candidate contact information to ensure the correct and secure despatch of certificates (General Regulations 5.14)
- distribute certificates to all candidates without delay and regardless of any disputes (General Regulations 5.14)
- not withhold any certificate without prior permission from the relevant awarding body which will only be given in very exceptional circumstances (General Regulations 5.14)
- keep a record of the certificates that are issued (General Regulations 5.14)
- return any certificates requested by the awarding bodies as certificates always remain the property of the awarding bodies (General Regulations 5.14)

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

## **Arrangements for the Issue of Certificates**

Certificates will be presented in person to the candidate at a pre-arranged time, or they will be posted to candidate's home address using recorded delivery.

Candidates are informed of the arrangements for the issue of certificates in writing and via email communications.

Where a student is unable to collect their certificates in person, and they do not wish for them to be posted, certificates may be collected by a third party on behalf of a candidate, providing written authorisation from the candidate has been received and a form of ID is presented

## **Record of Issued Certificates**

A record of certificates issued is kept by the Exams Officer – this record is kept for 4 years

## **Retention of Certificates**

The Oaks Academy will:

- retain all unclaimed certificates under secure conditions for a minimum of 12 months from the date of issue (General Regulations 5.14)
- destroy any unclaimed certificates after retaining them for a minimum of 12 months (General Regulations 5.14)

- destroy certificates in a confidential manner or may return them to the respective awarding body (General Regulations 5.14)
- retain a record of certificates that have been destroyed for four years from their date of destruction (General Regulations 5.14)
- inform candidates that some awarding bodies do not offer a replacement certificate service and in such circumstances the awarding body will issue a Certifying Statement of Results which will provide an accurate and complete record of results for all qualifications covered by the original certificate (General Regulations 5.14)

The retention of unclaimed or uncollected certificates is managed by the Exams Officer.

**Retention Policy**

All unclaimed certificates will be held in the centre's secure storage facility for 12 months from the date of issue. After 12 months, all unclaimed certificates will be destroyed in a confidential manner.

A record will be kept by the exams officer of all unclaimed certificates that have been destroyed - this record will be kept for 4 years from the date of destruction.

Appendix 5:



## CHILD PROTECTION/SAFEGUARDING POLICY (EXAMS) 2024/2025

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

Approved/reviewed by	Jason Newham
Date of next review	October 2025

**Key staff involved in the procedure**

Role	Names
SLT lead for Exams	Jason Newham
Head of Centre	Peter Kingdom
SENCo	Helen Holland
SLT members	Peter Kingdom, Joanne Mackreth, Jason Newham, Emma Leftwick, Alex Brooks, Emily Abberley and Helen Holland
Teaching staff	All staff
Access arrangement facilitator/Exams Officer	Helen Holland / David Copeland

### ***Purpose of the policy***

This policy details how The Oaks Academy, in relation to the management, administration and conducting of examinations and assessments, ensures that the moral and statutory responsibility to safeguard and promote the welfare of children is met.

The policy also details how staff are trained and supported to be alert to, and report, the signs of abuse and neglect and how they will follow centre procedures to ensure that children receive effective support, protection, and justice.

The procedures contained in this policy apply to all staff associated with the management, administration and conducting of examinations and assessments at The Oaks Academy.

### ***Policy aims***

- To provide all exams-related staff at The Oaks Academy with the necessary information to enable them to meet their safeguarding and child protection responsibilities
- To ensure consistent good practice
- To demonstrate the commitment with regard to safeguarding and child protection to students, parents/carers and other partners when taking examinations and assessments at the Oaks Academy
- To contribute to the wider centre Child Protection and Safeguarding Policy

### ***The Oaks Academy - Designated Safeguarding Team***

**Our School's Designated Safeguarding Lead (DSL)/ Deputy DSL are:**

- Emma Leftwick (DSL)
- Rachael Todhunter (Deputy DSL)
- Helen Holland (Deputy DSL)
- Alex Brooks (Deputy DSL)

### ***Section 1 – Roles and Responsibilities***

#### **Designated Safeguarding Lead and Deputy DSLs**

The DSL and two of the Deputy DSLs are members of the school's senior leadership (SLT) with the status and authority to carry out the duties of the posts of DSL/Deputy DSL and Prevent Officers. The Deputy DSL will act as DSL in their absence and otherwise will carry out safeguarding tasks and duties as specified by the DSL in accordance with the details set down below.

The core responsibility of the DSL, who is a member of the SLT, is to take lead responsibility for safeguarding and child protection, to maintain an overview of safeguarding within the school, to take responsibility for online safety, to open channels of communication with local statutory agencies and to monitor the effectiveness of policies and procedures in practice. This is explicit in the job description. Our DSLs are most likely to have a complete safeguarding picture and be the most appropriate person to advise on the response to safeguarding concerns. If the DSL is unavailable these duties will be carried out by the Deputy DSL. Whilst the activities of the designated safeguarding lead may be delegated to appropriately to the DDSL, the ultimate lead responsibility for child protection, as set out above, remains with the designated safeguarding lead, this lead responsibility should not be delegated.

The DSL will take lead responsibility for child protection and safeguarding in relation to examinations and assessments. The DSL will offer advice, support and expertise in all matters relating to child protection and safeguarding in relation to examinations and assessments.

### **Exams officer**

The Exams Officer will support the DSL as directed, and also undertake all relevant training.

#### Other exams staff

Exams invigilators will undertake training as directed by the DSL, report child protection and safeguarding issues/concerns in line with centre processes/policy.

### **Section 2 – Staff**

#### Safer Recruitment, the Single Central Register (SCR)

The Oaks Academy has a Safer Recruitment Policy. The Oaks Academy operates safer recruitment procedures (in accordance with government recommendations) including required pre-appointment checks on teaching and non-teaching staff, volunteers, proprietor, supply staff, staff of contractors and other individuals working with or nearby pupils. In accordance with the full requirements of the SCR before starting work and the details of these checks are recorded. The SCR of appointments is rigorously maintained. All employees, proprietor, supply staff, volunteers and others working within the school are checked. In accordance with the ISSR, checks are recorded in the SCR by reference to the usual considerations such as role, frequency, supervision, payment and employment by another organisation.

#### Recruitment

The Oaks Academy ensures all checks are carried out, including DBS/criminal checks, on every invigilator appointed by the school. Staff involved in the running and administration of exams have undergone the necessary checks as detailed in the schools Safer Recruitment Policy.

#### Existing staff

Although there is no statutory requirement to update DBS checks for existing staff, if there are concerns about an existing member of staff's suitability to work with children, all relevant checks will be carried out as if the individual was a new member of staff. This action will also be taken if an individual moves from a post that is not regulated activity to one that is.

Anyone who has harmed, or poses a risk of harm, to a child or vulnerable adult will be referred to the DBS:

- Where the 'harm test' is satisfied in respect of the individual (i.e., that no action or inaction occurred but the present risk that it could was significant)
- Where the individual has received a caution or conviction for a relevant offence
- If there is reason to believe that the individual has committed a listed relevant offence, under the Safeguarding Vulnerable Groups Act 2006 (Prescribed Criteria and Miscellaneous Provisions) Regulations 2009
- If the individual has been removed from working in regulated activity (paid or unpaid) or would have been removed if they had not left

### **Section 3 – Supporting staff**

All staff at the Oaks Academy (including staff involved with exams) are provided with copies of key documents which they are required to understand. Staff are made aware of the systems which supports safeguarding in our school and these are explained to them, as part of their staff induction. This includes:

- The Child Protection Policy (Safeguarding Policy); the identity of the DSL and Deputy DSL's and information about their roles (such as the implications for mental health and pastoral care and how to identify pupils at risk of radicalisation);
- The Staff Behaviour Policy (Staff Code of Conduct) (which covers as a minimum, acceptable use of technologies, staff pupil relationships and communications, including via social media and whistleblowing);

- Part One of KCSIE (DfE: Sept. 2023) and 'Annex A' (which includes some types of abuse formerly mentioned in Part One of KCSIE) and copies of policies (such as Behaviour Management Policy, Antibullying Policy, Whistleblowing Policy, Children who are missing education, and E-safety including cyber bullying).

At Oaks Academy, staff are assisted in understanding and undertaking their roles and responsibilities as set out in Part One of KCSIE. This includes talking new staff through the content of Part One in a level and depth appropriate and proportionate to the person and/or to the particular role for which they are being inducted. In addition, **all staff** receive safeguarding and child protection updates (for example, via email, e-bulletins and staff meetings) as required, but at least annually, to provide them with the relevant skills and knowledge to safeguard pupils effectively.

#### **Section 4 – Training (areas covered)**

At the Oaks Academy all staff (including staff involved with exams) are trained/updated on the following areas to ensure that they are complying with the centre policy on child protection and safeguarding:

- Abuse of position of trust
- Children who may be particularly vulnerable
- Children with special educational needs and disabilities or have mental health needs
- Early help
- Reporting attendance concerns
- Staff reporting concerns about a colleague or other adult who works with children (Whistleblowing)
- Complaints procedure
- Site security
- Confidentiality and information sharing
- Photography and images
- Child protection procedures
- Recognising abuse - physical abuse, emotional abuse, sexual abuse and neglect
- Indicators of abuse
- Taking action
- If a member of staff or volunteer is concerned about a pupil's welfare
- If a pupil discloses to a member of staff or volunteer
- Bullying, peer on peer abuse and harmful sexual behaviour
- Peer on peer sexual violence and sexual harassment
- Youth produced sexual imagery
- Serious violence
- Child sexual exploitation (CSE) and child criminal exploitation (CCE)
- So-called 'honour based' abuse
- Female genital mutilation
- Forced marriage
- Protecting children from radicalisation and extremism
- Domestic abuse

#### **Section 5 – Reporting**

Reporting issues/concerns relating to child protection and safeguarding

The Oaks Academy has a written Child Protection and Safeguarding Policy. Within this policy full details are given of the process that staff would follow should they need to report issues/concerns relating to child protection and safeguarding. A copy of this policy is held in the admin office along with all centre devised policies. A further copy is held by the Exams

Officer, and on the staff drive. All policies are also available on request from the school office either in paper form or electronically.

## Whistleblowing

The Oaks Academy has a written Whistleblowing Policy (Exams) which satisfies current legislative requirements. A copy of this policy is held in the admin office along with all centre devised policies. Further copies are held by the Exams Officer, on the school website (exam policies page) and on the staff drive. Policies are also available on request from the school office either in paper form or electronically. At the Oaks Academy the Whistleblowing Policy is integrated into training and codes of conduct. It makes it clear both in induction, and other training, and in guidance provided for staff that they have a responsibility to speak up about safeguarding and welfare matters within our school, and to external agencies where necessary. The Oaks Academy has an open environment and culture of safety where staff feel free to raise concerns. The school also has a culture of valuing staff and of reflective practice. There are procedures for reporting and handling concerns, including poor or unsafe practice and potential failures in the safeguarding regime, provision for mediation and dispute resolution where necessary. Training and support are provided for staff including transparency and accountability in relation to how concerns are received and handled.

## ***Section 6 - Protocols for one-to-one support/supervision***

### **Safeguarding pupils engaged in close, one-to-one support/supervision:**

The Oaks Academy recognises that children may be more vulnerable when working with adults in a close one-to-one provision. The following guidance and arrangements have been taken from the Staff Behaviour (Code of Conduct) Policy which aim to safeguard pupils in one-to-one situations (please note, this guidance have been adapted to cater for exam arrangements):

- Staff must conduct themselves professionally in their relationships with pupils, parents and staff and must not behave in a way that could bring the school into disrepute or risk allegations being made.
- No member of staff should ever be behind a locked door with a child, unless it is in a lock down situation.
- One-to-one support/supervision should, wherever possible, take place in public or semi-public places such as classrooms or offices. If in classrooms, ensure you are seated so that you and the child can be seen through the visibility panel in the door.
- When supporting/supervising a child or one-to-one session, staff should ensure furniture is positioned to allow easy access into or out of the room and that the glass panel in the door is not obscured.
- Staff will avoid sitting or standing in close proximity to the pupil, except as necessary to support the student with their exam (e.g. when acting as a reader, scribe or prompt).
- Staff must report any incident that causes you concern to the Designated Safeguarding Lead in accordance with the School's Child Protection Policy, and make a written record (signed and dated); and
- Staff will report any situation where a pupil becomes distressed or angry to the Designated Safeguarding Lead.

## Summoning immediate assistance in case of any concern

During an exam, if an invigilator requires immediate assistance, they can verbally summon the Exams Officer/roving invigilator, who is positioned in the corridor outside the exams room. Should, for any reason, the Exams Officer/roving invigilator not respond, the invigilator should use their phone to contact reception to summon help.

## Leaving the examination room temporarily

Where a member of staff may be required to accompany a candidate requiring a toilet break, the member of staff is required to first check that the facilities are unoccupied (this will be done by checking with the Exams Officer/roving invigilator who will be positioned in the corridor). The member of staff will then wait outside the toilet and, once the candidate has used the facilities, they will escort the candidate back to the exam room.



### ***References***

**Keeping children safe in education** [www.gov.uk/government/publications/keeping-children-safein-education--2](http://www.gov.uk/government/publications/keeping-children-safein-education--2)

Check someone's criminal record as an employer [www.gov.uk/dbs-check-applicant-criminalrecord](http://www.gov.uk/dbs-check-applicant-criminalrecord)

**DBS Update Service** [www.gov.uk/dbs-update-service](http://www.gov.uk/dbs-update-service)

DBS Checks for Schools [www.onlinedbschecks.co.uk/job-sectors/dbs-checks-for-schools/](http://www.onlinedbschecks.co.uk/job-sectors/dbs-checks-for-schools/)

Appendix 6:



## INTERNAL APPEALS AND COMPLAINTS POLICY (EXAMS)

2024/2025

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

<b>Approved/reviewed by</b>	Jason Newham
<b>Date of next review</b>	October 2025

Key staff involved in the procedure

Role	Names
SLT lead for Exams	Jason Newham
Head of Centre	Peter Kingdom
SENCo	Helen Holland
SLT members	Peter Kingdom, Joanne Mackreth, Jason Newham, Emma Leftwick, Alex Brooks, Emily Abberley and Helen Holland
Teaching staff	All staff
Access arrangement facilitator/Exams Officer	Helen Holland / David Copeland

### **Purpose of the policy**

This policy confirms the Oaks Academy's compliance with JCQ's *General Regulations for Approved Centres* (sections 5.3, 5.8) in drawing to the attention of candidates and their parents/carers its written complaints policy which will cover general complaints regarding the centre's delivery or administration of a qualification.

### **Grounds for complaint**

A candidate (or their parent/carer) may make a complaint on the grounds below (this is not an exhaustive list).

#### **Teaching and learning**

- Quality of teaching and learning, for example
  - Non-subject specialist teacher without adequate training/subject matter expertise utilised on a long-term basis
  - Teacher lacking knowledge of new specification/incorrect core content studied/taught
  - Core content not adequately covered
  - Inadequate feedback for a candidate following assessment(s)
- Pre-release/advance material/set task issued by the awarding body not provided on time to an exam candidate
- The taking of an assessment, which contributes to the final grade of the qualification, not conducted according to the JCQ/awarding body instructions
- Candidate not informed of their centre assessed marks prior to marks being submitted to the awarding body
- Candidate not informed of their centre assessed marks in sufficient time to request/appeal a review of marking prior to marks being submitted to the awarding body
- Candidate not given sufficient time to review materials to make a decision whether to request a review of centre assessed marks
- Candidate unhappy with internal assessment decision (complainant to refer via Exam Officer to the centre's internal appeals procedure)
- Centre fails to adhere to its internal appeals procedure

#### **Access arrangements and special consideration**

- Candidate not assessed by the centre's appointed assessor
- Candidate not involved in decisions made regarding their access arrangements
- Candidate did not consent to record their personal data online (by the non-acquisition of a completed candidate personal data consent form)
- Candidate not informed/adequately informed of the arrangements in place and the subjects or components of subjects where the arrangements would not apply
- Exam information not appropriately adapted for a candidate with additional needs to access it
- Adapted equipment/assistive technology put in place failed during exam/assessment
- Approved access arrangement(s) not put in place at the time of an exam/assessment
- Appropriate arrangements not put in place at the time of an exam/assessment as a consequence of a temporary injury or impairment
- Candidate unhappy with centre decision relating to access arrangements or special consideration (complainant to refer via Exams Officer to the centre's internal appeals procedure)
- Centre fails to adhere to its internal appeals procedure

#### **Entries**

- Failure to clearly explain a decision of early entry for a qualification to candidate (or parent/carer)
- Candidate not entered/entered late (incurring a late entry fee) for a required exam/assessment
- Candidate entered for a wrong exam/assessment
- Candidate entered for a wrong tier of entry

### Conducting examinations

- Failure to adequately brief candidate on exam timetable/exam regulations prior to exam/assessment taking place
- Room in which exam held did not provide candidate with appropriate conditions for taking the exam
- Inadequate invigilation in exam room
- Failure to conduct exam according to the regulations
- Online system failed during (on-screen) exam/assessment
- Disruption during exam/assessment
- Alleged, suspected or actual malpractice incident not investigated/reported
- Eligible application for special consideration for a candidate not submitted/not submitted to timescale
- Failure to inform/update candidate on the accepted/rejected outcome of a special consideration application if provided by awarding body

### Results and Post-results

- Before exams, candidate not made aware of the arrangements for post-results services and the accessibility of senior members of centre staff after the publication of results
- Candidate not having access to a member of senior staff after the publication of results to discuss/make decision on the submission of a review/enquiry
- Candidate request for return of work after moderation and work not available/disposed of earlier than allowed in the regulations
- Candidate (or parent/carer) unhappy with a result (complainant to refer via exams officer to awarding body post-results services)
- Candidate (or parent/carer) unhappy with a centre decision not to support a clerical re-check, a review of marking, a review of moderation or an appeal (complainant to refer via [insert who] to the centre's internal appeals procedure)
- Centre fails to adhere to its internal appeals procedure
- Centre applied for the wrong post-results service/for the wrong script for a candidate
- Centre missed awarding body deadline to apply for a post-results service
- Centre applied for a post-results service for candidate without gaining required candidate consent/permission

### Raising a concern/complaint

If a candidate (or their parent/carer) has a general concern or complaint about the centre's delivery or administration of a qualification he/she is following, The Oaks Academy encourages him/her to try to resolve this informally in the first instance. A concern or complaint should be made in person, by telephone or in writing to the Head of Centre.

If a complaint fails to be resolved informally, the candidate (or his/her parent/carer) is then at liberty to make a formal complaint.

#### How to make a formal complaint

- A formal complaint should be submitted in writing by completing a **complaints form (Appendix 6A)**
- Forms are available from the Exams Officer
- Completed forms should be returned to Head of Centre
- Forms received will be logged by the centre and acknowledged within 3 calendar days

#### How a formal complaint is investigated

- The Head of Centre will further investigate or appoint a member of the senior leadership team (who is not involved in the grounds for complaint and has no personal interest in the outcome) to investigate the complaint and report on the findings and conclusion
- The findings and conclusion will be provided to the complainant within 4 working weeks

### Internal appeals procedure

Following the outcome, if the complainant remains dissatisfied and believes there are clear grounds, an appeal can be submitted.

- Any appeal must be submitted by following the centre's internal appeals procedure and completing an internal appeals form
- Forms received will be logged by the centre and acknowledged within 3 calendar days
- The appeal will be referred to the Head of Centre
- The Head of Centre will inform the appellant of the final conclusion in accordance with the internal appeals procedure

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 available for externally assessed components of both unitised and linear 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 at 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 Oaks Academy 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 Oaks Academy by the deadline outlined in the communication to the candidate.
- 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 Oaks Academy 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 Oaks Academy's **internal appeals form** at least 4 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 10 calendar days of the notification of the outcome of the RoR. Subject to the head of centre's decision, this will allow the centre to process the preliminary appeal and submit to the awarding body within the required **30 calendar days** of the awarding body issuing the outcome of the review of results process. Awarding body fees which may be charged for the preliminary appeal must be paid to The Oaks Academy 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 Oaks Academy.

FOR CENTRE USE ONLY	
Date received	
Reference No.	

- ☐ Complaint against the centre's delivery of a qualification
- ☐ Complaint against the centre's administration of a qualification

Name of complainant	
Candidate name (if different to complainant)	
Please state the grounds for your complaint below:	
<p>If your grounds are lengthy, please write as bullet points; please keep to the point and include relevant detail such as dates, names etc. and provide any evidence you may have to support what you say</p> <p>If necessary, continue on an additional page if this form is being completed electronically or overleaf if hard copy being completed</p>	
Detail any steps you have already taken to resolve the issue(s) and what you would consider to be a good resolution to the issue(s)	

Complainant signature: \_\_\_\_\_ Date of signature: \_\_\_\_\_

Complainant signature: \_\_\_\_\_ Date of signature: \_\_\_\_\_

Complainant signature: \_\_\_\_\_ Date of signature: \_\_\_\_\_

### Appendix 6B: Complaints log

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

[illegible]




Appendix 7:



## CONFLICTS OF INTEREST POLICY (EXAMS)

**2024/2025**

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

<b>Approved/reviewed by</b>	Jason Newham
<b>Date of next review</b>	October 2025

Key staff involved in the procedure

<b>Role</b>	<b>Names</b>
SLT lead for Exams	Jason Newham
Head of Centre	Peter Kingdom
SENCo	Helen Holland
SLT members	Peter Kingdom, Joanne Mackreth, Jason Newham, Emma Leftwick, Alex Brooks, Emily Abberley and Helen Holland
Teaching staff	All staff
Access arrangement facilitator/Exams Officer	Helen Holland / David Copeland

## ***Introduction***

It is the responsibility of the Head of Centre to ensure that The Oaks Academy has a written conflicts of interest policy in place available for inspection. This policy confirms that the Oaks Academy:

- Manages conflicts of interest by informing the awarding bodies, before the published deadline for entries for each examination series, of:
  - any members of centre staff who are taking qualifications at their own centre which include internally assessed components/units
  - any members of centre staff who are teaching and preparing members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) for qualifications which include internally assessed components/units and
- maintains clear records of all instances where:
  - Exams Office staff have members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) being entered for examinations and assessments either at the centre itself or other centres
  - centre staff are taking qualifications at their own centre which do not include internally assessed components/units
  - centre staff are taking qualifications at other centres (General Regulations: JCQ 5.3))

## ***Purpose of the policy***

The purpose of this policy is to confirm how the Oaks Academy manages conflicts of interest under normal delivery arrangements in accordance with the regulations.

## ***General principles***

A process is in place to collect any declaration of interest from all centre staff to identify and manage any potential conflicts of interest.

## ***Declaration process***

The Exams Officer will email all centre staff in the spring term, requesting staff to declare any conflicts of interest.

## ***Managing conflicts of interest***

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

## ***Roles and responsibilities***

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

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

#### **Additional responsibilities:**

- Ensure that all centre staff are aware of the requirement to declare any interest
- Ensure that declarations are recorded/logged as potential conflicts of interest

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

- Ensure the process for collecting declarations of interest is undertaken
- Identify and follow the awarding body's administrative process for submitting details of members of staff who are:
  - Taking qualifications which include internally assessed components/units at their own centre
  - Teaching and preparing members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) for qualifications which include internally assessed components/units (General Regulations 5.3)
- Retain the records of the measures taken to mitigate any potential risk to the integrity of the qualifications affected until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later (General Regulations 5.3)

Appendix 8:



## CONTINGENCY PLAN (EXAMS)

### 2024/2025

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

<b>Approved/reviewed by</b>	Jason Newham
<b>Date of next review</b>	October 2025

Key staff involved in the plan

Role	Names
SLT lead for Exams	Jason Newham
Head of Centre	Peter Kingdom
SENCo	Helen Holland
SLT members	Peter Kingdom, Joanne Mackreth, Jason Newham, Emma Leftwick, Alex Brooks, Emily Abberley and Helen Holland
Teaching staff	All staff
Access arrangement facilitator/Exams Officer	Helen Holland / David Copeland

### **Causes of potential disruption to the exam process:**

1. Exams Officer - extended absence at key points in the exam process cycle.
2. SENCo - extended absence at key points in the exam cycle.
3. Teaching staff - extended absence at key points in the school year.
4. Invigilators - lack of appropriately trained invigilators or invigilator absence.
5. Exam rooms - lack of appropriate rooms or main venues unavailable at short notice.
6. Failure of IT systems.
7. Disruption of teaching time - Centre closed for an extended period.
8. Candidates unable to take examinations because of a crisis – Centre remains open.
9. Centre unable to open as normal during the exams period.
10. Disruption to the transportation of completed examination scripts.
11. Assessment evidence is not available to be marked.
12. Centre unable to distribute results as normal.

### **Purpose of the plan**

This plan examines potential risks and issues that could cause disruption to the management and administration of the exam process at The Oaks Academy. By outlining actions/procedures to be followed in case of disruption it is intended to mitigate the impact these disruptions have on our exam process.

At all times, the Examinations Officer, Lead Invigilator and Senior Leadership Team will liaise with the relevant Awarding Body to ensure any contingency plans meet with its requirements and that JCQ regulations are adhered to where possible.

Alongside internal processes, this plan is informed by the Ofqual Exam system contingency plan, England, Wales and Northern Ireland which provides guidance in the publication. This is what schools and colleges and other centres should do if exams or other assessments are seriously disrupted and the JCQ Joint Contingency Plan in the event of widespread disruption to the Examination System in England, Wales and Northern Ireland.

This plan also confirms The Oaks Academy is compliant with the JCQ regulation (section 5.3, General Regulations for Approved Centres), 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.

### **Causes of potential disruption to the exam process:**

#### **1.Exams 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 and trained

##### *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*

- exam timetabling, rooming allocation; and invigilation schedules not prepared
- candidates not briefed on exam timetables and awarding body information for candidates
- 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 e.g. very late arrival, suspected
- malpractice, special consideration
- candidates' scripts not dispatched as required 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:

- Attendance, Culture and Pastoral Manager to assume responsibility for the above tasks with the support of the Senior Leadership Team (SLT)

## **2.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
- 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
- modified paper requirements not identified in a timely manner to enable ordering to meet external deadline
- staff providing support to access arrangement candidates not allocated and trained

#### *Exam time*

- access arrangement candidate support not arranged for exam rooms

#### Centre actions:

- Assistant Headteacher (Inclusion) who is a qualified SENCo and supported by the Trust SENCo to assume responsibility for the above tasks with the help of the Exams Officer.

## **3.Teaching staff extended absence at key points in the school year**

### 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
- Internal assessment marks and candidates' work not provided to meet submission deadlines

#### Centre actions:

The Exams Officer to liaise with acting CTL and/or SLT, if necessary, to ensure all necessary deadlines are adhered to. Where this is not possible, the Exams Officer (in consultation with Deputy Headteacher, Progress and Culture) will liaise with the relevant Awarding Body and act upon the advice received.

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

##### Criteria for implementation of the plan:

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

##### Centre actions:

- The Exams Officer will review the invigilation staffing at the start of each academic year to ensure sufficient staff are recruited and trained in a timely fashion.
- The Exams Office will be aware of the school staff available for invigilation duties at short notice and for peak exam days.

#### **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:

- The Exams Office will organise rooming for summer examinations before the Easter holidays ensuring sufficient time is available to identify appropriate rooms and play appropriately. In the event of a room not being available at very short notice,
- sufficient staff will be made available to ensure the security of the examination is not compromised whilst alternative rooming is sourced. The Deputy Headteacher, Progress and Culture, will work with the Exams Officer at all times during such emergencies.

#### **6a. 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:

- The Exams Officer, in consultation with the SLT and IT Support, will make entries from another venue direct to the Awarding Bodies. Results may also be accessed directly from the Awarding Body. At all times during the system failure the Exams Officer will liaise with the Awarding Body to minimize disruption and costs incurred.

#### **6.b. Cyber Attack**

##### Criteria for implementation of the plan:

- Where a cyber attack may compromise any aspect of exam delivery

##### Centre actions:

The school's ICT team in consultation with SLT and Exams Team will ensure the following:

- Exams Officer will work with IT and make contact with the relevant Awarding Body to seek further guidance.
- The Deputy Headteacher will monitor the situation and take any action required as directed by the Awarding Bodies
- If the school system is significantly compromised for an exam that requires ICT for completion, the school may need to transport students to an alternative venue.
- The school may need to hire support from an outside agency to check the systems are 'clean' for exams to resume.



In addition, The Oaks Academy will ensure:

- TOA will have back up data
- Protect against malware
- Keep technological devices safe
- Use passwords to protect data
- Avoid phishing attacks

## **7. Disruption of teaching time - 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:

- Headteacher and SLT to manage all such incidents (See Risk Assessment A).

## **8. 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:

- The Exams Officer will contact the relevant Awarding Body to discuss alternative arrangements and liaise with the Headteacher and SLT to take appropriate action.

## **9. The Oaks Academy unable to open as normal during the exams period**

### Criteria for implementation of the plan:

- The Oaks Academy unable to open as normal for scheduled examinations. 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.
- *Alternative Site:* As part of The Learning Partnership, The Oaks Academy can call upon any site within the trust to utilise as an alternate site. The closest site to The Oaks Academy and most likely to be used is Sir William Stanier Community School.

### Centre actions:

- The Exams Officer (in consultation with the Deputy Headteacher, Progress and Culture), will contact the relevant Awarding Body to discuss alternative arrangements and liaise with the Headteacher and SLT to take appropriate action.

## **10. Disruption to the transportation of completed examination scripts**

### Criteria for implementation of the plan:

- Delay in normal collection arrangements for completed examination scripts

### Centre actions:

- The Exams Officer (in consultation with the Deputy Headteacher, Progress and Culture), will contact the Awarding Body to notify them of such difficulties and put in place suitable alternative arrangements.

### **11.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

#### Centre actions:

- The Exams Officer (in consultation with the Deputy Headteacher, Progress and Culture), will contact the Awarding Body to notify them of any such incidents and act upon advice given.

### **12.The Oaks Academy 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:

- The Exams Officer (in consultation with the Deputy Headteacher, Progress and Culture), will contact the Awarding Body to notify them of any such incidents and act upon advice given.

## Appendix 8A: Contingency Plan

### Risk Assessment - EXAMINATIONS

Risks & Issues	Possible remedial action		Staff
	Forward planning	Action	
Absent candidates			
Candidates absent on day of examination	Make sure that candidates are aware that they need to have a valid reason, supported by evidence for not sitting an external examination.  Minibus and staff on standby ready to collect candidates if required.	Obtain medical/other evidence & submit to awarding body within time frame.  Collect candidates if required.	Exams Officer  Attendance Officer  KS4 Director  Office Manager
Candidates have a scheduling clash for exams	Produce timetables early enough so we are aware of clashes. Thus, giving enough time for them to be resolved.  Internal meeting arranged with Deputy Headteacher, Pastoral and Culture to review clashes.	Consult awarding body regarding procedures for dealing with timetabling clashes. Deal with clashes and agree with candidate course of action to be taken. Ensure a detailed plan of action is available for each exam clash.	Exams Officer
Venue			
Exam venue unavailable	Make sure exam rooms are requested in plenty of time. Have a backup venue in case of exceptional circumstances.	Use alternative venue	Exams Officer
Supervision			
Invigilator phones in ill on day of exam	List of alternative staff available	Consult invigilator list to see if anyone is available to cover. If not use Cover Supervisor/ staff already trained for Access Arrangements.	Exams Officer  Cover Supervisor

Matters arising in Examination Room during external examinations.	<p>Make sure candidates are made aware that there will be consequences for non-compliance during examinations as laid out by the Awarding Bodies.</p> <p>All Invigilators will record any incidents of suspected malpractice.</p>	<p>Lead Invigilator to seek Exams Officer in first instance who will deal with the problem and escalate if necessary. Invigilator only to remove candidate if severely disrupting other candidates. Invigilator to chaperone candidate until superior found.</p> <p>Exams Officer to fully brief the Deputy Headteacher, Progress and Culture of any reports of suspected malpractice.</p>	Exams Officer SLT
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## **APPENDIX 8B: Contingency Plan**

### **Risk Assessment – CONTROLLED ASSESSMENT**

Risks & Issues	Possible remedial action		Staff
	Forward planning	Action	
Timetabling			
Assessment schedule clashes with other activities	Plan/establish priorities well ahead (e.g. start of academic year) for all subjects or lines of learning	Plan dates in consultation with school calendar – negotiate with other parties	Senior Deputy Headteacher  Deputy Headteacher, Progress and Culture
Too many assessments close together across subjects or lines of learning	Plan assessments so they are spaced over the duration of the course	Space assessments to at least allow candidates some time between assessments	Senior Deputy Headteacher  Deputy Headteacher, Progress and Culture
Accommodation			

Insufficient space in classrooms for candidates	Once group sizes are known at the start of the year, flag instances where regular classroom space may not be suitable to conduct controlled assessment	Use more than one classroom or multiple sittings where necessary	Assistant Headteacher (timetable)
<b>Downloading awarding body set tasks</b>			
Teaching staff/assessors unable to access task details	Test secure access rights ahead of schedule every year and every session	Ensure teaching staff/assessors have access rights for correct area of awarding body secure extranet sites ahead of time	Exams Officer
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Report loss to awarding body for replacement; download again	Exams Officer
<b>Absent candidates</b>			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates		CTL
Candidates have a scheduling clash for exams or assessment (possibly offsite on consortium teaching)	Always consider candidate timetables well ahead and decide on priorities in advance to scheduling clashes	Check before booking the date; provide an alternative date, where necessary and consult awarding body procedures for dealing with timetabling clashes N.B. retakes of controlled assessment are limited	CTL/EO
<b>Control levels for task taking</b>			
Assessment is undertaken under incorrect level of control (time, resources, supervision and collaboration)	Ensure teaching staff/assessors know what level is applicable and understand what is involved. Provide training if required	Exams Officer seek guidance from the Deputy Headteacher, Progress and Culture referring to JCQ Guidance.	Exams Officer Deputy Headteacher, Progress and Culture
Access arrangements not put in place	Teachers to be made aware of all pupils needing access arrangements during an assessment.	List to be provided at the start of each Year 10 cohort	Assistant Headteacher (SENCo)

	Teachers make alternative arrangements for these pupils		
<b>Supervision</b>			
Teaching staff/assessors do not understand supervision of controlled assessment is their responsibility	Training provided	Ensure teaching staff/assessors understand nature of controlled assessments and their role in supervision	Exams Officer CTL
Suitable supervisor has not been arranged for an assessment where teaching staff/assessors are <b>not</b> supervising	Training provided	A suitable supervisor must be arranged for any controlled assessment where a teacher/assessor is not supervising, in line with the awarding body specification.	Exams Officer

**Appendix 9:**



## **DATA PROTECTION POLICY (EXAMS)**

**2024/2025**

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

<b>Approved/reviewed by</b>	Jason Newham
<b>Date of next review</b>	October 2025

### **Key staff involved in the procedure**

<b>Role</b>	<b>Names</b>
SLT lead for Exams	Jason Newham
Head of Centre	Peter Kingdom
SENCo	Helen Holland
SLT members	Peter Kingdom, Joanne Mackreth, Jason Newham, Emma Leftwick, Alex Brooks, Emily Abberley and Helen Holland
Teaching staff	All staff
Access arrangement facilitator/Exams Officer	Helen Holland / David Copeland

## **Purpose of the policy**

This policy details how The Oaks Academy, in relation to exams management and administration, ensures compliance with the regulations as set out by the Data Protection Act 2018 (DPA 2018) and UK General Data Protection Regulation (GDPR).

The delivery of examinations and assessments involve centres and awarding bodies processing a significant amount of personal data (i.e. information from which a living individual might be identified). It is important that both centres and awarding bodies comply with the requirements of the UK General Data Protection Regulation and the Data Protection Act 2018 or law relating to personal data in any jurisdiction in which the awarding body or centre are operating.

In JCQ's General Regulations for Approved Centres (section 6.1) reference is made to 'data protection legislation'. This is intended to refer to UK GDPR, the Data Protection Act 2018 and any statutory codes of practice issued by the Information Commissioner in relation to such legislation.

Students are given the right to find out what information the centre holds about them, how this is protected, how this can be accessed and how data breaches are dealt with.

All exams office staff responsible for collecting and sharing candidates' data are required to follow strict rules called 'data protection principles' ensuring the information is:

- used fairly and lawfully
- used for limited, specifically stated purposes
- used in a way that is adequate, relevant and not excessive
- accurate
- kept for no longer than is absolutely necessary
- handled according to people's data protection rights
- kept safe and secure

To ensure that the centre meets the requirements of the DPA 2018 and UK GDPR, all candidates' exam information – even that which is not classified as personal or sensitive – is covered under this policy.

## **Section 1 – Exams-related information**

There is a requirement for the Exams Officer to hold exams-related information on candidates taking external examinations. For further details on the type of information held please refer to Section 5 below.

Candidates' exams-related data may be shared with the following organisations:

- Awarding bodies
- Joint Council for Qualifications (JCQ)
- The Local Authority appertaining to that pupil.

This data may be shared via one or more of the following methods:

- hard copy
- email
- secure extranet site(s) – e.g. AQA Centre Services; OCR Interchange; Pearson Edexcel Online; WJEC Secure Website; BCS Atlas Cloud

This data may relate to exam entries, access arrangements, the conduct of exams and nonexamination assessments, special consideration requests and exam results/post-results/certificate information.

## **Section 2 – Informing candidates of the information held**

The Oaks Academy ensures that candidates are fully aware of the information and data held. All candidates are:

- informed via notifications, forms and letters
- given access to this policy via school website

Candidates are made aware of the above at the start of a course leading to a vocational qualification, or, where candidates are following GCSE qualifications, when the entries are submitted to awarding bodies for processing.

At this point, the centre also brings to the attention of candidates the annually updated JCQ document Information for candidates – Privacy Notice which explains how the JCQ awarding bodies process their personal data in accordance with the DPA 2018 and UK GDPR (or law relating to personal data in any jurisdiction in which the awarding body or centre are operating).



Candidates eligible for access arrangements/reasonable adjustments which require awarding body approval using Access arrangements online are also required to provide their consent by signing the GDPR compliant JCQ candidate personal data consent form before approval applications can be processed online.

### Section 3 – Hardware and software

The table below confirms how IT hardware, software and access to online systems is protected in line with DPA & GDPR requirements.

Hardware	Protection measures	Warranty expiry
Desktop computer Laptop/tablet	Up to date Anti-Virus software installed on all hardware throughout the school.  Hard drive scans carried out regularly by IT Manager.	N/A

Software/online system	Protection measure(s)
School Base MIS System in place	Securely protected against hacking.
AQA, Pearson, WJEC, Intranet, Internet browser(s), secure extranet site(s).	Protected usernames and passwords; rules for password setting (use of a mix of upper/lower cases letters and numbers); rules for regularity of password changing; IT Manager has to approve the creation of new user accounts and determine access rights; regular checks to Firewall/Antivirus software.

### Section 4 – Dealing with data breaches

Although data is handled in line with DPA/GDPR regulations, a data breach may occur for any of the following reasons:

- loss or theft of data or equipment on which data is stored
- inappropriate access controls allowing unauthorised use
- equipment failure
- human error
- unforeseen circumstances such as a fire or flood
- hacking attack
- ‘blagging’ offences where information is obtained by deceiving the organisation who holds it
- cyber-attacks involving ransomware infections

If a data protection breach is identified, the following steps will be taken:

#### 1. Containment and recovery

Data Protection Officer and IT Manager will lead on investigating the breach.

It will be established:

- who needs to be made aware of the breach and inform them of what they are expected to do to assist in the containment exercise. This may include isolating or closing a compromised section of the network, finding a lost piece of equipment and/or changing the access codes.

- whether there is anything that can be done to recover any losses and limit the damage the breach can cause. As well as the physical recovery of equipment, this could involve the use of back-up hardware to restore lost or damaged data or ensuring that staff recognise when someone tries to use stolen data to access accounts.
- which authorities, if relevant, need to be informed.

## **2. Assessment of ongoing risk**

The following points will be considered in assessing the ongoing risk of the data breach:

- what type of data is involved?
- how sensitive is it?
- if data has been lost or stolen, are there any protections in place such as encryption?
- what has happened to the data? If data has been stolen, it could be used for purposes which are harmful to the individuals to whom the data relates; if it has been damaged, this poses a different type and level of risk
- regardless of what has happened to the data, what could the data tell a third party about the individual?
- how many individuals' personal data are affected by the breach?
- who are the individuals whose data has been breached?
- what harm can come to those individuals?
- are there wider consequences to consider such as a loss of public confidence in an important service we provide?

## **3. Notification of breach**

Notification will take place to enable individuals who may have been affected to take steps to protect themselves or to allow the appropriate regulatory bodies to perform their functions, provide advice and deal with complaints.

## **4. Evaluation and response**

Once a data breach has been resolved, a full investigation of the incident will take place. This will include:

- reviewing what data is held and where and how it is stored
- identifying where risks and weak points in security measures lie (for example, use of portable storage devices or access to public networks)
- reviewing methods of data sharing and transmission
- increasing staff awareness of data security and filling gaps through training or tailored advice
- reviewing contingency plans

## **Section 5 – Candidate information, audit and protection measures**

For the purposes of this policy, all candidates' exam-related information – even that not considered personal or sensitive under the DPA/GDPR – will be handled in line with DPA/GDPR guidelines.

An information audit is conducted annually.

The table below details the type of candidate exams-related information held, and how it is managed, stored and protected

Protection measures may include:

- password protected area on the centre's intranet
- secure drive accessible only to selected staff
- information held in secure area
- updates undertaken every 12 months (this may include updating antivirus software, firewalls, internet browsers etc.)

## **Section 6 – Data retention periods**

Details of retention periods, the actions taken at the end of the retention period and method of disposal are contained in the centre's Exams Archiving Policy which is available/accessible from the Exams Officer or on school website.

## **Section 7 – Access to information**

(With reference to ICO information <https://ico.org.uk/your-data-matters/schools/exam-results/>)

The GDPR gives individuals the right to see information held about them. This means individuals can request information about them and their exam performance, including:

- their mark
- comments written by the examiner
- minutes of any examination appeals panels

This does not however give individuals the right to copies of their answers to exam questions.

### ***Requesting exam information***

Requests for exam information can be made to the Exams Office in writing. If the requester is unknown to current staff, photo ID will be requested.

The GDPR does not specify an age when a child can request their exam results or request that they aren't published. When a child makes a request, those responsible for responding should take into account whether:

- the child wants their parent (or someone with parental responsibility for them) to be involved; and
- the child properly understands what is involved.

The ability of young people to understand and exercise their rights is likely to develop or become more sophisticated as they get older. As a general guide, a child of 12 or older is expected to be mature enough to understand the request they are making. A child may, of course, be mature enough at an earlier age or may lack sufficient maturity until a later age, and so requests should be considered on a case by case basis.

A decision will be made by Head of Centre as to whether the student is mature enough to understand the request they are making, with requests considered on a case by case basis.

### ***Responding to requests***

If a request is made for exam information before exam results have been published, a request will be responded to:

- within five months of the date of the request, or
- within 40 days from when the results are published (whichever is earlier).

If a request is made once exam results have been published, the individual will receive a response within one month of their request.

### ***Third party access***

Permission should be obtained before requesting personal information on another individual from a third-party organisation.

Candidates' personal data will not be shared with a third party. The Oaks Academy's process for sharing data with a third-party e.g. unless a request is accompanied with permission from the candidate and appropriate evidence (where relevant), to verify the ID of both parties, provided.

In the case of looked-after children or those in care, agreements may already be in place for information to be shared with the relevant authorities (for example, the Local Authority). The centre's Data Protection Officer will confirm the status of these agreements and approve/reject any requests.

### ***Sharing information with parents***

Pupils will be given their results directly unless written permission has been received by the Exams Officer to give them to parents.

The centre will take into account any other legislation and guidance regarding sharing information with parents (including non-resident parents and a local authority (the 'corporate parent'), as example guidance from the Department for Education (DfE) 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](https://www.gov.uk/government/publications/dealing-with-issues-relating-to-parental-responsibility/understanding-and-dealing-with-issues-relating-to-parental-responsibility) (Updated 24 August 2023 to include guidance on the role of the 'corporate parent', releasing GCSE results to a parent and notifying separated parents about a child moving school)

### ***Publishing exam results***

As The Oaks Academy will have a legitimate reason for publishing examination results, consent is not required from students or their parents/carers for publication. However, if a student or their parents/carers have a specific concern about publication of their results, they have the right to object. This objection must be made in writing to the Head of Centre who will consider the objection before making a decision to publish and reply with a good reason to reject the objection to publish the exam results

**Appendix 9A: Data Protection Policy (Exams): Table recording candidate exams-related information held**

For details of how to request access to information held, refer to section 7 of this policy (**Access to information**)

For further details of how long information is held, refer to section 6 of this policy (**Data retention periods**)

Information type	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
<b>Access arrangements information</b>	Candidate name Candidate DOB Gender Data protection notice (candidate signature) Diagnostic testing outcome(s) Specialist report(s) (may also include candidate address) Evidence of normal way of working	Access Arrangements Online Lockable metal filing cabinet	Secure user name and password In secure office (SENCo)	4 years
<b>Alternative site arrangements</b>	Candidate name Candidate number	Secure exam board website Lockable metal filing cabinet	Secure user name and password In secure office (Exams Officer)	4 years
<b>Attendance registers copies</b>	Candidate name Candidate number	Lockable metal locker	In secure office (Exams Officer)	1 year
<b>Candidates' scripts</b>	Candidate name Candidate number Candidate signature	Exams safe	In secure exams room	Collected daily by Parcel Force for delivery to relevant exam boards
<b>Candidates' work</b>	Candidate name	Secure student profile for word processed work Student books	Secure user name and password Secure archiving cupboard	3 years

Information type	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
<b>Certificates</b>	Candidate name Candidate number Grades awarded	Lockable metal locker	In secure office (Exams Officer)	Certificates given to candidates in person or posted to their home address via recorded delivery
<b>Certificate destruction information</b>	Candidate name Candidate number Grades awarded	N/A	N/A	Certificates given to candidates in person or posted to their home address via recorded delivery
<b>Certificate issue information</b>	Candidate name Certificates issued Candidate signature	Lockable metal locker	In secure office (Exams Officer)	4 years
<b>Conflicts of interest records</b>	Name of staff and candidate where conflict of interest is applicable	Lockable metal locker	In secure office (Exams Officer)	4 years
<b>Entry information</b>	Candidate name Candidate DOB Gender Candidate number	Secure exam board website	Secure user name and password	4 years
<b>Exam room incident logs</b>	Candidate names Invigilator signature	Lockable metal locker	In secure office (Exams Officer)	1 year
<b>Invigilator and facilitator training records</b>	Invigilator name	Exams Office website Lockable metal locker	Secure user name and password In secure office (Exams Officer)	4 years

Information type	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
<b>Post-results services: confirmation of candidate consent information</b>	Candidate name Candidate signature	Lockable metal locker	In secure office (Exams Officer)	4 years
<b>Post-results services: scripts provided by ATS service</b>	Candidate name Candidate number	Secure exam board website	Secure user name and password	1 year
<b>Post-results services: tracking logs</b>	Candidate name Candidate number	Secure exam board website	Secure user name and password	4 years
<b>Resolving timetable clashes information</b>	Candidate name Candidate number	Secure exam board website Lockable metal locker	Secure user name and password In secure office (Exams Officer)	4 years
<b>Results information</b>	Candidate name Candidate DOB Candidate number	Secure exam board website Lockable metal locker	Secure user name and password In secure office (Exams Officer)	Results information given to students on results day Broadsheet copy - 6 years
<b>Seating plans</b>	Candidate name Candidate number Access Arrangements	Lockable metal locker	In secure office (Exams Officer)	1 year
<b>Special consideration information</b>	Candidate name Candidate number	Secure exam board website	Secure user name and password	4 years
<b>Suspected malpractice reports/outcomes</b>	Candidate name Candidate number	Secure exam board website	Secure user name and password In secure office (Head of Centre)	4 years
<b>Very late arrival reports/outcomes</b>	Candidate name Candidate number	Secure exam board website	Secure user name and password	4 years

**Appendix 10:**



## **EMERGENCY EVACUATION POLICY (EXAMS)**

**2024/2025**

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

<b>Approved/reviewed by</b>	Jason Newham
<b>Date of next review</b>	October 2025

**Key staff involved in the procedure**

<b>Role</b>	<b>Names</b>
SLT lead for Exams	Jason Newham
Head of Centre	Peter Kingdom
SENCo	Helen Holland
SLT members	Peter Kingdom, Joanne Mackreth, Jason Newham, Emma Leftwick, Alex Brooks, Emily Abberley and Helen Holland
Teaching staff	All staff
Access arrangement facilitator/Exams Officer	Helen Holland / David Copeland



### ***Purpose of the policy***

This policy details how The Oaks Academy deals with an emergency evacuation of the exam room(s) by defining staff roles and responsibilities and confirming the emergency evacuation procedure.

### **When is an emergency evacuation required?**

An emergency evacuation is required where it is unsafe for candidates to remain in the exam room. This might include a fire in the exam room, the fire alarm sounding to warn of fire, or other serious threat.

In exceptional situations, where candidates might be severely disadvantaged or distressed by remaining in the exam room, the emergency evacuation procedure may also need to be followed. This might include situations where there is severe disruption in the exam room, serious illness of a candidate or invigilator or similarly serious incidents.

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

Where candidates are unable to return to the building to complete the examination, the relevant awarding body will be contacted immediately for advice. (ICE 25.6)

### ***Emergency evacuation of an exam room***

#### **Roles and responsibilities**

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

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

##### **Senior Leader**

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

##### **Special educational needs coordinator (SENCo)**

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

##### **Exams officer**

- Ensures invigilators are trained in emergency evacuation procedures and how an incident and actions taken must be recorded
- Ensures candidates are briefed during an exam briefing session, prior to exams taking place, on what will happen in the event of an emergency in the exam room
- Provides invigilators with a copy of the emergency evacuation procedure for every exam room
- Provides a standard invigilator announcement for each exam room which includes appropriate instructions for candidates about emergency procedures and what will happen if the fire alarm sounds
- Provides an exam room incident log in each exam room
- Liaises with SENCo and other relevant staff prior to each exam where different procedures or assistance may need to be provided for a candidate with additional needs.

- Briefs invigilators prior to each exam where different procedures or assistance may need to be provided for a candidate with additional needs.
- Ensures appropriate follow-up is undertaken after an emergency evacuation, reporting the incident to the awarding body and the actions taken
- Ensures a full report of the incident is produced and retained on file if required by an awarding body (ICE 25.4)
- Ensures an online application for special consideration is submitted to the relevant awarding body where candidates have been disadvantaged (ICE 25.7)

#### Invigilators

- By attending training and/or update sessions, ensure they understand what to do in the event of an emergency in the exam room
- Follow the actions required in the emergency evacuation procedure issued to them for every exam room
- Confirm with the exams officer, where different procedures or assistance may need to be provided for a candidate with additional needs they are invigilating
- Record details on the exam room incident log to support follow-up reporting to the awarding body by the Exams Officer.

#### Other relevant centre staff

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

#### Recording details

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

- the actual time of the start of the interruption
- the actions taken
- the actual time the exam(s) resumed
- the actual finishing time(s) of the resumed exam(s)

Further details could include:

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

### **Appendix 10A: Emergency Evacuation Procedure**

Invigilators are trained in this procedure and understand the actions they must take in the event of a fire alarm or other emergency that leads to an evacuation of the exam room. There is a evacuation map posted in each room to remind invigilators and candidates where to go in the case of an emergency evacuation.

EMERGENCY EVACUATION PROCEDURE
<b>Actions to be taken</b> (as detailed in current JCQ Instructions for conducting examinations section 25.3, Emergencies)
Stop the candidates from writing
Collect the seating plan used within the room (in order to ensure all candidates are present)
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
Additional centre-specific actions to be taken
In the event of a fire alarm, evacuate the examination room immediately
Escort candidates to the assembly point
When/if allowed to return to the examination room, allow candidates to settle down, reminding them they are still under formal examination conditions and that they must not open their answer booklet until instructed to do so
Announce clearly to candidates when they may begin and how much time they have (the examination will formally restart at this point)
Record the time the examination(s) restarted and amend the displayed finishing time
Record as much detail on the exam room incident log when able to do so (ensuring candidates are continually supervised and giving complete attention to this duty at all times).
Where not allowed to return to the examination room, or the decision is made by the appropriate authority that the examination(s) cannot be resumed, the centre's Exam Contingency Plan will be invoked and invigilators will be briefed accordingly

**Appendix 11:**



## **EQUALITIES POLICY (EXAMS)**

**2024/2025**

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

<b>Approved/reviewed by</b>	Jason Newham
<b>Date of next review</b>	October 2025

### **Key staff involved in the procedure**

<b>Role</b>	<b>Names</b>
SLT lead for Exams	Jason Newham
Head of Centre	Peter Kingdom
SENCo	Helen Holland
SLT members	Peter Kingdom, Joanne Mackreth, Jason Newham, Emma Leftwick, Alex Brooks, Emily Abberley and Helen Holland
Teaching staff	All staff
Access arrangement facilitator/Exams Officer	Helen Holland / David Copeland

### ***Purpose of the Policy***

This document is provided as an exams-specific supplement to the centre-wide equalities / disability / accessibility policy/plan which details how the centre will recognise its duties towards disabled candidates, including private candidates, ensuring compliance with all aspects of the Equality Act 2010<sup>†</sup>, particularly Section 20 (7). This must include a duty to explore and provide access to suitable courses, through the access arrangements process submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to candidates with additional needs. Where the centre is under a duty to make a reasonable adjustment, the centre must not charge a candidate with additional needs any additional fee in relation to the adjustment or aid or any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect. (JCQ's **General Regulations for Approved Centres**, section 5.4)

This policy details how the centre facilitates access to exams and assessments for candidates with additional needs, as defined under the terms of the Equality Act 2010, by outlining staff roles and responsibilities in relation to:

- identifying the need for appropriate arrangements, reasonable adjustments and/or adaptations (referred to in this policy as 'access arrangements')
- requesting access arrangements
- implementing access arrangements and the conduct of exams
- good practice in relation to the Equality Act 2010

### ***The Equality Act 2010 definition of disability***

A definition is provided in the JCQ publication (Adjustments for candidates with disabilities and learning difficulties) *Access Arrangements and Reasonable Adjustments* 2023-2024 (Definitions section). This publication is further referred to in this policy as Access Arrangements.

***Please refer to Appendix 1 Access Arrangements Policy and also The Oaks Academy Equalities Policy.***

**Appendix 12:**



## **EXAMS ARCHIVING POLICY**

### **2024/2025**

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

<b>Approved/reviewed by</b>	Jason Newham
<b>Date of next review</b>	October 2025

Key staff involved in the procedure

<b>Role</b>	<b>Names</b>
SLT lead for Exams	Jason Newham
Head of Centre	Peter Kingdom
SENCo	Helen Holland
SLT members	Peter Kingdom, Joanne Mackreth, Jason Newham, Emma Leftwick, Alex Brooks, Emily Abberley and Helen Holland
Teaching staff	All staff
Access arrangement facilitator/Exams Officer	Helen Holland / David Copeland

**Purpose of the policy**

The purpose of this policy is to:

- identify exams-related information/records held by the Exams Office
- identify the retention period
- determine the action required at the end of the retention period and the method of disposal

inform or supplement the centre-wide records management policy/data retention policy

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Access arrangements information	Any hard copy information kept by the EO relating to an access arrangement candidate.	To be returned to ALS lead/SENCo as records owner at end of the candidate's final exam series.	Confidential disposal
Alternative site arrangements	Any hard copy information generated on an alternative site arrangement. Notifications submitted online via CAP.		Confidential destruction
Attendance register copies		Keep signed records of the seating plan, the invigilation arrangements and the centre's copies of the attendance registers for each examination. The awarding bodies may need to refer to these records. The centre must keep them until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later (Reference ICE 12, 22)	Confidential waste/shredding
Awarding body exams administration information	Any hard copy publications provided by awarding bodies.	To be retained until the current academic year update is provided.	Safe disposal
Candidates' scripts	Any unwanted copies of scripts returned to the centre through the Access to Scripts (ATS) service.	To be retained securely until the awarding body's earliest date for confidential disposal of unwanted scripts. Where teachers have used copies of candidates' scripts for teaching and learning purposes but no longer wish to retain them, they must ensure that the scripts are disposed of in a confidential manner (Reference PRS 6)  Ensure that when scripts that have been returned under access to scripts arrangements are no longer required, they are disposed of in a confidential manner, but no earlier than the dates specified by the awarding bodies... (Reference GR 3.15)	Confidential disposal
Candidates' work	Non-examination assessment work returned to the centre by the awarding body at the end of the moderation period.	To be logged on return to the centre and immediately returned to subject staff as records owner.	Returned to candidates or safe disposal



Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		To be stored safely and securely along with work that did not form part of the moderation sample (including materials stored electronically). Store safely and securely all non-examination assessments, including controlled assessments, coursework or portfolios, retained in, or returned to, the centre until the deadline for a review of moderation has passed or until a review of moderation, an appeal or a malpractice investigation has been completed, whichever is later. This includes materials stored electronically. See paragraph 4.8 of the JCQ publication <i>Instructions for conducting non - examination assessments</i> . <a href="https://www.jcq.org.uk/exams-office/nonexamination-assessments">https://www.jcq.org.uk/exams-office/nonexamination-assessments</a> (Reference General Regulations 3.15)	
Centre consortium arrangements for centre assessed work	Any hard copy information generated or relating to consortium arrangements for centre assessed work. Applications submitted online via CAP.		Confidential destruction
Certificates	Candidate certificates issued by awarding bodies.	Retain all unclaimed certificates under secure conditions for a minimum of 12 months from the date of issue (Reference General Regulations 5.14)	Confidential destruction
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	Destroy any unclaimed certificates after retaining them for a minimum of 12 months. They must be destroyed in a confidential manner. Centres that do not have a means of destroying certificates confidentially may return them to the respective awarding body. A record of certificates that have been destroyed should be retained for four years from their date of destruction. However, candidates should be informed that some awarding bodies do not offer a replacement certificate service. In such circumstances the awarding body will issue a Certifying Statement of Results. Where an awarding body issues a replacement certificate, or a Certifying Statement of Results, this will provide an accurate and complete record of results for all qualifications covered by the original certificate.	Confidential destruction

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		Return any certificates requested by the awarding bodies. Certificates always remain the property of the awarding bodies. (Reference General Regulations 5.14)	
Certificate issue information	A record of certificates that have been issued.	Obtain and maintain accurate candidate contact information to ensure the correct and secure despatch of certificates  Distribute certificates to all candidates without delay and regardless of any disputes (such as nonpayment of fees). Certificates must not be withheld without prior permission from an awarding body which will only be given in very exceptional circumstances. A record should be kept of the certificates that are issued (Reference General Regulations 5.14)	Safe disposal
Confidential materials: initial point of delivery logs	Logs recording awarding body confidential exam materials received by an authorised member of staff at the initial point of delivery and the secure movement of packages by an authorised member of staff to the secure room for transferal to the centre's secure storage facility.	To be retained for 4 years	Confidential destruction
Confidential materials: receipt, secure movement	Logs recording confidential exam materials received, securely moved, checked and placed in the secure storage facility by exams officer (or other authorised member of centre staff) throughout the period the materials are confidential.	To be retained for 4 years	Confidential destruction
Conflicts of interest records	Records demonstrating the management of conflicts of interest.	The records may be inspected by a JCQ Centre Inspector and/or awarding body staff. They might be requested in the event of concerns being reported to an awarding body. The records must be retained until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later. (Reference General Regulations 5.3)	Confidential destruction

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Dispatch logs	Proof of dispatch of exam script packages to awarding body examiners covered by the DfE (Standards & Testing Agency) yellow label service (England only).	To be retained for 4 years	Confidential disposal
Entry information	Any hard copy information relating to candidates' entries.	To be retained for 4 years	Confidential disposal
Exam question papers	Question papers for timetabled written exams.	<p>Question papers must not be released to centre personnel until after the awarding body's published finishing time for the examination or, in the case of a timetable variation, until all candidates within the centre have completed the examination (Reference ICE 31:</p> <p>For CCEA examinations question papers must not be released until 24 hours after the published finishing time for the examination.)</p> <p>For confidentiality purposes question papers must not be released to centre personnel for use in accordance with the above licence until after the awarding body's published finishing time for the examination or, in the case of a timetable variation, until all candidates within the centre have completed the examination. This does not restrict access to question papers by authorised centre personnel for the purpose of conducting examinations (Reference General Regulations 6.13)</p>	Issued to subject staff
Exam room checklists	Checklists confirming exam room conditions and invigilation arrangements for each exam session.	To be retained for 1 year	Confidential destruction

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms for each exam session.	To be retained for 1 year	Confidential destruction
Exam stationery	Awarding body exam stationery provided solely for the purpose of external exams.	Return unused stationery to the secure storage facility or secure room until needed for a future examination. Surplus stationery must not be used for internal school tests, mock examinations and non-examination assessments... destroy confidentially any out-of-date stationery. (Reference ICE 30)	Confidential destruction
Examiner reports		(Where/if provided) To be immediately provided to head of department as records owner.	Confidential disposal
Finance information	Copy invoices for exams-related fees	To be returned to Finance department as records owner at the end of the academic year.	Confidential disposal
Invigilation arrangement	<i>See Exam room checklists</i>		
Invigilator and facilitator training records		A record of the content of the training given to invigilators and those facilitating an access arrangement for a candidate under examination conditions must be available for inspection and retained on file until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later. (Reference ICE 12)	Safe disposal
Moderator reports		(Where printed from electronic copy) To be immediately provided to head of department as records owner.	Confidential disposal
Moderation returns logs	Logs recording the return of candidates' work to the centre by the awarding body at the end of the moderation period.	To be retained until the current academic year update is provided	Safe disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Overnight supervision information	The JCQ <i>Overnight Supervision</i> form is completed online using CAP. The JCQ <i>Overnight Supervision Declaration</i> form is downloaded from CAP) for signing by the candidate, the supervisor and the head of centre  Any hard copy information relating to overnight supervision arrangements. Reports submitted online via CAP.	Keep all completed forms available for inspection until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later. Forms may be stored electronically or in hard copy paper format and must not be sent to an awarding body, unless specifically requested. (Reference ICE 8)	Confidential disposal
Post-results services: confirmation of candidate consent information	Hard copy or email record of required candidate consent.	Consent forms or e-mails from candidates must be retained by the centre and kept for at least six months following the outcome of the clerical recheck or review of marking or any subsequent appeal. The awarding bodies reserve the right to inspect such documentation. (Reference PRS 4.2, plus appendix A and B)	Confidential destruction
Post-results services: requests/outcome information	Any hard copy information relating to a post results service request (RoRs, appeals, ATS) submitted to an awarding body for a candidate and outcome information from the awarding body.	To be retained for 4 years from date of issue	Confidential disposal
Post-results services: tracking logs	Logs tracking to resolution all post-results service requests submitted to awarding bodies.	To be retained for 4 years	Confidential disposal
Private candidate information	Any hard copy information relating to private candidates' entries.	N/A	N/A

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Proof of postage – candidates' work	Proof of postage of sample of candidates' work submitted to awarding body moderators. (Proof of postage of candidates' scripts to awarding body examiners/markers)	Centres not involved in the secure despatch of exam scripts service must obtain proof of postage/despatch for each packet of scripts, which must be retained on the centre's files until the results are published, in case of loss or damage. (Proof of postage will provide evidence that the candidates' scripts have left the centre. This will indicate that the scripts were written at the appointed time and that, should the scripts not be received by the awarding body/examiner, then special consideration may be possible.) (Reference ICE 29)	Confidential disposal
Resolving timetable clashes information	Any hard copy information relating to the resolution of a candidate's clash of timetabled exam papers	To be retained for 4 years	Safe disposal
Results information	Broadsheets of public examination results summarising candidate final grades by subject by exam series.	Records for current year plus previous 6 years to be retained as a minimum.	Confidential destruction
Seating plans	Plans showing the seating arrangements of all candidates for every exam taken.	Keep signed records of the seating plan, the invigilation arrangements and the centre's copies of the attendance registers for each examination. The awarding bodies may need to refer to these records. The centre must keep them until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later (Reference ICE 12)	Confidential destruction

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Special consideration information	Any hard copy information relating to a special consideration application which has been submitted to an awarding body for a candidate and signed evidence produced by a senior leader in support of the application.	All applications must be supported by appropriate evidence signed by a member of the senior leadership team. The centre must retain this evidence until after the publication of results. (Reference SC 6)	Confidential destruction
Second pair of eyes check records/forms	Records of the check that must take place by a second person (additional to the person removing question paper packets from secure storage) immediately before a question paper packet is opened.	In order to avoid potential breaches of security, care must be taken to ensure that the correct question paper packets are opened.  A member of centre staff, additional to the person removing the question paper packets from secure storage, e.g. an invigilator, must check the day, date, time, subject, unit/component and tier of entry, if appropriate, immediately before a question paper packet is opened. This second pair of eyes check must be recorded. (Reference ICE 5, 18)	Confidential destruction
Suspected malpractice reports/outcomes	Any hard copy information relating to a suspected or actual malpractice investigation/report submitted to an awarding body and outcome information from the awarding body.	To be retained for 4 years	Confidential destruction
Transferred candidate arrangements	Any hard copy information relating to a transferred candidate arrangement. Applications submitted online via CAP.	To be retained until the transfer arrangements are confirmed by the awarding body	Confidential destruction
Very late arrival reports/outcomes	Any hard copy information relating to a candidate arriving very late to an exam. Reports submitted online via CAP.	To be retained for 4 years	Confidential destruction

**Appendix 13:**



## **FOOD AND DRINK POLICY (EXAMS)**

**2024/2025**

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

<b>Approved/reviewed by</b>	Jason Newham
<b>Date of next review</b>	October 2025

**Key staff involved in the procedure**

<b>Role</b>	<b>Names</b>
SLT lead for Exams	Jason Newham
Head of Centre	Peter Kingdom
SENCo	Helen Holland
SLT members	Peter Kingdom, Joanne Mackreth, Jason Newham, Emma Leftwick, Alex Brooks, Emily Abberley and Helen Holland
Teaching staff	All staff
Access arrangement facilitator/Exams Officer	Helen Holland / David Copeland

**Purpose of the policy**



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

- the correct procedures are followed regarding food and drink in the examination room
- appropriate arrangements are in place for the management of food and drink in the examination room

### **1. Food and drink in the examination room**

- Food and drink are allowed in the examination room at the discretion of the head of centre (ICE 18.2).
- Food may be required for pupils with medical needs i.e. diabetes.
- Any food and drink brought into the examination room whether by the candidate, or the centre, must be free from packaging and all labels are removed from drink containers (ICE 18.2)
- To enable invigilators to check these items quickly and efficiently:
  - food brought into the examination room by the candidate must be free of packaging and in a transparent container
  - drink bottles must be transparent with all labels removed which would include transparent, reusable plastic bottles (ICE18.2)

The following arrangements are applied at The Oaks Academy:

- Food and drink are allowed in the examination room only where:
  - food is free from packaging and in a transparent container
  - all labels are removed from drink containers and drink bottles are transparent
  - Food must not be crunchy or messy, so that it does not cause a distraction to other students when being eaten
  - Where students bring a drink that is not clear (e.g. milk or a smoothie), a visual examination of the drink/container will be undertaken prior to the student entering the exam room
  - Where a student brings a bottle with a large lid, the bottle and lid will be visually inspected prior to the student entering the exam room

### **2. Roles and Responsibilities**

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

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

#### The role of the invigilator

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

#### The role of the Head of Centre

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

Appendix 14:



## MALPRACTICE POLICY (EXAMS/ASSESSMENTS)

2024/2025

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

<b>Approved/reviewed by</b>	Jason Newham
<b>Date of next review</b>	October 2025

### Key staff involved in the procedure

Role	Names
SLT lead for Exams	Jason Newham
Head of Centre	Peter Kingdom
SENCo	Helen Holland
SLT members	Peter Kingdom, Joanne Mackreth, Jason Newham, Emma Leftwick, Alex Brooks, Emily Abberley and Helen Holland
Teaching staff	All staff
Access arrangement facilitator/Exams Officer	Helen Holland / David Copeland

## **Introduction**

### **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 uses the word 'malpractice' to cover both 'malpractice' and 'maladministration' and it means any act, default or practice which is:

- a breach of the Regulations
- a breach of awarding body requirements regarding how a qualification should be delivered
- a failure to follow established procedures in relation to a qualification which:
  - gives rise to prejudice to candidates
  - compromises public confidence in qualifications
  - compromises, attempts to compromise or may compromise the process of assessment, the integrity of any qualification or the validity of a result or certificate
  - damages the authority, reputation or credibility of any awarding body or centre or any officer, employee or agent of any awarding body or centre

### ***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. (Suspected Malpractice: Policies and Procedures SMPP 2)

### ***Centre staff malpractice***

'Centre staff malpractice' means malpractice committed by:

- a member of staff, contractor (whether employed under a contract of employment or a contract for services) or a volunteer at a centre; or
- an individual appointed in another capacity by a centre such as an invigilator, a Communication Professional, a Language Modifier, a practical assistant, a prompter, a reader or a scribe (Suspected Malpractice: Policies and Procedures (SMPP 2)

### ***Suspected malpractice***

For the purposes of this document, suspected malpractice means all alleged or suspected incidents of malpractice. (Suspected Malpractice: Policies and Procedures SMPP 2)

## **Purpose of the policy**

To confirm the Oaks Academy:

- has in place a written malpractice policy which covers all qualifications delivered by the centre and details how candidates are informed and advised to avoid committing malpractice in examinations/assessments, how suspected malpractice issues should be escalated within the centre and reported to the relevant awarding body (General Regulations 5.3)

## **General principles**

In accordance with the regulations The Oaks Academy will:

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

## **Preventing malpractice**

The Oaks Academy has in place:

- Robust processes to prevent and identify malpractice, as outlined in section 3 of the JCQ publication Suspected Malpractice: Policies and Procedures (SMPP 4.3)
- This includes ensuring that all staff involved in the delivery of assessments and examinations understand the requirements for conducting these as specified in the following JCQ documents and any further awarding body guidance:
  - General Regulations for Approved Centres
  - Instructions for conducting examinations (ICE)
  - Instructions for conducting coursework
  - Instructions for conducting non-examination assessments
  - Access Arrangements and Reasonable Adjustments
  - A guide to the special consideration process
  - Suspected Malpractice: Policies and Procedures
  - Plagiarism in Assessments
  - AI Use in Assessments: Protecting the Integrity of Qualifications
  - A guide to the awarding bodies' appeals processes (SMPP 3.3.1)

Students are informed in assemblies and in the candidate handbook they receive of the risk of committing malpractice and how to avoid this along with documentation with links to the JCQ site for Information for Candidates.

## **Artificial intelligence (AI)**

Artificial intelligence (AI) tools are now widespread and easy to access. Staff, pupils and parents/carers may be familiar with generative chatbots such as ChatGPT and Google Bard. Oaks Academy recognises that AI has many uses to help pupils learn, but may also lend itself to cheating and plagiarism.

Pupils **may not** use AI tools:

- During assessments, including internal and external assessments, and coursework
- To write their homework or class assignments, where AI-generated text is presented as their own work.

Pupils **may** use AI tools:

- As a research tool to help them find out about new topics and ideas
- When specifically studying and discussing AI in schoolwork, for example in IT lessons or art homework about AI-generated images. All AI-generated content must be properly attributed
- Where a pupil uses an AI tool, the pupil should retain a copy of the question(s) asked and the AI-generated responses. Pupils must submit this along with the assessment.

Staff should:

- Be aware that AI tools are still being developed and should use such tools with caution as they may provide inaccurate, inappropriate or biased content
- Make students aware of the risks of using AI tools and that they need to appropriately reference AI as a source of information to maintain the integrity of assessments

For more information on AI misuse, see JCQ's 'AI Use in Assessments: Protecting the Integrity of Qualifications'. Any misuse of AI tools may be treated as malpractice.

### ***Informing and advising candidates how to avoid committing malpractice in examinations/assessments***

A candidate briefing is held at the start of each academic year and, again, before the start of the summer exam season.

This briefing will highlight best practice and also covers examples of learner malpractice (as outlined in Appendix 14B).

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

#### ***Escalating suspected malpractice issues***

- Once suspected malpractice is identified, any member of staff at the centre can report it using the appropriate channels (Suspected Malpractice: Policies and Procedures SMPP 4.3)
- Suspected malpractice should be reported to the Exams Officer and/or Head of Centre
- Concerns regarding the Exams Officer should be reported to the Head of Centre  
Concerns about the Head of Centre should be reported to the Principal.

#### ***Reporting suspected malpractice to the awarding body***

- The head of centre will notify the appropriate awarding body immediately of all alleged, suspected or actual incidents of malpractice, using the appropriate forms, and will conduct any investigation and gathering of information in accordance with the requirements of the JCQ publication Suspected Malpractice: Policies and Procedures (SMPP4.1.3)
- The head of centre will ensure that where a candidate who is a child/vulnerable adult is the subject of a malpractice investigation, the candidate's parent/carer/ appropriate adult is kept informed of the progress of the investigation (SMPP 4.1.3)

- Form JCQ/M1 will be used to notify an awarding body of an incident of candidate malpractice. Form JCQ/M2 will be used to notify an awarding body of an incident of suspected staff malpractice/maladministration (SMPP 4.4, 4.6)
- Malpractice by a candidate discovered in a controlled assessment, coursework or non-examination assessment component prior to the candidate signing the declaration of authentication need not be reported to the awarding body but will be dealt with in accordance with the centre's internal procedures. The only exception to this is where the awarding body's confidential assessment material has potentially been breached. The breach will be reported to the awarding body immediately (SMPP 4.5)
- If, in the view of the investigator, there is sufficient evidence to implicate an individual in malpractice, that individual (a candidate or a member of staff) will be informed of the rights of accused individuals (SMPP 5.33)
- Once the information gathering has concluded, the head of centre (or other appointed information-gatherer) will submit a written report summarising the case to the relevant awarding body, accompanied by the information obtained during the course of their enquiries (SMPP 5.35)
- Form JCQ/M1 will be used when reporting candidate cases; for centre staff, form JCQ/M3 will be used (SMPP 5.37)
- The awarding body will decide on the basis of the report, and any supporting documentation, whether there is evidence of malpractice and if any further investigation is required. The head of centre will be informed accordingly (SMPP 5.40)

### ***Communicating malpractice decisions***

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

The head of centre will also inform the individuals if they have the right to appeal (SMPP 11.1)

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

The Oaks Academy will:

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

## **Appendix 14A – Examples of Staff Malpractice**

The following are examples of staff malpractice. This is not an exhaustive list. Other instances of malpractice may be identified and considered by the awarding bodies at their discretion.

### **Breach of security**

- Any act which breaks the confidentiality of question papers or materials, and their electronic equivalents, or the confidentiality of candidates' scripts or their electronic equivalents.

It could involve:

- failing to keep examination material secure prior to an examination; or discussing or otherwise revealing secure information in public, e.g. internet forums;
- moving the time or date of a fixed examination beyond the arrangements permitted within the JCQ publication Instructions for conducting examinations.
- Conducting an examination before the published date constitutes centre staff malpractice and a clear breach of security;
- failing to supervise adequately candidates who have been affected by a timetable variation; (This would apply to candidates subject to overnight supervision by centre personnel or where an examination is to be sat in an earlier or later session on the scheduled day.)
- permitting, facilitating or obtaining unauthorised access to examination material prior to an examination;
- failing to retain and secure examination question papers after an examination in cases where the life of the paper extends beyond the particular session. For example, where an examination is to be sat in a later session by one or more candidates due to a timetable variation;
- tampering with candidate scripts or controlled assessments or coursework after collection and before despatch to the awarding body/examiner/moderator;
- (This would additionally include reading candidates' scripts or photocopying candidates' scripts prior to despatch to the awarding body/examiner. The only instance where photocopying a candidate's script is permissible is where he/she has been granted the use of a transcript.)
- failing to keep candidates' computer files secure which contain controlled assessments or coursework.

### **Deception**

- Any act of dishonesty in relation to an examination or assessment, but not limited to:
  - inventing or changing marks for internally assessed components (e.g. coursework) where there is no actual evidence of the candidates' achievement to justify the marks awarded;
  - manufacturing evidence of competence against national standards;
  - fabricating assessment and/or internal verification records or authentication statements;
  - entering fictitious candidates for examinations or assessments, or otherwise subverting the assessment or certification process with the intention of financial gain (fraud);
  - substituting one candidate's controlled assessment or coursework for another.

### **Improper assistance to candidates**

Any act where assistance is given beyond that permitted by the specification or regulations to a candidate or group of candidates, which results in a potential or actual advantage in an examination or assessment, for example:

- assisting candidates in the production of controlled assessments or coursework, or evidence of



achievement, beyond that permitted by the regulations

- sharing or lending candidates' controlled assessments or coursework with other candidates in a way which allows malpractice to take place
- assisting or prompting candidates with the production of answers
- permitting candidates in an examination to access prohibited materials (dictionaries, calculators etc.)
- prompting candidates in an examination/assessment by means of signs, or verbal or written prompts
- assisting candidates granted the use of an Oral Language Modifier, a practical assistant, a prompter, a reader, a scribe or a Sign Language Interpreter beyond that permitted by the regulations
- failure to co-operate with an investigation
- failure to make available information reasonably requested by an awarding body in the course of an investigation, or in the course of deciding whether an investigation is necessary
- failure to investigate on request in accordance with the awarding body's instructions or advice
- failure to investigate or provide information according to agreed deadlines
- failure to report all suspicions of malpractice

## **Appendix 14B – Examples of Learner Malpractice**

The following are examples of learner malpractice. This is not an exhaustive list. Other instances of malpractice may be identified and considered by the awarding bodies at their discretion. For example:

- the alteration or falsification of any results document, including certificates;
- a breach of the instructions or advice of an invigilator, supervisor, or the awarding body in relation to the examination or assessment rules and regulations;
- failing to abide by the conditions of supervision designed to maintain the security of the examinations or assessments;
- collusion: working collaboratively with other candidates, beyond what is permitted;
- copying from another candidate (including the use of IT to aid the copying);
- allowing work to be copied e.g. posting written coursework on social networking sites prior to an examination/assessment;
- the deliberate destruction of another candidate's work;
- disruptive behaviour in the examination room or during an assessment session (including the use of offensive language);
- exchanging, obtaining, receiving, passing on information (or the attempt to) which could be examination related by means of talking, electronic, written or non-verbal communication;
- making a false declaration of authenticity in relation to the authorship of controlled assessments, coursework or the contents of a portfolio;
- allowing others to assist in the production of controlled assessments, coursework or assisting others in the production of controlled assessments or coursework;
- the misuse, or the attempted misuse, of examination and assessment materials and resources (e.g. exemplar materials);
- being in possession of confidential material in advance of the examination;
- bringing into the examination room notes in the wrong format (where notes are permitted in examinations) or inappropriately annotated texts (in open book examinations);
- the inclusion of inappropriate, offensive or obscene material in scripts, controlled assessments, coursework or portfolios;
- impersonation: pretending to be someone else, arranging for another person to take one's place in an examination or an assessment;
- plagiarism: unacknowledged copying from published sources or incomplete referencing;
- theft of another candidate's work; For further information see Appendix E Plagiarism
- bringing into the examination room or assessment situation unauthorised material, for example: notes, study guides and personal organisers, own blank paper, calculators (when prohibited), dictionaries (when prohibited), instruments which can capture a digital image, electronic dictionaries (when prohibited), translators, wordlists, glossaries, iPods, mobile phones, earphones/earbuds, AirPods, watches or other similar electronic devices;
- the unauthorised use of a memory stick or similar device where a candidate uses a word processor;
- behaving in a manner so as to undermine the integrity of the examination.
- Improper use of AI

## **Appendix 14C – Examples of Maladministration**

The following are examples of maladministration. This is not an exhaustive list. Other instances of maladministration may be identified and considered by the awarding bodies at their discretion.

Failure to adhere to the regulations regarding the conduct of controlled assessments, coursework and examinations or malpractice in the conduct of the examinations/assessments and/or the handling of

examination question papers, candidate scripts, mark sheets, cumulative assessment records, results and certificate claim forms, etc.

For example:

- failing to ensure that candidates' coursework or work to be completed under controlled conditions is adequately monitored and supervised;
- inappropriate members of staff assessing candidates for access arrangements who do not meet the criteria as detailed within Chapter 7 of the JCQ publication Access Arrangements and Reasonable Adjustments;
- failure to use current assignments for assessments;
- failure to train invigilators adequately, leading to non-compliance with the JCQ publication Instructions for conducting examinations;
- failing to issue to candidates the appropriate notices and warnings, e.g. JCQ Information for candidates' documents;
- failure to inform the JCQ Centre Inspection Service of alternative sites for examinations;
- failing to post notices relating to the examination or assessment outside all rooms (including Music and Art rooms) where examinations and assessments are held;
- not ensuring that the examination venue conforms to the requirements as stipulated in the JCQ publication Instructions for conducting examinations;
- the introduction of unauthorised material into the examination room, either prior to or during the examination; (N.B. this precludes the use of the examination room to coach candidates or give subject-specific presentations, including power-point presentations, prior to the start of the examination).



## NON-EXAMINATION ASSESSMENT POLICY

**2024/2025**

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

<b>Approved/reviewed by</b>	Jason Newham
<b>Date of next review</b>	October 2025

Key staff involved in the procedure

Role	Names
SLT lead for Exams	Jason Newham
Head of Centre	Peter Kingdom
SENCo	Helen Holland
SLT members	Peter Kingdom, Joanne Mackreth, Jason Newham, Emma Leftwick, Alex Brooks, Emily Abberley and Helen Holland
Teaching staff	All staff
Access arrangement facilitator/Exams Officer	Helen Holland / David Copeland

## What does this policy affect?

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

The regulators' definition of an examination is very narrow. In effect, any type of assessment that is not:

- set by an awarding body
- designed to be taken simultaneously by all relevant candidates at a time determined by the awarding body, and
- taken under conditions specified by the awarding body (including conditions relating to the supervision of candidates during the assessment and the duration of the assessment) is classified as non-examination assessment (NEA). 'NEA' therefore includes, but is not limited to, internal assessment. Externally marked and/or externally set practical examinations taken at different times across centres are classified as 'NEA'. (JCQ's **Instructions for conducting non-examination assessments**, Foreword) This publication is further referred to in this policy as NEA.

## 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 for non-examination assessments
- manage risks associated with non-examination assessments

The policy will need to cover all types of non-examination assessment. (NEA, section 1)

## What are non-examination assessments?

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. (NEA, section 1)**

## *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
- Ensures the centre's Non-examination Assessment Policy is fit for purpose and covers all types of non-examination assessment
- Ensures the centre's Internal Appeals Procedure clearly details 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 nonexamination 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.

### **Curriculum Team Leader/ Subject 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

### **Exams Officer**

- Signposts the annually updated JCQ NEA publication 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 the correct task is issued to candidates

## 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 and it must be possible to attribute assessable outcomes to individual candidates
- Ensures candidates are aware of the current JCQ documents Information for candidates - nonexamination assessments and Information for candidates - Social Media
- Ensures candidates understand and comply with the regulations in relevant JCQ Information for candidates' documents
- Ensures candidates:
  - understand that information from all sources must be referenced
  - receive guidance on setting out references
  - are aware that they must not plagiarise other material

## 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 writing frames 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 including the internet and AI when planning and researching their tasks
- Refers to the JCQ document AI Use in Assessments: Protecting the Integrity of Qualifications (<http://www.jcq.org.uk/exams-office/malpractice>) as well as the awarding body's specification and/or associated documentation published by the awarding bodies and the regulator
- By referencing this document, makes candidates aware of the appropriate and inappropriate use of AI, the risks of using AI, and the possible consequences of using AI inappropriately in a qualification assessment
- 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 augmented 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.

## Artificial intelligence (AI)

Tools are now widespread and easy to access. Staff, pupils and parents/carers may be familiar with generative chatbots such as ChatGPT and Google Bard. The Oaks Academy recognises that AI has many uses to help pupils learn, but may also lend itself to cheating and plagiarism.

Pupils **may not** use AI tools:

- During assessments, including internal and external assessments, and coursework
- To write their homework or class assignments, where AI-generated text is presented as their own work

Pupils **may** use AI tools:

- As a research tool to help them find out about new topics and ideas
- When specifically studying and discussing AI in schoolwork, for example in IT lessons or art homework about AI-generated images. All AI-generated content must be properly attributed
- Where a pupil uses an AI tool, the pupil should retain a copy of the question(s) asked and the AI-generated responses. Pupils must submit this along with the assessment.

Staff should:

- Be aware that AI tools are still being developed and should use such tools with caution as they may provide inaccurate, inappropriate or biased content
- Make students aware of the risks of using AI tools and that they need to appropriately reference AI as a source of information to maintain the integrity of assessments.

For more information on AI misuse, see JCQ's 'AI Use in Assessments: Protecting the Integrity of Qualifications'. Any misuse of AI tools may be treated as malpractice

## 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 (Electronic signatures are acceptable)
- 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
- Understands that if, during the external moderation process, it is found that the work has not been properly authenticated, the awarding body will set the mark(s) awarded by the centre to zero

## Presentation of work

### Subject Teacher

- 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
- Ensures if candidates' work is to be submitted electronically, that it meets the awarding body's specified requirements
- 

## 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 all possible post-results services have been exhausted
- If post-results services have not been requested, returns internally assessed work to candidates (if requested by a candidate) after the deadline for requesting a review of results for the relevant series
- If post-results services have been requested, returns internally assessed work to candidates (if requested by a candidate) once the review of results and 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 (Reminds candidates of the contents of the JCQ document Information for candidates – Social Media)
- Where work is stored electronically, liaises with the IT Manager to ensure the protection and back-up of candidates' work and that appropriate arrangements are in place to restrict access to it between sessions
- Understands that during the period from the submission of work for formal assessment until the deadline for requesting a review of results, copies of work may be used for other purposes, provided that the originals are stored securely as required

### **IT Manager**

- Ensures appropriate arrangements are in place to restrict access between sessions to candidates' work where work is stored electronically
- Restricts access to this material and utilises appropriate security safeguards such as firewall protection and virus scanning software
- Employs an effective back-up strategy so that an up to date archive of candidates' evidence is maintained
- CTLs/Subject Leads ensure that all staff store NEAs etc on password memory device that is kept secure in each subject area until required.
- Considers encrypting any sensitive digital media to ensure the security of the data stored within it and refers to awarding body guidance to ensure that the method of encryption is suitable

## **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 where applicable, 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 where applicable, according to JCQ Instructions for conducting examinations

## **Submission of work**

#### **Subject Teacher**

- Pays close attention to the completion of the attendance register, if applicable

#### **Exams Officer**

- Provides the attendance register to the subject teacher where applicable
- Ensures the awarding body's attendance register for any externally assessed component is completed correctly
- Where candidates' work must be despatched to an awarding body's examiner or uploaded electronically, ensures this is completed by the date specified by the awarding body
- 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
- Ensures that the package in which the work is despatched is robust and securely fastened
- Despatches the work to the awarding body's instructions by the required deadline

## **Task marking – internally assessed components**

### **Marking and annotation**

#### **Head of Centre**

- Makes every effort to avoid situations where a candidate is assessed by a person who has a close personal relationship with the candidate, for example, members of their family (which includes step-

family, foster family and similar close relationships) or close friends and their immediate family (e.g son/daughter)

- Where this cannot be avoided, ensures the possible conflict of interest is declared to the relevant awarding body and the marked work is submitted for moderation whether or not it is part of the moderation sample

#### **Curriculum Team Leader / Subject 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 Teacher**

- Accesses awarding body training/updates as required to ensure familiarity with the mark scheme/marketing 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 of 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 Teacher**

- 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**

#### **Curriculum Team Leader / Subject 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 relevant awarding body is informed that the centre is part of a consortium by submitting Form JCQ/CCA Centre consortium arrangements for centre-assessed work 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 concerned 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 an online notification of Centre consortium arrangements for centre-assessed work to the relevant awarding body through the Centre Admin Portal (CAP) by no later than the published deadline for each exam series affected
  - submits marks for home centre candidates to the awarding body deadline o where relevant, liaises with the other exams officers in the consortium 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
- Submits any supporting documentation required by the awarding body/Provides the exams officer with any supporting documentation required by the awarding body

#### **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 o moderator label(s) provided by the awarding body are affixed to the packaging o proof of dispatch is obtained and kept on file until the successful issue of final results
- Through the subject teacher, ensures the moderator is provided with authentication of candidates' work, confirmation that internal standardisation has been undertaken and any other subject-specific information where this may be required
- Through the subject teacher, submits any supporting documentation required by the awarding body

## **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
- In liaison with the IT Manager, takes steps to protect any work stored electronically from corruption and has a back-up procedure in place
- If retention is a problem because of the nature of the work, retains some form of evidence such as photos, audio or media recordings

### **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**

### **Curriculum Team Leader / Subject 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 and reasonable adjustments**

### **Subject Teacher**

- Works with the ALS lead/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 o Where a candidate is eligible, submits an application for special consideration via the awarding body's secure extranet site to the prescribed timescale
- Where application for special consideration via the awarding body's secure extranet site is not applicable, submits the required form to the awarding body to the prescribed timescale
- Keeps required evidence on file to support the application
- Refers to/directs relevant staff where applicable to Form 15 – JCQ/LCW and where applicable submits to the relevant awarding body

## 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-or centre staff
- Ensures any irregularity identified by the centre before the candidate has signed the authentication statement (where required) are dealt with under its own internal procedures, with no requirement to report the irregularity to the awarding body (The only exception being where the awarding body's confidential assessment materials has been breached, the breach must be report to the awarding body)
- Is familiar with the JCQ publication Suspected Malpractice: Policies and Procedures
- 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 what constitutes malpractice in non-examination assessments
- Ensures candidates understand the JCQ document Information for candidates - nonexamination 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: 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 procedure clearly details the procedure to be followed by candidates (or their parents/carers) appealing against a centre decision not to support an application for a review of results or an appeal

### Curriculum Team Leader / Subject 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

### 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

## Spoken Language Endorsement for GCSE English Language specifications designed for use in England Head of centre

- Returns an online 'Head of Centre declaration' at the time of the National Centre Number Register annual update, confirming 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

### Curriculum Team Leader / Subject 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





## PROCEDURE FOR DEALING WITH ACCESS TO SCRIPTS, ENQUIRIES ABOUT RESULTS AND APPEALS 2024/2025

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

<b>Approved/reviewed by</b>	Jason Newham
<b>Date of next review</b>	October 2025

### Key staff involved in the procedure

Role	Names
SLT lead for Exams	Jason Newham
Head of Centre	Peter Kingdom
SENCo	Helen Holland
SLT members	Peter Kingdom, Joanne Mackreth, Jason Newham, Emma Leftwick, Alex Brooks, Emily Abberley and Helen Holland
Teaching staff	All staff
Access arrangement facilitator/Exams Officer	Helen Holland / David Copeland

## **Introduction**

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

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

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

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

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

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

### **Appeals:**

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

### **Purpose of the procedures**

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

Details of these procedures are made widely available and accessible to all candidates by

- In writing and on the policies page on the school website (exams section)

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

- Candidates must be made aware of the arrangements for post-results services before they sit any examinations (General Regulation 5.13)
- A review of moderation cannot be undertaken upon the work of an individual candidate or the work of candidates not in the original sample (PRS 4.3)
- The appeals process is available after receiving the outcome of a review of results (PRS 5.1)

At The Oaks Academy 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, before they sit any examinations (General Regulation 5.13)

Candidates are informed by

- In writing and on the policies page on the school website (exams section)

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

### Dealing with requests

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

At The Oaks Academy the process to request a service is by completing a Post-results services: request, consent, and payment form available from the Exams Officer

### Candidate consent

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

The Oaks Academy will:

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

### Submitting requests

The Oaks Academy will:

- Submit requests electronically for clerical re-checks, reviews of marking, reviews of moderation and access to scripts by the published deadline(s) in accordance with the JCQ publication **Post-results services** (General Regulation 5.13)
- Submit requests for appeals in accordance with the JCQ publication **A guide to the awarding bodies' appeals processes** (General Regulation 5.13)

- Confirm the awarding body's acknowledgement of receipt of a review of results request prior to the deadline for submission of post results services and regularly check the progress of the request online (PRS 4.5)

### **Dealing with outcomes**

The Oaks Academy will ensure outcomes of clerical re-checks, reviews of marking, reviews of moderation and appeals are made known to candidates as soon as possible (General Regulation 5.13)

Candidates will be notified by being emailed a copy of the outcome notification from the awarding body

### **Managing disputes**

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

**Appendix 17:**



## **SPECIAL CONSIDERATION POLICY**

### **2024/2025**

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

<b>Approved/reviewed by</b>	Jason Newham
<b>Date of next review</b>	October 2025

**Key staff involved in the procedure**

<b>Role</b>	<b>Names</b>
SLT lead for Exams	Jason Newham
Head of Centre	Peter Kingdom
SENCo	Helen Holland
SLT members	Peter Kingdom, Joanne Mackreth, Jason Newham, Emma Leftwick, Alex Brooks, Emily Abberley and Helen Holland
Teaching staff	All staff
Access arrangement facilitator/Exams Officer	Helen Holland / David Copeland

## **What is special consideration?**

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

Special consideration can only go some way to assist a candidate affected by a potentially wide range of difficulties, emotional or physical, which may influence performance in their assessments. It cannot remove the difficulty faced by the candidate. This means that there will be some situations where candidates should not be entered for a qualification or a unitised examination. This is because only minor adjustments can be made to the mark awarded. To make larger adjustments would jeopardize the standard of the qualification. (JCQ's **A guide to the special consideration process**, section 1). This publication is further referred to in this policy as SC

## **Purpose of the policy**

The purpose of this policy is to identify roles and responsibilities in the special consideration process and confirms that The Oaks Academy will submit any applications for special consideration where candidates meet the published criteria. (JCQ's General Regulations for Approved Centres, section 5.9)

## **Eligibility for special consideration**

### **Roles and responsibilities**

#### *Head of Centre*

- Is familiar with the contents, refers to and directs relevant centre staff to the annually updated JCQ publication SC
- Ensures that, where relevant and in eligible situations, applications for special consideration will be submitted to awarding bodies by the exams officer

#### **Exams Officer**

- Understands the criteria as detailed in SC to determine where candidates will/will not be eligible for special consideration
- Ensures that, where relevant and in eligible situations, applications for special consideration will be submitted to awarding bodies

#### *Teaching staff and SENCo*

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

#### **Candidates (or parents/carers)**

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

### ***Applying for special consideration***

Where eligible, special consideration will be applied for at the time of the assessment where candidates... have been fully prepared and have covered the whole course but performance in the examination, or in the production of coursework or non-examination assessment, is materially affected by adverse circumstances beyond their control. (SC, section 2)

For candidates who are present for the assessment but disadvantaged The Oaks Academy must be satisfied that there has been a material detrimental effect on candidate examination performance or in the production of coursework or non-examination assessment. (SC, section 3)

1. Where a candidate may arrive for an exam and is clearly unwell, extremely distressed and/or may have sustained an injury that requires emergency access arrangements to be put in place:
  - the candidate will be kept comfortable and under centre supervision from the required time while appropriate arrangements are put in place for the candidate to take the exam in the best possible conditions
  - a judgement will be made on how the candidate's situation or disposition affected performance in the exam
  - where appropriate and where eligible, special consideration will be applied for
2. Where candidates may be affected by a major disturbance in the exam room (emergency evacuation, etc.), an online application for special consideration will be submitted to the relevant awarding body where candidates have been disadvantaged.
3. Where a candidate takes multiple exams (three or more exams) timetabled for the same day and the total duration for those papers is more than 6 hours (GCE and Level 3 exams) or more than 5 hours 30 minutes (GCSE, Level 1 and Level 2 exams) including any approved extra time but not any time taken for supervised rest breaks, special consideration for an allowance on the last paper taken will be applied for.
4. Where a candidate may be affected a minor disturbance in the exam room caused by another candidate (momentary bad behaviour, mobile phone ringing etc.), special consideration cannot be applied for.

If a candidate is absent from a timetabled component/unit for acceptable reasons, and the centre is prepared to support an application for special consideration, special consideration will be applied for if the exam missed is in the terminal series and the minimum requirements for enhanced grading in cases of acceptable absence can be met. For unitised examinations taken in an examination series prior to certification, candidates must be re-entered for any missed units at the next assessment opportunity. Unless there are difficulties arising, e.g. group performances which cannot be repeated, special consideration will not be awarded. (SC, section 4)

Where other issues or problems affect a candidate or a group of candidates, special consideration will be explored in SC 5 and applied for where eligible. This might include, for example:

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

Where a candidate may be eligible for special consideration (a post assessment adjustment) in a vocational qualification, the centre will follow SC 7 and awarding body guidance to determine if, when and how an adjustment can be applied for.

## **Processing applications for special consideration**

### **Roles and responsibilities**

#### **Head of Centre**

- Ensures that all eligible applications will be supported by appropriate evidence signed by a member of the senior leadership team

#### **Senior leadership team**

- Sign appropriate evidence to support all eligible applications

#### **Exams officer**

- Understands that special consideration must be applied for at the time of the assessment

- Understands that special consideration cannot be applied in a cumulative fashion and that where a candidate may be affected by different indispositions, special consideration should only be applied for the most serious indisposition
- Ensures applications will be processed as required by the awarding bodies
- Keeps evidence to support all applications on file until after the publication of results and provides the appropriate evidence signed by a member of the senior leadership team to support an application where this may be requested by an awarding body

Meets the required deadline(s) for submitting applications

#### **Teaching staff and SENCo**

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

#### **Candidates (or parents/carers)**

- Will be asked to provide any medical or other evidence that may be required to support an application for special consideration
- Will be informed that all cases must be dealt with by the centre

#### ***Submitting applications for special consideration***

Where a candidate or group of candidates is/are eligible for special consideration, applications will be submitted to the relevant awarding body following the published processes in SC.

In cases of online applications for special consideration, the candidate/candidates will be informed when an application for special consideration is submitted to the awarding body (to ensure compliance with the UK GDPR/Data Protection Act 2018).

Evidence to support all applications will be kept on file until after the publication of results.

#### **Timetabled written exams**

- For GCE and GCSE qualifications, applications for individual candidates will be submitted online by logging into the relevant awarding body secure extranet site and following the links to special consideration
- The processes for submitting a single application to cover all exams affected where a candidate is present but disadvantaged and a separate application for each day on which exams are missed where a candidate is absent from an examination for an acceptable reason, detailed in SC 6 will be followed
- For other qualifications, applications will be submitted online where the awarding body's secure system accepts these
- Form 10 **Application for special consideration** will only be completed and submitted to the awarding body where a paper application is specifically required by the awarding body
- For cases involving groups of candidates, applications will be made online where the awarding body's secure system accepts group applications or form 10 will be completed
- Form 14 **Self certification form** (Self certification for candidates who have missed an examination) will only be completed by a candidate where circumstances warrant this and will not be used where the centre knows the candidate was ill

#### **Internally assessed work**

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

#### **Post assessment adjustments – vocational qualifications**

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



**Private candidates**

- Any private candidate entered by the centre must liaise with the exams officer (not the awarding body) regarding any application for special consideration

**Late applications**

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

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

**Appendix 18:**



## **WHISTLEBLOWING POLICY (EXAMS)**

### **2024/2025**

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

<b>Approved/reviewed by</b>	Jason Newham
<b>Date of next review</b>	October 2025

**Key staff involved in the procedure**

<b>Role</b>	<b>Names</b>
SLT lead for Exams	Jason Newham
Head of Centre	Peter Kingdom
SENCo	Helen Holland
SLT members	Peter Kingdom, Joanne Mackreth, Jason Newham, Emma Leftwick, Alex Brooks, Emily Abberley and Helen Holland
Teaching staff	All staff
Access arrangement facilitator/Exams Officer	Helen Holland / David Copeland

## Introduction

Whistleblowing at The Oaks Academy is encouraged, not penalised, and staff are made aware that they have a duty to report any concerns they have about the conduct of examinations.

The head of centre and governing board at the Oaks Academy aim to create and maintain an approach to examinations that reflects an ethical culture, and encourages staff and students to be aware of and report practices that could compromise the integrity and security of examinations.

In compliance with section 5.11 of the JCQ's **General Regulations for Approved Centres**<sup>2</sup>, the Oaks Academy will:

- take all reasonable steps to prevent the occurrence of any malpractice (which includes maladministration) before, during and after assessments have taken place
- inform the awarding 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**<sup>3</sup> and provide such information and advice as the awarding body may reasonably require

This policy requirement was added within **General Regulations for Approved Centres** in response to the recommendations within the report of the Independent Commission on Examination Malpractice<sup>4</sup>.

## Purpose of the policy

This policy:

- encourages individuals to raise concerns, which will be fully investigated by appropriately trained and experienced individuals
- identifies how to report concerns
- explains how such concerns will be investigated and sets expectations regarding the reporting of outcomes
- provides details of relevant bodies to whom concerns about wrongdoing can be reported, including awarding organisations and regulators
- includes a commitment to do everything reasonable to protect the reporter's identity, if requested
- sets out how those raising concerns will be supported

This policy also details the steps that could be taken by an individual involved in the management, administration and/or conducting of examinations if Oaks Academy fails to comply with its obligation to report any alleged, suspected or actual incidents of malpractice or maladministration.

## The Whistleblower

A whistleblower is defined as a person who reports an actual or potential wrongdoing and is protected by the Public Interest Disclosure Act 1998, providing they are acting in the public interest.

If the person raising the issue is a worker, this will be considered as whistleblowing. This includes agency staff and contractors.

## Reporting

If a member of centre staff involved in the management, administration and/or conducting of examinations (such as exams officer, exams assistant or invigilator), a student or a member of the public (such as a parent/carer) has a concern or reason to believe that malpractice has or will occur in an examination or

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<sup>2</sup> Reference [www.jcq.org.uk/exams-office/general-regulations/](http://www.jcq.org.uk/exams-office/general-regulations/)

<sup>3</sup> Reference [www.jcq.org.uk/exams-office/malpractice/](http://www.jcq.org.uk/exams-office/malpractice/)

<sup>4</sup> Reference [www.jcq.org.uk/examination-system/imc-home/](http://www.jcq.org.uk/examination-system/imc-home/)

assessment, concerns should normally be raised with Head of Centre and member of the senior leadership team with oversight of examination administration.

However, there may be times when it may be more appropriate to refer the issue direct to the governing board, most often when the allegation is against the Head of Centre.

#### Examples of malpractice

In addition to the centre wide Whistleblowing Policy, this exams-specific policy, includes reference to exams-related breaches including, but not limited to, the following:

- Failure to comply with exam regulations as set out by the Joint Council for Qualifications (JCQ) and its awarding bodies
- A security breach of the examination paper
- Conduct of centre staff which undermines the integrity of the examination
- Unfair treatment of candidates by either giving an advantage to a candidate/group of candidates (e.g. by permitting a candidate an access arrangement which is not supported by appropriate evidence), or disadvantaging candidates by not providing access to the appropriate conditions (providing a 'level playing field')
- Possible fraud and corruption (e.g. accessing the exam paper prior to the exam to aid teaching and learning)
- Abuse of authority (e.g. the head of centre/members of the senior leadership team overriding JCQ and awarding body regulations)
- Other conduct which may be interpreted as malpractice/maladministration

#### **Whistleblowing procedure**

If the individual does not feel safe raising the issue/reporting malpractice within the centre, or they have done so and are concerned that no action has been taken, that individual could consider making their disclosure<sup>5</sup> to a malpractice expert at the awarding body for the qualification where malpractice is suspected.

For members of centre staff, it is likely that the Public Interest Disclosure Act (PIDA)<sup>6</sup> offers you legal protection from being dismissed or penalised for raising certain serious concerns ('blowing the whistle'). Whistleblowing rights under PIDA are day one rights<sup>6</sup>. This means that the worker does not need the same two years' service that is needed for other employment rights.

In order to investigate concerns effectively, the awarding body should be provided with as much information as possible/is relevant, which may include:

- The qualifications and subjects involved
- The centre involved
- The names of staff/candidates involved
- The regulations breached/specific nature of suspected malpractice
- When and where the suspected malpractice occurred
- Whether multiple examination series are affected
- If the issue has been reported to the centre and what the outcome was
- How the issue became apparent

Members of the public are not protected by PIDA, but the awarding body will make every effort to protect their identity if that is what they wish, unless the awarding body is legally obliged to release it<sup>7</sup>.

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<sup>5</sup> Reference [www.jcq.org.uk/exams-office/malpractice/public-interest-disclosure-act/](http://www.jcq.org.uk/exams-office/malpractice/public-interest-disclosure-act/)

<sup>6</sup> Reference **Public Interest Disclosure Act 1998**

[www.legislation.gov.uk/ukpga/1998/23/contents](http://www.legislation.gov.uk/ukpga/1998/23/contents) <sup>6</sup> Reference <https://protect-advice.org.uk/pida/>

<sup>7</sup> Reference [www.ocr.org.uk/administration/general-qualifications/assessment/malpractice/whistleblowing/](http://www.ocr.org.uk/administration/general-qualifications/assessment/malpractice/whistleblowing/) <sup>8</sup> Reference [www.gov.uk/guidance/ofquals-whistleblowing-policy](http://www.gov.uk/guidance/ofquals-whistleblowing-policy)

Alternatively, a worker could consider making a disclosure to Ofqual<sup>8</sup> as a prescribed body for whistleblowing to raise a concern about wrongdoing, risk or malpractice.

#### Anonymity

In some circumstances, the whistleblower might find it difficult to raise concerns with the nominated member of the senior leadership team. If a concern is raised anonymously, the issue may not be able to be taken further if insufficient information has been provided. In such instances, and if appropriate, the allegation may be disclosed to a union representative, who could then be required to report the concern without disclosing its source. Alternatively, whistleblowers or others with concerns about potential malpractice can report the matter direct to Ofqual, who is identified as a 'prescribed body'<sup>8</sup>. Awarding organisations are not prescribed bodies under whistleblowing legislation; however, awarding organisation investigation teams do give those reporting concerns the opportunity for anonymity.

A whistleblower can give his/her name, but may also request confidentiality; the person receiving the information should make every effort to protect the identity of the whistleblower.

#### Students

Students at The Oaks Academy are made to feel comfortable discussing/reporting malpractice issues of which they are aware. The regulations surrounding their assessments, and wider academic integrity, will be reiterated to students who are undertaking, or who are about to undertake, their courses of study.

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<sup>8</sup> Reference [www.gov.uk/government/publications/blowing-the-whistle-list-of-prescribed-people-and-bodies-2/whistleblowing-list-of-prescribed-people-and-bodies](http://www.gov.uk/government/publications/blowing-the-whistle-list-of-prescribed-people-and-bodies-2/whistleblowing-list-of-prescribed-people-and-bodies)

## Appendix 19:



# WORD PROCESSOR POLICY (EXAMS)

**2024/2025**

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

<b>Approved/reviewed by</b>	Jason Newham
<b>Date of next review</b>	October 2025

## Key staff involved in the procedure

Role	Names
SLT lead for Exams	Jason Newham
Head of Centre	Peter Kingdom
SENCo	Helen Holland
SLT members	Peter Kingdom, Joanne Mackreth, Jason Newham, Emma Leftwick, Alex Brooks, Emily Abberley and Helen Holland
Teaching staff	All staff
Access arrangement facilitator/Exams Officer	Helen Holland / David Copeland

This policy is reviewed and updated annually on the publication of updated JCQ regulations and guidance on access arrangements and instructions for conducting exams.

## **Introduction**

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

The purpose of an access arrangement/reasonable adjustment is to ensure, where possible, that barriers to assessment are removed for a candidate with additional needs preventing them from being placed at a substantial disadvantage. (Access Arrangements 4.2.1)

Although access arrangements/adjustments are intended to allow access to assessments, they cannot be granted where they will compromise the assessment objectives of the specification in question. (Access Arrangements 4.2.2)

Candidates may not require the same access arrangements/reasonable adjustments in each specification. Subjects and their methods of assessments may vary, leading to different demands of the candidate. SENCos must consider the need for access arrangements/reasonable adjustments on a subject-by-subject basis. (Access Arrangements 4.2.3)

The SENCo must ensure that the proposed access arrangement/reasonable adjustment does not unfairly disadvantage or advantage a candidate. (Access Arrangements 4.2.1)

The candidate must have had appropriate opportunities to practice using the access arrangements /reasonable adjustment(s) before their first examination. (Access Arrangements 4.2.7)

## **Purpose of the policy**

This policy details how The Oaks Academy complies with Access Arrangements chapter 4 (Managing the needs of candidates and principles for centres), section 5.8 (Word processor) and ICE (sections 14.20-27) when awarding and allocating a candidate the use of word processor in examinations.

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

## **The criteria The Oaks Academy uses to award and allocate word processors for examinations and assessments**

The 'normal way of working' for exam candidates, as directed by the SENCo, is that candidates handwrite their exams unless there are exceptions.

### **Exceptions**

A candidate may be awarded the use of a word processor in examinations where:

- the candidate may have an approved access arrangement in place, for example the use of a scribe/speech recognition technology
- the candidate has a firmly established need, it reflects the candidate's normal way of working and by not being awarded a word processor would be at a substantial disadvantage to other candidates

The centre will

- allocate the use of a word processor to a candidate with the spelling and grammar check facility/predictive text disabled (switched off) where it is their normal way of working within the centre (Access Arrangements 5.8.1)
- award the use of a word processor to a candidate where appropriate to their needs. For example, a candidate with:
  - a learning difficulty which has a substantial and long-term adverse effect on their ability to write legibly
  - a medical / physical impairment

- planning and organisational problems when writing by hand
- poor handwriting (Access Arrangements 5.8.4)
- only permit the use of a word processor where the integrity of the assessment can be maintained (Access Arrangements 4.2.1)

Additionally, the use of a word processor would be considered for a candidate:

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

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

In compliance with the regulations the centre:

- (where a candidate is to be seated with the main cohort without the use of a power point) checks the battery capacity of the word processor before the candidate's exam to ensure that the battery is sufficiently charged for the entire duration of the exam (ICE 14.21)
- ensures the candidate is reminded to ensure that their centre number, candidate number and the unit/component code appear on each page as a header or footer e.g. 12345/8001 – 6391/01 (ICE 14.22)
- ensures the candidate understands that each page of the typed script must be numbered, e.g. page 1 of 6 (ICE 14.23)
- ensures the candidate is reminded to save their work at regular intervals (ICE 14.24)
- instructs the candidate to use a minimum of 12pt font and double spacing to make marking easier for examiners (ICE 14.24)

#### **The centre will ensure the word processor (ICE 14.25):**

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

#### **Portable storage medium (ICE 14.25)**

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

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

#### **Printing the script after the exam has ended**

The centre will ensure:



- the word processor is either connected to a printer so that a script can be printed off, or have the facility to print from a portable storage medium
- the candidate is present to verify that the work printed is their own
- a word-processed script is attached to any answer booklet which contains some of the answers
- if a candidate omits to insert the required header or footer, they are instructed to handwrite the details as a header or footer; the candidate is supervised throughout this process to ensure that they are solely performing this task and not re-reading their answers or amending their work in any way (ICE 14.22)

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

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