Exams Policy 2025/26

This policy is reviewed annually to ensure compliance with current regulations

Approved/reviewed by	
R Pieterse	
Date of next review	AUTUMN 2026

Key staff involved in the policy

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Other Senior leader(s)	**S Fuller (SESC)** **D Lewis (NHESC)**

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Purpose of the policy

The Stevenage & North Herts Education Support Centres are committed to ensuring that the examinations and assessments management and administration process is run effectively and efficiently and in compliance with the published JCQ regulations and awarding body requirements.

This exam policy will ensure that:

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

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

This policy will be communicated to all relevant centre staff via staff noticeboard, training sessions, staff notice boards and the website.

Roles and responsibilities overview

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

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

The Head of Centre/s cannot also be the Examinations Officer. A Head of Centre and an Examinations Officer are two distinct and separate roles. (GR, section 2)

The head of centre and/or examinations officer may operate across more than one centre. In such cases the head of centre must ensure there is suitable senior leadership team and examinations officer support in place, so they can meet their obligations across all centres for which they are responsible. The head of centre must ensure that these arrangements are covered by their examination contingency plan. (GR, section 2)

Head of Centre responsibilities

(GR 1)

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

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

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

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

(GR 5.1)

The Head of Centre must ensure:

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

Head of Centre

- Understands the contents, refers to and directs relevant Centre staff to current JCQ documents including:
  - A guide to the special consideration process (SC)
  - Access Arrangements and Reasonable Adjustments (AARA)
  - AI Use in Assessments: Your role in protecting the integrity of qualifications
  - Guidance for centres on cyber security
  - Instructions for conducting coursework (ICC)
  - Instructions for conducting examinations (ICE)
  - Instructions for conducting non-examination assessments (GCE and GCSE specifications) (NEA)
  - Instructions for conducting non-examination assessments (Vocational and Technical Qualifications) (NEA VTQs)
  - Notice to Centres – Informing candidates of their centre-assessed marks
  - Plagiarism in Assessments – Guidance for Teachers/Assessors
  - Suspected Malpractice – Policies and Procedures (SMPP)
- Ensures the Centre has appropriate accommodation at the registered address to support the size of the cohorts being taught, including appropriate accommodation for candidates requiring access arrangements and/or practical assessments
- Where/if using a third party to deliver any part of a qualification (including the assessments or the administration) at the Centre:
  - maintains oversight of, and responsibility for, the delivery and administration of the qualification in accordance with JCQ regulations and awarding body requirements
  - has in place a robust written agreement with the third party (unless exclusions apply) that includes provisions which ensure that qualifications are delivered in a way that complies with their agreement with the awarding body, to ensure there is a shared understanding of the arrangement and will manage the risk of failure by the third party to deliver the expected service
  - ensures that a copy of the written agreement is available for inspection if requested by the awarding body
  - monitors delivery by the third party to maintain compliance with the published JCQ regulations and awarding body requirements, ensuring the security and integrity of examinations and assessments
  - ensures sufficient managerial and other resources are in place to resolve any issue
- Ensures that relevant members of staff respond promptly to requests and/or actions raised by the JCQ Centre Inspection Service, understanding that failure to do so could result in penalties (see **National Centre Number Register and other information requirements** section)
- Ensures that relevant members of staff respond promptly to requests for information from awarding bodies relating to the administration and conducting of examinations/assessments

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

Resilience and contingency arrangements

(GR 3.16-19)

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

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

Process for gathering evidence of candidate assessment performance

The centres will gather evidence in line with the relevant regulator's current guidance: Guidance on collecting evidence of student performance to ensure resilience in the qualifications system - GOV.UK

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

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

The plan must cover the following scenarios:

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

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

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

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

Cyber security

(GR 3.20-21)

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

- providing training for authorised staff on the importance of creating strong unique passwords and keeping all account details secret
- providing training for staff on awareness of all types of social engineering/ phishing attempts
- enabling additional security settings wherever possible
- ensuring that all members of centre staff who access awarding bodies' online systems undertake annual cyber security training

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

  Certificates of completed staff cyber training must be downloaded and held on file for inspection. The NCSC training resource provides a certificate of completion of cyber training.
  - developing and maintaining a comprehensive cyber security policy for the centre. The National Cyber Security Centre (NCSC) provides resources to assist centres in creating such policies
  - implementing and enforcing robust security measures, including:
    - mandatory MFA for all accounts and systems containing exam-related information, including those that interface between awarding body and centre systems, to enhance security and protect sensitive data
    - regularly reviewing and updating security settings to align with current best practices

- updating any passwords that may have been exposed
- setting up secure account recovery options
- reviewing and managing connected applications
- monitoring accounts and regularly reviewing account access, including removing access when no longer required
- ensuring authorised members of staff securely access awarding bodies' online systems in line with awarding body regulations regarding cyber security and the JCQ document *Guidance for centres on cyber security*

Authorised staff will have access, where necessary, to a device which complies with awarding bodies' multi-factor authentication (MFA) requirements.

- reporting any actual or suspected compromise of an awarding body's online systems immediately to the relevant awarding body

  Cyber security policy
  See Appendix A

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

Recruitment, selection, training and support

(GR 5.3)

- Retains a workforce of an appropriate size and competence, including sufficient managerial and other appropriate resources, to undertake the delivery and administration of the qualification and assessments as required by an awarding body. This includes taking reasonable steps to ensure occupational competence where this is required for the assessment of specific qualifications
  The centre's contingency planning must include succession arrangements for members of staff involved in examination and assessment administration.
- Provides fully qualified teachers/assessors for the verification and marking of centre-assessed components
- Ensures that teaching staff do not use artificial intelligence (AI) as the sole means of marking candidates' work
- Enables the relevant senior leader(s), teachers, the examinations officer (EO) and the SENCo (or equivalent role) to receive appropriate training and support ~~in order~~ to facilitate the effective delivery of examinations and assessments within the centre and ensure compliance with the published JCQ and awarding body regulations
- Ensures the SENCo (or equivalent role), the centre's appointed access arrangements assessor and the examinations officer undertake regular CPD, such as attending an annual update course
- Ensures that the SENCo (or equivalent role) understands the JCQ document Access Arrangements and Reasonable Adjustments and is given sufficient time to manage the access arrangements process within the centre
- Ensures that the examinations officer understands relevant awarding body and JCQ documentation and has sufficient time to perform their role
- Ensures that any member(s) of the senior leadership team who are responsible for examination administration familiarise themselves with relevant awarding body and JCQ documentation (This will ensure the examinations officer and the SENCo are supported as well as ensuring effective centre decision making in line with the published regulations)
- Ensures that teachers understand the relevant awarding body and JCQ documentation for the qualifications they are delivering to ensure they are delivered in line with the relevant regulations

External and internal governance arrangements

(GR 5.3)

- Has in place a written escalation process should the head of centre, or a member of the senior leadership team with oversight of examination administration and assessment, be absent

Escalation Process

- Has in place a member of the senior leadership team who has a good working knowledge of the examination system, will provide effective line management support and supervision of the examinations officer to ensure that the integrity and security of examinations and assessments is maintained throughout an examination series
- Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the exams officer
  - Can confirm to an awarding body the external governance arrangements so that the awarding body has confidence in the integrity of centre activities such as the delivery of qualifications and the conducting of examinations and assessments

Delivery of qualifications

(GR 5.3)

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

Public liability

(GR 5.3)

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

Conflicts of interest

(GR 5.3) See **Policies** below)

Controlled assessments, coursework and non-examination assessments

(GR 5.3)

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

Security of assessment materials

(GR 5.3)

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

National Centre Number Register and other information requirements

(GR 5.3)

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

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

Centre inspections

(GR 5.3)

- Co-operates with the JCQ Centre Inspection Service, an awarding body or a regulatory authority when subject to an inspection, an investigation an unannounced visit or any requests for information within the stipulated timeframe
- Allows all venues used for examinations and assessments, paperwork and secure storage facilities to be open to inspection

Understands the JCQ Centre Inspector will identify themselves with a formal identity document and **must** be accompanied throughout their tour of the premises, including inspection of the centre's secure storage facility.

Policies available for inspection

(GR 5.3)

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

Child Protection/Safeguarding Policy (Exams)
See Appendix B.

Complaints Policy (Exams)
See Appendix C.

Conflicts of Interest Policy
See Appendix D.
(GR 5.3)

- Manages conflicts of interest by informing the awarding bodies before the published deadline for entries for each examination series of any potential conflict of interest where:
    - any members of centre staff who are taking a qualification at this centre which includes 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 internal records (that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected) of all instances where:
    - exams office staff have members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) being entered for examinations and assessments either at this centre or other centres
    - centre staff are taking qualifications at this centre which do not include internally assessed components/units*
    - centre staff are taking qualifications at other centres
- Retains records of all conflicts of interest including details of the measures taken to mitigate any potential risk to the integrity of the qualifications affected (The records may be inspected by a JCQ Centre Inspector and/or awarding body staff. They might be requested in the event of concerns being reported to an awarding body. The records must be retained until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later)
- *Notes that entering members of centre staff for qualifications at their own centre must be as a last resort in cases where the member of centre staff is unable to find another centre, and ensures:
    - 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 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.

Data Protection Policy
See Appendix E.
(GR 6.6, 6.8)

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

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

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

Equalities Policy
See Appendix F.

Emergency Evacuation Policy
See Appendix G.

Contingency Plan
See Appendix H.

Internal Appeals Procedure
See Appendix I.

Lockdown Policy
See Appendix J.

Malpractice Policy
See Appendix K.
(GR 5.11)

The centre will:

- take all reasonable steps to prevent the occurrence of any malpractice (which includes maladministration) before, during and after assessments have taken place
- inform the awarding immediately of any alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, by completing the appropriate documentation
- as required by an awarding body, ensures evidence of any instances of alleged or suspected malpractice (which includes maladministration) is gathered in accordance with the current JCQ document *Suspected Malpractice - Policies and Procedures* and provides such information and advice as the awarding body may reasonably require
- (GR 6.2) Ensures any person involved in administering, teaching or completing examinations/assessments is advised that where malpractice is suspected, or alleged, personal data about them will be provided to the awarding body (or bodies) whose examinations/assessments are involved. Personal data about them may also be shared with other awarding bodies, the qualifications regulator or professional bodies in accordance with the JCQ document *Suspected Malpractice – Policies and Procedures*

Non-examination Assessment Policy
See Appendix L

Whistleblowing Policy
See Appendix M

Word Processor Policy
See Appendix N

Access Arrangements Policy
See Appendix O.

Access arrangements and reasonable adjustments

(GR 5.4)

The head of centre/senior leadership team will:

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

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

Malpractice

(GR 5.11)

The centre will:

- take all reasonable steps to prevent the occurrence of any malpractice (which includes maladministration) before, during and after assessments have taken place
- inform the awarding immediately of any alleged, suspected or actual incidents of malpractice or maladministration involving a candidate or a member of staff, by completing the appropriate documentation
- as required by an awarding body, ensures evidence of any instances of alleged or suspected malpractice (which includes maladministration) is gathered in accordance with the current JCQ document *Suspected Malpractice - Policies and Procedures* and provides such information and advice as the awarding body may reasonably require
- (GR 6.2) Ensures any person involved in administering, teaching or completing examinations/assessments is advised that where malpractice is suspected, or alleged, personal data about them will be provided to the awarding body (or bodies) whose examinations/assessments are involved. Personal data about them may also be shared with other awarding bodies, the qualifications regulator or professional bodies in accordance with the JCQ document *Suspected Malpractice – Policies and Procedures*

Personal data

(GR 6.6, 6.8)

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

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

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

Exams officer

- Understands the contents of annually updated JCQ documents including:
  - General Regulations for Approved Centres
  - Instructions for Conducting Examinations
  - Suspected Malpractice - Policies and Procedures
  - Post-results services (PRS)
  - A guide to the special consideration process
- Completes/submits the National Centre Number Register annual update (administered on behalf of the JCQ member awarding bodies by Cambridge OCR https://ocr.org.uk/administration/ncn-annual-update/) by the end of October every year, even if there are no changes to centre details, to confirm the centre's contact details or informs of

any changes ((and follows the process (in GR 5.3) if any changes occur after the annual update has taken place)
- Is familiar with the contents of annually updated information from awarding bodies on administrative procedures, key tasks, key dates and deadlines
- Ensures key tasks are undertaken and key dates and deadlines met
- Recruits, trains and deploys a team of internal/external invigilators; appoints lead invigilators, as may be applicable to the centre and keeps a record of the content of training provided to invigilators for the required period
- Works with the SENCo (or equivalent role) to ensure invigilators supervising access arrangement candidates and those acting as a facilitator supporting access arrangement candidates fully understand the respective role and what is and what is not permissible in the exam room
- Supports the head of centre in ensuring that awarding bodies are informed (where required) of any conflict of interest declared by members of centre staff and in maintaining internal records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected before the published deadline for entries for each examination series
- Briefs other relevant centre staff where they may be involved in the receipt and dispatch of confidential ~~exam~~ materials on the requirements for maintaining the integrity and security of confidential examination/assessment materials

Senior leaders

- Are familiar with the contents, refer to and direct relevant centre staff to current JCQ documents including:
  - *A guide to the special consideration process*
  - *Access Arrangements and Reasonable Adjustments*
  - *AI Use in Assessments: Your role in protecting the integrity of qualifications*
  - *Guidance for centres on cyber security*
  - *Instructions for conducting coursework*
  - *Instructions for conducting examinations*
  - *Instructions for conducting non-examination assessments (GCE and GCSE specifications)*
  - *Instructions for conducting non-examination assessments (Vocational and Technical Qualifications)*
  - *Notice to Centres – Informing candidates of their centre-assessed marks*
  - *Plagiarism in Assessments – Guidance for Teachers/Assessors*
  - *Post-Results Services*
  - *Suspected Malpractice – Policies and Procedures*
- Ensure teaching staff undertake key tasks, as detailed in this policy, within the exams process (exam cycle) and meet internal deadlines set by the EO and SENCo
- Ensure teaching staff keep themselves updated with awarding body subject and teacher-specific information to confirm effective delivery of qualifications
- Ensure teaching staff attend relevant awarding body training and update events

Special educational needs co-ordinator (SENCo)

- Understands the contents, refers to and directs relevant centre staff to current JCQ documents including:
  - Access Arrangements and Reasonable Adjustments
- Leads on the access arrangements and reasonable adjustments process (referred to in this policy as 'access arrangements')
- If not the qualified access arrangements assessor, works with the person appointed, on all matters relating to assessing candidates and ensures the correct procedures are followed
- Presents when requested by a JCQ Centre Inspector, evidence of the assessor's qualification (GR 5.4)

- Ensures a file is presented which must contain for each online application the downloaded approval for the respective arrangement(s) and supporting evidence of need (This information must be readily available for inspection at the venue where the candidate is taking the examination(s)
- Ensures a file is presented which must contain for each online application the downloaded approval for the respective arrangement(s), supporting evidence of need and a signed candidate data personal consent form (This information must be readily available for inspection at the venue where the candidate is taking the examination(s)
- Ensures requests for modified papers are submitted by the published deadline
- Ensures there are appropriate resources in place at the time of examinations/ assessments to meet candidates' needs, e.g. sufficient readers and scribes

Teaching staff

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

Invigilators

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

Reception staff

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

Site staff

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

Candidates

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

The exam cycle

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

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

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

Planning: roles and responsibilities

Secure materials

Head of centre

(GR 3.6)

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

(ICE 3.1)

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

The secure room
The secure room must only be used for the purpose of administering secure examination materials.

Access to the secure room **must** be restricted to between two and six key holders, one of whom **must** be the exams officer. The two to six key holders **must** be permanent members of staff or members of staff who have a formal contract of employment and are subject to standard HR policies and procedures...

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

The secure storage facility
Access to the secure storage facility **must** be restricted to between two and six key holders, one of whom **must** be the exams officer.

The two to six key holders **must** either be part of the exams team or the senior leadership team. A key holder from the exams team **must** be a permanent member of staff or a member of staff who has a formal contract of employment and is subject to standard HR policies and procedures.

When the secure storage facility is being accessed for the storage and preparation of secure assessment materials the door to the secure room must be closed.

Information sharing

Head of Centre

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

Exams officer

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

Information gathering

Exams officer

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

Senior leaders

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

Access arrangements

Head of centre

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

SENCo (or equivalent role)

- Assesses candidates (or works with the appropriately qualified assessor as appointed by the head of centre) to identify access arrangements/reasonable adjustments requirements
- Gathers evidence to support the need for access arrangements for a candidate
- Liaises with teaching staff to gather evidence of normal way of working for a candidate
- Determines candidate eligibility for arrangements or adjustments that are centre-delegated
- Informs relevant candidates that an application for access arrangements will be processed using *Access Arrangements Online (AAO),* complying with the UK GDPR and the Data Protection Act 2018
- Applies for approval using *Access arrangements online* (AAO) via the Centre Admin Portal (CAP), where required or through the awarding body where any qualifications sit outside the scope of AAO
- Keeps a file for each candidate for JCQ inspection purposes containing all the required documentation (if documentation is stored electronically, an e-folder must be created for each individual candidate. The candidate's e-folder must hold each of the required documents for inspection)
- Employs good practice in relation to the Equality Act 2010
- Liaises with the EO regarding exam time arrangements for access arrangement candidates
- Ensures staff appointed to facilitate access arrangements for candidates are thoroughly trained and understand the rules of the particular arrangement(s) and keeps a record of the content of training provided to facilitators for the required period
- Works with the EO to ensure invigilators and those acting as a facilitator fully understand the respective role and what is and what is not permissible in the exam room
- Liaises with the relevant member of the senior leadership team on the centre's policy on the use of word processors in examinations

- Ensures criteria for candidates granted alternative rooming arrangements is clear, meets JCQ regulations and best meets the needs of individual candidates and remaining candidates in main exam rooms
- Ensures criteria for candidates granted alternative rooming arrangements is clear, meets JCQ regulations and best meets the needs of individual candidates and remaining candidates in main exam rooms

Alternative Rooming Arrangements (Exams)

Senior leaders, Teaching staff

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

Internal assessment and endorsements

Head of centre

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

(GR 5.7)

- Ensures that where candidates are taking non-examination assessments, teaching staff check that the tasks and approach being taken are appropriate and in line with ethical standards and the centre's safeguarding responsibilities
- Ensures awarding bodies are notified of a consortium of centres with joint teaching arrangements for qualifications (This will allow the candidates for each specification to be treated as a single group for the moderation of centre- assessed work. This is only required if two or more member centres will be entering candidates for work that is centre-assessed)
- Ensures only current assessment materials/tasks are used to assess candidates' knowledge and skills (in cases where the awarding body provides such material)
- Before submitting marks to the awarding body ensures candidates are informed of their centre assessed marks and allows a candidate to request a review of the centre's marking
- Ensures that all associated administrative tasks are completed in an accurate and timely manner, e.g. marks are correctly calculated, recorded and submitted by the published date (It is the responsibility of the centre to carefully check the marks it is submitting to an awarding body)
- Ensures submission of centre-assessed marks and moderation samples, if required by the awarding body, by the published date (It is the responsibility of the centre to ensure that moderators receive the correct samples of work to review)
- Ensures a written internal appeals procedure relating to internal assessment decisions is in place and ensures that details of this procedure are communicated, made widely available and accessible to all candidates
- Ensures a written policy regarding the management of non-examination assessments, including controlled assessments and coursework, which includes details on how candidates' work will be authenticated, is in place
- Ensures that where candidates' work is produced electronically it is backed-up and considers the contingency of candidates' work being backed-up on two separate devices, including one off-site back-up via the Cloud (Implementing appropriate security arrangements which protect candidates' work in the event of IT system corruption and cyber-attacks)

Senior leaders

- Ensure teaching staff have the necessary and appropriate knowledge, understanding, skills, and training to set tasks, conduct task taking, and to assess, mark and authenticate candidates' work (including where relevant, private candidates)
- Ensure appropriate internal moderation, standardisation and verification processes are in place

- Ensure teaching staff delivering GCSE specifications (which include components of non-examination assessment) follow JCQ Instructions for conducting non-examination assessments and the specification provided by the awarding body
- Ensure teaching staff delivering qualifications which include (wholly or in part) units of coursework follow JCQ Instructions for conducting coursework and the specification provided by the awarding body
- Ensure teaching staff inform candidates of their centre assessed marks as a candidate may request a review of the centre's marking before marks are submitted to the awarding body

Teaching staff

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

Exams officer

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

Invigilation

Head of centre

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

Exams officer

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

Entries and registrations: roles and responsibilities

Head of centre

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

Estimated entries

Exams officer

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

Senior leaders

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

Final entries

Head of centre

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

Exams officer

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

Senior leaders

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

Entry fees

The Exams Budget is managed by the Business Manager with support from the Exams Officer.

Late entries

Exams officer

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

Senior leaders

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

Private candidates

- NHESC & SESC do not usually accept private candidates.

Candidate statements of entry

Exams officer

- Provides candidates with statements of entry for checking

Teaching staff

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

Candidates

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

Pre-exams: roles and responsibilities

Head of centre

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

Access arrangements and reasonable adjustments

SENCo

- Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access to exams/assessments for candidates with learning difficulties or disabilities, those for whom English is an additional language and those with a temporary illness or injury
- Ensures a candidate is involved in any decisions about arrangements, adjustments and /or adaptations that may be put in place for them
- Ensures exam information (JCQ information for candidates' documents, individual exam timetable, etc.) is adapted where this may be required for a candidate to access it
- Allocates appropriately trained centre staff to facilitate access arrangements for candidates in exams and assessments (ensuring that the facilitator appointed meets JCQ requirements and fully understands the rule of the access arrangement)
- Where relevant, ensures the necessary and appropriate steps are undertaken to gather an appropriate picture of need and demonstrate normal way of working for a private candidate (such as a distance learner or a home educated student) and that the candidate is assessed by the centre's appointed assessor

Briefing candidates

Exams officer

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

Access to Scripts, Reviews of Results and Appeals Procedures

The Centre has a process in place, which is communicated to students, staff and parents/ carers.

Refer to GR (sections 5.13, 5.6j)

Dispatch of exam scripts

Exams officer

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

Estimated grades

Senior leaders

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

Exams officer

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

Internal assessment and endorsements

Head of centre

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

ALS lead/SENCo

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

Teaching staff

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

Senior leaders

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

Exams officer

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

Candidates

- Authenticate their work as required by the awarding body

Invigilation arrangements

Exams officer

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

SENCo

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

Invigilators

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

JCQ Centre Inspections

Exams Officer or **Senior Leader**

- Will accompany the Inspector throughout a visit

SENCo or relevant **Senior Leader** (in the absence of the ALS lead/SENCo)

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

Seating and identifying candidates in exam rooms

Exams officer

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

Candidate Identification Procedure

Invigilators (internal staff) know the internal candidates. External candidates are asked for photo identification before entering the exams room.

Refer to GR (sections 5.6i, 5.9d) and ICE (section 16)

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

Invigilators

- Follow the procedure provided by the EO which details how the identity of all candidates sitting exams will be confirmed
- Seat candidates in exam rooms as instructed by the EO/on the seating plan

Security of exam materials

Exams officer

- Confirms appropriate arrangements are in place to ensure that confidential exam materials are only handed over to authorised members of staff
- Ensures access to the secure room is restricted and staff approved by the head of centre are accompanied by a keyholder at all times.
- Has a process in place to demonstrate the receipt, secure movement and secure storage of confidential exam materials within the centre
- Ensures a log is kept at the initial point of delivery recording confidential materials received and signed for by authorised staff within the centre and that appropriate arrangements are in place for confidential materials to be immediately transferred to the secure storage facility until they can be removed from the dispatch packaging and checked in the secure room before being returned to the secure storage facility in timetable order
- Carefully checks question paper packets when they are removed from the dispatch packaging and keeps a log of the check
- Ensures the secure storage facility contains only current and live confidential material (ensuring that past examination question papers, internal tests and mock examinations are not kept in the centre's secure storage facility)
- Ensures that examination stationery, e.g. answer booklets and formula booklets are stored in the secure room (attempting to store this material in the secure storage facility, when sufficient space allows)
- Ensures the integrity and security of any electronic question paper materials is maintained during the downloading, printing and collating process (ensuring printing is carried out in a

secure environment at the centre to prevent unauthorised personnel accessing live assessment materials and ensuring only authorised members of centre staff have access to electronic question paper materials)
A minimum of two and a maximum of six members of centre staff should be authorised to handle secure electronic materials, one of whom must be the exams officer. Other members of centre staff may assist with printing and collation provided they are under supervision.

- Ensures that the question paper is printed correctly, is of good quality and is collated in the right order

Reception staff

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

Teaching staff

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

Timetabling and rooming

Exams officer

- Produces a master centre exam timetable for each exam series
- Identifies and resolves candidate exam timetable clashes according to the regulations (only applying overnight supervision arrangements as a last resort, once all other options have been exhausted and according to the centre's policy)
- It is very unlikely that either one of the centres will have students who required overnight supervision arrangements, due to our curriculum offering. There are no clashes for SESC or NHESC students, therefore this would not be applicable for this season.
- Identifies exam rooms and specialist equipment requirements
- Allocates invigilators to exam rooms (or where supervising candidates due to an exam timetable clash) according to required ratios
- Liaises with site staff to ensure exam rooms are set up according to JCQ and awarding body requirements
- Liaises with the SENCo regarding rooming of access arrangement candidates

SENCo

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

Site staff

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

Alternative site arrangements

Exams officer

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

Centre consortium arrangements (N/A for both Centres)

Exams officer

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

Senior leaders

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

Transferred candidate arrangements

Exams officer

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

Internal exams/ assessments

Exams officer

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

S**ENCo**

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

Teaching staff

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

Exam time: roles and responsibilities

Head of centre

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

Access arrangements

Exams officer

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

Candidate absence

Our students are invited for an early breakfast, 30 minutes before the start of the exams. If a student is not present, the office makes a phone call to parents/carers to confirm if the student is on their way. If not, two members of staff will drive to the home of the student to bring them into the Centre.

Where it is not possible to make contact with the student, parent or carer, the student will be processed as absent from the exams.

Refer to ICE (section 22)

Invigilators

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

Candidates

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

Candidate behaviour

See *Irregularities* below.

Candidate belongings

See *Unauthorised items* below.

Candidate

Exams officer

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

Invigilators

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

Candidate Late Arrival Process

The late arrival process will be followed by the exams officer. The Absence procedure is followed, when a member of staff make contact with parent/ carer, they are asked to put the candidate immediately (9.00am morning exams and 1.30pm for afternoon exams) under exam conditions. When collected by the member of staff, they will put the candidate immediately under exam condition.

A candidate arriving before 9.59am, will be allowed to sit the exams. If later than that, the candidate is informed that they can sit the exam, however, their script might be refused by the Exam Board. The student is allowed to sit the full duration of the exams, as guided by the EO. If a candidate is persistent late, SLT will deal with it.

Refer to ICE (section 21)

Why have a policy on this?

Permitting candidates who arrive after the start of an exam to enter the exam room and sit the exam is at the centre's discretion. Having a documented policy ensures:

- candidates are aware of what will or won't happen should they arrive late
- staff involved in the exams process understand how this will be managed at the time of the exam
- the centre can demonstrate the policy if asked/challenged by a candidate (and/or parent/carer)

Conducting exams

Head of centre

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

Exams officer

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

Dispatch of exam scripts

Exams officer

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

Exam papers and materials

Exams officer

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

Exam rooms

Head of centre

- Ensures that internal tests, mock exams, revision or coaching sessions are not conducted in a room 'designated' as an exam room
- Ensures that when a room is 'designated' as an exam room it is not used for any purpose other than conducting external exams
- Ensures only approved centre staff (who have not taught the subject being examined) are present in exam rooms to perform permitted tasks
- Ensures the centre's policy relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates
- Ensures the centre's policy on candidates leaving the exam room temporarily is clearly communicated to candidates

Food and Drink Policy (Exams)

Water is provided to students, no food is allowed in the room.
Refer to ICE (section 18)

Leaving the Examination Room Policy

No candidate is allowed to leave the exams room without consent from the invigilator.

If a candidate needs to go to the toilet, an invigilator will accompany them. The toilet will be checked afterwards by the EO. The student will not be allowed additional time for the toilet break.

Candidates are allowed to leave the exam room one hour after starting time of the national exams.

Refer to ICE (section 23)

Exams officer

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

Senior leaders

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

Emergency Evacuation Policy (Exams)

See Appendix G

Refer to ICE (section 25)

Site staff

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

Invigilators

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

Candidates

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

Irregularities

Head of centre

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

Managing Behaviour Policy (Exams)

SLT will manage any behavioural issue and will escalate to the Exam Board if necessary.

Refer for prompt to ICE (section 24)

Senior leaders

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

Exams officer

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

Invigilators

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

Malpractice

See *Irregularities* above.

Special consideration

Senior leaders

- Support eligible applications for special consideration by authorising appropriate evidence

Exams officer

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

Special Consideration Policy

See Appendix P

Candidates

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

Unauthorised items

Arrangements for unauthorised items taken into the exam room

Candidates are asked to leave all unauthorised items in their lockers, before entering the exams. Candidates are also reminded of this by the invigilator's announcement before the exams start.

Any unauthorised items found on a candidate after the exams, will be treated as a malpractice.

Refer for prompt to ICE (section 18)

Invigilators

- Are informed of the arrangements through training

Internal exams/assessments

Exams officer

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

Invigilators

- Conduct internal exams as briefed by the EO

Results and post-results: roles and responsibilities

Head of centre

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

Internal assessment

Senior leaders

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

Managing results day(s)

Senior leaders

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

Exams officer

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

Results day programme

Results will be released to candidates/ authorised persons on Results Release Day.

Site staff

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

Accessing results

Head of centre

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

Exams officer

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

Post-results services

Head of centre

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

Exams Officer

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

Teaching staff

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

Candidates

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

Analysis of results

Exams Officer

- Provides analysis of results to appropriate centre staff
- Provides results information to external organisations where required
- Undertakes the DfE School and College Checking Exercises (where applicable to the centre) https://check-your-performance-measures-data.education.gov.uk/hc/en-gb

Certificates

Certificates are provided to centres by awarding bodies after results have been confirmed. Certificates are issued to candidates in person or posted via Royal Mail, Recorded Delivery. Candidates/ authorised person signs for their certificates.

Candidates

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

Exams review: roles and responsibilities

Exams officer

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

Senior leaders

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

Retention of records: roles and responsibilities

Exams officer

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

Exams Archiving Policy

The NHESC Exams Archiving Policy is available on the network and on the website

The SESC Exams Archiving Policy is available on the network

Appendices

Appendix A: Cyber Security Policy
Appendix B: Child Protection/Safeguarding Policy (Exams)
Appendix C: Complaints Policy (Exams)
Appendix D: Conflicts of Interest Policy
Appendix E: Data Protection Policy
Appendix F: Equalities Policy
Appendix G: Emergency Evacuation Policy
Appendix H: Contingency Plan
Appendix I: Internal Appeals Procedure
Appendix J: Lockdown Policy
Appendix K: Malpractice Policy
Appendix L: Non-Examination-Assessment Policy
Appendix M: Whistleblowing Policy
Appendix N: Word Processor Policy
Appendix O: Access Arrangements Policy
Appendix P: Special Considerations Policy

Appendix A: Cyber Security Policy

Purpose of the policy

At both Stevenage ESC and the North Herts ESC, the confidentiality, integrity, and availability of our information assets, IT systems, and the personal data of students, staff, and stakeholders are of paramount importance.

This policy establishes our comprehensive cyber security framework, delineates the duties and accountabilities of all relevant parties, and ensures strict adherence to JCQ regulations, the Data Protection Act 2018, the UK General Data Protection Regulation, and the statutory guidance detailed in *Keeping Children Safe in Education*.
This Cyber Security Policy details the measures taken at both Centres to mitigate the risk of cyber threats under the following sections:

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

The senior leadership teams recognise the need for staff involved in the management, administration and conducting of examinations to play a critical role in maintaining and improving cyber security at both Centres. This includes ensuring that all members of centre staff who access awarding bodies' online systems undertake annual cyber security training.

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

- Cyber Security Awareness and Training
- Device Security and Asset Register
- Creating strong, unique passwords
- Keeping all account details secret
- Enabling additional security settings wherever possible
- Updating any passwords that may have been exposed
- Setting up secure account recovery options
- Reviewing and managing connected applications
- Staying alert for all types of social engineering/phishing attempts
- Monitoring accounts and reviewing account access regularly

Scope
This policy applies to all staff who have access to either Centre's IT systems and data, with particular focus placed upon those members of staff who are involved in the management, administration and conducting of examinations and assessments.

Review
A designated member of the Senior Leadership Team will carry out annual evaluation of this policy, incorporating updates as required to remain abreast of new technologies, threat developments, and industry best practices.

Upon completion of the review and any revisions, the policy will receive formal ratification from the Management Committee.

1. Roles and responsibilities

Governors

- To oversee and review cyber security arrangements and policy compliance

Head of centre/Senior leadership team

- To provide overall responsibility for policy implementation and cyber security strategy
- To ensure that an up-to-date device security and asset register is maintained which details all computers, devices, and user accounts used for examinations and assessment administration. This ensures that all technology used is regularly reviewed, patched, and secured, thus reducing the risk of overlooked vulnerabilities being exploited
- To ensure that all devices are secured with up-to-date anti-malware and software updates
- To ensure that members of the exams team, supported/led by the IT team, adhere to best practice(s) in relation to:
    - the management of individual/personal data/accounts
    - centre wide cyber security including:
        - Establishing a robust password policy
        - Enabling multi-factor authentication (MFA)
        - Keeping software and systems up to date
        - Implementing network security measures
        - Conducting regular data backups
        - Educating employees on security awareness
        - Developing and testing an incident response plan
        - Regularly assessing and auditing security controls
        - Managing and reporting a cyber-attack which impacts any learner data, assessment records or learner work

IT Manager/Team

- To implement technical controls, monitor systems, respond to incidents, manage access and updates

Data Protection Officer

- To ensure compliance with data protection law, advise on data handling, and oversee data breaches

All staff

- To follow this policy, complete annual training, report incidents or concerns promptly within the centre

Exams officer

- To ensure that they follow best practice in relation to the management of individual/personal data/accounts
- To provide evidence of an awareness of best practice in relation to cyber security as defined by JCQ regulations/guidance, including the completion of certificated, annual, up-to-date cyber security awareness training
- To undertake training on:
    - the importance of creating strong, unique passwords
    - keeping all account details secret
    - enabling additional security settings wherever possible
    - updating any passwords which may have been exposed
    - setting up/an awareness of secure account recovery options
    - reviewing and managing connected applications
    - awareness of all types of social engineering/phishing attempts
    - reviewing and monitoring account access on a regular basis

Invigilators

- To ensure that they follow best practice in relation to the management of individual/personal data/accounts
- To provide evidence of an awareness of best practice in relation to cyber security as defined by JCQ regulations/guidance, including the completion of certificated, annual, up-to-date cyber security awareness training

- To undertake training on:
    - the importance of creating strong, unique passwords
    - keeping all account details secret
    - enabling additional security settings wherever possible
    - updating any passwords which may have been exposed
    - setting up/an awareness of secure account recovery options
    - reviewing and managing connected applications
    - awareness of all types of social engineering/phishing attempts
    - reviewing and monitoring account access on a regular basis

Students/users

- To follow this policy, complete annual training, report incidents or concerns promptly within the centre

2. Complying with JCQ regulations

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

- Developing and maintaining this cyber security policy
- Ensuring that all members of centre staff who access awarding bodies' online systems undertake annual, certificated cyber security training which includes:
    - the importance of creating strong, unique passwords
    - keeping all account details strictly confidential
    - the critical role of Multi-Factor Authentication (MFA) in protecting against unauthorised access
    - how to properly set up and use MFA for both centre and awarding bodies' systems
    - an awareness of all types of social engineering/phishing attempts
    - the importance of staff quickly reporting suspicious activity, events and incidents
- Downloading and retaining certificates of completed staff cyber training on file
- Implementing and enforcing robust security measures, including:
    - mandatory Multi-Factor Authentication (MFA) for all accounts and systems containing exam-related information, including those that interface between awarding body and centre systems, to enhance security and protect sensitive data
    - regularly reviewing and updating security settings to align with current best practices
- Enabling additional security settings wherever possible
- Updating any passwords that may have been exposed
- Setting up secure account recovery options
- Reviewing and managing connected applications
- Monitoring accounts and regularly reviewing account access, including removing access when no longer required
- Ensuring authorised members of staff securely access awarding bodies' online systems in line with awarding body regulations regarding cyber security and the JCQ document *Guidance for centres on cyber security* (www.jcq.org.uk/exams-office/general-regulations), and that where necessary, they have access to a device which complies with awarding bodies' multi-factor authentication (MFA) requirements
- Reporting any actual or suspected compromise of an awarding body's online systems immediately to the relevant awarding body

3. Cyber security best practice

The head of centre/senior leadership team ensure that:

- Security measures are in place including:

    - Firewalls and network security controls
    - Anti-virus and anti-malware software on all devices
    - Regular software updates and patch management
    - Secure data backup and tested recovery procedures
    - Encryption for sensitive and personal data
    - Multi-factor authentication (MFA) for critical systems and remote access
    - Secure configuration and monitoring of cloud services (e.g., Office 365, Google Workspace).
    - Prompt removal of access for leavers
- They and all staff involved in the management, administration and conducting of examinations/assessments stay informed about the latest security threats and trends in account security.
- Staff within the exams team are educated on how to identify phishing attempts, use secure devices and how to protect systems and data by online training, INSET days, staff emails, etc.

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

National Cyber Security Centre (NCSC) guidance is followed at both Centres and training is provided by the National College. This includes:

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

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

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

4. Account management best practice

Creating strong unique passwords

It is centre policy to ensure that individual staff members create strong unique passwords, eg.

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

Keeping all account details secret

Individual staff members must keep all account details secret at all times.

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

Enabling additional security settings wherever possible

Individual staff members must ensure and adhere to additional security settings at all times.

- *All staff will follow awarding body two-step verification (2SV)/two-factor verification (2FA) or multi-factor authentication (MFA) wherever available/requested. Staff are made aware of the purpose of 2SV/2FA /MFA, which includes:*
  - *adding a layer of account security*
  - *helps to protect users if the extra steps/factors are protected*

Updating any passwords that may have been exposed

Individual staff members must update and report any passwords that may have been exposed.

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

Setting up secure account recovery options

Individual staff members are aware of and follow secure account recovery options.

- *Staff are instructed to follow centre account recovery options which which may include alternate email accounts or phone numbers protected by 2SV/2FA/MFA security measures*

Reviewing and managing connected applications

Individual staff members must regularly review and manage connected applications.

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

Staying alert for all types of social engineering/phishing attempts

Individual staff members must stay alert for all types of social engineering/phishing attempts.

- *Staff must take care if unsolicited or unexpected emails, instant messages, or phone calls are received asking for account credentials or personal or confidential information. Passwords and 2FA/MFA authentication codes should not be given out to anyone*
- *Staff are instructed that they should have a wariness of anyone or anything that seems to want to gain their trust, rush them into doing something or that just seems off, they should hang up/not reply and not click on links or take any action and check with a trusted party via a secure channel (i.e. call awarding body customer services via a known support number)*
- *Staff will never approve or authenticate a login request that they did not initiate*
- *Staff will not share codes/approve logins. Requests to share codes/approve logins should be treated with a high degree of suspicion*
- *Staff will not click on suspicious links, download attachments or scan QR codes from unknown sources*
- *The centre will provide exams team staff with a secure QR code scanner with a good reputation to help gauge whether a QR code is suspicious or malicious*
- *Staff will verify the authenticity of any communication by contacting the organisation directly through official known channels*
- *Staff will report any phishing attempts which reference awarding bodies/their systems to the awarding body concerned immediately*

Monitoring accounts and reviewing account access

Staff accounts and account access are reviewed regularly by the Exams Officer.

- *Centre staff accounts will be routinely reviewed for any suspicious, unusual or unauthorised activity*
- *If any suspicious, unusual or potentially unauthorised activity on awarding body systems is observed this will be immediately reported to the relevant awarding body, particularly if it is believed that user account security may have been compromised*
- *Access control and permissions are based on job roles and reviewed regularly*
- *Levels of access for all exams team staff are reviewed regularly to ensure accounts have the minimum level of access required for their current role*
- *Accounts are promptly disabled when users leave*
- *Account activity is monitored and audited*

5. Training

The head of centre/senior leadership team ensure that there are procedures in place to maintain the security of user accounts by ensuring that all staff who have responsibility for the administration or delivery of examinations complete annual cyber security training and annual refresher training, with practical advice on protecting assessment systems and recognising attacks such as phishing or social engineering.

Records of cyber training are retained for all staff and are available for inspection

Annual Cyber Security training is provided to all staff and appropriate evidence are kept on file:

Appendix B: Child Protection/ Safeguarding Policy (Exams)

Purpose of the policy
This policy details how the Stevenage & North Herts Education Support Centres, ensures that the moral and statutory responsibility to safeguard and promote the welfare of children is met in relation to the management, administration and conducting of examinations and assessments.

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 Stevenage & North Herts Education Support Centres.

The Stevenage & North Herts Education Support Centres ensures compliance with the statutory guidance for schools and colleges as set out in the Department for Education's Keeping children safe in education 2025 publication.

Policy aims
- To provide all exams-related staff at the Stevenage & North Herts Education Support Centres 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 Stevenage & North Herts Education Support Centres to contribute to the wider centre Child Protection and Safeguarding Policy

Introduction
All staff involved in the management, administration and conducting of examinations at Stevenage & North Herts Education Support Centres are made aware of their safeguarding responsibilities. This includes raising awareness and understanding of the role played by these staff members in safeguarding and promoting the welfare of children whilst they are undertaking their examinations/ assessments.

As part of the training given to staff involved in the management, administration and conducting of examinations/assessments, the following are highlighted as part of an induction/training programme:
- child protection policy (which should amongst other things also include the policy and procedures to deal with child-on-child abuse)
- behaviour policy (which should include measures to prevent bullying, including cyberbullying, prejudice-based and discriminatory bullying)
- staff behaviour policy (sometimes called a code of conduct) should amongst other things, include low-level concerns, allegations against staff and whistleblowing
- safeguarding response to children who are absent from examinations, particularly on repeat occasions and/or prolonged periods
- the role of the designated safeguarding lead (including the identity of the designated safeguarding lead and any deputies)

Section 1 – Roles and Responsibilities

Designated safeguarding lead (DSL)

The DSL; (and any deputies) 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 etc.

Exams officer

The EO; will support the DSL as directed, and also undertake all relevant training etc.

Other exams staff

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

Teaching staff

Will ensure that where candidates are taking non-examination assessments, they will check that the tasks and approach being taken are appropriate and in line with ethical standards and the centre's safeguarding responsibilities, etc.

Section 2 – Staff

Recruitment

The Stevenage & North Herts Education Support Centres ensure that only 'suitably qualified and experienced adults' are employed in the management, administration and conducting of examinations and assessments. This is supported by the safer recruitment process which includes:

- completing an application form which includes their employment history and explains any gaps in that history
- providing two referees, including at least one who can comment on the applicant's suitability to work with children
- providing evidence of identity and qualifications
- verifying their mental and physical fitness to carry out their work responsibilities
- verifying their professional qualifications, as appropriate
- carrying out further additional checks, as appropriate, on candidates who have lived or worked outside of the UK, including (where relevant) any teacher sanctions or restrictions imposed by a European Economic Area professional regulating authority, and criminal records checks or their equivalent
- asking for written information about previous employment history and check that information is not contradictory or incomplete. We will seek references on all short-listed candidates, including internal candidates, before interview. We will scrutinise these and resolve any concerns before confirming appointments.
- if offered employment, be checked in accordance with the Disclosure and Barring Service (DBS) regulations as appropriate to their role. This will include:
    - an enhanced DBS check and a barred list check for those including unsupervised volunteers engaged in Regulated Activity
    - an enhanced DBS check without a barred list check for all volunteers not involved in Regulated Activity but who have the opportunity of regular contact with children
    - ensuring that this member of staff has a subscription to the DBS Update Service (where relevant)
- if offered employment, provide evidence of their right to work in the UK
- be interviewed by a panel of at least two school leaders/governors, if shortlisted

DBS check information

All information on the checks carried out on those who are employed solely for the purpose of periodic exams-related activity, such as external invigilators/facilitators, will be recorded in the centre's single central record (SCR). Copies of these checks, where appropriate, will be held in individuals' personnel files.

Existing staff
Although there is no statutory requirement to update DBS checks for existing staff, invigilators/facilitators are part of the DBS update service.

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 move 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

'Break in service'

To comply with 'break in service' regulations, all external invigilators/facilitators will be required to register with the DBS Update Service on an annual basis and provide consent for the designated senior member of staff in charge of safeguarding arrangements to carry out an online check to view the status of their existing enhanced DBS certificate. This will not apply to any invigilators who meet the 'frequency test' at both Centres – e.g. working 3 or more times in a 30-day period, or attending the centre at least every 3 months for training, updates, etc.

By registering with the Update Service, these staff will be permitted to attend on any day during an exam series (providing they can supply an updated Disclosure Certificate and ID) without the need for additional checks or any additional attendance at both Centres.

Agency staff

Written notification will be obtained from any agency or third-party organisation that it has carried out the necessary safer recruitment checks that we would otherwise perform. A check will also be performed to confirm that the person presenting themselves for work is the same person on whom the checks have been made.

Section 3 – Supporting staff
All exams staff at the Stevenage & North Herts Education Support Centres:

- are made aware of the good practice guidelines and staff code of conduct in relation to child protection and safeguarding
- receive appropriate safeguarding and child protection training at induction/the centre's annual exam update training session. This training is regularly updated to include the most up-to-date guidance from the relevant authorities
- receive safeguarding and child protection (including online safety) updates as required, and at least annually, to continue to provide them with the relevant skills and knowledge to safeguard children effectively. This includes updates on the centre's Child Protection and Safeguarding Policy by training sessions, online information, hard copy information and the website.

Training/information delivered

Date delivered	Details of training/information delivered	Audience (e.g. invigilators, access arrangements facilitators etc.)
September 2025	Safeguard Level 1 Training	All staff
October 2025	Invigilator Training	Invigilators

Section 4 – Areas covered
All examinations staff will be trained/updated on the following areas to ensure that they are complying with the centre policy on child protection and safeguarding protocols, including:

- Invigilation/facilitation and/or centre supervision with a candidate on a one-to-one basis
- Escorting a candidate to the toilet
- Dealing with a candidate who refuses to come out of the toilet
- Dealing with a candidate who has been taken out of the exam room due to illness
- Dealing with a candidate who has fallen asleep in the exam room

Section 5 – Reporting
The process for staff to report issues/concerns relating to child protection and safeguarding is:

Listen, record on CPOMS, report to DSL.

If a member of staff needs to make a complaint/report a colleague or other adult who works with children (whistleblowing), they should report it to the DSL immediately.

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

Where staff are engaged in invigilation/facilitation and/or centre supervision on a one-to one basis with a candidate the following protocols should be followed.

Summoning immediate assistance in case of any concern

Leave the Exam Room and find the DSL/ member of SLT or EO. Record on the Incident Log once returned to the room.

Leaving the examination room temporarily

Where a member of staff may accompany a candidate requiring a toilet break, the member of staff is required to first check that the facilities are unoccupied, at what point the candidate is left unaccompanied, record in the Incident Log.

Where a member of staff may accompany a candidate who is feeling unwell, contact the EO who will deal with it.

References
Keeping children safe in education www.gov.uk/government/publications/keeping-children-safe-in-education--2

Check someone's criminal record as an employer www.gov.uk/dbs-check-applicant-criminal-record
DBS Update Service www.gov.uk/dbs-update-service

DBS Checks for Schools www.onlinedbschecks.co.uk/job-sectors/dbs-checks-for-schools/

Appendix C: Complaints Policy (Exams)

Purpose of the policy
This policy confirms the Stevenage & North Herts Education Support Centres' compliance with JCQ's **General Regulations for Approved Centres** (section 5.3, 5.8) that the centres will draw to the attention of candidates and their parents/carers our written complaints policy which covers general complaints regarding the centre's delivery or administration of a qualification and our internal appeals procedure.

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 [insert who] 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 was not informed that an application for access arrangements was to be processed using *Access arrangements online*, complying with the UK GDPR and the Data Protection Act 2018
- Exam information not appropriately adapted for a disabled candidate 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 Head of Centre 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 the Head of Centre 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 they are following, the Stevenage & North Herts Education Support Centre encourages the candidate 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 their 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**
- Forms are available from the Exams Officer
- Completed forms should be returned to the Exams Officer
- Forms received will be logged by the centre and acknowledged within 5 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 2 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 in writing by completing an **internal appeals form**
- Forms received will be logged by the centre and acknowledged within 5 calendar days
- The appeal will be referred to the Chair of Management Committee for consideration
- The Chair of Management Committee will inform the appellant of the final conclusion in due course

SESC
Stevenage Education Support Centre

North Herts
Education Support Centre

Complaints form

Please tick box to indicate the nature of your complaint

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

FOR CENTRE USE ONLY	
Date received	
Reference No.	

Name of complainant	
Candidate name if different to complainant	

Please state the grounds for your complaint below:

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

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

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:**

This form must be completed in full - an incomplete form will be returned to the complainant

Complaints log

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

Ref No.	Date received	Complainant Name	Outcome	Outcome date

Appendix D: Conflicts of Interest Log

CONFLICTS OF INTEREST LOG 2025/26

Date recorded	Staff name & job title(s)/role(s)	Conflict of interest (COI)	Measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected

The records may be inspected by a JCQ Centre Inspector and/or awarding body staff. They might be requested in the event of concerns being reported to an awarding body. The records must be retained until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.

EXAMPLE ONLY

Conflict of interest (COI)	Measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected
(As a last resort where unable to find another centre) Taking a qualification(s) at this centre which includes an internally assessed component/unit ☐ COI declared to relevant awarding body before the published deadline for entries (for each affected examination series)	[Insert as example, To: • prevent the member of centre staff having access to confidential examination/assessment materials prior to exam(s)/assessment(s) • brief other relevant centre staff on maintaining the integrity and confidentiality of exam/assessment materials • ensure the member of centre staff is treated in the same way as any other candidate entered for that qualification, does not have access to examination materials and does not receive any preferential treatment the arrangements below are in place:] [Insert as bullet points the specific measures taken/protocols in place in the centre to achieve the above]
Teaching and preparing a member of family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) for a qualification(s) which includes an internally assessed component/unit ☐ COI declared to relevant awarding body before the published deadline for entries (for each affected examination series)	[Insert as example, To: • make every effort to avoid situations where a candidate is assessed by a person who has a close personal relationship with the candidate • ensure the member of centre staff is not solely involved in making assessment decisions for the affected candidate for any internally assessed component/unit • ensure the marked work will be submitted for moderation whether or not it is part of the moderation sample the arrangements below are in place:] [Insert as bullet points the specific measures taken/protocols in place in the centre to achieve the above]
A member of exams office staff and has a member of 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 at this centre or another centre	[Insert as example, To: • ensure that the member of exams office staff does not have unaccompanied access to confidential examination materials (for example, question papers, pre-release materials, answer scripts etc. • ensure that another person is present for particular administrative arrangements relating to the candidate's exams/assessments the arrangements below are in place:] [Insert as bullet points the specific measures taken/protocols in place in the centre to achieve the above]
Taking a qualification at this centre which does not include internally assessed components/units	[Insert as example, To: revent the member of centre staff having access to confidential examination materials prior to exam(s) • brief other relevant centre staff on maintaining the integrity and confidentiality of examination materials • ensure the member of centre staff is treated in the same way as any other candidate entered for that qualification, does not have access to examination materials and does not receive any preferential treatment the arrangements below are in place:] [Insert as bullet points the specific measures taken/protocols in place in the centre to achieve the above]
Taking a qualification at another centre	[Insert as example, To ensure the member of centre staff does not have access to confidential examination materials for the same awarding body qualification if this is delivered in the centre, the arrangements below are in place:] [Insert as bullet points the specific measures taken/protocols in place in the centre to achieve the above]

Appendix E: Data Protection Policy

Purpose of the policy

This policy details how the Stevenage & North Herts Education Support Centres, in relation to exams management and administration, ensure 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) 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.

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

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 office(r) 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)
- Mainstream Schools (dual registered students)
- Local Authority
- Federation PRU
- Virtual Schools (CLA and PLA students)

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; Cambridge OCR Interchange; Pearson Edexcel Online; WJEC Portal; City & Guilds Walled Garden; etc.
- Management Information System (MIS) provided by Bromcom sending/receiving information via electronic data interchange (EDI) using A2C (https://www.jcq.org.uk/about-a2c) to/from awarding body processing systems; etc.

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

Section 2 – Informing candidates of the information held

The Stevenage & North Herts Education Support Centres ensure that candidates are fully aware of the information and data held.

All candidates are:

- informed via centre newsletter, electronic communication, letter home, etc.
- given access to this policy via centre website, written request, etc.

Candidates are made aware of the above when the registrations/ entries are submitted to awarding bodies for processing.

Materials which are submitted by candidates for assessment may include any form of written work, audio and visual materials, computer programs and data ("Student Materials"). Candidates will be directed to the relevant awarding body's privacy notice if they require further information about how their Student Materials may be used by the awarding body.

Candidates eligible for access arrangements/reasonable adjustments which require awarding body approval will be informed that an application for access arrangements will be processed using *Access arrangements online*, complying with the UK GDPR and the Data Protection Act 2018.

Candidates involved in suspected or alleged malpractice will be informed that their personal data will be provided to the awarding body (or bodies) whose examinations/assessments are involved, and that personal data about them may also be shared with other awarding bodies, the qualifications regulator or professional bodies, in accordance with the JCQ document *Suspected Malpractice – Policies and Procedures*.

Candidates will be informed:

- that awarding bodies may be required to provide a candidate's personal data to educational agencies, such as DfE, Welsh Government, Department of Education (Northern Ireland), ESFA, regulators, HESA, UCAS, Local Authorities and the Learning Records Service (LRS)
- that their personal data may be provided to a central record of qualifications approved by the awarding bodies for statistical and policy development purposes
- of the processing that the centre undertakes, for example, that the centre will provide relevant personal data, including name, date of birth and gender, to the awarding bodies for the purpose of examining and awarding qualifications

Candidates may obtain access to their personal data, such as examination results by applying to the appropriate awarding body's data protection officer.

Candidates are also referred to the centre's privacy notice which explains:

- why the centres need to collect personal data
- what it plans to do with it
- how long it will keep it
- whether it will be sharing it with any other organisation

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	Date of purchase and protection measures	Warranty expiry
Desktop computer Laptop Tablet	The IT Manager determines when hardware is checked; by who; what is checked (hard drive scans etc.); antivirus protection up to date; etc.	N/A
Software/online system	**Protection measure(s)**	
Network	IT Manager maintains	
MIS Intranet Internet browser(s) Awarding body secure extranet site(s) A2C	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; centre administrator 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**

The Data Protection Officer 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.

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 3 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.

Section 7 – Access to information

(with reference to ICO information https://ico.org.uk/for-the-public/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 in writing/email. ID will need to be confirmed if a former candidate is unknown to current staff.

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 consider whether:

- the student wants their parent (or someone with parental responsibility for them) to be involved; and
- the student 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 SLT 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 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

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

Publishing exam results

The Stevenage & North Herts Education Support Centres will publish exam results to the media or within the centre in line with the following principles:

- Refer to guidelines as published by the Joint Council for Qualifications
- Act fairly when publishing results, and where people have concerns about their or their child's information being published, taking those concerns seriously
- Ensure that all candidates and their parents/carers are aware as early as possible whether examinations results will be made public and how this will be done
- Explain how the information will be published. For example, if results will be listed alphabetically, or in grade order

As the Stevenage & North Herts Education Support Centres 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 Exams Officer, 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.

Section 8 – 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	Information description (where required)	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
Access arrangements information		Candidate name Candidate DOB Gender Diagnostic testing outcome(s) Specialist report(s) (may also include candidate address) Evidence of normal way of working	Access Arrangements Online MIS Lockable metal filing cabinet	MFA; Secure user name and password In secure office (SENCo)	**2 years**
Alternative site arrangements			Lockable metal filing cabinet		1 year
Attendance registers copies		Candidate name Candidate DOB Gender	MIS Lockable metal filing cabinet	Secure user name and password	1 year
Candidates' scripts		Candidate name Candidate DOB Gender Consent (candidate signature)	Lockable metal filing cabinet	Secure user name and password	2 years
Candidates' work		Candidate name Candidate DOB Gender	MIS Lockable metal filing cabinet	Secure user name and password	1 year
Certificates		Candidate name Candidate DOB Gender	MIS Lockable metal filing cabinet	Secure user name and password	1 year

Information type	Information description (where required)	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
Certificate destruction information		Candidate name Candidate DOB Gender	MIS Lockable metal filing cabinet	Secure user name and password	1 year
Certificate issue information		Candidate name Candidate DOB Gender Address	MIS Lockable metal filing cabinet	Secure user name and password	1 year
Conflicts of interest records		Candidate name Candidate DOB Gender	MIS Lockable metal filing cabinet	Secure user name and password	1 year
Entry information		Candidate name Candidate DOB Gender	MIS Lockable metal filing cabinet	Secure user name and password	1 year
Exam room incident logs		Candidate name Candidate DOB Gender	MIS Lockable metal filing cabinet	Secure user name and password	1 year
Invigilator and facilitator training records		Invigilator name	MIS Lockable metal filing cabinet	Secure user name and password	1 year
Overnight supervision information		Candidate name Candidate DOB Gender	MIS Lockable metal filing cabinet	Secure user name and password	1 year
Post-results services: confirmation of candidate consent information		Candidate name Candidate DOB Gender	MIS Lockable metal filing cabinet	Secure user name and password	1 year
Post-results services: requests/outcome information		Candidate name Candidate DOB Gender	MIS Lockable metal filing cabinet	Secure user name and password	1 year
Post-results services: scripts provided by ATS service		Candidate name Candidate DOB Gender	MIS Lockable metal filing cabinet	Secure user name and password	1 year
Post-results services: tracking logs		Candidate name Candidate DOB	MIS	Secure user	1 year

Information type	Information description (where required)	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
		Gender	Lockable metal filing cabinet	name and password	
Private candidate information		Candidate name Candidate DOB Gender	MIS Lockable metal filing cabinet	Secure user name and password	1 year
Resilience arrangements: Evidence of candidate performance		Candidate name Candidate DOB Gender	MIS Lockable metal filing cabinet	Secure user name and password	1 year
Resolving timetable clashes information		Candidate name Candidate DOB Gender	MIS Lockable metal filing cabinet	Secure user name and password	1 year
Results information		Candidate name Candidate DOB Gender	MIS Network Lockable metal filing cabinet	Secure user name and password	1 year
Seating plans		Candidate name Candidate DOB Gender	MIS Network Lockable cabinet	Secure user name and password	1 year
Special consideration information		Candidate name Candidate DOB Gender	MIS Network Lockable metal filing cabinet	Secure user name and password	1 year
Suspected malpractice reports/outcomes		Candidate name Candidate DOB Gender	Network Lockable metal filing cabinet	Secure user name and password	1 year
Transferred candidate arrangements		Candidate name Candidate DOB Gender	MIS Network Lockable metal filing cabinet	Secure user name and password	1 year
Very late arrival reports/outcomes		Candidate name Candidate DOB Gender	Network Lockable metal filing cabinet	Secure user name and password	1 year

Appendix F: Equalities Policy

Purpose of the policy

This document is provided as an exams-specific supplement to the centre-wide equalities and/or 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†, particularly Section 20 (7). This must include a duty to explore and provide access to suitable courses; to submit applications for reasonable adjustments through the access arrangements process and to make reasonable adjustments to the services the centre provides to disabled candidates. Where the centre is under a duty to make a reasonable adjustment, the centre must not charge a disabled candidate any additional fee in relation to the adjustment or aid

  †or any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect

  (JCQ's **General Regulations for Approved Centres**, 5.4)

  This publication is further referred to in this policy as GR

This policy details how the centre facilitates access to exams and assessments for disabled candidates, 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 document (Adjustments for candidates with disabilities and learning difficulties) Access Arrangements and Reasonable Adjustments 2025-2026 (*Definitions* section).

This publication is further referred to in this policy as AA

Identifying the need for access arrangements

Roles and responsibilities

Head of centre

- Is familiar with the entire contents, refers to and directs relevant centre staff to the annually updated JCQ documents including GR and AA
- Ensures the quality of the access arrangements process within the centre
- Ensures staff roles, responsibilities and processes in identifying, requesting and implementing access arrangements for all candidates are clearly defined and documented
- Ensures an appropriately qualified assessor(s) is appointed, evidence of the assessor's qualification(s) is obtained before he/she assesses candidates and that evidence of the qualification(s) of the person(s) appointed is held on file
- Ensures the assessment process is administered in accordance with the regulations and that the correct procedures are followed as in Chapter 7 of AA
- Ensures a policy demonstrating the centre's compliance with relevant legislation is in place
- Support the SENCo in determining the need for and implementing access arrangements

Senior leader(s)

- Are familiar with the entire contents of the annually updated JCQ documents including GR and AA

Special educational needs coordinator (SENCo)

- Has full knowledge and understanding of the contents, refers to and directs relevant centre staff to the annually updated JCQ publication AA

Teaching staff

- Where appropriate, inform the SENCo of any concerns, observation or feedback about a candidate or any support that might be needed by a candidate

Support staff (for example, Learning Support Assistants, Teaching Assistants and Communication Support Workers)

- (where appropriate) Provide comments and observations to support the SENCo to 'paint a holistic picture of need', confirming normal way of working for a candidate

Assessor of candidates with learning difficulties

(An assessor of candidates with learning difficulties will be an appropriately qualified access arrangements assessor/psychologist/specialist teacher assessor)

- Has detailed understanding of the JCQ publication AA
- Conducts appropriate assessments to identify the need(s) of a candidate
- Provides appropriate evidence to confirm the need(s) of a candidate
- Completes appropriate documentation as required by the regulations of JCQ and the awarding body
- Leads on the access arrangements process to facilitate access for candidates
- Ensures that the access arrangements/reasonable adjustments approved allow the candidate to access the assessment, but do not result in the candidate gaining an unfair advantage
- Defines and documents roles, responsibilities and processes in identifying, requesting and implementing access arrangements

SENCO

- Produces and annually reviews and updates a word processor policy, specific to the centre, which details the criteria the centre uses to award and allocate word processors for examinations and assessments
- If not the appropriately qualified assessor, works with the person/persons appointed, on all matters relating to assessing candidates and the administration of the assessment process
- Ensures the qualified assessor(s) has access to the assessment objectives for the relevant specification(s) a candidate is undertaking
- Ensures that all assessments carried out and arrangements put in place comply with JCQ and awarding body regulations and guidance
- Ensures arrangements put in place for exams/assessments reflect a candidate's normal way of working within the centre
- Ensures the need for access arrangements for a candidate is considered on a subject-by-subject basis
- Presents when requested by a JCQ Centre Inspector, evidence of the assessor's qualification
- Works with teaching staff, relevant support staff and the exams officer to ensure centre-delegated and awarding body approved access arrangements are put in place for candidates taking internal and external exams/assessments
- Provide information to evidence the normal way of working of a candidate
- Conducts appropriate assessments to identify the need(s) of a candidate
- Provides appropriate evidence to confirm the need(s) of a candidate
- Completes appropriate documentation as required by the regulations of JCQ and the awarding body

Use of word processors

The Centre's Word Processor Policy and SLT Statement can be found here: T:\Admin Team\Exams\ \Policies (AA, section 5.8)

Requesting access arrangements
Roles and responsibilities

SENCo

- Determines if the arrangements identified for a candidate require prior approval from the awarding body before the arrangements are put in place or if approval is centre delegated
- To comply with the UK GDPR and the Data Protection Act 2018, ensures relevant candidates **are** informed that an application for access arrangements will be processed using *Access arrangements online*

Exams officer (EO)

- Is familiar with the entire contents of the annually updated JCQ publication GR and is aware of information contained in AA where this may be relevant to the EO role
- Follows guidance in AA (chapter 8) to process approval applications for access arrangements for those qualifications included
- Applies for approval where this is required, through Access arrangements online (AAO), or through the awarding body where qualifications sit outside the scope of AAO
- Ensures that were approval is required the application is processed on time and no later than the awarding body's published deadline
- Ensures that the full supporting evidence is in place before an online application is processed
- Reviews the evidence before an online application is processed, ensuring that the candidate does meet the published criteria for the respective arrangement
- Holds all supporting evidence and presents such evidence to a JCQ Centre Inspector upon request
- Ensures that the agreed adjustment has been put in place before the candidate's first examination, e.g. internal tests and mock examinations
- Ensures appropriate and required evidence is held on file to confirm validation responses in AAO including (where required) the completion of relevant JCQ forms, such as Form 8 (Application for access arrangements – Profile of learning difficulties), Form 9 (Profile of need), Form 8RF, etc. supplemented by written statements, where required, etc.
- Ensures where JCQ forms are required to be completed, forms are signed (a handwritten, electronic or typed signature is acceptable) and dated as required **prior** to approval being sought and that the form is provided for processing and inspection purposes (This may be a hard copy paper version or an electronic version)
- Ensures the names of all other assessors, who are assessing candidates studying qualifications covered by AAO are entered into AAO to confirm their status
- Confirms by ticking the *'Confirmation'* box prior to submitting the application for approval that the *'malpractice consequence statement'* has been read and accepted
- Makes an *awarding body referral* through AAO where the initial application for approval may not be approved by AAO, where it is deemed by the centre that the candidate does meet the criteria for the arrangement(s)
- Maintains a file/e-folder for each candidate (the required documentation for a candidate will be in hard copy within the candidate's file/each of the required documents held electronically within the candidate's e-folder) that will include:
    - completed JCQ/awarding body application forms and evidence forms
    - appropriate evidence to support the need for the arrangement where required
    - appropriate evidence to support normal way of working within the centre
    - in addition, for those qualifications covered by AAO (where approval is required), a printout/PDF of the AAO approval
- (where applicable) 'Data protection confirmation by the examinations officer or SENCo before an application is processed online
- Presents the files/e-folders when requested by a JCQ Centre Inspector and addresses any queries/questions raised
- If the SENCo is unavailable, presents the files/e-folders of access arrangements candidates when requested by a JCQ Centre Inspector and addresses any queries/questions raised

- Liaises with teaching staff regarding any appropriate modified paper requirements for candidates
- Liaises with the SENCo to ensure arrangements are in place to either order a non-interactive electronic (PDF) question paper (or to download a PDF copy of the standard question paper) or to open a question paper packets in the secure room within 90 minutes of the awarding body's published starting time for the exam where the centre is permitted to modify a timetabled written component exam paper (copy on coloured paper, enlarge to A3 or copy to single sided print)
- As may be applicable in relation to the use of coloured paper, explores alternative ways of working such as the use of a coloured overlay or the candidate wearing coloured glasses / the provision of a single colour, such as buff or grey
- Following the appropriate process, orders published modified papers, by the awarding body's deadline for the exam series, where these may be required for a candidate

Implementing access arrangements and the conduct of exams

Roles and responsibilities

External assessments
These are assessments which are normally set and marked/examined by an awarding body which must be conducted according to awarding body instructions and/or the JCQ publication Instructions for conducting examinations (ICE).

Head of centre
- Supports the SENCo, the exams officer and other relevant centre staff in ensuring appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams

SENCo
- Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access for candidates where they are disabled within the meaning of the Equality Act (unless a temporary emergency arrangement is required at the time of an exam)

Exams officer
- Understands and follows instructions for Invigilation arrangements for candidates with access arrangements and Access arrangements in ICE 2025-2026
- Understands that where permitted/approved, a secure question paper packet may need to be opened early in the secure room to facilitate the following:
    - a Language Modifier may have access to the question paper 60 minutes prior to the awarding body's published start time for the exam in order to prepare
    - the Communication Professional may have access to the question paper 60 minutes prior to the awarding body's published start time for the exam in order to prepare
    - the Live Speaker may have access to the transcript of the Listening examination 60 minutes prior to the awarding body's published start time for the exam in order to prepare
- Provides cover sheets prior to the start of an exam where required for particular access arrangements and ensures that these have been fully completed before candidates' scripts are dispatched to examiners/markers
    - prints pre-populated cover sheets from AAO where this is required for particular arrangements
- Has a process in place to deal with emergency (temporary) access arrangements as they arise at the time of exams in terms of rooming and invigilation
- Liaises with the SENCo where a facilitator may be required to support a candidate requiring an emergency (temporary) access arrangement at the time of exams
- Where required for emergency (temporary) access arrangements, applies for approval through AAO or through the awarding body where qualifications sit outside the scope of AAO

- familiar with the instructions for Invigilation arrangements for candidates with access arrangements and Access arrangements in ICE 2024-2025
- Ensures a candidate is involved in any decisions about arrangements, adjustments and/or adaptations that may be put in place for them and ensures the candidate understands what will happen at exam time
- Ensures exam information (JCQ information for candidate's documents, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it
- Ensures that prior to any arrangements being put in place checks are made that arrangements do not impact on any assessment criteria/competence standards being tested
- Ensures that any arrangements put in place do not unfairly disadvantage or advantage disabled candidates
- Monitors, in internal tests/mock exams, the use of arrangements granted to a candidate and where a candidate has never made use of the arrangement, may consider withdrawing the arrangement, provided the candidate will not be placed at a substantial disadvantage
- Liaises with the exams officer (EO) regarding facilitation and invigilation of access arrangement candidates in exams
- Liaises with other relevant centre staff regarding the provision of appropriate rooming and equipment that may be required to facilitate access for disabled candidates to exams
- Appoints appropriate centre staff as facilitators to support candidates (practical assistant, prompter, Language Modifier, reader, scribe or Sign Language Professional)
- Ensures facilitators supporting candidates are appropriately trained and understand the rules of the particular access arrangement(s)
- Ensures a record of the content of training given to those facilitating an access arrangement for a candidate under examination conditions is kept 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
- Ensures where a person is appointed to facilitate an access arrangement, the person appointed is not normally the candidate's own subject teacher, Learning Support Assistant or teaching assistant. Where the candidate's own subject teacher, Learning Support Assistant or teaching assistant has to be used, a separate invigilator is always present
- Ensures where a person is appointed to facilitate an access arrangement, the person appointed is not a relative, friend, peer or private tutor of the candidate.
- Ensures a facilitator acting as a prompter is aware of the appropriate way to prompt depending on the needs of the candidate
- Ensures invigilators supervising access arrangement candidates are trained in their role and understand the invigilation arrangements required for access arrangement candidates and the role of any facilitator
- Ensures cover sheets, where these are required by the arrangement are completed as required by facilitators

Other relevant centre staff

- Support the SENCo and the exams officer to ensure appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams
- Liaises with the EO where a facilitator may be required to support a candidate requiring an emergency (temporary) access arrangement at the time of exams
- Liaises with the SENCo and other relevant centre staff to ensure appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams
- Liaises with the SENCo to ensure exam information (JCQ information for candidates documents, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it
- Liaises with the SENCo regarding the facilitation and invigilation of access arrangement candidates
- Liaises with the SENCo regarding rooming of access arrangement candidates
- Liaises with the SENCo to ensure that invigilators are made aware of the Equality Act 2010 and are trained in disability issues
- Ensures appropriate seating arrangements are in place where different arrangements may need to be made for a candidate to facilitate access to his/her exams

- Ensures candidates with access arrangements are identified on exam room seating plans and invigilators are informed of those candidates with access arrangements and made aware of the access arrangement(s) awarded
- Ensures invigilators are briefed prior to each exam session of the arrangements in place for a disabled candidate in their exam room
- Checks in advance of dated exams/assessments that modified paper orders have arrived (and if not will contact the awarding body to ensure that papers are available when required)
- Makes modifications that are permitted by the centre (a question paper copied onto coloured paper, an A4 to A3 enlarged paper or a paper printed on single sheets or where a question paper may need to be scanned into PDF format where a candidate is approved the use of a computer reader) that may be required and either accesses a non-interactive electronic (PDF) question paper or opens the exam question paper packet in the secure room no earlier than 90 minutes prior to the awarding body's published start time of the exam
- Understands that where permitted/approved, a secure question paper packet may need to be opened early in the secure room to facilitate the following:
    - a Language Modifier may have access to the question paper 60 minutes prior to the awarding body's published start time for the exam in order to prepare
    - the Sign Language Professional may have access to the question paper 60 minutes prior to the awarding body's published start time for the exam in order to prepare
    - a Live Speaker may have access to the transcript of the Listening examination 60 minutes prior to the awarding body's published start time for the exam in order to prepare
- Provides cover sheets prior to the start of an exam where required for particular access arrangements and ensures that these have been fully completed before candidates' scripts are dispatched to examiners/markers o prints pre-populated cover sheets from AAO where this is required for particular arrangements
- Has a process in place to deal with emergency (temporary) access arrangements as they arise at the time of exams in terms of rooming and invigilation
- Liaises with the SENCo where a facilitator may be required to support a candidate requiring an emergency (temporary) access arrangement at the time of exams
- Where required for emergency (temporary) access arrangements, applies for approval through AAO or through the awarding body where any qualifications sit outside the scope of AAO

Other staff:

- Staff responsible for **IT or other specialist equipment** that may need to be provided or adapted for a candidate
- Estates/site staff responsible for **rooms and non-specialist equipment** (chairs, tables, clocks etc.) used for exams that may need to be adapted for a candidate
- Senior staff responsible for the centre's **emergency evacuation procedures** and the arrangements that may need to be in place for a candidate with a disability who may need assistance when an exam room is evacuated

Internal assessments

These are non-examination assessments (NEA) which are normally set by a centre/awarding body, marked and internally moderated/standardised by the centre and externally moderated by the awarding body.

However, 'NEA' is not limited to internal assessment as externally marked and/or externally set practical examinations taken at different times across centres are also classified as 'NEA'.

SENCo

- Liaises with teaching staff to implement appropriate access arrangements for candidates

Teaching staff

- Support the SENCo in implementing appropriate access arrangements for candidates
- Ensures centre-delegated and awarding body approved arrangements are in place prior to a candidate taking their first formal supervised assessment

- Ensures candidates are aware of the access arrangements that are in place for their assessments
- Ensures a candidate has had appropriate opportunities to practise using the access arrangement(s) before their first examination
- Ensures facilitators supporting candidates are appropriately trained and understand the rules of the particular access arrangement(s)
- Ensures cover sheets are completed as required by facilitators
- Liaises with the teacher where a facilitator may be required to support a candidate requiring an emergency (temporary) access arrangement at the time of their formal supervised assessment
- Provide the SENCo with assessment schedules to ensure arrangements are put in place when required
- Liaise with the SENCo regarding assessment materials that may need to be modified for a candidate

Internal exams/ assessments

These are exams or tests which are set and marked within the centre; normally a pre-cursor to external assessments.

SENCo

- Liaises with teaching staff to implement appropriate access arrangements for candidates

Teaching staff

- Support the SENCo in implementing appropriate access arrangements for candidates
- Ensures centre-delegated and awarding body approved arrangements are in place prior to a candidate taking his/her first formal supervised assessment
- Ensures candidates are aware of the access arrangements that are in place for their assessments
- Ensures a candidate has had appropriate opportunities to practise using the access arrangement(s) before his/her first examination
- Ensures facilitators supporting candidates are appropriately trained and understand the rules of the particular access arrangement(s)
- Ensures cover sheets are completed as required by facilitators
- Liaises with the teacher where a facilitator may be required to support a candidate requiring an emergency (temporary) access arrangement at the time of his/her formal supervised assessment
- Provide the SENCo with assessment schedules to ensure arrangements are put in place when required
- Liaise with the SENCo regarding assessment materials that may need to be modified for a candidate

Exams Officer

- Provide exam materials that may need to be modified for a candidate
- Provide the SENCo with internal exam timetable to ensure arrangements are put in place when required

Facilitating access - examples

The following information confirms the centre's good practice in relation to the Equality Act 2010 and the conduct of examinations.

On a candidate-by-candidate basis, consideration is given to:

- adapting assessment arrangements
- adapting assessment materials
- the provision of specialist equipment or adaptation of standard equipment
- adaptation of the physical environment for access purposes

The table provides example arrangements, adjustments and adaptations that are considered to meet the need(s) of a candidate and the actions considered/taken by the centre for the purposes of facilitating access.

Example of candidate need(s)	Arrangements explored	Centre actions
A medical condition which prevents the candidate from taking exams in the centre	Alternative site for the conduct of examinations Supervised rest breaks	*SENCo gathers evidence to support the need for the candidate to take exams at home and for SRB* *SENCO provides written statement for file to confirm the need* *Approval confirmed by SENCo; AAO approval for both arrangements not required* *SENCO/ Tutor discussion with candidate to confirm the arrangements should be put in place* *EO submits 'Alternative site form' for timetabled written exams to awarding body/bodies online using CAP* *An on-line submission must only be made for timetabled written examinations in the following qualifications…* *EO provides candidate with exam timetable and JCQ information for candidates* *Tutor confirms with candidate the information is understood* *Tutor agrees with candidate that prior to each exam will call to confirm fitness to take exam* *EO allocates invigilator(s) to candidate's timetable; confirms time of collection of exam papers and materials* *Invigilator monitors candidate's condition for each exam and records any issues on incident log* *Invigilator records supervised rest breaks (time and duration) on incident log and confirms full time given for exam* *Invigilator briefs EO after each exam on how candidate's performance in exam may have been affected by his/her condition* *EO discusses with Tutor if candidate is eligible for special consideration (candidate present but disadvantaged)* *EO processes request(s) for special consideration where applicable; incident log(s) provides supporting evidence supported by appropriate evidence signed by a member of the senior leadership team (Evidence retained until after the publication of results)* *Tutor informs candidate that special consideration has been requested*

Persistent and significant difficulties in accessing written text	Reader/computer reader 25% Extra time Alternative rooming arrangements	*Confirms candidate is disabled within the meaning of the Equality Act 2010* *Papers checked for those testing reading* *Computer reader/examination reading pen sourced for use in papers (or sections of papers) testing reading OR up to 50% extra time awarded* *Candidate informed that an application for access arrangements will be processed using Access arrangements online* *AAO application for approval processed* *Supporting evidence and AAO approval kept on file*
Significant difficulty in concentrating	Prompter Alternative rooming arrangements	*Gathers evidence to support substantial and long-term adverse impairment* *Candidate informed that an application for access arrangements will be processed using Access arrangements online* *AAO application for approval processed Supporting evidence, AAO approval, signed candidate personal data consent form and completed Data protection confirmation by the examinations officer or SENCo form kept on file* *Confirms with candidate how and when they will be prompted Briefs invigilator to monitor candidate and the method of prompting (call out his name to bring his attention back to the paper - confirms requirement for alternative room)*
A wheelchair user	Desk Rooms Facilities Seating arrangements Practical assistant	*Candidate informed that an application for access arrangements will be processed using Access arrangements online* *Applies for practical assistant to help candidate set up wheelchair and other equipment in a practical assessment; approval automatically fails so awarding body referral lists the tasks that will be performed* *Supporting evidence and AAO approval kept on file* *Provides height adjustable desk in exam room* *Allocates exam room on ground floor near adapted bathroom facilities* *Spaces desks to allow wheelchair access* *Seats candidate near exam room door* *Confirms arrangements in place to assist the candidate in case of emergency evacuation of the exam room* *Practical assistant cover sheet printed from AAO; to be completed by facilitator and inserted inside the candidate's work where this may be applicable to the assessment*

Appendix G: Emergency Evacuation Policy

Purpose of the policy
This policy details how the Stevenage & North Herts Education Support Centres deals with an emergency evacuation of the exam room(s) by defining staff roles and responsibilities and confirming the emergency evacuation procedure.

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

As each incident may be different, advice will be sought from the relevant awarding body as soon as it is safe to do so. (ICE 25.6)

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

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

Exams officer

- Ensures invigilators are trained in emergency evacuation procedures and how an incident and actions taken must be recorded
- Ensures candidates are briefed (insert how, as example through Candidate exam handbook, assembly etc.), 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

- SENCo and other relevant staff prior to each exam where different procedures or assistance may need to be provided for a disabled candidate
- Briefs invigilators prior to each exam where different procedures or assistance may need to be provided for a disabled candidate
- Ensures appropriate follow-up is undertaken after an emergency evacuation, reporting the incident to the awarding body and the actions taken
- 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 disabled candidate they are invigilating
- Record details on the exam room incident log to support follow-up reporting to the awarding body by the exams officer (see below)

Other relevant centre staff

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

Recording details

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

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

Further details could include:

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

Emergency evacuation procedure
Invigilators are trained in this procedure and understand the actions they must take in the event of a fire alarm or a bomb alert or other emergency that leads to an evacuation of the exam room.

Emergency evacuation procedure
Actions to be taken (as detailed in current JCQ Instructions for conducting examinations section 25, **Emergencies**)
Stop the candidates from writing
Collect the attendance register (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 candidates leave the room in silence
Ensure the 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 (to be retained on file if required by an awarding body)
For on-screen assessments: • candidates must be closely supervised if an emergency evacuation of the assessment room occurs • invigilators should refer to any software specific instructions to safeguard the security of the assessment content and candidates' responses (For example, pausing the assessment for all candidates and locking the evacuated assessment room without closing down the software) invigilators should understand the procedures for re-starting an on-screen assessment after an emergency evacuation of the assessment room, controlling the re-starting of the assessment, re-setting the timing and ensuring, where appropriate, candidates can access their previous responses
EO collate reports and send to the relevant awarding body
Additional centre-specific actions to be taken

Appendix H: Exam Contingency Plan

Purpose of the plan
This plan examines potential risks and issues that could cause disruption to the examination and assessment process at the Stevenage & North Herts Education Support Centres. By outlining actions/procedures to be invoked in case of disruption it is intended to mitigate the impact these disruptions have on our exam processes.

Alongside internal processes, this plan is informed by the Ofqual (and Northern Ireland Council for the Curriculum, Examinations and Assessment) **Exam system contingency plan: England, Wales and Northern Ireland** which provides guidance in the document *What schools and colleges and other centres should do if exams or other assessments are seriously disrupted* the **JCQ Joint Contingency Plan** for the Examination System in England, Wales and Northern Ireland and the JCQ document **Preparing for disruption to examinations**.

This plan also confirms the Stevenage & North Herts Education Support Centre's compliance with JCQ's **General Regulations for Approved Centres** (GR 5.3) that each centre has in place for inspection that must be reviewed and updated annually:

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

Contingency arrangements

In accordance with the regulations (GR 3.17-19), both Centres must have an up to date written contingency plan.

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

The plan must cover the following scenarios:

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

As part of the contingency plan the centre **must** identify an alternative site or alternative sites which can be used if examinations cannot be conducted at the registered address. Larger centres may require more than one potential alternative site or different sites for different year groups.

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

Both Centres must ensure where candidates' work is produced electronically, it is backed-up and should consider the contingency of candidates' work being backed-up on two separate devices, including one off-site back-up via the Cloud. Appropriate security arrangements must be implemented which protect candidates' work in the event of IT system corruption and cyber-attacks.

Operating across more than one centre (NHESC only)

As the head of centre and/or examinations officer operates across more than one centre, the head of centre will ensure there is suitable senior leadership team and examinations officer support in place, so they can meet their obligations across all centres for which they are responsible in relation to recruitment, selection, training and support of staff. The arrangements covered in this contingency plan relate to the following centres:

- Bancroft Centre
- Briar Patch Centre

National Centre Number Register and other information requirements

In accordance with the regulations (GR 5.3), the heads of centre will ensure that both Centres completes the National Centre Number Register annual update by the end of October every year (even if there are no changes to centre details) which includes providing senior designated contact details (this might include a personal mobile number and/or email address). These must be the contact details of someone who can be reached in an emergency if the centre is closed over the summer and who can mobilise resources to respond to the issue. Exam officer extended absence at a critical stage of the exam cycle.

Head of centre / senior leader(s) with oversight of examination and assessment administration absence at a critical stage of the exam cycle
Executive Head will cover or assign cover.

Exam officer extended absence at a critical stage of the exam cycle
Business Managers will cover or assign cover.

Criteria for implementation of the plan

Key tasks required in the management and administration of the exam cycle not undertaken including:

Planning

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

Entries

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

Pre-exams

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

Exam time

- *exams/assessments not taken under the conditions prescribed by awarding bodies*

- *required reports/requests not submitted to awarding bodies during exam/assessment periods, for example very late arrival, suspected malpractice, special consideration*
- *candidates' scripts not dispatched as required for marking to awarding bodies*

Results and post-results

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

Centres actions to mitigate the impact of the disruption

- Exams Officer/ Administrator's line manager will cover.

SENCo extended absence at a critical stage of the exam cycle

Head of Centre will cover or assign cover.

Criteria for implementation of the plan

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

Planning

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

Pre-exams

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

Exam time

- *access arrangement candidate support not arranged for exam rooms*

Centres actions to mitigate the impact of the disruption

- HOC will cover.

Teaching staff (or other key staff essential to the examination process) extended absence at a critical stage of the exam cycle

Other teaching staff will cover, as assigned by HOC.

Criteria for implementation of the plan

Key tasks not undertaken including:

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

Final entry information not provided to the exams officer on time; resulting in candidates not being entered for exams/assessments or being entered late/late or other penalty fees being charged by awarding bodies

Non-examination assessment (including controlled assessments and coursework) tasks not set/issued/taken by candidates as scheduled

Candidates not being informed of centre assessed marks before marks are submitted to the awarding body and therefore not being able to consider appealing internal assessment decisions and requesting a review of the centre's marking

Internal assessment marks and candidates' work not provided to meet awarding body submission deadlines

Centres actions to mitigate the impact of the disruption

- KS4 Assistant Head will cover, or assign cover.

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 to mitigate the impact of the disruption

- Due to the nature of our students, both Centres are making use of trained internal staff as invigilators. Admin teams are trained as invigilators to cover any invigilator absence/s.

Exam rooms - lack of appropriate rooms or main venues unavailable at short notice

Criteria for implementation of the plan

Exams officer unable to identify sufficient/appropriate rooms during exams timetable planning

Insufficient rooms available on peak exam days

Main exam venues unavailable due to an unexpected incident at exam time

Centre actions to mitigate the impact of the disruption

- SESC: Use of Barnwell School
- NHESC: Use of the KS3 Centre as back up. KS3 students can be taught in the Nexus Gym area and off-site.

Cyber security

Criteria for implementation of the plan

Where any incidents might compromise any aspect of assessment delivery, such as a cyber-attack

Centre actions to mitigate the impact of the disruption

- SESC: Seek assistance from our IT provider and the Exam Boards.
- NHESC: Seek assistance from our IT provider and the Exam Boards.

(This will include the required arrangements for cyber security)

(GR 3.21) Ensure there are procedures in place to maintain the security of user accounts by:

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

... The training must include:

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

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

b) developing and maintaining a comprehensive cyber security policy for the centre. The National Cyber Security Centre (NCSC) provides resources to assist centres in creating such policies;

c) implementing and enforcing robust security measures, including:

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

d) updating any passwords that may have been exposed

e) setting up secure account recovery options

f) reviewing and managing connected applications

g) monitoring accounts and regularly reviewing account access, including removing access

when no longer required

h) ensuring authorised members of staff securely access awarding bodies' online systems in

line with awarding body regulations regarding cyber security and the JCQ document

Guidance for centres on cyber security

Authorised staff will have access, where necessary, to a device which complies with

awarding bodies' multi-factor authentication (MFA) requirements.

i) reporting any actual or suspected compromise of an awarding body's online systems immediately to the relevant awarding body

Failure of IT systems

Criteria for implementation of the plan

IT system corruption affecting candidates' work

MIS system failure at final entry deadline

MIS system failure during exams preparation

MIS system failure at results release time

Centre actions to mitigate the impact of the disruption

- SESC: Use of Barnwell School. Exams Officer has a laptop to make entries from a different venue, eg. home working.
- NHESC: Use of the Briar Patch site as a backup. Exams Officer has a laptop to make entries from a different venue, eg. home working.
- (This will include the security arrangements put in place which protect candidates' work)
  (GR 3.19) Ensure where candidates' work is produced electronically that it is backed-up and should consider the contingency of candidates' work being backed-up on two separate devices, including one

off-site back-up via the Cloud... Implement appropriate security arrangements which protect candidates' work in the event of IT system corruption and cyber-attacks.

Emergency evacuation of the exam room (or centre lockdown)

Criteria for implementation of the plan

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

Centre actions to mitigate the impact of the disruption

- See Emergency Evacuation procedures.

Disruption of teaching time in the weeks before an exam – centre closed for an extended period

Criteria for implementation of the plan

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

Centre actions to mitigate the impact of the disruption

- Where there is disruption to teaching time and students miss teaching and learning, it remains the responsibility of centres to prepare students, as usual, for examinations.
  Both centres have plans in place to facilitate alternative methods of learning.

Candidates may not be able to take examinations – centre remains open

Criteria for implementation of the plan

Candidates may not be able to attend the examination centre to take examinations as normal because of a crisis

Centre actions to mitigate the impact of the disruption

- The Centres will look at individual cases to find appropriate solutions, in consultation with the Exam Board(s)
- (Implementing alternative arrangements for the conducting of examinations and notifying the JCQ Centre Inspection Service of an alternative site arrangement by submitting the JCQ Alternative Site form online, using the Centre Admin Portal (CAP).)
- Consider moving the starting time of the examination for all candidates (see section 6.2 of the JCQ document Instructions for conducting examinations)
- Be aware of the rules for very late arrivals (see section 21 of the JCQ document Instructions for conducting examinations)
- Wherever possible, it is always in the best interest for candidates to sit the examination.
- However, special consideration is an option where a candidate is unable to sit the examination (see Chapter 4 of the JCQ document A guide to the special consideration process)
- The relevant awarding body should be contacted if additional support or guidance in the event of disruption to examinations is required

Centre may not be able to open for examinations
(including in the event of the centre being unavailable for examinations owing to an unforeseen emergency)

Criteria for implementation of the plan
Centre may not be able *to open as normal for scheduled examinations*
Centre actions to mitigate the impact of the disruption
• SESC: Use of Barnwell School, upper campus. • NHESC: Use of the KS3 Centre as back up. KS3 students can be taught in the Nexus Gym area and off-site. • The decision on whether it is safe for a centre to open lies with the head of centre who is responsible for taking advice or following instructions from relevant local or national agencies • Special consideration is an option if all other avenues have been exhausted, and candidates meet • The published criteria • The relevant awarding body should be contacted if additional support or • Guidance in the event of disruption to examinations is required

Disruption in the distribution of examination papers

Criteria for implementation of the plan
Disruption to the distribution of examination papers to the centre in advance of examinations
Centres actions to mitigate the impact of the disruption
• Awarding organisations to provide centres with electronic access to examination papers via a secure external network. Centres would need to ensure that copies are received, made and stored under secure conditions and should have plans in place to facilitate such an action. Awarding organisations would provide guidance on the conduct of examinations in such circumstances. • As a last resort, and in close collaboration with centres and regulators, awarding organisations to consider scheduling of the examination on an alternative date)

Delay in collection arrangements for completed examination scripts

Criteria for implementation of the plan
Delay in normal collection arrangements for completed examination scripts/assessment evidence
Centres actions to mitigate the impact of the disruption
• (where examinations are part of the national 'yellow label' service or where awarding bodies arrange collections, centres contact the relevant awarding bodies for advice and instructions • for any examinations where centres make their own collection arrangements, they should investigate alternative options that comply with the requirements detailed in the JCQ document *Instructions for conducting examinations*. • centres to ensure secure storage of completed examination scripts until as close as the collection time as possible.

Assessment evidence is not available to be marked

Criteria for implementation of the plan

Large scale damage to or destruction of completed examination scripts/assessment evidence before it can be marked

Completed examination scripts/assessment evidence does not reach awarding organisations

Centres actions to mitigate the impact of the disruption

- awarding organisations to generate candidate marks for affected assessments based on other appropriate evidence of candidate achievement as defined by the awarding organisations
- where marks cannot be generated by awarding organisations candidates may need to retake affected assessment in a subsequent assessment series.

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

Criteria for implementation of the plan

Centres are unable to access or manage the distribution of results to candidates, or to facilitate post-results services

Centres actions to mitigate the impact of the disruption

- Distribution of results:
  - centres to make arrangements to access its results at an alternative site, in agreement with the relevant awarding organisation
  - centres to make arrangements to coordinate access to post results services from an alternative site
  - centres to share facilities with other centres if this is possible, in agreement with the relevant awarding organisation.
- Facilitation of post results services:
  - centres to make arrangements to make post results requests at an alternative location
  - centres to contact the relevant awarding organisation if electronic post results requests are not possible

Alternative site(s) details:

- SESC: Use of Barnwell School.
- NHESC: Use of the KS3 Centre as back up. KS3 students can be taught in the Nexus Gym area and off-site.

Further guidance to inform procedures and implement contingency planning
DfE

Meeting digital and technology standards in schools and colleges
Cyber Security Standards for schools and colleges
Cyber crime and cyber security: a guide for education providers
DfE Cyber Security Guidance – March 2023

Ofqual

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

Contingency planning

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

General contingency guidance

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

Disruption to assessments or exams

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

- the exam or assessment cannot take place
- a student misses an exam or loses their assessment due to an emergency, or other event, outside of the student's control
- see the JCQ's notice to centres on exam contingency plans and JCQ's notice on preparing for disruption to examinations in England, Wales and Northern Ireland for qualifications within its scope.

Steps Centres should take

Exam planning

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

Centres must speak to the relevant awarding organisations as soon as possible if they are expecting any disruption that might affect the sitting of exams and assessments.

In the event of disruption

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

After the exam

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

Steps the awarding body should take

Exam planning

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

In the event of disruption

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

After the exam

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

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

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

See also JCQ's guidance on special considerations

Wider communications

The regulators, Ofqual in England, Qualifications Wales in Wales and CCEA Regulation in Northern Ireland, will share timely and accurate information, as required, with awarding organisations, government departments and other stakeholders.
The DfE in England, the DfE in Northern Ireland and the Welsh Government will inform the relevant government ministers as soon as it becomes apparent that there will be significant local or national disruption; and ensure that they are kept updated until the matter is resolved.

Awarding organisations will alert the Universities and Colleges Admissions Service (UCAS) and the Central Applications Office (CAO) about any impact of the disruption on their deadlines and liaise regarding student progression to further and higher education.
Awarding organisations will alert relevant professional bodies or employer groups if the impact of disruption particularly affects them.

Widespread national disruption to the taking of examinations or assessments

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

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

In December 2022, Qualifications Wales published guidance for contingency assessment arrangements for GCSEs, AS and A levels and Skills Challenge Certificates in the event that a national decision is made to cancel exams. This guidance is still relevant for the current academic year.

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

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

We will update this page as necessary, with any further relevant links, should national disruption occur.

General contingency guidance

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

(Ofqual guidance extract above taken directly from the Exam system contingency plan: England, Wales and Northern Ireland - **What schools and colleges and other centres should do if exams or other assessments are seriously disrupted** (last updated 7 May 2024) https://www.gov.uk/government/publications/exam-system-contingency-plan-england-wales-and-northern-ireland/what-schools-and-colleges-should-do-if-exams-or-other-assessments-are-seriously-disrupted)

JCQ

15. CONTINGENCY PLANNING

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

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

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

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

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

15.4 If the head of centre decides the centre cannot be opened for scheduled examinations, the centre's contingency plan must be invoked, utilising the centre's alternative site(s) and the relevant awarding bodies must be informed as soon as possible. Awarding bodies will be able to offer advice regarding the alternative arrangements for conducting examinations that may be available and the options for candidates who have not been able to take scheduled examinations.

15.5 The awarding bodies will designate 'contingency sessions' for examinations, summer 2026. This is consistent with the qualification regulators' document Exam system contingency plan: England, Wales and Northern Ireland.

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

15.7 In the event of national disruption to a day of examinations in summer 2026, the awarding bodies will liaise with the qualification regulators and government departments to agree the most appropriate option for managing the impact. As a last resort, the affected examinations will be rescheduled. Although every effort would be taken to keep the impact to a minimum, it is possible that there could be more than one timetable date affected following the disruption, up to and including the last contingency day. Centres will be alerted if it is agreed to reschedule the examinations and the affected candidates will be expected to make themselves available in such circumstances. The decision regarding the rescheduling of examinations will always rest with the awarding body. The centre must conduct the examination on the scheduled date unless instructed to do otherwise by the awarding body.

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

(JCQ guidance above taken directly from **Instructions for conducting examination**s 2025-2026 http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations, section 15, Contingency planning)

JCQ Joint Contingency Plan www.jcq.org.uk/exams-office/other-documents

JCQ Preparing for disruption to examinations www.jcq.org.uk/exams-office/general-regulations/

General Regulations for Approved Centres www.jcq.org.uk/exams-office/general-regulations

Guidance notes on alternative site arrangements www.jcq.org.uk/exams-office/online-forms

Guidance notes for transferred candidates www.jcq.org.uk/exams-office/online-forms

Instructions for conducting examinations www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations

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

Guidance for centres on cyber security (Effective from November 2023; Revised July 2025) www.jcq.org.uk/exams-office/general-regulations/

5 tips to get exam ready and stay cyber safe! www.jcq.org.uk/exams-office/blogs/

GOV.UK
Emergency planning and response: Exam and assessment disruption www.gov.uk/government/publications/emergency-planning-and-response-for-education-childcare-and-childrens-social-care-settings

Dispatch of exam scripts guide: Contingency planning www.gov.uk/government/publications/dispatch-of-exam-scripts-yellow-label-service

Wales
School closures: examinations gov.wales/school-closures-examinations

Opening schools, childcare and play settings in extreme bad weather and extreme hot weather: www.gov.wales/opening-schools-well-childcare-and-play-settings-extreme-bad-weather-and-extreme-hot-weather

Northern Ireland
Exceptional closure days – Northern Ireland www.education-ni.gov.uk/articles/exceptional-closure-days
Checklist – exceptional closure of schools - exceptional closure of schools www.education-ni.gov.uk/publications/checklist-exceptional-closure-schools

National Cyber Security Centre
Cyber Security for Schools https://www.ncsc.gov.uk/section/education-skills/cyber-security-schools

Cyber security training for school staff https://www.ncsc.gov.uk/information/cyber-security-training-schools

Appendix I: Internal Appeals Procedure

Purpose of the procedure

This procedure confirms both Stevenage Education Support Centre and the North Herts Education Support Centre are compliant with JCQ's **General Regulations for Approved Centres** (sections 5.3z, 5.8) that both centres will:

- have in place for inspection that must be reviewed and updated annually by a member of the senior leadership team and communicated within the centre, an internal appeals procedure which must cover at least appeals regarding internal assessment decisions, access to post-result services and appeals, and centre decisions relating to access arrangements and special consideration
- draw to the attention of candidates and their parents/carers their written internal appeals procedure

This procedure covers appeals relating to:

- Internal assessment decisions (centre assessed marks)
- Centre decisions not to support an application for a clerical re-check, a review of marking, a review of moderation or an appeal
- Centre decisions relating to access arrangements and special consideration
- Centre decisions relating to other administrative issues

Appeals relating to internal assessment decisions (centre assessed marks)

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

This procedure confirms compliance for both Stevenage Education Support Centre & the North Herts Education Support Centre with JCQ's **General Regulations for Approved Centres** (section 5.7) that both centres will:

- have in place for inspection, that must be reviewed and updated annually, a written internal appeals procedure relating to internal assessment decisions and to ensure that details of this procedure are communicated, made widely available and accessible to all candidates
- before submitting marks to the awarding body inform candidates of their centre assessed marks and allow a candidate to request a review of the centre's marking

Deadlines for the submission of marks

Date	Qualification	Details	Exam series
15 May 2025	GCSE		Summer-2026

Both Stevenage Education Support Centre & the North Herts Education Support Centre are committed to ensuring that whenever its staff mark candidates' work this is done fairly, consistently and in accordance with the awarding body's specification and subject-specific associated documents.

Both Stevenage Education Support Centre & the North Herts Education Support Centre ensure that all centre staff follow a robust policy regarding the management of *non-examination Assessments,* including controlled assessments and coursework. This policy details all procedures relating to non-examination assessments, including the marking and quality assurance/internal standardisation processes which relevant teaching staff are required to follow.

Candidates' work will be marked by staff who have appropriate knowledge, understanding and skill, who have been trained in this activity and do not have any potential conflicts of interest. If AI tools have been used to assist in the marking of candidates' work, they will not be the sole marker. Both Stevenage Education Support Centre & the North Herts Education Support Centre are committed to ensuring that work produced by candidates is authenticated in line with the requirements of the awarding body. Where several subject teachers are involved in marking candidates' work, internal moderation and standardisation will ensure consistency of marking.

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

Both Stevenage Education Support Centre & the North Herts Education Support Centre will

1. ensure that candidates are informed of their centre assessed marks so that they may request a review of the centre's marking before marks are submitted to the awarding body

2. inform candidates that they will need to explain on what grounds they wish to request a review of an internally assessed mark as a review will only focus on the quality of work submitted

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

4. having received a request for copies of materials, promptly make them available to the candidate within 5 calendar days. (This will either be the originals viewed under supervised conditions, or copies)

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

6. provide candidates with sufficient time, normally at least five working days, to allow them to review copies of materials and reach a decision

7. provide a clear deadline for candidates to submit a request for a review of the centre's marking. Requests will not be accepted after this deadline. Requests must be made in writing within 5 days of receiving copies of the requested materials by completing the Internal Appeals form and candidates must explain on what grounds they wish to request a review

8. allow 10 calendar days for the review to be carried out, to make any necessary changes to marks and to inform the candidate of the outcome, all before the awarding body's deadline for the submission of marks

9. ensure that the review of marking is conducted by an assessor who has appropriate competence, has had no previous involvement in the assessment of that candidate for the component in question and has no personal interest in the outcome of the review

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

11. inform the candidate in writing of the outcome of the review of the centre's marking

The outcome of the review of the centre's marking will be made known to the head of centre who will have the final decision if there is any disagreement on the mark to be submitted to the awarding body. A written record of the review will be kept and made available to the awarding body upon request.

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

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

Appeals against decisions to reject a candidate's work on the grounds of malpractice

The JCQ Information for candidates' documents (Coursework, Non-examination assessments, Social media) which are distributed to all candidates prior to relevant assessments taking place, inform candidates of the things they must and must not do when they are completing their work.

The JCQ *Information for candidates - AI (Artificial Intelligence and assessments)* or similar centre document is issued to candidates prior to assessments taking place (and prior to a candidate signing the declaration of authentication which relates to their work).

Both Centres ensure that staff delivering/assessing coursework, internal assessments and/or non-examination assessments are aware of centre procedures relating to the authentication of learner work and have robust processes in place for identifying and reporting plagiarism (including AI misuse) and other potential candidate malpractice.

Candidate malpractice offences relating to the content of work (i.e. inappropriate/offensive content, copying/collusion, plagiarism (including AI misuse) and/or false declaration of authentication) which are discovered in a controlled assessment, coursework or non-examination assessment component prior to the candidate signing the declaration of authentication do not need to be reported to the awarding body but will be dealt with in accordance with the centre's internal procedures.

Malpractice by a candidate discovered in a controlled assessment, coursework or non-examination assessment where the offence does not relate to the content of candidates' work (e.g. possession of unauthorised materials, breach of assessment conditions) or where a candidate has signed the declaration of authentication, must be reported to the awarding body.

If there are doubts about the authenticity of the work of a candidate or irregularities are identified in a candidate's work before the candidate has signed the declaration of authentication/authentication statement (where required) and malpractice is suspected, both centres will follow the authentication procedures and/or malpractice instructions in the relevant JCQ document (Instructions for conducting non-examination assessments/Instructions for conducting coursework) and any supplementary guidance that may be provided by the awarding body. Where this may lead to the decision to not accept the candidate's work for assessment or to reject a candidate's coursework on the grounds of malpractice, the affected candidate will be informed of the decision.

If a candidate who is the subject of the decision disagrees with the decision:

A written request, setting out as clearly and concisely as possible the grounds for the appeal including any further evidence relevant to supporting the appeal, should be submitted.

An internal appeals form should be completed and submitted (insert when – for example) within 5 working days of the decision being made know to the appellant.

The appellant will be informed of the outcome of the appeal within 5 calendar/working days of the appeal being received and logged by the centre.

This procedure is informed by the JCQ documents Instructions for conducting non-examination assessments (4.6, 6.1, 9), Instructions for conducting coursework (6, 7, 13.5), Review of marking (centre assessed marks) suggested template for centres, Notice to Centres - Informing candidates of their centre assessed marks and Suspected Malpractice: Policies and Procedures (3.3, 4.5 including reference to Form JCQ/M1)

Appeals relating to centre decision not to support an application for clerical re-check, a review of marking, a review of moderation or an appeal

This procedure confirms both Stevenage Education Support Centre & the North Herts Education Support Centre compliance with JCQ's **General Regulations for Approved Centres** (section 5.13) that the centres will:

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

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

Candidates are also made aware of the arrangements for post-results services prior to the issue of results. Candidates are also informed of the periods during which senior members of centre staff will the available immediately after the publication of results so that results may be discussed, and decisions made on the submission of reviews of marking. Candidates are made aware/ informed by email, letter and the website.

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

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

Reviews of Results (RoRs):

- Service 1 (Clerical re-check)
  This is the only service that can be requested for objective tests (multiple choice tests)
- Service 2 (Review of marking)
- 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 centres will:

1. Where a place a university or college is at risk, consider supporting a request for a Priority Service 2 review of marking
2. In all other instances, consider accessing the script by:
   a) (where the service is made available by the awarding body) requesting a priority copy of the candidate's script to support a review of marking by the awarding body deadline or
   b) (where the option is made available by the awarding body) viewing the candidate's marked script online to consider if requesting a review of marking is appropriate
3. Collect informed written consent/permission from the candidate to access their script
4. On access to the script, consider if it is felt that the agreed mark scheme has been applied correctly in the original marking and if the centre considers there are any errors in the marking
5. Support a request for the appropriate RoR service (clerical re-check or review of marking) if any error is identified]
6. Collect informed written consent from the candidate to request the RoR service before the request is submitted

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

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

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

- Confirm that a review of moderation cannot be undertaken on the work of an individual candidate or the work of candidates not in the original sample submitted for moderation
- Consult any 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

Centre actions in the event of a disagreement (dispute)
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/s will:

- For a review of marking (RoR priority service 2), advise the candidate they may request the review by providing informed written consent (and the required fee) for this service to the centre by the deadline set by the centre
- For a review of marking (RoR service 1 or 2), first advise the candidate to access a copy of their script to support a review of marking by providing written permission for the centre to access the script (and any required administration 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 their 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 by completing the internal appeals form at least 5 working days prior to the internal deadline for submitting a request for a review of results.

The appellant will be informed of the outcome of the 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 their parent/carer) believes there are grounds for a preliminary appeal to the awarding body, a further internal appeal may be made to the head of centre. Following this, the Head of Centre's decision as to whether to proceed with a preliminary appeal will be based upon the acceptable grounds as detailed in the **JCQ**

Appeals Booklet. Candidates or parents/carers are not permitted to make direct representations to an awarding body.

The **internal appeals form** should be completed and submitted to the centre within 5 calendar days of the notification of the outcome of the RoR. Subject to the head of centre's decision, this will allow the centre to process the preliminary appeal and submit to the awarding body within the required **30 calendar days** of the awarding body issuing the outcome of the review of results process. Awarding body fees which may be charged for the preliminary appeal must be paid to the centre by the appellant before the preliminary appeal is submitted to the awarding body (fees are available from the exams officer). If the appeal is upheld by the awarding body, this fee will be refunded by the awarding body and repaid to the appellant by the centre.

Appeals regarding centre decisions relating to access arrangements and special consideration

This procedure confirms both Stevenage ESC & the North Herts ESC are compliant with JCQ's **General Regulations for Approved Centres** (section 5.3z) that the centres will:

- have in place for inspection that must be reviewed and updated annually by a member of the senior leadership team and communicated within the centre, an internal appeals procedure which must cover at least appeals regarding... centre decisions relating to access arrangements and special consideration

Both Stevenage ESC & the North Herts ESC will:

- comply with the principles and regulations governing access arrangements and special consideration as set out in the JCQ documents **Access Arrangements and Reasonable Adjustments** and **A guide to the special consideration process**
- ensure that all staff who manage and implement access arrangements and special consideration are aware of the requirements and are appropriately supported and resourced

Access arrangements and reasonable adjustments

In accordance with the regulations, both Stevenage ESC & the North Herts ESC will:

- recognises its duty to explore and provide access to suitable courses; to submit applications for reasonable adjustments through the access arrangements process and make reasonable adjustments to the services the centre provides to disabled candidates
- complies with its responsibilities in identifying, determining and implementing appropriate access arrangements and reasonable adjustments

Failure to comply with the regulations have the potential to constitute malpractice which may impact on a candidate's result(s).

Examples of failure to comply include:

- putting in place access arrangements/adjustments that are not approved
- failing to consider putting in place access arrangements (which may be a failure to comply with the duty to make reasonable adjustments)
- permitting access arrangements/adjustments within the centre which are not supported by appropriate evidence
- charging a fee for providing reasonable adjustments to disabled candidates

Special consideration

Where Stevenage ESC or the North Herts ESC has appropriate evidence authorised by a member of the senior leadership team to support an application, it will apply for special consideration at the time of the assessment for a candidate who has temporarily experienced illness, injury or some other event outside of who is affected by adverse circumstances beyond their control when the issue or event has had, or is reasonably likely to have had, a material effect on the candidate's ability to take an assessment or demonstrate their normal level of attainment in an assessment.

Centre decisions relating to access arrangements, reasonable adjustments and special consideration

This may include both Stevenage ESC & the North Herts ESC's decision not to make/apply for a specific reasonable adjustment or to apply for special consideration, in circumstances where a candidate does not meet the criteria for, or there is no evidence/insufficient evidence to support the implementation of an access arrangement/reasonable adjustment or the application of special consideration.

Where both Stevenage ESC & the North Herts ESC makes a decision in relation to the access arrangement(s), reasonable adjustment(s) or special consideration that apply for a candidate or candidates:

- If a candidate who is the subject of the relevant decision (or the candidate's parent/carer) disagrees with the decision made and reasonably believes that the centre has not complied with its responsibilities or followed due procedures, a written request setting out the grounds for appeal should be submitted
- An **internal appeals form** should be completed and submitted within 5 working days of the decision being made known to the appellant.

To determine the outcome of the appeal, the head of centre will consult the respective JCQ publication to confirm the Centre has complied with the principles and regulations governing access arrangements and/or special consideration and followed due procedures.

The appellant will be informed of the outcome of the appeal within 5 working days of the appeal being received and logged by the centre.
If the appeal is upheld, the Stevenage ESC & the North Herts ESC will proceed to implement the necessary arrangements/submit the necessary application].

This procedure is informed by the JCQ documents A guide to the awarding bodies' appeals processes (chapter 3), Suspected Malpractice: Policies and Procedures (section 3.3), General Regulations for Approved Centres (section 5.4), Access Arrangements and Reasonable Adjustments (Importance of these regulations) and A guide to the special consideration process (sections 1, 2, 6)

Appeals regarding centre decisions relating to other administrative issues

Circumstances may arise that cause Stevenage ESC or the North Herts ESC to make decisions on administrative issues that may affect a candidate's examinations/assessments.

Where Stevenage ESC or the North Herts ESC may make a decision that affects a candidate or candidates:

- If a candidate who is the subject of the relevant decision (or the candidate's parent/carer) disagrees with the decision made and reasonably believes that the centre has not complied with the regulations or followed due process, a written request setting out the grounds for appeal should be submitted
- An **internal appeals form** should be completed and submitted within 5 working days of the decision being made known to the appellant.

The appellant will be informed of the outcome of the appeal within 5 working days of the appeal being received and logged by the centre.

This procedure is informed by the JCQ document A guide to the awarding bodies' appeals processes (chapter 7)

Internal Appeals form

FOR CENTRE USE ONLY	
Date received	
Reference No.	

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

- ☐ Appeal against an internal assessment decision and/or request for a review of marking
- ☐ Appeal against a decision to reject candidate's work on the grounds of malpractice
- ☐ Appeal against the centre's decision not to support a clerical re-check, a review of marking, a review of moderation or an appeal
- ☐ Appeal against the centre's decision relating to access arrangements or special consideration
- ☐ Appeal against the centre's decision relating to an administrative issue

*Where the nature of the appeal does not relate directly to an awarding body's specific qualification, indicate N/A in awarding body specific detail boxes

Name of appellant		Candidate name (if different to appellant)	
Awarding body		Exam paper code	
Qualification type Subject		Exam paper title	

Please state the grounds for your appeal below:

(If applicable, tick below)

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

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

Appellant signature: Date of signature:

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

Appeals log

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

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

Ref No.	Date received	Appellant Name	Outcome	Outcome date

Further guidance to inform and implement appeals procedures

JCQ publications

- General Regulations for Approved Centres
  https://www.jcq.org.uk/exams-office/general-regulations
- Post-Results Services
  https://www.jcq.org.uk/exams-office/post-results-services
- JCQ Appeals Booklet (A guide to the awarding bodies' appeals processes)
  https://www.jcq.org.uk/exams-office/appeals
- Notice to Centres – Informing candidates of their centre assessed marks https://www.jcq.org.uk/exams-office/non-examination-assessments
- Suspected Malpractice: Policies and Procedures https://www.jcq.org.uk/exams-office/malpractice/
- Access Arrangements and Reasonable Adjustments https://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance/
- A guide to the special consideration process https://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance/

Ofqual publications

- GCSE (9 to 1) qualification-level conditions and requirements
  https://www.gov.uk/government/publications/gcse-9-to-1-qualification-level-conditions
- GCE qualification-level conditions and requirements https://www.gov.uk/government/publications/gce-qualification-level-conditions-and-requirements

Appendix J: Lockdown Policy

Definitions

For the purpose of this policy, the following definitions should be noted:

Lockdown

This is a protective measure implemented when there is a credible threat to the safety of candidates/students and staff. During a lockdown, individuals are instructed to remain inside the building and seek shelter in a secure location, away from the source of danger.

The purpose of a lockdown is to minimise exposure to potential harm and ensure the safety and wellbeing of everyone on site until the threat has been resolved or emergency services arrive.

Lockdown procedures may be activated in situations including:

- The presence of an unauthorised or suspicious individual on the grounds or within the building
- A violent, aggressive, or abusive parent/carer causing disruption
- A specific threat made against the centre or its occupants

All staff must be familiar with the centre's lockdown protocol and ensure candidates/students are guided calmly and efficiently to designated safe areas. Communication with emergency services and internal coordination will be managed by the head of centre or designated safeguarding lead.

Invacuation

This is a safety measure used when there is a potential external threat in the surrounding area. While lockdowns are activated in response to immediate risks within or directly threatening the premises, invacuations are employed when it is safer for candidates/students, staff, and visitors to remain inside the building due to hazards outside.

Invacuation procedures are designed to ensure that all individuals are brought indoors promptly and remain inside until the external threat has passed or further guidance is provided by emergency services.

An invacuation may be applicable to exam candidates if they have left the exam room in the event of an emergency evacuation (for example, due to a fire alarm).

Examples of situations requiring invacuation include:

- The presence of loose or potentially dangerous animals on the grounds
- Environmental hazards such as gas leaks, smoke, or chemical pollution in the vicinity
- Nearby incidents (e.g. police activity or civil disturbance) that may pose a risk if individuals exit the building

Staff are expected to follow the invacuation protocol calmly and efficiently, ensuring that all candidates/students are accounted for and safely indoors. The head of centre or designated safeguarding lead will oversee communication and coordination during such events.

Purpose of the policy

This policy details the measures taken at Stevenage ESC and North Herts ESC in the event of a centre lockdown during the conducting of examinations.

In addition to this policy, a summary is provided to all centre staff of the information relating to a lockdown during the examination period by completing and sharing the Department for Education's Lockdown Template (see Appendix 1).

Staff engaged directly with the conducting of examinations (e.g. exams officer, exams officer assistant, invigilators, facilitators of access arrangements etc.) are instructed to refer to the full policy.

Depending on the nature of the incident, a decision will be made to evacuate, invacuate (an inward evacuation) or use a protected space(s). However, this policy focuses specifically upon the actions, roles and responsibilities during an exams-related lockdown.

The Centres have devised lockdown procedures during the conducting of examinations after consulting ProtectUK, the Department for Education's guidance relating to centre security and Martyn's Law.

The Terrorism (Protection of Premises) Act 2025
Although the Centres are not classified as a high-risk venue under current legislation, we are committed to embedding the principles of Martyn's Law into our safeguarding and emergency preparedness framework. These include:

- **Risk awareness:** Staff being equipped to identify potential threats and recognise suspicious behaviour or activity that may pose a risk to students, staff and visitors
- **Emergency planning:** Maintaining clear, comprehensive, and regularly reviewed procedures to respond effectively to a range of emergency scenarios
- **Rapid response capability:** Training staff to act swiftly and appropriately in the event of an emergency to ensure the safety and protection of students, colleagues, and visitors

These principles underpin our broader approach to security and safeguarding, and will be reflected in staff training, policy reviews, and incident management protocols.

Compliance

To ensure that staff at both Centres are meeting the requirements of the Terrorism (Protection of Premises) Act 2025, the following procedures are in place:
Evacuation (Getting people out of the building)

An evacuation of the exam room will be initiated when it is deemed safer for candidates and staff to leave the room and the building due to an internal threat such as fire, gas leak, structural damage, or other emergencies. This procedure ensures a swift, orderly, and safe exit to designated assembly points.

Step-by-step procedure:

1. **Activation of alarm**
    - The fire alarm or emergency alert system will be triggered manually or automatically
    - Invigilators will immediately begin evacuation procedures without waiting for further instruction unless advised otherwise
2. **Immediate response**
    - Candidates will be instructed to stop their examination and prepare to leave the exam room in line with the invigilator's instructions
    - Invigilators will lead candidates out of the building via the nearest safe exit, avoiding lifts and blocked routes
3. **Use of evacuation routes**
    - Pre-assigned evacuation routes and exits will be followed
    - Invigilators will check the exam room (and any candidates who may have temporarily left the exam room) to ensure that no one is left behind
4. **Assembly at designated point**
    - Invigilators will take candidates to the designated assembly point(s) outside the building
    - Registers will be taken promptly to account for all candidates and invigilators
    - Any missing candidates will be reported immediately to the senior leadership team or emergency services
5. **Communication and co-ordination**
    - The head of centre or designated safeguarding lead will liaise with emergency services and provides updates
    - Invigilators will supervise candidates and maintain calm until further instructions are given
6. **Re-entry or dismissal**
    - No one will be permitted to re-enter the building until it has been declared safe by emergency personnel

Invacuation (Moving people to a safe place)

If candidates have been outside of the exam room, for example, for an emergency evacuation, or on a supervised rest break, they will be brought back into the exam room promptly and remain inside until the situation is resolved.

The procedure will include:

1. **Initial Alert**
    - The head of centre or designated safeguarding lead will assess the situation and initiate the invacuation protocol
    - A clear announcement will be made via the centre's communication system
2. **Movement Indoors**
    - All outdoor activities (for example, an emergency evacuation or supervised rest break) being undertaken by candidates sitting an examination will be halted immediately
    - Candidates will be escorted indoors quickly and calmly, using the nearest safe entry point
3. **Securing the Building**
    - External doors and windows will be closed and secured
    - Access points will be monitored to prevent entry or exit until the all-clear is given
4. **Internal Safety Measures**
    - Candidates and staff (invigilators) will remain in the exam room or designated safe area(s)
    - Movement within the building will be restricted unless necessary
    - Invigilators will take registers to account for all candidates and report any discrepancies to the exams office/officer (unless instructed otherwise)
5. **Communication**
    - The head of centre or designated safeguarding lead will maintain contact with emergency services and monitor updates
    - Parents/carers will be informed if appropriate, depending on the nature and duration of the incident
6. **All-Clear and Debrief**
    - Once the threat has passed, an all-clear message will be issued
    - Candidates will resume their examination
    - The incident will be reported to the relevant awarding body/bodies, and a short debrief may be conducted to review the response and identify any improvements

Lockdown procedure

Before an examination

If a lockdown is required as candidates are entering/waiting to enter the exam room, the following procedure will be employed:

- A member of SLT will be present around exam room areas
- Candidates will be instructed to enter the exam room immediately
- Candidates will be instructed to remain silent, hide under exam desks or sit against a wall/around a corner but not near the door and to ensure mobile phones are on silent and non-vibrate mode
- Where safe/possible, the SLT member will communicate (via mobile phone/walkie talkie) the situation to the exams officer (ensuring that all mobile phones/walkie talkies are on silent and non-vibrate mode)
- Where safe/possible, the exams officer will collate the information from all exam rooms and forward this to the head of centre immediately
- Invigilators will:

- lock all windows and close all curtains/blinds
- switch off all lights
- lock all doors and/or use tables, or any other furniture, to barricade the entrance to the examination room
- take an attendance register/head count if possible
- (if the threat is a chemical or toxic release) instruct candidates to cover their nose and mouth (their own clothing can be used) and attempt to use anything to hand to seal up cracks around doors and any vents into the room
- where safe/possible, not leave the examination question papers unattended/out of sight

- The head of centre will make informed decisions on alerting parents/carers, awarding bodies and emergency services

During an examination

If a lockdown is required during the exam/when candidates are in the exam room, the following procedure will be employed:

- Invigilators will:
  - tell candidates to stop writing immediately and close their answer booklets
  - collect the attendance register
  - make a note of time when the examination was suspended
  - instruct candidates to remain silent, leave all examination materials on their desks and hide under desks
  - where safe/possible, communicate (via mobile phone/walkie talkie) the situation to the exams officer (ensuring that all mobile phones/walkie talkies are on 'silent' mode)
  - lock all windows and close any/all curtains/blinds
  - switch off all lights
  - lock all doors and/or use tables, or any other furniture, to barricade the entrance to the examination room
  - (if the threat is a chemical or toxic release) instruct candidates to cover their nose and mouth (their own clothing can be used) and attempt to use anything to hand to seal up cracks around doors and any vents into the room
  - where safe/possible, not leave the examination question papers and candidates' scripts unattended/out of sight
- Where safe/possible, the exams officer will collate the information from all exam rooms and forward this to the head of centre immediately
- The head of centre will make informed decisions on alerting parents/carers, awarding bodies and emergency services
- If appropriate, where safe/possible, and following centre policy, the exams officer (or invigilators in the absence of the exams officer) will initiate the emergency evacuation procedure
- Where safe/possible, the exams officer will collect all examination papers and materials for safe/secure storage following advice from the appropriate awarding bodies

After an examination

If a lockdown is required after the exam/as candidates are leaving the exam room, the following procedure will be employed:

- Invigilators will:
  - stop dismissing candidates from the exam room
  - instruct candidates who have left the room to re-enter the exam room
  - instruct candidates to remain silent and hide under desks/tables
  - where safe/possible, communicate (via mobile phone/walkie talkie) the situation to the exams officer (ensuring that all mobile phones/walkie talkies are on silent and non-vibrate mode)
  - lock all windows and close any/all curtains/blinds
  - switch off all lights
  - lock all doors and/or use tables, or any other furniture, to barricade the entrance to the exam room

- (if the threat is a chemical or toxic release) instruct candidates to cover their nose and mouth (their own clothing can be used) and attempt to use anything to hand to seal up cracks around doors and any vents into the room
- where safe/possible, not leave the examination question papers and candidates' scripts unattended/out of sight

- Where safe/possible, the exams officer will collate the information from all exam rooms and forward this to the head of centre immediately

Ending a lockdown

- The lockdown will be ended by either:
  - the sound of a defined alarm, or
  - the identification/authorisation of Emergency Service officers/SLT/head of centre entering each exam room
- A specific word or phrase may be used to confirm that the instruction to end the lockdown is genuine
- Invigilators will undertake a head count/register and confirm attendance with the exams officer/SLT
- Where applicable and if advised to do so by SLT/head of centre, and following JCQ guidelines, if there is sufficient time remaining, candidates may restart their examination
- Invigilators will then:
  - ask candidates to return to their desks, remind them they are under formal exam conditions and allow a settling down period
  - allow candidates the full working time remaining to do their examination
  - recalculate the revised finish time(s)
  - tell the candidates to open their answer booklets and re-start their exam
  - amend the revised finish time(s) on display to candidates
  - note how long the lockdown lasted on the exam room incident log (to later inform a report to the awarding body/bodies and where relevant, any centre-wide lockdown recording form/log)
- The exams officer will:
  - safely/securely store all collected exam papers and materials pending awarding body advice/guidance

  and where this may be applicable:

  - ensure appropriate follow-up is undertaken after the incident, reporting the incident to the awarding body and the actions taken, where this may be applicable
  - where this may be applicable, ensure a full report of the incident is produced and retained on file if required by an awarding body
  - where this may be applicable, ensure an online application for special consideration is submitted to the relevant awarding body where candidates have been disadvantaged
- At the earliest immediate opportunity, the head of centre will ensure that any breach of question paper security or malpractice is reported to the awarding body
- Where applicable/possible/available, SLT/exams officer will:
  - discuss any alternative exam sittings with the awarding body/bodies
  - offer, arrange and provide support services to staff and candidates
- At the earliest opportunity, SLT/head of centre will prepare a communication to parents/carers advising them of events (including relevant actions and outcomes)
- Where possible, exams staff and candidates will be invited to attend an assembly led by the head of centre to discuss the lockdown and offer ongoing support
  - If this is not possible, communications will be provided via a centre text/email/newsletter and information uploaded to the centre website

Roles and responsibilities

Head of centre

- To ensure that vulnerability and space assessments are conducted to:
  - Identify specific risks (for example, intruders, violent or aggressive individuals or incidents happening in the local area)

    - Consider different times of the day/during an examination when candidates may be more dispersed across the site or away from the exam room (for example, during a supervised rest break, a toilet break)
    - Highlight areas where an attacker might carry out an attack, and where the easiest places to gain access are
- Assess how many candidates can be accommodated in a particular (safe) area (for example, the exam room)
- To ensure that a dedicated lockdown alarm tone is in place and recognised by all staff and candidates
- To ensure that all staff involved in the conducting of examinations are trained in how to raise the alarm for a lockdown, act effectively and made aware of their responsibilities
- To arrange appropriate training for all exams-related staff in evacuation, invacuation and lockdown procedures
- To ensure that candidates are aware of the procedures relating to an evacuation, invacuation and lockdown, particularly those arriving late for an examination who cannot access the exam room due to it being in lockdown
- To ensure that all candidates and staff are aware of a possible exit point in case an intruder manages to gain access, or the exam room becomes unsafe
- To provide written invacuation and lockdown procedures for exam room/invigilator use
- To inform the relevant emergency services immediately in the case of any potential threat to the safety of exams staff and candidates

Senior leadership team (SLT)

- To have accountability for all exams staff and candidates taking examinations during an invacuation/lockdown
- To run training/drills for examination candidates on lockdown procedures
- To inform parents/carers about the centre's Lockdown Policy in relation to the conducting of examinations
- To have a presence around exam room areas prior to the start of each exam session
- To liaise with the appropriate authorities and awarding bodies regarding candidates taking examinations during a lockdown
- To use the exam room attendance register(s) to compile a list of all candidates not accounted for

Exams officer

- To train invigilators in the centre's invacuation and lockdown procedure(s) - this should also include identifying all access and egress points within exam rooms, an awareness of the design of the locking device within each room and if there is more than one invigilator, whose role it would be to secure the exam room
- Where safe/possible, to liaise with SLT/invigilators in all exam rooms during an invacuation/lockdown
- To assist with invacuation/lockdown training for staff and students where applicable to the conducting of examinations

Invigilators

- To be aware of the centre's invacuation and lockdown procedure(s)
- To quickly and physically secure access/egress points
- To be aware of an effective communication system to inform authorities of the situation
- To complete attendance registers as soon as possible so candidates can be identified in the event of an invacuation/lockdown
- Where safe/possible, to communicate with the exams officer during an invacuation/lockdown to confirm the situation in a particular exam room
- Where safe/possible, not leave the examination question papers and candidates' scripts unattended/out of sight

Department for Education

Lockdown Template

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

Signals

Alarm or signal for lockdown shelter	*[insert]*
Signal for stand down / all-clear	*[insert]*

Incident Control Officers & Response Team

Role	Name	Emergency Contact Number
Incident Control Officer		
Deputies		
Communications Officer		

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

Rooms most suitable for lockdown during an examination
1. Classrooms
2. Hall
3. Sports hall
4. Offices

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

Communication arrangements Wherever possible use silent communications and keep noise to a minimum especially if the intruders are close by. Make sure any communications devices are secure and cannot be intercepted
Two-way radios
Classroom telephones
Mobile phones
Instant messaging / email
Other (TV's / Whiteboards / etc)

Alternative place of safety in the event that it is considered necessary to leave site (for example, partner school/college/leisure centre) must be pre-arranged	
Name of venue	
Type of venue	
Contact name	
Contact telephone number	
Additional information (e.g. distance from school, directions, capacity, opening hours etc.)	

Other useful contacts:

Name	Emergency Contact Number

Action Plan **(The actions below are provided as an example and should be amended/added as required)**	**Completed by** **(sign and time)**
Sound Alert - Activate lock-down procedures immediately	
Dial 999	
Direct all children and staff and signed in visitors (e.g. JCQ inspector) to the nearest safe place (this may be dependent on what and where the risk is)	
Secure rooms and take action to increase protection from attack - Lock and barricade doors and windows	
Close windows / blinds	
Turn off the lights, fans or mobile air conditioning units (this will reduce noise and the risk of exposure to any chemical/biological attack)	
Hide, sit on the floor under desks, and away from windows	
Stay as silent as possible - put any mobile devises to silent (consider writing / displaying instructions on the exam board as long as it can't be seen by the intruder)	
Ensure that students, staff and visitors are aware of an exit point in case the intruder does manage to gain access	
If possible, check for missing students and staff (e.g. those who may have temporarily left the exam room)	
Keep doors and windows locked shut and remain inside until an all-clear has been given, or unless told to evacuate by the emergency services	

Appendix K: Malpractice Candidate Notification Form

SUSPECTED MALPRACTICE: CANDIDATE NOTIFICATION FORM

Date		Candidate Name	

This notification is to inform you/confirm to you [insert as/if relevant to the candidate, and your parent/carer/appropriate adult] that an alleged, suspected or actual report of malpractice has been made against you.

Details of the allegation / incident

Type of offence

As an approved examination centre, [insert centre name] is required to follow the policies and procedures in the JCQ **Suspected Malpractice: Policies and Procedures** publication available here www.jcq.org.uk/exams-office/malpractice.

As stated in this publication (section 4.1), the head of centre **must** notify the appropriate awarding body immediately of all alleged, suspected or actual incidents of malpractice.

Enclosed [Attached (if sending this notification by email)] you are provided with:

- a copy of the form **JCQ/M1** which will be used to report the allegation/incident to the awarding body supported by copies of any supporting evidence, where relevant
- details of (section 5.33) **Rights of the accused individuals** taken from the publication referenced above

As further stated in this publication (sections 7, 10), awarding bodies will impose sanctions on individuals found guilty of malpractice where appropriate. You may therefore also want to refer to Appendix 6 (**Indicative sanctions against candidates**) of this publication.

The awarding body will not communicate with you directly unless particular circumstances warrant this. Once a decision has been made, it will be communicated in writing to the head of centre as soon as possible (section 11).

On receiving communication from the awarding body, the head of centre will communicate the decision to you and pass on details of any sanction(s) and action imposed on you, together with information on the process for submitting an appeal, where relevant.

It should be noted that awarding bodies may share information relating to a serious case of malpractice with the regulators, other awarding bodies, and other appropriate bodies in accordance with sections 11.2-3 of the JCQ publication referenced above.

Please read through all the information provided to you. If anything is unclear, please contact [insert name and/or job title and relevant contact details].

Enclosures [Attachments]:
Copy of form **JCQ/M1** (and supporting evidence where relevant)
Details of **Rights of the accused individuals**

The information below was taken directly from the JCQ publication **Suspected Malpractice: Policies and Procedures**

Rights of the accused individuals – information gathering

5.33 If, in the view of the information-gatherer, there is sufficient evidence that an individual may have committed malpractice, that individual (the candidate or the member of staff) must:

- be informed (preferably in writing) of the allegation made against them;
- be provided with a copy of the JCQ document *Suspected Malpractice*: *Policies and Procedures*: http://www.jcq.org.uk/exams-office/malpractice;
- be made aware of all evidence that has been obtained during the investigation which supports the allegation;
- know the possible consequences should malpractice be proven (as set out in appendices 4–6);
- have the opportunity and sufficient time to consider their response to the allegations;
- be given an opportunity to submit a written statement in response to the allegations;
- be provided with a complete set of case documentation, in the event of the case being referred to the awarding body's Malpractice Committee;
- be informed that in the event that the case is referred to the awarding body's Malpractice Committee, they will:
    - be provided with a complete set of case documentation
    - have the opportunity to read, and make a statement in response to, the case documentation
    - have the opportunity to seek professional advice and to provide a supplementary statement;
- be made aware of their right to appeal should a sanction be applied to them (as set out in the JCQ document *A Guide to the Awarding Bodies' Appeals Processes*): http://www.jcq.org.uk/exams-office/appeals

Appendix L: Non-Examination Assessment Policy

What does this policy affect?
This policy affects the delivery of all specifications with one or more non-examination assessment component, controlled assessments (where applicable) and coursework.

The regulators' definition of an examination is very narrow. In effect, a non-examination assessment (NEA) is classified as 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)

'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 document is further referred to in this policy as NEA

The Joint Council for Qualifications has written these instructions for the setting, supervision, authentication, marking, internal standardisation and external moderation of non-examination assessments (Vocational and Technical Qualifications) in examination centres.
These instructions are for use in... (JCQ's **Instructions for conducting non-examination assessments (VTQs)**, Introduction)

(This document is further referred to in this policy as NEA VTQs)

These instructions are for use in CCEA GCE unitised AS and A-level qualifications, ELC and Project qualifications. (JCQ's **Instructions for conducting coursework,** Introduction)

(This document is further referred to in this policy as ICC)

)

Purpose of the policy
This policy confirms the JCQ requirement that [insert centre name] has in place for inspection that must be reviewed and updated annually, a written policy regarding the management of non-examination assessments including controlled assessments and coursework, which includes details on how candidates' work will be authenticated.

Awarding bodies require both centres to have a non-examination assessment policy in place 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

A JCQ Centre Inspector may ask the examinations officer to confirm that a policy is in place. Guidance provided in this will help the head of centre to ensure that the centre's policy is robust and fit for purpose. (NEA 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)

(VTQs) Non-examination assessment components assess candidates' knowledge, understanding and skills that may not readily be assessed by timed written papers. Non-examination assessment will take many different forms. (NEA VTQs 1)

What is coursework?
Coursework components assess candidates' skills, knowledge, understanding and skills that may not readily be assessed by timed written papers. Coursework will take many different forms. (ICC 1)

Procedures for planning and managing non-examination assessments identifying staff roles and responsibilities
Where reference is made in these procedures to non-examination assessment, this is intended to include (GCE and GCSE) non-examination assessments, controlled assessment (where applicable) and coursework.

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, NEA VTQs and ICC
- Ensures the centre's policy is robust and fit for purpose and covers all types of non-examination assessments
- 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 assessment which complies with NEA, NEA VTQs, ICC and awarding body subject-specific instructions
- Ensure the centre-wide calendar records assessment schedules by the start of the academic year

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

Subject head/lead
- Ensures subject teachers understand their role and responsibilities within the non-examination assessment process
- Ensures NEA, NEA VTQs and ICC 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, NEA VTQs and ICC
- Where instructions may also be provided by the awarding body, understands and complies with the awarding body's specification for conducting non-examination assessment, 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 for the relevant exam series

Exams officer

- Signposts the annually updated JCQ NEA, NEA VTQs and ICC 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 s Information for candidates - non-examination assessments and Information for candidates - Social Media
- Ensures candidates understand and comply with the regulations in relevant JCQ *Information for candidates'* s
- 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 ation 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 *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 ation published by the awarding bodies and the regulator
    - By referencing this and the centre's malpractice policy, 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.
- Ensures candidates understand how all sources included in work that is submitted for assessment must be acknowledged

Word and time limits

Subject teacher

- Refers to the awarding body's specification to determine whether there are minimum and/or maximum time and word limits

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 - how candidates' work is authenticated

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 and ensures that this takes place as soon as the candidate has completed the assessment
    - signs the teacher declaration of authentication confirming the requirements have been met
- Keeps signed candidate declarations on file until the deadline for requesting a review 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 or ICC 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 or carers if videos, or photographs or images of candidates will be included as evidence of participation or contribution
- Instructs candidates to present work as detailed in NEA, NEA VTQs and ICC 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 *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
- Considers the contingency of candidates' work being backed-up on two separate devices, including one off-site back-up and implementing appropriate security arrangements which protect candidates' work in the event of IT system corruption and cyber-attacks
- 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

Subject head/lead

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

Subject teacher

- Accesses awarding body training/updates as required to ensure familiarity with the mark scheme/marking process
- Marks candidates' work in accordance with the marking criteria provided by the awarding body
- Does not use artificial intelligence as the sole means of marking candidates' work

- 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. ECTs, 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 for centre assessed NEA components

Subject head/lead

- Ensures a consortium co-ordinator is nominated (where this may be required as the consortium lead)
- If the consortium lead, liaises with the exams officer to ensure the 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
    - where relevant, liaises with the other exams officers in the consortium to arrange despatch of a single moderation sample to the awarding body deadline

- (where not the consortium lead centre) Submits marks for home centre candidates 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 ation required by the awarding body/Provides the exams officer with any supporting ation 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
  - moderator label(s) provided by the awarding body are affixed to the packaging
  - proof of dispatch is obtained and kept on file until the successful issue of final results
- Through the subject teacher, ensures the moderator is provided with authentication of candidates' work, confirmation that internal standardisation has been undertaken and any other subject-specific information where this may be required
- Through the subject teacher, submits any supporting ation 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

Subject head/lead

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

Exams officer

- Accesses or signposts any moderator reports/feedback forms 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 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 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 A guide to the special consideration process
    - Where a candidate is eligible, submits an application for special consideration via the awarding body's secure extranet site to the prescribed timescale
    - Where application for special consideration via the awarding body's secure extranet site is not applicable, submits the required form to the awarding body to the prescribed timescale
    - Keeps required evidence on file to support the application
- Refers to/directs relevant staff where applicable to Form 15 – JCQ/LCW and where applicable submits to the relevant awarding body (For coursework, AQA and OCR centres must not submit

Form 15 – JCQ/LCW. Applications must be submitted online using AQA Centre Services or OCR Interchange as appropriate)

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
- 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 Suspected Malpractice: Policies and Procedures
- Ensures that those members of teaching staff involved in the direct supervision of candidates producing non-examination assessments or coursework 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 and coursework
- Ensures candidates understand the JCQ Information for candidates - non-examination assessments and (where applicable) Information for candidates - coursework assessments
- Ensures candidates understand the JCQ 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 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 s
- 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 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

Subject head/lead

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

Subject teacher

- Provides advice and guidance to candidates on their results and the post-results services available
- Provides the exams officer with the original sample or relevant sample of candidates' work that may be required for a review of moderation to the internal deadline

Exams officer

- Is aware of the individual post-results services available for externally assessed and internally assessed components as detailed in the JCQ 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 centre-assessed work are submitted online via the awarding body secure extranet site to deadline

Practical Skills Endorsement for the A Level Sciences designed for use in England

Head of Centre

- Returns the '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 prescribed practical activities
- Ensures new lead teachers undertake the required training provided by the awarding body on the implementation of the practical endorsement
- Ensures relevant centre staff liaise with all relevant parties in relation to arrangements for and conduct of the monitoring visit

Quality assurance (QA) lead/Lead internal verifier

- Ensures arrangements are in place for implementing the requirements of the practical endorsement appropriately and applying the standards appropriately

Subject head/lead

- Confirms understanding of the *Practical Skills Endorsement for the A Level Sciences designed for use in England* and ensures any relevant JCQ/awarding body instructions are followed
- Ensures where the centre intends to enter candidates for the first time for one or more of the A level subjects, the relevant awarding body will be contacted at the beginning of the course
- Undertakes any training provided by the awarding body on the implementation of the practical endorsement
- Disseminates information to subject teachers ensuring the standards can be applied appropriately
- Liaises with all relevant parties in relation to arrangements for and conduct of a monitoring visit

Subject teacher

- Ensures all the JCQ/awarding body requirements/instructions in relation to the endorsement are known, understood and followed
- Ensures the required arrangements for practical activities are in place
- Provides all the required centre records
- Ensures candidates provide the required records
- Provides any required information to the subject lead regarding the monitoring visit
- Assesses candidates using *Common Practical Assessment Criteria (CPAC)*
- Applies for an exemption where a candidate cannot access the practical endorsement due to a substantial impairment
- Follows the awarding body's instructions for the submission of candidates *Pass* or *Not Classified* assessment outcome/provides assessment outcomes to the exams officer to the internal deadline

Exams officer

- Accepts contact with the monitor and passes information to the subject lead for a visit to be arranged with at least two weeks' notice
- Confirms with the subject teacher that assessment outcomes have been submitted to the awarding body to the external deadline/Follows the awarding body's instructions for the submission of candidates Pass or Not Classified assessment outcome

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

Subject head/lead

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

Subject teacher

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

Exams officer

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

Private candidates

Subject head/lead

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

Management of issues and potential risks associated with non-examination assessments
Reference to non-examination assessment is intended to include any GCE and GCSE specifications with one or more non-examination assessment component or unit, controlled assessment (where applicable) and coursework.

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
Centre staff malpractice	*Records confirm that relevant centre staff are familiar with and follow:* • *the current JCQ s Instructions for conducting non-examination assessments and (where applicable) Instructions for conducting coursework* • • *the JCQ Notice to Centres - Sharing NEA material and candidates' work - www.jcq.org.uk/exams-office/non-examination-assessments*	HoC
Candidate malpractice	*Records confirm that candidates are informed and understand they must not:* • *submit work which is not their own* • *make available their work to other candidates through any medium* • *allow other candidates to have access to their own independently sourced material* • *assist other candidates to produce work* • *use books, the internet, AI or other sources without acknowledgement or attribution* • *submit work that has been word processed by a third party without acknowledgement* • *include inappropriate, offensive or obscene material* *Records confirm that candidates have been made aware of the JCQ s Information for candidates - non-examination assessments (where applicable), Information for candidates – Social Media - www.jcq.org.uk/exams-office/information-for-candidates-s and understand they must not post their work on social media*	Teachers
Task setting		
Awarding body set task: IT failure/corruption of task details where set task details accessed from the awarding body online	*Awarding body key date for accessing/downloading set task noted prior to start of course* *IT systems checked prior to key date* *Alternative IT system used to gain access* *Awarding body contacted to request direct email of task details*	Teachers
Centre set task: Subject teacher fails to meet the assessment criteria as detailed in the specification	*Ensures that subject teachers access awarding body training information, practice materials etc.* *Records confirmation that subject teachers understand the task setting arrangements as defined in the awarding body's specification* *Samples assessment criteria in the centre set task*	Teachers
Candidates do not understand the marking criteria and what they need to do to gain credit	*A simplified version of the awarding body's marking criteria described in the specification that is not specific to the work of an individual candidate or group of candidates is produced for candidates* *Records confirm all candidates understand the marking criteria* *Candidates confirm/record they understand the marking criteria*	Teachers
Subject teacher long term absence during the task setting stage	*See centre's Contingency Plan (Teaching staff extended absence)*	HoC
Issuing of tasks		
Awarding body set task not issued to candidates on time	*Awarding body key date for accessing set task as detailed in the specification noted prior to start of course* *Course information issued to candidates contains details when set task will be issued and needs to be completed by* *Set task accessed well in advance to allow time for planning, resourcing and teaching*	Quality assurance lead
The wrong task is given to candidates	*Ensures course planning and information taken from the awarding body's specification confirms the correct task will be issued to candidates*	

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
	Awarding body guidance sought where this issue remains unresolved	Quality assuranc e lead
Subject teacher long term absence during the issuing of tasks stage	*See Centre's Exam Contingency Plan (Teaching staff extended absence)*	KS4 Assistant Head
A candidate (or parent/carer) expresses concern about safeguarding, confidentiality or faith in undertaking a task such as a presentation that may be recorded	*Ensures the candidate's presentation does not form part of the sample which will be recorded* *Contacts the awarding body at the earliest opportunity where unable to record the required number of candidates for the monitoring sample*	HoC
Task taking		
Supervision		
Planned assessments clash with other centre or candidate activities	*Assessment plan identified for the start of the course* *Assessment dates/periods included in centre wide calendar*	Teacher/ EO
Rooms or facilities inadequate for candidates to take tasks under appropriate supervision	*Timetabling organised to allocate appropriate rooms and IT facilities for the start of the course* *Staggered sessions arranged where IT facilities insufficient for number of candidates* *Whole cohort to undertake written task in large exam venue at the same time (exam conditions do not apply)*	HoC/EO
Insufficient supervision of candidates to enable work to be authenticated	*Confirm subject teachers are aware of and follow the current JCQ Instructions for conducting non-examination assessments and any other specific instructions detailed in the awarding body's specification in relation to the supervision of candidates* *Confirm subject teachers understand their role and responsibilities as detailed in the Centre's non-examination assessment policy*	Quality assuranc e lead
A candidate is suspected of malpractice prior to submitting their work for assessment	*Instructions and processes in the current JCQ documents Instructions for conducting non-examination assessments (section 9 Malpractice) and (where applicable) Instructions for conducting coursework (6. Malpractice in coursework) are followed* *An internal investigation and where appropriate internal disciplinary procedures are followed*	Quality assuranc e lead
Access arrangements were not put in place for an assessment where a candidate is approved for arrangements	*Relevant staff are signposted to the JCQ document A guide to the special consideration process (section 2), to determine the process to be followed to apply for special consideration for the candidate*	EO/SENC o
Advice and feedback		
Candidate claims appropriate advice and feedback not given by subject teacher prior to starting on their work	*Ensures a centre-wide process is in place for subject teachers to record all information provided to candidates before work begins as part of the centre's quality assurance procedures* *Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity* *Full records kept detailing all information and advice given to candidates prior to starting on their work as appropriate to the subject and component* *Candidate confirms/records advice and feedback given prior to starting on their work*	KS4 Assistant Head
Candidate claims no advice and feedback given by subject teacher during the task-taking stage	*Ensures a centre-wide process is in place for subject teachers to record all advice and feedback provided to candidates during the task-taking stage as part of the centre's quality assurance procedures* *Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity* *Full records kept detailing all advice and feedback given to candidates during the task-taking stage as appropriate to the subject and component* *Candidate confirms/records advice and feedback given during the task-taking stage*	KS4 Assistant Head

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
A third party claims that assistance was given to candidates by the subject teacher over and above that allowed in the regulations and specification	*An investigation is conducted; candidates and subject teacher are interviewed and statements recorded where relevant* *Records as detailed above are provided to confirm all assistance given* *Where appropriate, a suspected malpractice report is submitted to the awarding body*	KS4 Assistant Head
Candidate does not reference information from published source	*Candidate is advised at a general level to reference information before work is submitted for formal assessment* *Candidate is again referred to the JCQ Information for candidates: non-examination assessments and (where applicable) Information for candidates – coursework assessments* *Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion*	Teacher/ Quality assuranc e lead
Candidate does not set out references as required	*Candidate is advised at a general level to review and re-draft the set out of references before work is submitted for formal assessment* *Candidate is again referred to the JCQ Information for candidates: non-examination assessments* *Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion*	Teacher/ Quality assuranc e lead
Candidate joins the course late after formally supervised task taking has started	*A separate supervised session(s) is arranged for the candidate to catch up*	Teacher/ Quality assuranc e lead
Candidate moves to another centre during the course	*Awarding body guidance is sought to determine what can be done depending on the stage at which the move takes place*	Teacher/ EO
An excluded pupil wants to complete a non-examination assessment(s)	*The awarding body specification is checked to determine if the specification is available to a candidate outside mainstream education* *If so, arrangements for supervision, authentication and marking are made separately for the candidate*	Teacher/ EO
Resources		
A candidate augments notes and resources between formally supervised sessions	*Preparatory notes and the work to be assessed are collected in and kept secure between formally supervised sessions* *Where memory sticks are used by candidates, these are collected in and kept secure between formally supervised sessions* *Where work is stored on the centre's network, access for candidates is restricted between formally supervised sessions*	Teacher/ EO
A candidate fails to acknowledge sources on work that is submitted for assessment	*Candidate's detailed record of his/her own research, planning, resources etc. is checked to confirm all the sources used, including books, websites and audio/visual resources* *Awarding body guidance is sought on whether the work of the candidate should be marked where candidate's detailed records acknowledges sources appropriately* *Where confirmation is unavailable from candidate's records, awarding body guidance is sought and/or a mark of zero is submitted to the awarding body for the candidate*	Teacher/ EO
Word and time limits		
A candidate is penalised by the awarding body for exceeding word or time limits	*Records confirm the awarding body specification has been checked to determine if word or time limits are mandatory* *Where limits are for guidance only, candidates are discouraged from exceeding them* *Candidates confirm/record any information provided to them on word or time limits is known and understood*	Teacher/ Quality assuranc e lead
Collaboration and group work		
Candidates have worked in groups where the awarding body specification states this is not permitted	*Records confirm the awarding body specification has been checked to determine if group work is permitted* *Awarding body guidance sought where this issue remains unresolved*	Teacher/ EO
Authentication procedures		
A teacher has doubts about the authenticity of the work	*Records confirm subject staff have been made aware of the JCQ Notice to Centres - Sharing NEA material and candidates' work*	Teacher/ EO

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
submitted by a candidate for internal assessment Candidate plagiarises other material	*Records confirm that candidates have been issued with the current JCQ Information for candidates: non-examination assessments* *Candidates confirm/record that they understand what they need to do to comply with the regulations for non-examination assessments as outlined in the JCQ Information for candidates: non-examination assessments* *The candidate's work is not accepted for assessment and (where applicable) Information for candidates - coursework assessments* *A mark of zero is recorded and submitted to the awarding body*	
Candidate does not sign their authentication statement/declaration	*Records confirm that candidates have been issued with the current JCQ Information for candidates: non-examination assessments (where applicable) Information for candidates – coursework assessments* *Candidates confirm/record they understand what they need to do to comply with the regulations as outlined in the JCQ Information for candidates: non-examination assessments* *Declaration is checked for signature before accepting the work of a candidate for formal assessment*	Quality assurance lead
Subject teacher not available to sign authentication forms	*Ensures a centre-wide process is in place for subject teachers to sign authentication forms at the point of marking candidates work as part of the centre's quality assurance procedures*	Quality assurance lead/ EO
Presentation of work		
Candidate does not fully complete the awarding body's cover sheet that is attached to their worked submitted for formal assessment	*Cover sheet is checked to ensure it is fully completed before accepting the work of a candidate for formal assessment*	Teacher/ Quality assurance lead
Keeping materials secure		
Candidates work between formal supervised sessions is not securely stored	*Records confirm subject teachers are aware of and follow current JCQ document Instructions for conducting non-examination assessments* *Regular monitoring/internal audit ensures subject teacher use of appropriate secure storage*	Teacher
Adequate secure storage not available to subject teacher	*Records confirm adequate/sufficient secure storage is available to subject teacher prior to the start of the course* *Alternative secure storage sourced where required*	Teacher/ KS4 Assistant Head
Candidates work produced electronically is not securely stored	*Records confirm subject teachers are aware of and follow current JCQ document Instructions for conducting non-examination assessments* *Internal processes and regular monitoring/internal audit by IT Manager ensures:* • *access to this material is restricted (insert how)* • *appropriate security safeguards are in place (insert names/types of protection)* • *an effective back-up strategy is employed so that an up to date archive of candidates' evidence is maintained (insert details of how work is backed up)* • *any sensitive digital media is encrypted (according to awarding body guidance to ensure that the method of encryption is suitable) to ensure the security of the data stored within it (insert relevant details of how)*	Teacher/ HoC/EO
Task marking – externally assessed components		
A candidate is absent on the day of the examiner visit for an acceptable reason	*Awarding body guidance is sought to determine if alternative assessment arrangements can be made for the candidate* *If not, eligibility for special consideration is explored and a request submitted to the awarding body where appropriate*	EO
A candidate is absent on the day of the examiner visit for an unacceptable reason	*The candidate is marked absent on the attendance register*	EO
Task marking – internally assessed components		
A candidate submits little or no work	*Where a candidate submits no work, the candidate is recorded as absent when marks are submitted to the awarding body*	Teacher/ KS4

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
	Where a candidate submits little work, the work produced is assessed against the assessment criteria and a mark allocated appropriately; where the work does not meet any of the assessment criteria a mark of zero is submitted to the awarding body	Assistant Head
A candidate is unable to finish their work for unforeseen reason	*Relevant staff are signposted to the JCQ document A guide to the special consideration process (section 5), to determine eligibility and the process to be followed for shortfall in work*	Teacher
The work of a candidate is lost or damaged	*Relevant staff are signposted to the JCQ document Instructions for conducting non-examination assessments (8)/ VTQs(15) and (where applicable) Instructions for conducting coursework (16), to determine eligibility and the process to be followed for lost or damaged work*	Teacher/ EO
Candidate malpractice is discovered	*Instructions and processes in the current JCQ documents Instructions for conducting non-examination assessments (9)/ VTQs (5) and (where applicable) Instructions for conducting coursework (6) are followed* *Investigation and reporting procedures in the current JCQ document Suspected Malpractice: Policies and Procedures are followed* *Appropriate internal disciplinary procedures are also followed*	HoC/EO
A teacher assesses the work of a candidate with whom they have a close personal relationship e.g. members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter)	*A possible conflict of interest is declared by informing the awarding body before the published deadline for entries for each examination series* *Marked work of said candidate is submitted for moderation whether part of the sample requested or not*	HoC/EO
An extension to the deadline for submission of marks is required for a legitimate reason	*Awarding body is contacted to determine if an extension can be granted* *Relevant staff are signposted to the JCQ document A guide to the special consideration process (section 5), to determine eligibility and the process to be followed for an extension*	EO
After submission of marks, it is discovered that the wrong task was given to candidates	*Awarding body is contacted for guidance* *Relevant staff are signposted to the JCQ document A guide to the special consideration process (section 2), to determine eligibility and the process to be followed to apply for special consideration for candidates*	EO
A candidate wishes to appeal/request a review of the marks awarded for their work by their teacher	*Candidates are informed of the marks they have been awarded for their work prior to the marks being submitted to the awarding body* *Records confirm candidates have been informed of their marks* *Candidates are informed that these marks are subject to change through the awarding body's moderation process* *Candidates are informed of their marks to the timescale identified in the centre's internal appeals procedure and prior to the internal deadline set by the exams officer for the submission of marks* *Through the candidate exam handbook, candidates are made aware of the centre's internal appeals procedures and timescale for submitting an appeal/request for a review of the centre's marking prior to the submission of marks to the awarding body*	HoD/EO/ HoC
Deadline for submitting work for formal assessment not met by candidate	*Records confirm deadlines given and understood by candidates at the start of the course* *Candidates confirm/record deadlines known and understood* *Depending on the circumstances, awarding body guidance sought to determine if the work can be accepted late for marking providing the awarding body's deadline for submitting marks can be met* *Decision made (depending on the circumstances) if the work will be accepted late for marking or a mark of zero submitted to the awarding body for the candidate*	Teacher/ Quality assuranc e lead/ EO
Deadline for submitting marks and samples of candidates	*Internal/external deadlines are published at the start of each academic year*	Teacher/ EO

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
work ignored by subject teacher	*Reminders are issued through senior leaders/subject heads as deadlines approach* *Records confirm deadlines known and understood by subject teachers* *Where appropriate, internal disciplinary procedures are followed*	
Subject teacher long term absence during the marking period	*See centre's Contingency Plan (Teaching staff extended absence)*	KS4 Assistant Head

Appendix M: Whistleblowing Policy

Introduction

Whistleblowing at the Stevenage & North Herts Education Support Centres are encouraged, not penalised, and staff are made aware that they have a duty to report any concerns they have about the conduct of examinations and assessments.

The Head of Centres and Management Committee at the Stevenage & North Herts Education Support Centres aim to create and maintain an approach to examinations and assessments 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 and assessments.

In compliance with section 5.11 of the JCQ's **General Regulations for Approved Centres**[1], the Stevenage & North Herts Education Support Centres 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 document **Suspected Malpractice: Policies and Procedures**[2] 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*[3].

This policy sets out the whistleblowing procedures at the Stevenage & North Herts Education Support Centres. It has been produced and reviewed by Ronel Pieterse who is also a member of the senior leadership team and responsible for handling any cases of whistleblowing. She is fully aware of the contents of this policy and will escalate any instances of malpractice through the head of centre to the relevant awarding body/bodies.

This policy also sets out the principles which allow members of centre staff and students to feel confident in reporting instances of actual, alleged or suspected malpractice to relevant members of senior leadership, and the steps which should be taken if suspected malpractice is not reported in line with JCQ requirements.

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.

[1] Reference www.jcq.org.uk/exams-office/general-regulations/
[2] Reference www.jcq.org.uk/exams-office/malpractice/
[3] Reference www.jcq.org.uk/examination-system/imc-home/

This policy also details the steps that could be taken by an individual involved in the management, administration and/or conducting of examinations and assessments if the Stevenage or North Herts Education Support Centres 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 and assessments (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 assessment, concerns should normally be raised initially with Ronel Pieterse (NHESC) or Steve Fuller (SESC), the members of the senior leadership team with oversight of examination and assessment administration.
However, there may be times when it may be more appropriate to refer the issue direct to the Management Committee, 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/ assessment
- 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)

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[4] 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)[5] 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[6]. 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

[4] Reference www.jcq.org.uk/exams-office/malpractice/public-interest-disclosure-act/
[5] Reference **Public Interest Disclosure Act 1998** www.legislation.gov.uk/ukpga/1998/23/contents
[6] Reference https://protect-advice.org.uk/pida/

- 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[7].

Alternatively, a disclosure may be made to Ofqual[8] as a prescribed body for whistleblowing to raise a concern about wrongdoing, risk or malpractice.

Exams Officer Professional Standards

If an exams officer is completing the Exams Officer Professional Standards (see the National Association of Examinations Officers website for more information) as part of their annual professional development, they - and their line manager - will be required to sign a Values and Attributes statement.

By signing this statement the exams officer, and their senior leadership team/line manager, are identifying a set of common values and attributes. These include support for an exams officer when they are faced with a situation where they may be compromised by, or put under pressure to accept, a centre decision which may not align with JCQ and awarding organisation regulations (for example, being asked not to report an instance of suspected/actual malpractice). In such circumstances, the exams officer must act in line with the procedures set out in this policy.

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'[9]. 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 their 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 Stevenage & North Herts Education Support Centres 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.

[7] Reference www.ocr.org.uk/administration/general-qualifications/assessment/malpractice/whistleblowing/
[8] Reference www.gov.uk/guidance/ofquals-whistleblowing-policy
[9] Reference www.gov.uk/government/publications/blowing-the-whistle-list-of-prescribed-people-and-bodies--2/whistleblowing-list-of-prescribed-people-and-bodies

Appendix N: Word Processor Policy

This policy is reviewed and updated annually on the publication of updated JCQ regulations and guidance on access arrangements and instructions for conducting exams.
References in this policy to AARA and ICE relate to/are directly taken from the Access Arrangements and Reasonable Adjustments 2025-2026 and Instructions for conducting examinations 2025-2026 documents.

Introduction

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

(AA 4.2.1)
The purpose of an access arrangement/reasonable adjustment is to ensure, where possible, that barriers to assessment are removed for a disabled candidate preventing them from being placed at a substantial disadvantage due to persistent and significant difficulties. The integrity of the assessment is maintained, whilst at the same time providing access to assessments for a disabled candidate.

A centre **must** make decisions on appropriate access arrangements for their candidates. Although professionals from other organisations may give advice, they **cannot** make the decision for the centre. They will not have a working knowledge of an individual candidate's needs and how their difficulties impact in the classroom and/or in timed assessments. It is the responsibility of the SENCo to make appropriate and informed decisions based on the JCQ regulations.

(AA 4.2.2)
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.

(AA 4.2.3)
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.

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

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

Purpose of the policy

This policy details how the Stevenage & North Herts Education Support Centres comply with AA 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 both Stevenage & North Herts Education Support Centres use to award and allocate word processors for examinations and assessments

The 'normal way of working' for exam candidates, as directed by the Head of Centre, 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 (switched off) where it is their normal way of working within the centre (AA 5.8.1)
- award the use of a word processor to a candidate 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 condition
  - a physical disability
  - a sensory impairment
  - planning and organisational problems when writing by hand
  - poor handwriting (AA 5.8.4)
- only permit the use of a word processor where the integrity of the assessment can be maintained (AA 4.2.1)
- not grant the use of a word processor where it will compromise the assessment objectives of the specification in question (AA 4.2.2)
- consider on a subject-by-subject basis if the candidate will need to use a word processor in each specification (AA 4.2.3)
- process access arrangements/reasonable adjustments at the start of the course, or as soon as practicable having firmly established a picture of need and normal way of working, ensuring arrangements are always approved before an examination or assessment (AA 4.2.4)
- provide the use of word processors to candidates in non-examination assessment components as standard practice unless prohibited by the specification (AA 5.8.2)

The centre will not:

- simply grant the use of a word processor to a candidate because they now want to type rather than write in examinations or can work faster on a keyboard, or because they use a laptop at home. (AA 5.8.4)

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

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

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

A candidate using a word processor is accommodated in a in a room for a smaller group of candidates with similar needs.

In compliance with the regulations the centre:

- provides a word processor with the spelling and grammar check and predictive text switched off, to a candidate where it is their normal way of working within the centre, unless an awarding body's specification says otherwise (ICE 14.20)
- (where a candidate is to be seated with the main cohort without the use of a power point) checks the battery capacity of a laptop or tablet before the candidate's exam(s) to ensure that the battery is sufficiently charged to last 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 or component code appear on each page as a header or footer e.g. 12345/8001 – 6391/01 (ICE 14.22)

  If a candidate is using the software application Notepad or Wordpad these do not allow for the insertion of a header or footer. In these instances, once the candidate has completed the examination and printed off their typed script, they are instructed to handwrite their 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
- 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. (or where possible, an IT technician will set up 'autosave' on each laptop or tablet to ensure that if there is a complication or technical issue, the candidate's work is not lost) (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)

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

- is only used in a way that ensures a candidate's script is produced under secure conditions
- is 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 (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 (a scribe cover sheet must be completed)
- does not include AI tools
- is not used on the candidate's behalf by a third party unless the candidate has permission to use a scribe

Portable storage medium
(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 is has ended
(ICE 14.25)
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 electronic file has been kept securely. The head of centre would be required to confirm this in writing to the awarding body. (ICE 14.27)

Allocating word processors at the time of the assessment

Appropriate exam-compliant word processors will be provided by the IT provider in liaison with the ALS lead/SENCo and the exams officer.

In exceptional circumstances where the number of appropriate word processors may be insufficient for the cohort of candidates approved to use them in an exam session, the cohort will be split into two groups. One group will sit the exam earlier than or later than the awarding body's published start time.

The security of the exam will be maintained at all times and candidates will be supervised in line with ICE 7.]

Appendix O: Access Arrangements Policy

What are access arrangements and reasonable adjustments?

Access arrangements

Access arrangements are agreed **before** an assessment. They allow candidates with **specific needs**, such as special educational needs, disabilities or temporary injuries 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'. ([1]AARARA, Definitions)

Reasonable adjustments

The Equality Act 2010* requires an awarding body to make reasonable adjustments where a candidate, who is disabled within the meaning of the Equality Act 2010, would be at a **substantial disadvantage** in comparison to someone who is not disabled. 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 disabled candidate;
- 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'. ([1]AARA, Definitions)

Both centres **must** ensure that approved adjustments can be delivered to candidates. (AARARA[1], Definitions)
*References to legislation are to the Equality Act 2010. Separate legislation is in place for Northern Ireland (see AARA 1.8). The definitions and procedures in AARA relating to access arrangements and reasonable adjustments will also apply in Northern Ireland

Purpose of the policy

The purpose of this policy is to confirm that the Stevenage & North Herts Education Support Centre 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 GR

This policy is maintained and held by the SENCo alongside 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 **mus**t create an e-folder for each individual candidate. The candidate's e-folder must hold each of the required documents for inspection. ([1]AARA, section 4.2)

The policy is annually reviewed to ensure that processes are carried out in accordance with the current edition of the JCQ document 'Adjustments for candidates with disabilities and learning difficulties - **Access Arrangements and Reasonable Adjustments**'.

[1]This publication is further referred to in this policy as AARA

General principles

The head of centre/senior leadership team will appoint a SENCo, or an equivalent member of staff, who will coordinate the access arrangements process within the centre and determine appropriate arrangements for candidates with learning difficulties and disabilities, those for whom English is an additional language and those with a temporary illness or temporary injury. (GR 5.4)

The principles for the centre to consider are detailed in AARA (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 disabled candidate, preventing them from being placed at a substantial disadvantage due to persistent and significant difficulties. The integrity of the assessment is maintained, whilst at the same time providing access to assessments for ~~a~~ disabled candidate.
- The SENCo, **must** ensure that the proposed access arrangement/reasonable adjustment does not unfairly disadvantage or advantage the candidate.
- Both Centres **must** make decisions on appropriate access arrangements for their candidates. Although professionals from other organisations may give advice, they **cannot** make the decision for the centre. They will not have a working knowledge of an individual candidate's needs and how their difficulties impact in the classroom and/or in timed assessments. It is the responsibility of the SENCo to make appropriate and informed decisions based on the JCQ regulations.
- Applications should be processed at the **start** of or during the first year of a two-year course having firmly established a picture of need and normal way of working.
- 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 arrangement(s)/reasonable adjustment(s) before his/her 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 disabled candidates, including private candidates, ensuring compliance with all aspects of the Equality Act 2010†, particularly Section 20 (7).

This **must** include a duty to explore and provide access to suitable courses, through the access arrangements process submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates. Where the centre is under a duty to make a reasonable adjustment, the centre **must no**t charge a disabled candidate any additional fee in relation to the adjustment or aid...

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

This Policy further covers the assessment process and related issues in more detail.

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 AARA, section 7.3.

The qualification(s) of the current assessor(s)

Kim Rayner (Certified Psychometric Testing, Assessment and Access Arrangements) is the Assessor for the North Herts Education Support Centre
Kim Rayner (Certified Psychometric Testing, Assessment and Access Arrangements) is the Assessor for the Stevenage Education Support Centre

Appointment of assessors

At the point an assessor is engaged/employed in the centre, evidence of the assessor's qualification is obtained and checked against the current requirements in AARA. This process is carried out prior to the assessor undertaking any assessment of a candidate.

Checking the qualification(s) of the assessor(s)
The head of centre/senior leadership team will have a process in place to not only check the qualification(s) of their assessor(s) and that the correct procedures are followed, as in Chapter 7 of the JCQ publication Access Arrangements and Reasonable Adjustments… (GR, section 5.4)
The head of centre **must** ensure that evidence of the assessor's qualification(s) is obtained at the point of engagement/employment and prior to the assessor undertaking any assessment of a candidate.
Evidence of the assessor's qualification(s) **must** be held on file for inspection purposes and be presented to the JCQ Centre Inspector by the SENCo. (AARA, section 7.3)
Make full reference to AARA, section 7.3 (Appointment of assessors) and record your process that reflects the requirements.
Reporting the appointment of assessors
Signpost to the location of the evidence that the assessor(s) is/are suitably qualified held by the SENCo.
Make full reference to AARA, section 7.4 (Reporting the appointment of assessors) and record your process that reflects the requirements.

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

The Stevenage & North Herts ESCs follow the procedures as per AARA, section 7.5 (Guidelines for the assessment of the candidate's learning difficulties by an assessor) and 7.6 (Completing Form 8 – JCQ/AARA/LD, Profile of Learning Difficulties) and record your process that reflects the requirements.
The SENCo and assessor working with the centre always carefully consider any privately commissioned assessment to see whether the process of gathering a picture of need, demonstrating normal way of working within the centre and, ultimately, assessing the candidate themselves should be instigated (AARA, section 7.3)

Picture of need/normal way of working

Before the candidate's assessment, the SENCo **must** provide the assessor with background information, i.e. a picture of need has been painted, as required in Part 1 of Form 8. The SENCo and the assessor **must** work together to ensure a joined-up and consistent process.

An independent assessor **must** contact the centre and ask for evidence of the candidate's normal way of working and relevant background information. This **must** take place **before** the candidate is assessed. Additionally, the independent assessor **must** be approved by the head of centre to assess the candidate.

All candidates **must** be assessed in light of the picture of need and the background information as detailed within Part 1 of Form 8.

An independent assessor **must** discuss access arrangements/reasonable adjustments with the SENCo. The responsibility to determine and request appropriate and practicable access arrangements/reasonable adjustments specifically lies with the SENCo**.** (AARA 7.5)

The Centre follow the procedure as per AARA 7.5 (Guidelines for the assessment of the candidate's learning difficulties by an assessor) and 7.6 (Completing Form 8 – JCQ/AARA/LD, Profile of Learning Difficulties) and record your process that reflects the requirements.

Processing access arrangements and adjustments

Arrangements/adjustments requiring awarding body approval

Access arrangements online (AARAO) 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 AARA 8)

(Processing applications for access arrangements and adjustments) and chapter 6 (Modified papers).

AARAO is accessed within the JCQ Centre Admin Portal (CAP) using any of the awarding body secure extranet sites. A single application for approval is required for each candidate regardless of the awarding body used.
Online applications **must** only be processed where they are supported by the centre, and the candidate meets the published criteria for the arrangement(s) with the full supporting evidence in place. (AARA 8 Summary)

The SENCo works with the Exams Officer to ensure applications are submitted by the set deadline. Applications are printed, kept on file by the SENCo, dealing with cases that do not gain approval, awarding body referrals, etc.

Candidates must be informed that an application for access arrangements will be processed using Access arrangements online, complying with the UK GDPR and the Data Protection Act 2018.

The SENCo **must** keep detailed records for inspection purposes, whether electronically or in hard copy paper format, of all the essential information on file. This includes:

- a copy of the candidate's approved application;
- appropriate evidence of need (where required);
- evidence of the assessor's qualification (where required). (AARA, section 8.6)

The SENCo works with the Exams Officer to ensure that Modified Papers (AARA section 8) are applied for by the deadline set by the Exam Boards. Evidence for need to be kept and recorded to reflect the requirements.

Centre-delegated arrangements/adjustments

Candidates are assessed and agreed arrangements, granted by the centre are put in place. Appropriate evidence are held on file or those arrangements that do not need to be recorded, by the SENCO.

Centre-specific criteria for particular arrangements/adjustments

Word Processor Policy (Exams)

An exam candidate may be approved the use of a word processor where this is appropriate to the candidate's needs and not simply because the candidate now wants to type rather than write in exams or can work faster on a keyboard, or because they use a laptop at home. The use of a word processor must reflect the candidate's normal way of working within the centre.
The Word Processor Policy is part of the Exams Policy.

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 the SENCo.

The decision will be based on:

- whether the candidate has a substantial and long term impairment which has an adverse effect **and**
- the candidate's normal way of working within the centre (AARA, section 5.16)

In the case of alternative rooming arrangements, the candidate's disability is **established within the centre** (see Chapter 4, paragraph 4.1.4). It is known to a Form Tutor, the SENCo or a senior member of staff with pastoral responsibilities. **For** example, a long-term medical condition which has a substantial and adverse effect.

Alternative rooming arrangements must reflect the candidate's normal and current way of working in internal school tests and mock examinations.

Nervousness, low level anxiety or being worried about examinations is not sufficient grounds for separate invigilation within the centre. (AARA, section 5.16)

1:1 invigilation and the use of an alternative room with one-to-one invigilation must only apply where the candidate has a serious medical condition such as frequent seizures, Tourette's or significant behavioural issues which would disturb other candidates in the examination room. (AARA 5.16)

Appendix P: Special Consideration Policy

What defines special consideration?
Special consideration can only be awarded where a candidate has been fully prepared for assessments and covered the entire course but their ability to demonstrate their subject knowledge and understanding is materially affected by adverse circumstances beyond their control at the time of the assessment(s).

A centre must decide whether the candidate meets the published criteria for special consideration. An awarding body cannot determine the candidate's eligibility and make the decision for the centre. Applications must only be processed where they are supported by the centre and the candidate meets the published criteria for special consideration with evidence in place.
If the centre does not support an online application for special consideration, then it must not be submitted to the relevant awarding body or bodies. Speculative applications for special consideration cannot be accepted.
Where a candidate does not meet the published criteria for special consideration, the awarding body will reject the application and provide clear reasons for doing so.

Centres **must not** submit applications for special consideration for trivial cases.

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**, 1)
This document 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 both Centres will submit any applications for special consideration where candidates meet the published criteria. (JCQ's General Regulations for Approved Centres, 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 *A guide to the special consideration process*
- 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 *A guide to the special consideration process* 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/or SENCo (or equivalent role)
- 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 2)

For candidates who are present for the assessment but disadvantaged, the relevant Centre 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 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. Special consideration will be applied for an allowance on the last paper taken in a day when a candidate has been entered for three or more exams **timetabled for the same day** and the total duration of those papers is more than 5 hours 30 minutes (GCSE, Level 1 and Level 2 examinations) or more than 6 hours. (Where extra time has been used following formal approval, this will be included in the calculation. Supervised rest breaks **will not** be included in the total duration of the papers when applying for special consideration.)

4. Where a candidate may be affected a minor disturbance in the exam room caused by another candidate, such as momentary bad behaviour, a mobile phone ringing, or a momentary fire alarm, the candidate would not be eligible for special consideration.

The centre(s) **must not** submit applications for special consideration for trivial cases.

Examples of trivial cases which **would not** warrant special consideration include, but are not limited to:

- A bird tweeting outside the examination room
- A lorry reversing
- A toilet being flushed
- Doors in a corridor adjacent to the examination room opening and closing

Very short, momentary noise from, for example, aeroplanes, helicopters, lawn mowers (SC 1)

If a candidate is absent from a timetabled component or 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 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
- shortfall in work (coursework/non-examination assessment)
- lost or damaged work (non-examination assessment components)
- candidates issued with an incorrect or incomplete question paper, set the wrong coursework or non-examination assessment task or taught the wrong set text

Where a candidate may be eligible for special consideration (a post assessment adjustment) in other vocational qualifications, 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, before any applications are processed, that the centre is satisfied that the candidates' circumstances warrant special consideration, as set out within the JCQ document *A guide to the special consideration process*
- Ensures that any applications for special consideration where candidates meet the published criteria and are sufficiently evidenced will be submitted to the relevant awarding body

Senior leadership team

- Authorises appropriate evidence to support all eligible applications
- Ensures that if the centre does not support an application for special consideration, it will not be submitted to the relevant awarding body

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 authorised 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/or SENCo (or equivalent role)

- 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 retained on file until after the publication of results.

Timetabled written exams

- Applications for individual candidates will be submitted online (where the awarding body's secure system accepts these) 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
- Form 14 **Self certification form** (Self certification for candidates who have missed an examination) will only be completed by a candidate/parent/carer 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 **Application for special consideration** will be completed and submitted to the awarding body

Where an application relates to a shortfall in work for an individual candidate, this will be submitted by completing form 10, attached to a breakdown of marks across the assessment objectives

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

Applications post-publication of results
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.

Appendix A: Special Consideration – Appropriate Evidence Form

Candidate name	Candidate number	Centre number

Date of exam(s) in relation to the circumstances

Details of exam(s) affected

Awarding body	Specification title	Specification code	Paper code/no.	Present [10]	Absent[11]

Details of appropriate evidence to support the application

Application supported by:

Senior leader name	Senior leader signature (for electronic signature, type name)	Date

To comply with the UK GDPR/Data Protection Act 2018, has the candidate been informed that an application for special consideration will be processed online and submitted to the awarding body?

This form will be retained until after the publication of results

[10] Present but disadvantaged **OR**

[11] Absent for acceptable reason