



**DERBY MOOR
ACADEMY**

Examinations Policy 2025-26

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Ratified by the Governing Body:

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Policy updates for academic year 2025-26

Page(s)	Summary of change
12-15	Included Access Arrangements Co-Ordinator Role and Responsibilities.
22-24	Updated table of examples.
45	JCQ requirements updated
45-46	Training required updated
70	Site manager key holder name updated
86	Included Entry Level in Qualifications Offered.
100-101	Procedure for candidates arriving late or very late to an exam clarified.
103	Clarify which types of reusable water bottle are not allowed in an exam room.
108	Removed reference to results slips being emailed to students as standard. Removed reference to results slips being sent by post to candidates. Added how candidates can request their results emailed to them on results day.
109	Include information that candidate's results will not be shared without permission.
110	Clarify that GCSE core subjects RoM may be paid for by the school. Clarify who is responsible for obtaining consent for ATS for T&L purposes.
111	Clarify who post-results consent must come from.
143	Updated word processor requires

Table of Contents

Table of Contents	3
Access Arrangements and Disability Policy	11
Purpose of the Policy	11
Implementing access arrangements and the conduct of exams.....	11
The Equality Act 2010 Definition of Disability	11
Process To Check the Qualification of Centre’s Specialist Assessor	11
Identifying the Need for Access Arrangements	12
Roles and Responsibilities.....	12
Requesting Access Arrangements	14
Roles and Responsibilities.....	14
Implementing Access Arrangements and the Conduct of Exams	16
Roles and Responsibilities.....	16
Internal Assessments.....	20
Internal Examinations	21
Facilitating Access Arrangements - Examples	21
Appeals Policy (Exams).....	26
Purpose of the policy	26
Appeals Against Internal Assessment Decisions (Centre Assessed Marks)	26
Appeals Against the Centre’s Decision Not to Support a Clerical Check, a Review of Marking, a Review of Moderation or an Appeal	27
Appeals against decisions to reject a candidate’s work on the grounds of malpractice	28
Appeals against decisions relating to access arrangements	29
Appeals against decisions to reject a candidate’s request for special consideration	30
Internal appeals form.....	31
Complaints and Appeals Log.....	32
Further Guidance to Inform and Implement Appeals Procedures	32
Child Protection and Safeguarding Policy (Exams)	34
Purpose of the policy	34
Policy aims.....	34
Introduction	34
Section 1 – Roles and Responsibilities	35
Section 2 – Staff.....	35
DBS check information	35
Existing staff	36

‘Break in service’ -----	36
Agency staff -----	36
Section 3 – Supporting staff -----	36
Section 4 – Reporting -----	37
Section 5 - Protocols for one-to one support/supervision -----	37
Summoning immediate assistance in case of any concern -----	37
Leaving the examination room temporarily -----	37
References -----	38
Complaints Policy (Exams) -----	39
Purpose of the policy -----	39
Grounds for complaint -----	39
Teaching and Learning -----	39
Access arrangements and special consideration -----	39
Entries -----	40
Conducting examinations -----	40
Results and Post-Results -----	40
Raising a concern/complaint -----	41
How to make a formal complaint -----	41
How a formal complaint is investigated -----	41
Internal appeals procedure -----	41
Conflict of Interest (Exams) Policy -----	42
Purpose of the Policy -----	42
Declaration process -----	42
Managing conflicts of interest -----	42
Cyber Security Policy (Exams) -----	44
Purpose of the policy -----	44
Roles and responsibilities -----	44
Complying with JCQ regulations -----	45
Cyber security best practice -----	45
Training -----	46
Data Protection Policy (Exams) -----	47
Purpose of the policy -----	47
Exams-related information -----	47
Informing candidates of the information held -----	48
Hardware and software -----	48
Dealing with data breaches -----	48

Candidate information, audit and protection measures-----	50
Data retention periods-----	50
Access to information -----	50
Requesting exam information -----	50
Responding to requests -----	51
Third party access -----	51
Sharing information with parents-----	51
Equalities Policy (Exams) -----	53
Purpose of the policy -----	53
The Equality Act 2010 definition of disability -----	53
Identifying the need for access arrangements-----	53
Roles and responsibilities -----	53
Use of word processors -----	54
Requesting access arrangements-----	54
Roles and responsibilities -----	54
Implementing access arrangements and the conduct of exams-----	54
Roles and responsibilities -----	54
External assessments -----	54
Internal exams/assessments -----	55
Facilitating access - examples-----	55
Exams Archiving Policy -----	58
Examination Contingency Plan -----	63
Purpose of the Plan -----	63
National Centre Number Register and other information requirements-----	63
Causes of Potential Disruption to the Exam Process-----	63
Exam Officer extended absence at a critical stage in the exam cycle -----	63
SENCo extended absence at a critical stage in the exam cycle -----	64
Teaching Staff (Particularly Subject Leaders) a critical stage of the exam cycle -----	65
Invigilators - Lack of Appropriately Trained Invigilators or Invigilator Absence -----	66
Exam Rooms - Lack of Appropriate Rooms or Main Venues Unavailable at Short Notice --	66
Cyber-attack-----	66
Failure of IT Systems -----	67
Emergency Evacuation of the Exam Room (or Centre Lockdown) -----	67
Disruption of Teaching Time – Centre Closed for an Extended Period-----	67
Candidates may not be able to take examinations – centre remains open-----	68
Centre may not be able to open as normal during the examination period-----	68

Disruption in the Distribution of Examination Papers	68
Disruption to the Transportation of Completed Examination Scripts	69
Assessment Evidence is not Available to be Marked	69
Centre Unable to Distribute Results as Normal	69
Appendix 1 - Exams Day Contingency Plan	69
Appendix 2 - Policy for Severe Disruption/Evacuation During External Examinations.....	71
Unreasonable Noise Disruption	71
Fire/Bomb/Flood/Lockdown During an Examination	71
Appendix 3 - Procedure for Emergency Evacuation from an Examination	71
Appendix 4 - Procedure for Lockdown During an Examination	72
Appendix 5 – Exam Room Incident Log	74
Further guidance.....	75
GOV.UK.....	75
Ofqual.....	75
JCQ	75
DfE.....	76
Meeting digital and technology standards in schools and colleges.....	76
Contingency planning.....	76
General contingency guidance	76
Disruption to assessments or exams	76
Steps you should take	76
Exam planning.....	76
In the event of disruption.....	77
After the exam	77
General Examinations Policy.....	78
Purpose of the Policy	78
Roles and Responsibilities Overview	78
Access Arrangements and Reasonable Adjustments	83
Qualifications	85
Examination Seasons/Series and Planning.....	85
The Exam Cycle	85
Information Sharing	85
Information Gathering	86
Access Arrangements	86
Internal Assessment and Endorsements	88
Invigilation	89

Entries: Roles and Responsibilities -----	90
Estimated Entries-----	90
Final Entries-----	90
Entry Fees -----	90
Late Entries -----	91
Re-Sit Entries -----	91
Private Candidates -----	91
Candidate Statements of Entry -----	91
Pre-Examinations: Roles and Responsibilities-----	92
Access Arrangements -----	92
Briefing candidates-----	92
Dispatch of Exam Scripts -----	93
Estimated Entries-----	93
Internal Assessment and Endorsements -----	93
Invigilation -----	94
JCQ Inspection-----	95
Seating and identifying candidates in exam rooms -----	95
Security of Exam Materials -----	95
Timetabling and Rooming-----	96
Alternative Rooming Arrangements-----	96
Alternative Site Arrangements -----	97
Transferred Candidate Arrangements -----	97
Internal Examinations -----	98
Exam Time: Roles and Responsibilities -----	98
Access Arrangements -----	98
Candidate Absence -----	98
Candidate Late Arrival -----	99
Conducting Exams -----	100
Dispatch of Exam Scripts -----	100
Exam Papers and Materials-----	100
Examination Rooms-----	100
Food and drink -----	102
Leaving the exam room -----	103
Malpractice -----	104
Managing behaviour-----	105
Special Consideration -----	106

Unauthorised Materials	107
Results and Post-Results: Roles and Responsibilities	107
Internal Assessment	107
Managing Results Day(s)	108
Accessing Results	108
Post-Results Services.....	109
Analysis of Results	110
Certificates	110
Exams Review: Roles and Responsibilities	111
Retention of Records: Roles and Responsibilities	111
Complaints	111
Teaching and Learning.....	112
Access arrangements and special consideration	112
Conducting examinations.....	113
Results and Post-Results	113
Raising a concern/complaint.....	113
How to make a formal complaint.....	113
How a formal complaint is investigated	114
Internal appeals procedure.....	114
Non-Examination Assessment Policy	115
What Does This Policy Affect?	115
Purpose of the Policy	115
What are Non-Examination Assessments?.....	115
Procedures for Planning and Managing Non-Examination Assessments Identifying Staff Roles and Responsibilities	115
Task Setting.....	117
Issuing of Tasks	117
Task Taking Supervision	117
Advice and Feedback	118
Resources.....	118
Word and Time Limits.....	119
Collaboration and Group Work	119
Authentication Procedures	119
Presentation of Work	120
Keeping Materials Secure	120
Task Marking – Externally Assessed Components	120

Conduct of Externally Assessed Work-----	120
Submission of Work-----	121
Task Marking – Internally Assessed Components -----	121
Marking and Annotation -----	121
Internal Standardisation -----	122
Consortium Arrangements -----	122
Submission of Marks and Work for Moderation-----	123
Storage and Retention of Work After Submission of Marks-----	124
External Moderation – Feedback -----	124
Access Arrangements -----	125
Special Consideration (NEA) -----	125
Malpractice (NEA) -----	126
Suspected Misuse of AI in NEA-----	127
Enquiries About Results-----	127
Practical Skills Endorsement for the A-level Sciences Designed for Use in England -----	128
Spoken Language Endorsement for GCSE English Language Specifications Designed for Use in England -----	129
Management of Issues and Potential Risks Associated with Non-Examination Assessments -----	130
Whistleblowing Policy (Exams) -----	139
Introduction -----	139
Purpose of the policy -----	139
The Whistleblower-----	140
Reporting-----	140
Examples of malpractice-----	140
Whistleblowing procedure-----	140
Exams Officer Professional Standards -----	141
Anonymity-----	141
Students-----	142
Word Processor Policy -----	143
Compliance with JCQ Regulations -----	143
The use of a word processor-----	144
Word processors and their programmes-----	144
Accommodating word processors in examinations -----	146
Criteria used to award and allocate word processors for examinations-----	146
Awarding word processors -----	146

Access Arrangements and Disability Policy

Author: Mr C Reddy

Purpose of the Policy

This document is provided as an exams-specific supplement to the *centre-wide accessibility policy/plan* which details how the centre:

“Recognises its duties towards disabled candidates as defined under the terms of the Equality Act 2010†. This must include a duty to explore and provide access to suitable courses, submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates.

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

[Quote taken directly from chapter 5.4 of the current JCQ publication

General regulations for approved centres]

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.

The Equality Act 2010 Definition of Disability

A definition is provided on page 9 of the current JCQ publication *Adjustments for candidates with disabilities and learning difficulties* Access Arrangements and Reasonable Adjustments

This publication is further referred to in this policy as AA.

Process To Check the Qualification of Centre’s Specialist Assessor

The assessment process must be administered correctly by the start of each academic year.

All specialist assessors as appointed by heads of centre must either be:

- a qualified psychologist registered with the Health & Care Professions Council (HCPC).
- a specialist assessor with a current SpLD Assessment Practising Certificate; or
- a specialist assessor with a post-graduate qualification in individual specialist assessment at or equivalent to Level 7.

JCQ Statement, “Appointment of specialist assessors for candidates with learning difficulties” The Headteacher will check that the centre’s specialist assessor’s qualifications meet the required levels and will also monitor that the assessment process is correctly applied.

Derby Moor Spencer Academy’s specialist assessor is Mr Robert Redmond.

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 update JCQ publications 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 are clearly defined and documented.
- Ensures a policy demonstrating the centres compliance with relevant legislation is in place.
- Ensures an appropriately qualified assessor is appointed.
- Defines and documents roles, responsibilities and processes in identifying, requesting and implementing access arrangements (Access Arrangements Policy).

Senior Leaders:

- Are familiar with the entire contents of the annually updated JCQ publications including GR and AA.
- Support the SENCo in determining the need for and implementing access arrangements.

Special Educational Needs Co-ordinator (SENCo):

- Has full knowledge and understanding of the contents, refers to and directs relevant centre staff to the annually updated JCQ publication AA.
- Ensures the assessment process is administered in accordance with regulations.

- Leads on the access arrangements process to facilitate access for candidates.
- If not the qualified assessor, works with the person appointed, on all matters relating to assessing candidates and the administration of the assessment process.
- Ensures that all assessments carried out and arrangements put in place to comply with JCQ and awarding body regulations and guidance.
- Ensures that arrangements are put in place for examinations that reflect a candidate's normal way of working within the centre.
- Ensures the need for access arrangements for a candidate will be 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 examinations or assessments.
- Provides evidence to confirm the need(s) of the candidate.
- Completes appropriate documentation as required by the regulations of JCQ and the awarding body.

Access Arrangements Co-ordinator:

- Has full knowledge and understanding of the contents, refers to and directs relevant centre staff to the annually updated JCQ publication AA.
- Ensures the assessment process is administered in accordance with regulations.
- Attends an annual JCQ approved training conference to ensure familiarity with any changes to the JCQ Exam Access Arrangements.
- Presents when requested by a JCQ Centre Inspector, evidence of the assessor's qualification.
- Completes appropriate documentation as required by the regulations of JCQ and the awarding body.
- Works with the SENCO, 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 examinations or assessments.
- Ensures that all assessments carried out and arrangements put in place to comply with JCQ and awarding body regulations and guidance.

- Presents appropriate evidence / documentation to the JCQ inspector when requested.

Teaching staff:

- Inform the SENCo of any support that might be needed by 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 assessor).

- Has detailed understanding of the current JCQ publication.
<https://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance>
- Conducts appropriate assessments to identify the need(s) of a candidate.

Requesting Access Arrangements

Roles and Responsibilities

Special Educational Needs Co-ordinator (SENCo):

- Determines in conjunction with the Exams Officer 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.
- Follows guidance in <https://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance> Chapter 8 to process approval applications for access arrangements for GCSE and GCE qualifications.
- Ensures appropriate and required evidence is held on file to confirm validation responses in AAO including the completion of JCQ Form 8, where required, and a body of evidence to substantiate the candidate's normal way of working within the centre.
- Completes, where necessary, JCQ Form 9.
- Confirms by ticking the 'Confirmation' box prior to submitting the application for approval, that the 'malpractice consequence statement' has been read and accepted.
- Maintains a file for each candidate 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 with the centre.
 - In addition, for GCSE and GCE qualifications (where approval is required), a printout of the AAO approval and a signed data protection notice (which provides candidates consent to their personal details being shared).
- 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 arrangements.
- In conjunction with the Exams Officer ensures that where approval is required that this is applied for by the awarding body deadline.

- Liaises with teaching staff regarding any appropriate modified paper requirements for candidates.

Exams Officer:

- Is familiar with the entire contents of the annually updated JCQ publication <https://www.jcq.org.uk/exams-office/general-regulations> and is aware of the information contained in <https://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance> where this may be relevant to the Exams Officer role.
- In conjunction with the SENCo follows guidance in <https://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance> Chapter 8 to process approval applications for access arrangements for GCSE and GCE qualifications.
- 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 appropriate and required evidence is held on file to confirm validation responses in AAO, including the completion of JCQ Form 8, where required, and a body of evidence to substantiate the candidate's normal way of working within the centre.
- Ensures that arrangements, and approval where required, are in place before a candidate takes their first exam or assessment (which is externally assessed or internally assessed/externally moderated).
- Ensures that where approval is required, that this is applied for by the awarding body deadline.
- Presents the files (kept with the SENCo) when requested by a JCQ Centre Inspector.
- Liaises with teaching staff regarding any appropriate modified paper requirements for candidates.
- Liaises with the SENCo to ensure AAO approval is in place for early opening of papers where this may be required 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).
- Following the appropriate process (AAO for GCE and GCSE; JCQ Form 7 or Form VQ/EA), orders published modified papers, by the awarding body's deadline for the exam series, where these may be required for a candidate.

Access Arrangements Co-ordinator:

- Is familiar with the entire contents of the annually updated JCQ publication <https://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance> and is aware of the information contained in <https://www.jcq.org.uk/exams-office/general-regulations> where this may be relevant to the Access Arrangements Co-ordinator role.
- In conjunction with the SENCo follows guidance in <https://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance>

- Chapter 8 to process approval applications for access arrangements for GCSE and GCE qualifications.
- Liaises with Specialist Assessor to book testing dates for students requiring testing as identified by the SENCO.
 - 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 arrangements, and approval where required, are in place before a candidate takes their first exam or assessment (which is externally assessed or internally assessed/externally moderated).
 - Ensures that where approval is required, that this is applied for by the awarding body deadline.
 - Presents the files when requested by a JCQ Centre Inspector.

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 <https://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations>

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.

Senior Leadership Team (SLT):

- 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.

Special Educational Needs Co-ordinator (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).
- Ensures that any arrangements put in place do not unfairly disadvantage or advantage disabled candidates.

- 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.
- Ensures facilitators supporting candidates are appropriately trained and understand the rules of the particular access arrangement(s).
- Ensures the facilitator is known by or introduced to the candidate prior to exams.
- Liaises with the EO to ensure that invigilators are made aware of the Equality Act 2010 and are trained in disability issues.
- 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 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.

Exams Officer:

- Ensures a candidate is involved in any decisions about arrangements, adjustments and/or adaptations that may be put in place for him/her and ensures the candidate understands what will happen at exam time.
- Ensures 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.
- 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.
- 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, Oral Language Modifier, reader, scribe or Sign Language Interpreter).

- Ensures facilitators supporting candidates are appropriately trained and understand the rules of the particular access arrangement(s).
- Ensures the facilitator is known by or introduced to the candidate prior to exams.
- Ensures a facilitator acting as a prompter is aware of the appropriate way to prompt depending on the needs of the candidate.
- Ensures cover sheets, where these are required by the arrangement, are completed as required by facilitators.
- 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 their exams.
- 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, where approved, opens the exam question paper packet in the secure room no earlier than 90 minutes prior to the published start time of the exam.
- Understands that where permitted/approved, secure exam question paper packets may need to be opened early where preparation is required by the facilitator (Oral Language Modifier, Live Speaker, Sign Language Interpreter only).

- Ensures that the facilitator only has access to the papers one hour prior to the published start time of the exam.
- 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 GCSE and GCE qualifications.
- 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.
- Ensures that current students are not used to facilitate an access arrangement.

Teaching 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.
- Ensures a candidate is involved in any decisions about arrangements, adjustments and/or adaptations that may be put in place for him/her and ensures the candidate understands what will happen at exam time.
- Ensures 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.
- 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.
- Liaises with the Exams Officer (EO) regarding facilitation and invigilation of access arrangement candidates in exams.
- Ensures the facilitator is known by or introduced to the candidate prior 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.

Maintenance/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.

GSM IT Team/IT Technician (on site):

- Responsible for IT or other specialist equipment that may need to be provided or adapted for a candidate.

Internal Assessments

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

“Externally marked and/or externally set practical examinations taken at different times across centres are classified as ‘NEA’.”

[Instructions for conducting non-examination assessments – Foreword]

Special Educational Needs Co-ordinator (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 cover sheets are completed as required by facilitators.
- 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:

- 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.

Internal Examinations

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

Special Educational Needs Co-ordinator (SENCo):

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

Teaching staff:

- Support the SENCo in implementing appropriate access arrangements for candidates.
- Provide exam materials that may need to be modified for a candidate.

Exam Officer:

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

Facilitating Access Arrangements - 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.	<i>SENCo gathers evidence to support the need for the candidate to take exams at home.</i> <i>Pastoral head provides written statement for file to confirm the need.</i> <i>Approval confirmed by SENCo; AAO approval for both arrangements not required.</i> <i>Form 9 completed by SENCo.</i> <i>Pastoral head discussion with candidate to confirm the arrangements should be put in place.</i> <i>EO submits appropriate 'Alternative site for the conduct of exams form'.</i> <i>EO provides candidate with exam timetable and JCQ information for candidates.</i> <i>Pastoral head confirms with candidate the information is understood.</i> <i>Pastoral head agrees with candidate that prior to each exam, will call to confirm fitness to take exam.</i> <i>EO allocates invigilator(s) to candidate's timetable; confirms time of collection of exam papers and materials.</i> <i>Invigilator monitors candidate's condition for each exam and records any issues on incident log.</i> <i>Invigilator records rest breaks (time and duration) on incident log and confirms set time given for exam.</i> <i>Invigilator briefs EO after each exam on how candidate's performance in exam may have been affected by their condition.</i> <i>EO discusses with pastoral head if candidate is eligible for special consideration (candidate present but disadvantaged).</i>

		<i>EO processes request(s) for special consideration where applicable; incident log(s) provides supporting evidence.</i> <i>Pastoral head informs candidate that special consideration has been requested.</i>
Persistent and significant difficulties in accessing written text.	Reader / Computer Reader. 25% Extra Time. Separate invigilation within the centre.	<i>Confirms candidate is disabled within the meaning of the Equality Act 2010.</i> <i>Papers checked for those testing reading.</i> <i>Computer reader sourced for use in papers (or sections of papers) testing reading OR up to 50% extra time awarded.</i> <i>Form 8, signed and dated, with Sections A, B and C completed; kept on file with body of supporting evidence, printed approval from AAO.</i>
Significant difficulty in concentrating.	Prompter. Separate invigilation within the centre. Non-electronic Ear Defenders / Ear Plugs or Non-electronic Headphones	<i>Gathers evidence to support substantial and long-term adverse impairment.</i> <i>Confirms with candidate how and when they will be prompted.</i> <i>Briefs invigilator to monitor candidate and the method of prompting (call out their name to bring their attention back to the paper - confirms requirement for alternative room).</i> <i>Candidate is permitted to bring non-electronic ear defenders / ear plugs or non-electronic headphones into the exam room to reduce any distractions they may experience.</i>
A wheelchair user.	Desk. Rooms. Facilities. Seating Arrangements. Practical Assistant.	<i>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.</i> <i>Provides height adjustable desk in exam room.</i> <i>Allocates exam room on ground floor near adapted bathroom facilities.</i> <i>Spaces desks to allow wheelchair access.</i> <i>Seats candidate near exam room door.</i> <i>Confirms arrangements in place to assist the candidate in case of emergency evacuation of the exam room.</i> <i>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.</i>

A candidate who tracks their medical condition on their mobile phone.	Supervised Rest Breaks. Alternative Room. 1:1 Invigilation.	<i>Application made via Access Arrangements Online.</i> <i>SENCo completes JCQ Form 9 confirming the candidate's medical condition and need to access phone during the exam. Formal medical evidence is available to confirm the need.</i> <i>Candidate is seated in an alternative room with 1:1 invigilation.</i> <i>Candidate is awarded supervised rest breaks (if appropriate) to support the management of their medical condition.</i>
A candidate with a slow handwriting speed.	Scribe Alternative Room 1:1 Invigilation	<i>Application made via Access Arrangements Online.</i> <i>SENCO completes Form 8, signed and dated, with Sections A, B and C completed; kept on file with body of supporting evidence, printed approval from AAO.</i>
A candidate with illegible handwriting.	Word Processor	<i>Candidate is permitted to use a Word Processor (laptop). Spellcheck must be turned off unless the candidate is entitled to a scribe through being assessed, in which case a Form 8 would be completed.</i>
A candidate with heightened levels of anxiety.	Alternative Room Supervised Rest Breaks Fidget Toys / Stress Balls	<i>Candidate completes examination in alternative room with fewer candidates.</i> <i>SENCo completes JCQ Form 9 confirming the candidate's medical condition and need for Supervised Rest Breaks.</i> <i>Candidate can be provided with fidget toys / stress balls to help manage their anxiety levels.</i>
A candidate with Vision Impairment needs.	Modified Enlarged Paper Squared Paper	<i>Exams Officer orders paper from the relevant exam board before the deadline.</i> <i>Candidate is provided with a modified enlarged paper on the day of their exam.</i> <i>Candidate can be provided with squared paper if they have visual spatial difficulties.</i>
A candidate with Dyslexia / Visual Stress.	Coloured Paper	<i>Exams Officer / Access Arrangements Co-ordinator downloads the live exam paper on the morning / afternoon of the exam to print a copy on the candidate's preferred coloured paper. The coloured paper is then provided to the candidate on their exam desk.</i>

	Coloured Overlay	<i>Exams Officer / Access Arrangements Co-ordinator provides the candidate with their preferred coloured overlay.</i>
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Appeals Policy (Exams)

Purpose of the policy

This policy confirms Derby Moor Spencer Academy's compliance with JCQ's *General Regulations for Approved Centres 2025-2026*, section 5.3.z, that the centre has in place "a written 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".

Appeals Against Internal Assessment Decisions (Centre Assessed Marks)

The centre must "inform candidates of their centre assessed marks and allow a candidate to request a review of the centre's marking" (GR 5.7.a) before marks are submitted to the awarding body.

Certain components of GCSE and GCE (GCSE controlled assessments, GCE coursework, GCE and GCSE non-examination assessments) and other qualifications that contribute to the final grade of the qualification are internally assessed (marked) by the centre. The marks awarded (the internal assessment decisions) are then submitted by the deadline set by the awarding body for external moderation.

Derby Moor Spencer Academy is committed to ensuring that whenever its staff mark candidates' work, this is done fairly, consistently and in accordance with the awarding body's specification and subject-specific associated documents.

Derby Moor Spencer Academy ensures that all centre staff follow a robust *Non-examination assessment policy* (for the management of BTEC, Project, GCE and GCSE non-examination assessments) including the marking and quality assurance processes, which relevant teaching staff are required to follow.

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

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

Derby Moor Spencer Academy will:

1. Ensure that candidates are informed of their centre assessed marks so that they may request a review of the centre's marking before marks are submitted to the awarding body.
2. Inform candidates that they may request copies of materials (for example, a copy of their marked work, the relevant specification, the mark scheme and any other associated subject-specific documents) to assist them in

considering whether to request a review of the centre's marking of the assessment.

3. Having received a request for copies of materials, promptly make them available to the candidate within 7 calendar days.
4. Allow candidates 7 calendar days to review copies of materials and reach a decision.
5. Requests must be made in writing by the student and submitted as soon as possible to the Vice Principal (Curriculum) by completing the **internal appeals form** after receiving copies of the requested materials.
6. Allow 14 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.
7. Ensure that the review of marking is carried out by an assessor who has appropriate competence, has had no previous involvement in the assessment of that candidate and has no personal interest in the review.
8. Instruct the reviewer to ensure that the candidate's mark is consistent with the standard set by the centre.
9. 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. A written record of the review will be kept and made available to the awarding body upon request.

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

Appeals Against the Centre's Decision Not to Support a Clerical Check, a Review of Marking, a Review of Moderation or an Appeal

This procedure confirms Derby Moor Spencer Academy's compliance with JCQ's *General Regulations for Approved Centres 2024-2025*, section 5.13(i) that the centre has in place "a written internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support a clerical check, a review of marking, a review of moderation or an appeal..."

Following the issue of results, awarding bodies make post-results services available. Candidates are also informed of the arrangements for post-results services **before** they sit any exams.

If the centre or a candidate (or their parent/carer) has a concern and believes a result may not be accurate, an enquiry about the result may be requested. Written consent from the candidate must be given before the EAR is requested.

Enquiries about results (EARs) offers three services.

- Service 1 – Clerical re-check (checks that marks have been totalled correctly).
- Service 2 – Review of marking (checks that marking is accurate.)
- Service 3 – Review of moderation (this service is not available to an individual candidate).

Written candidate consent (informed consent via candidate email is acceptable) is required in all cases before a request for an EAR service 1 or 2 is submitted to the awarding body, as with these services candidates' marks and subject grades may be lowered. Candidate consent can only be collected after the publication of results.

If a concern is raised about a particular examination result, teaching staff and Head of Centre will investigate the feasibility of requesting an enquiry supported by the centre. This will be raised with the student in question on results day and the appropriate JCQ documentation completed.

Where the centre does not uphold a request from a candidate, the candidate may pay the appropriate EAR fee to the centre, and a request will be made to the awarding body on the candidate's behalf.

Following the EAR 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 EAR 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 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 days of the notification of the outcome of the EAR. Subject to the Head of Centre's decision, this will allow the Centre to process the preliminary appeal and submit to the awarding body within the required **30 calendar days** of receiving the outcome of the EAR 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 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 assessments taking place, inform candidates of the things they must and must not do when they are completing their work.

The centre ensures that those members of teaching staff involved in the direct supervision of candidates producing work for assessments are aware of the potential for malpractice.

Malpractice by a candidate discovered in a controlled assessment, coursework or non-examination assessment component prior to the candidate signing the declaration of authentication does not need to be reported to the awarding body but will be dealt with in accordance with the centre's internal procedures. The only exception to this is where the awarding body's confidential assessment material has potentially been breached. The breach will be reported to the awarding body immediately.

If 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, Derby Moor Spencer Academy will:

- Teaching staff will bring the matter to the attention of the Exams Officer, their faculty lead, or a member of SLT. The Head of Centre will also be informed.
- The candidate's work will be checked against work they have done previously. This will be done by the candidate's teacher and confirmed by another member of staff.
- The candidate and their parent/carer will be informed that malpractice is suspected and given the opportunity to make comment and provide evidence about the matter.
- If malpractice is found to have taken place, the candidate will be given the opportunity to complete the work again and appropriate internal sanctions (if any) will be given.
- If malpractice is disproven, no further action will be taken.

Appeals against decisions relating to access arrangements

The awarding bodies recognise that there are some candidates who may be prevented from demonstrating their achievement because of:

- a permanent or long-term disability, learning difficulty or medical condition;
- a temporary disability, illness or indisposition immediate to or at the time of the examination;
- circumstances at the time of or during the examination or assessment.

Access arrangements and reasonable adjustments are pre-examination adjustments approved before an examination or assessment. They allow candidates with special educational needs, disabilities or temporary injuries to access the examination or assessment.

Access arrangements, reasonable adjustments and special consideration decisions are based on inter-awarding body procedures. The principles and regulations governing access arrangements are set out in the JCQ documents *Access Arrangements and Reasonable Adjustments*. These documents can be found on the JCQ website.

If a candidate is not satisfied with the outcome of the centre's decision regarding access arrangements, they may make an appeal to the Exams Officer using the Internal Appeals Form.

Derby Moor Spencer Academy will:

1. Allow 21 calendar days for the review to be carried out.

2. The Exams Officer will refer the appeal to the SENCo, and if necessary, the head of centre.
3. Keep a log of the actions taken during the course of the appeal.
4. Review the candidate's appeal and accompanying evidence, seeking evidence from teaching staff, support staff, and external professionals where appropriate.
5. Where additional evidence is uncovered, allow the candidate to review that evidence.
6. Inform the candidate in writing of the outcome no later than 21 calendar days after the appeal was submitted.

Where access arrangements are recommended by the centre but are not awarded by the **awarding body**, the candidate and centre have the right to appeal directly to the awarding body. This must be done through the centre and cannot be done by the candidate themselves. Information about this process can be found in the JCQ document *A guide to the awarding bodies' appeals processes*.

Appeals against decisions to reject a candidate's request for special consideration

Where a candidate has requested that an application for special consideration is made, but the centre rejects the request, the candidate may appeal that decision. Derby Moor Spencer Academy will:

1. Allow 7 calendar days for the review to be carried out.
2. The candidate must complete the Internal Appeals Form and return it to the Exams Officer as soon as possible, or at the latest by 1st May 2025 (NEAs) or 7 calendar days after a written exam has taken place.
3. The Exams Officer will review the appeal with the Assistant Vice Principal (Exams), and if necessary, the head of centre, with reference to the JCQ *Guide to the special consideration process*.
4. Keep a log of the actions taken during the course of the appeal.
5. Review the candidate's evidence for the special consideration and make efforts to gather additional evidence where necessary.
6. Where additional evidence is uncovered, allow the candidate to review that evidence.
7. Inform the candidate in writing of the outcome no later than 7 calendar days after the appeal was submitted.

Internal appeals form

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

- Appeal against an internal assessment decision and/or request for a review of marking.
- Appeal against the centre's decision not to support a clerical check, a review of marking, a review of moderation or an appeal.
- Appeals against decisions relating to access arrangements.
- Appeals against decisions to reject a candidate's request for special consideration.

FOR CENTRE USE ONLY	
Date received	
Reference No.	

Name of appellant		Candidate name if different to appellant	
Awarding body		Exam paper code	
Subject		Exam paper title	

Please state the grounds for your appeal below

(If applicable, tick below)

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

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

Appellant signature:	Date of signature:
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This form must be signed, dated and returned to the Exams Officer on behalf of the Head of Centre to the timescale indicated in the relevant appeals procedure.

Complaints and Appeals Log

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

The outcome of any review of the centre's marking will be made known to the Head of Centre. A written record of the review will be kept and logged as an appeal, so information can be easily made available to an awarding body upon request.

Ref No.	Date received	Complaint or Appeal	Outcome	Outcome date

Further Guidance to Inform and Implement Appeals Procedures

JCQ

- General Regulations for Approved Centres
<https://www.jcq.org.uk/exams-office/general-regulations>
- Post-Results Services
<https://www.jcq.org.uk/exams-office/post-results-services>
- JCQ Appeals Booklet
<https://www.jcq.org.uk/exams-office/appeals>
- Notice to Centres - Reviews of marking (centre assessed marks)
<https://www.jcq.org.uk/exams-office/controlled-assessments>
<https://www.jcq.org.uk/exams-office/coursework>
<https://www.jcq.org.uk/exams-office/non-examination-assessments>
- Notice to Centres – informing candidates of their centre assessed marks
<https://www.jcq.org.uk/exams-office/non-examination-assessments>

Ofqual

- GCSE (9 to 1) qualification-level conditions and requirements
<https://www.gov.uk/government/publications/gcse-9-to-1-qualification-level-conditions>
- GCSE (A* to G) qualification-level conditions and requirements
<https://www.gov.uk/government/publications/gcse-a-to-g-qualification-level-conditions-and-requirements>
- GCE qualification-level conditions and requirements
<https://www.gov.uk/government/publications/gce-qualification-level-conditions-and-requirements>

Pre-reform GCE qualification-level conditions and requirements

<https://www.gov.uk/government/publications/gce-qualification-level-conditions-for-pre-reform-qualifications>

Child Protection and Safeguarding Policy (Exams)

Purpose of the policy

This policy details how Derby Moor Spencer Academy in relation to the management, administration and conducting of examinations and assessments, ensures that the moral and statutory responsibility to safeguard and promote the welfare of children is met. The policy also details how staff are trained and supported to be alert to, and report, the signs of abuse and neglect and how they will follow centre procedures to ensure that children receive effective support, protection, and justice.

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

Derby Moor Spencer Academy ensures compliance with the statutory guidance for schools and colleges as set out in the Department for Education's Keeping children safe in education 2024 publication.

Policy aims

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

Introduction

All staff involved in the management, administration and conducting of examinations at Derby Moor Spencer Academy 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)

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.

The DSL will provide safeguarding training for all members of the exams team (including invigilators, facilitators) annually.

Exams officer

Will support the DSL as directed and undertake all relevant training annually.

Ensure that invigilators and facilitators have undertaken relevant annual safeguarding training.

Other exams staff (Exams Administrator, invigilators, facilitators)

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

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.

Section 2 – Staff

Recruitment

Derby Moor Spencer Academy ensures 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

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, external invigilators/facilitators will undertake a 'rolling DBS check' every year.

If there are concerns about an existing member of staff's suitability to work with children, all relevant checks will be carried out as if the individual was a new member of staff. This action will also be taken if an individual moves from a post that is not regulated activity to one that is.

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

'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 Derby Moor Spencer Academy – 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 Derby Moor Spencer Academy.

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 Derby Moor Spencer Academy:

- 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 face to face and online training sessions.

[Detail when training sessions/information dissemination will take place/has taken place during an academic year in the table below]

Training/information delivered

Date delivered	Details of training/information delivered	Audience (e.g. invigilators, access arrangements facilitators etc.)
04/09/25	Safeguarding training 2025-26 (KCSIE updates)	Teaching staff, SLT, EO, EA, facilitators
03/10/25	Safeguarding training 2025-26 (KCSIE updates)	Invigilators

Section 4 – Reporting

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

- Report concerns to the child's year manager or directly to the DDSL/DSL both in person and via email.
- If a member of staff needs to make a complaint/report a colleague or other adult who works with children (whistleblowing), they should contact the head of centre both in person and via email. If the concern is regarding the head of centre, the concern must be reported to the head of the governors.
- Further information can be found in the centre policy "*Safeguarding & Child Protection Policy and Guidance*" on the centre website.

Section 5 - 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

- Use the radio (or mobile phone if no radio is available) to contact the Exams Officer in the first instance.
- If the Exams Officer is unavailable, contact the member of staff on SOC.
- Report your concern and follow up as soon as possible in writing via email to the appropriate person.

Leaving the examination room temporarily

Where a member of staff may accompany a candidate requiring a toilet break:

- Candidates in a 1:1 room will need to wait for the invigilator to summon assistance before being escorted to the toilet.

- The member of staff escorting the candidate may ask the candidate to show their empty pockets beforehand.
- The member of staff escorting the candidate will walk with them to the corridor outside the toilets and wait there for the candidate to use the toilet.
 - The member of staff is not required to go into the toilet area with the candidate, waiting outside is sufficient supervision.

Where a member of staff may accompany a candidate who is feeling unwell:

- Candidates in a 1:1 room will need to wait for the invigilator to summon assistance before being escorted to the medical room.
- The member of staff escorting the candidate will walk with them to the medical room and wait with them while they are given medical attention.
 - The candidate may be left in the medical room with the first aider, provided that the first aider understands that they may not discuss the content of exam. The invigilator should wait outside for the candidate to escort them back to the exam room.

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/

Complaints Policy (Exams)

Purpose of the policy

The purpose of this policy is to confirm the arrangements for complaints at Derby Moor Academy and confirms compliance with JCQ's General Regulations for Approved Centres (5.3, 5.8) in drawing 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) at Derby Moor Academy may make a complaint on the grounds below (This is not an exhaustive list).

Teaching and Learning

- 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 examination 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 mark prior to marks being submitted to the awarding body.
- Candidate not informed of their centre assessed mark 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 decide whether to request a review of the centre assessed mark.
- Candidate unhappy with internal assessment decision (complainant to refer to the centre's internal appeals procedure)
- Centre fails to adhere to its internal appeals procedure.

Access arrangements and special consideration

- Candidate not assessed by the centre's appointed assessor.
- Candidate not involved in decisions made regarding their access arrangements.
- Candidate did not consent to record their personal data online (by the non-acquisition of a completed candidate personal data consent form)
- Candidate not informed/adequately informed of the arrangement(s) in place and the subjects or components of subjects where the arrangement(s) would not apply.
- Examination information not appropriately adapted for a disabled candidate to access it.
- Adapted equipment/assistive technology put in place failed during examination/assessment.

- Approved access arrangement(s) not put in place at the time of an examination/assessment
- Appropriate arrangement(s) not put in place at the time of an examination/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 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 examination/assessment.
- Candidate entered for a wrong examination/assessment.
- Candidate entered for a wrong tier of entry.

Conducting examinations

- Failure to adequately brief candidate on examination timetable/regulations prior to examination/assessment taking place.
- Room in which assessment held did not provide candidate with appropriate conditions for taking the examination.
- Inadequate invigilation in examination room
- Failure to conduct the examination according to the regulations.
- Online system failed during (on-screen) examination/assessment.
- Disruption during the examination/assessment
- Alleged, suspected or actual malpractice incident not investigated/reported.
- 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 examinations, candidate not made aware of the arrangements for post-results services and the availability 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 a decision on the submission of a results 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 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-result service.
- Centre applied for a post-results service for a candidate without gaining required candidate consent/permission.

Raising a concern/complaint

If a candidate (or parent/carer) has a general concern or complaint about the centre's delivery or administration of a qualification, Derby Moor Spencer Academy encourages an informal resolution in the first instance. This can be undertaken by:

- raising a concern or complaint in writing addressed to the head of centre, or the exams officer.

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

How to make a formal complaint

All documentation relating to the submission of a formal complaint is available from and should be returned to the Exams Officer or Mrs A Woodcock (PA to the Head of Centre). Formal complaints will be logged and acknowledged within 14 calendar days.

To make a formal complaint, candidates (or parents/carers) must complete and return a complaints form, available from Alyson Woodcock.

How a formal complaint is investigated

The head of centre will further investigate or appoint a member of SLT (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 of any investigation will be provided to the complainant within 28 working days.

Internal appeals procedure

Following the outcome, if the complainant remains dissatisfied and believes there are clear grounds, an appeal can be submitted. To submit an appeal, candidates (or parents/carers) must complete and return the centre's internal appeals form (available from the Exams Officer).

Appeals will be logged and acknowledged within 5 working days.

The appeal will be referred to the Exams Officer, Assistant Vice Principal (Exams), and the Head of Centre. It will be the responsibility of the Head of Centre to inform the appellant of the final conclusion in accordance with the internal appeals procedure.

Conflict of Interest (Exams) Policy

Purpose of the Policy

It is the responsibility of the head of centre to ensure that Derby Moor Spencer Academy:

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

Declaration process

An electronic copy of the declaration of interest form is sent to all centre staff in September.

- Completed forms must be returned to the Exams Officer by the end of September.
- Forms will only be completed by staff who have an interest to declare.

Managing conflicts of interest

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

Head of Centre:

- Ensure conflicts of interest are managed according to the requirements (GR 5.3)

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

Exams Officer:

- Ensure the process for collecting declarations of interest is undertaken
- Identify and follow the awarding body's administrative process for submitting details of members of staff who are:
 - Taking qualifications which include internally assessed components/units at their own centre
 - Teaching and preparing members of their family (which includes stepfamily, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) for qualifications which include internally assessed components/units (GR 5.3)
- Retain the records of the measures taken to mitigate any potential risk to the integrity of the qualifications affected until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later (GR5.3)

Cyber Security Policy (Exams)

Purpose of the policy

This policy details the measures taken at Derby Moor Spencer Academy to mitigate the risk of cyber threats under the following sections:

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

The senior leadership team recognises the need for staff involved in the management, administration and conducting of examinations to play a critical role in maintaining and improving cyber security at Derby Moor Spencer Academy.

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

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

Roles and responsibilities

Head of centre/Senior leadership team

- To ensure that members of the exams team, supported/led by the IT team, adhere to best practice(s) in relation to:
 - the management of individual/personal data/accounts
 - centre wide cyber security including:
 - Establishing a robust password policy
 - Enabling multi-factor authentication (MFA)
 - Keeping software and systems up to date
 - Implementing network security measures
 - Conducting regular data backups
 - Educating employees on security awareness
 - Developing and testing an incident response plan
 - Regularly assessing and auditing security controls
 - Immediately contacting the relevant awarding body/bodies for advice and support in the event of a cyber-attack which impacts any learner data, assessment records or learner work

Exams officer/Exams assistant

- To ensure that they follow best practice in relation to the management of individual/personal data/accounts.
- To provide evidence of an awareness of best practice in relation to cyber security as defined by JCQ regulations/guidance.
- To undertake training on:
 - the importance of creating strong unique passwords and keeping all account details secret

- awareness of all types of social engineering/phishing attempts

Complying with JCQ regulations

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

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

Cyber security best practice

The head of centre/senior leadership team ensure that they and all staff involved in the management, administration and conducting of examinations/assessments at Derby Moor Spencer Academy 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 communications for school and Trust IT teams.

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

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

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

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 members of centre staff who access awarding bodies' online systems undertake annual cyber security training. This training will 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.

Data Protection Policy (Exams)

Purpose of the policy

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

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

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

Students are given the right to find out what information the centre holds about them, how this is protected, how this can be accessed and how data breaches are dealt with. All exams office staff responsible for collecting and sharing candidates' data are required to follow strict rules called 'data protection principles' ensuring the information is:

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

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

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)
- [insert (by listing) any other organisations as relevant to your centre e.g. Department for Education; Local Authority; Multi Academy Trust; Consortium; the Press; etc.]

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

- hard copy
- email

- secure extranet site(s) – AQA Centre Services; OCR Interchange; Pearson Edexcel Online; WJEC Secure Website.
- a Management Information System (MIS) provided by ESS SIMS sending/receiving information via electronic data interchange (EDI) using A2C (<https://www.jcq.org.uk/about-a2c>) to/from awarding body processing systems.

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

Informing candidates of the information held

Derby Moor Spencer Academy ensures that candidates are fully aware of the information and data held.

All candidates are:

- informed via email and parent email.
- given access to this policy upon request.

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

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

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

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
TBC	All IT equipment provided through the Trust/AIT.	[Include if applicable or indicate N/A]

Software/online system	Protection measure(s)
TBC	All IT equipment provided through the Trust/AIT.

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**

Mr Andrew Adams, Trust 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

Candidate information, audit and protection measures

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

An information audit is conducted annually.

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

Protection measures may include:

- password protected area on the centre's intranet
- secure drive accessible only to selected staff
- information held in secure area
- updates undertaken every 12 months.

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 Policy which is available/accessible from the school website, or on request in hard copy from the Exams Officer.

Access to information

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

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

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

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

Requesting exam information

Requests for exam information can be made to the Exams Officer in writing. Individuals who are no longer on roll may be required to provide identification.

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

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

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

A decision will be made by the Exams Officer 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 not provide any exam results, certificates, or outcomes of review of results, without the written permission of the student in question. Permission can be given in writing or via email.

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

Equalities Policy (Exams)

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, 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 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 publication (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 publications including GR and AA

Senior leader(s)

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

Special educational needs coordinator (SENCo) or equivalent role

- 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 (or equivalent role) of any observations 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/observations to support the SENCo (or equivalent role) 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

Use of word processors

Information about Derby Moor Spencer Academy's use of word processors in exams can be found in the Word Processor Policy (available on request).

Requesting access arrangements

Roles and responsibilities

SENCo or equivalent role

- 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

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

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

ALS lead/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 2024-2025

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

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 or equivalent role

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

Teaching staff

- Support the SENCo in implementing appropriate access arrangements for candidates

Internal exams/assessments

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

SEnCo or equivalent role

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

Teaching staff

- Support the SENCo in implementing appropriate access arrangements for candidates

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	<i>SENCo gathers evidence to support the need for the candidate to take exams at home and for SRB</i> <i>Pastoral head provides written statement for file to confirm the need</i> <i>Approval confirmed by SENCo; AAO approval for both arrangements not required</i> <i>Pastoral head discussion with candidate to confirm the arrangements which should be put in place</i> <i>EO submits 'Alternative site form' for timetabled written exams to awarding body/bodies online using CAP</i> <i>An on-line submission must only be made for timetabled written examinations in the following qualifications...</i> <i>EO provides candidate with exam timetable and JCQ information for candidates</i> <i>Pastoral head confirms with candidate the information is understood</i> <i>Pastoral head agrees with candidate that prior to each exam will call to confirm fitness to take exam</i> <i>EO allocates invigilator(s) to candidate's timetable; confirms time of collection of exam papers and materials</i> <i>Invigilator monitors candidate's condition for each exam and records any issues on incident log</i> <i>Invigilator records supervised rest breaks (time and duration) on incident log and confirms full time given for exam</i> <i>Invigilator briefs EO after each exam on how candidate's performance in exam may have been affected by his/her condition</i> <i>EO discusses with pastoral head if candidate is eligible for special consideration (candidate present but disadvantaged)</i> <i>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)</i> <i>Pastoral head informs candidate that special consideration has been requested</i>
Persistent and significant difficulties in accessing written text	Reader/computer reader 25% Extra time Alternative rooming arrangements	<i>Confirms candidate is disabled within the meaning of the Equality Act 2010</i> <i>Papers checked for those testing reading</i> <i>Computer reader/examination reading pen sourced for use in papers (or sections of papers) testing reading OR up to 50% extra time awarded</i> <i>AAO application for approval processed</i> <i>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</i>
Significant difficulty in concentrating	Prompter Alternative rooming arrangements	<i>Gathers evidence to support substantial and long-term adverse impairment</i> <i>AAO application for approval processed</i> <i>Supporting evidence, AAO approval, signed candidate personal data consent form and completed Data</i>

		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	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, AAO approval, signed candidate personal data consent form and completed Data protection confirmation by the examinations officer or SENCo form 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

Exams Archiving Policy

The purpose of this policy is to:

- identify exams-related information/records held by the exams office
- identify the retention period
- determine the action required at the end of the retention period and the method of disposal
- inform or supplement the centre-wide records management policy/data retention policy

Type of information	Record description	Retention information/period	Method of disposal at the end of retention period
Access arrangements information	Spreadsheet kept during the academic year with candidate access arrangement information. Paper records stored in exams office secure cabinet.	Spreadsheet: students are deleted from the spreadsheet (if leavers), passed on to destination institutions (if leavers), or cloned and moved up to next year group. Paper records: are archived in the records room until the candidate is 25 years old, and then they are destroyed.	Digital data is deleted. Paper records are disposed of via confidential waste collection.
Alternative site arrangements	Any hard copy information generated on an alternative site arrangement. Notifications submitted online via CAP.	To be retained by the EO for one year following the related exam season.	Confidential waste collection.
Attendance register copies	Any hard copy information kept by the EO.	Kept until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is the longer.	Confidential waste collection.
Awarding body exams administration information	Any hard copy publications provided by awarding bodies.	Retained until the current academic year update is provided.	Confidential waste collection.

Candidates' scripts	Any unwanted copies of scripts returned to the centre through the Access to Scripts (ATS) service.	Retained securely until the awarding body's earliest date for confidential disposal of unwanted scripts.	Confidential waste collection.
Candidates' work	Non-examination assessment work returned to the centre by the awarding body at the end of the moderation period.	Logged when returned and kept secure until after the deadline for review of moderation has passed. Returned to subject staff as records owner.	Returned to candidates or confidential waste collection.
Certificates	Candidate certificates issued by awarding bodies.	Retained for a minimum of 12 months from the date of issue and destroyed after five years.	Confidential waste collection.
Certificate disposal information	A record of unclaimed certificates that have been destroyed.	Unclaimed certificates are retained for a minimum of 12 months. They are then destroyed in a confidential manner. A record of certificates that have been destroyed is retained for four years from their date of destruction.	Confidential waste collection.
Certificates issue/collected information	A record of certificates that have been issued.	Retained for five years.	Confidential waste collection.
Conflict of interest records	Records demonstrating the management of Conflicts of Interest.	The records are retained until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later. They may be requested by a JCQ Inspector.	Confidential waste collection.
Dispatch logs	Proof of dispatch of exam script packages to awarding body examiners covered by the DfE (Standards & Testing Agency) yellow label service.	Kept until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is the longer.	Confidential waste collection.
Entry information	Any hard copy information relating to candidates' entries.	Kept until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is the longer.	Confidential waste collection.
Exam question papers	Question papers for timetabled written exams.	Issued to Centre teaching staff 24hrs after the official start time of the exam. The	Issued to subject staff.

		exception to this would be if students were sitting an exam the following day as a result of a clash.	
Exam room checklists	Checklists confirming exam room conditions and invigilation arrangements for each exam session.	Kept until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is the longer.	Confidential waste collection.
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms for each exam session.	Kept until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is the longer.	Confidential waste collection.
Exam stationery	Awarding body exam stationery provided solely for the purpose of external exams.	Kept until all exams in a season are complete.	Confidential waste collection.
Examiner reports	Any examiner reports.	Immediately provided to head of department as records owner.	N/A
Finance information	Copy invoices for exams-related fees.	Retained by Finance department as records owner at the end of the academic year.	N/A
Initial point of delivery logs	Logs recording awarding body confidential exam materials received by an authorised member of staff at the initial point of delivery and the secure movement of packages by an authorised member of staff to the secure room for transferal to the centre's secure storage facility.	Kept until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is the longer.	Confidential waste collection.
Invigilation arrangements	• Invigilator internal schedule • JCQ checklist	Kept until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is the longer.	Confidential waste collection.
Invigilator and facilitator training records	A record of the content of the training given to invigilators and those facilitating an access arrangement for a candidate.	Retained in the centre and is available for the JCQ Inspector.	N/A
Moderator reports	Report printed from electronic copy.	Where printed from electronic copy they are immediately provided to head of department as records owner.	N/A

Moderation return logs	Hard copy of log signed by department on collection of moderated work.	Kept until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is the longer.	Confidential waste collection.
Overnight supervision information	Timetable variation and confidentiality declaration for overnight supervision for any candidate eligible for these arrangements.	Kept until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is the longer.	Confidential waste collection.
Post-results service: candidate consent information	Hard copy or email record of required candidate consent.	Kept until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is the longer.	Confidential waste collection.
Post-results service: request/outcome information	Any hard copy information relating to a post-results service request (RoRs, appeals, ATS) submitted to an awarding body for a candidate and outcome information from the awarding body.	Kept until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is the longer.	Confidential waste collection.
Post-results service: tracking log	Logs tracking to resolution all post-results service requests submitted to awarding bodies.	Kept until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is the longer.	Confidential waste collection.
Proof of postage: candidates' work	• Proof of postage of sample of candidates' work submitted to awarding body moderators. • Proof of postage of candidates' scripts to awarding body examiners/markers.	Kept until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is the longer.	Confidential waste collection.
Receipt, secure movement and secure storage logs	Logs recording confidential exam materials received (including encrypted materials received via email or downloaded from an awarding body's secure extranet site), checked and placed in the secure storage facility by the exams officer (or other authorised member of centre staff) throughout the period the materials are confidential.	Kept until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is the longer.	Confidential waste collection.

Resolving timetable clashes	Any hard copy information relating to the resolution of a candidate's clash of timetabled exam paper.	Kept until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is the longer.	Confidential waste collection.
Results information	Broadsheets of results summarising candidate final grades by subject by exam series.	Records for current year plus previous 6 years to be retained as a minimum.	Confidential waste collection.
Seating plans	Plans showing the seating arrangements of all candidates for every exam taken.	Kept until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is the longer.	Confidential waste collection.
Special consideration information	Any hard copy information relating to a special consideration request and supporting evidence submitted to an awarding body for a candidate.	Kept until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is the longer.	Confidential waste collection.
Suspected malpractice reports/outcomes	Any hard copy information relating to a suspected or actual malpractice investigation/report submitted to an awarding body and outcome information from the awarding body.	Kept until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is the longer.	Confidential waste collection.
Transferred candidate information	Any hard copy information relating to a transferred candidate arrangement. Applications submitted online via CAP.	Kept until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is the longer.	Confidential waste collection.
Very late arrival reports/outcomes	Any hard copy information relating to a candidate arriving very late to an exam. Reports submitted online via CAP.	Kept until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is the longer.	Confidential waste collection.

Examination Contingency Plan

Purpose of the Plan

This plan examines potential risks and issues that could cause disruption to the exams process at Derby Moor Spencer Academy. By outlining actions/procedures to be invoked in case of disruption it is intended to mitigate the impact these disruptions have on our exam process.

Alongside internal processes, this plan is informed by the 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 publication What schools and colleges and other centres should do if exams or other assessments are seriously disrupted and the JCQ Joint Contingency Plan for the Examination System in England, Wales and Northern Ireland and the JCQ document Preparing for disruption to examinations (Effective from 1 September 2023).

This plan also confirms Derby Moor Spencer Academy compliance with JCQ's General Regulations for Approved Centres (section 5.3) that the centre has in place: a written examination contingency plan which covers all aspects of examination administration. This will allow members of the senior leadership team to act immediately in the event of an emergency or 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, or on results day, owing to an unforeseen emergency. The potential impact of a cyber-attack should also be considered.

National Centre Number Register and other information requirements

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

Causes of Potential Disruption to the Exam Process

Exam Officer extended absence at a critical stage in the exam cycle

Criteria for Implementation of the Plan

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

Planning

- Annual data collection exercise not undertaken to collate information on qualifications and awarding body specifications being delivered.

- Annual exams plan not produced identifying essential key tasks, key dates and deadlines.
- Sufficient invigilators not recruited.

Entries

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

Pre-Exams

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

Exam Time

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

Results and Post-Results

- Access to examination results affecting the distribution of results to candidates.
- The facilitation of the post-results services.

Centre Actions

- Vice Principal Curriculum (KWI) to work with Assistant Vice Principal Exam line manager (CWR) to appoint a suitable Deputy Examinations Officer as quickly as possible, who will follow procedures and practices within the Examinations Officer remit.
- Exam Officer to ensure essential information is available to Assistant Vice Principal Exam line manager (CWR).
- Exam Officer to ensure that Exam cycle, policies and procedures are up to date at all times.

SENCo extended absence at a critical stage in the exam cycle

Criteria for Implementation of the Plan

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

Planning

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

Pre-Exams

- Approval for access arrangements not applied for to the awarding body.
- Centre-delegated arrangements not put in place.
- Modified paper requirements not identified in a timely manner to enable ordering to meet external deadline.
- Staff providing support to access arrangement candidates not allocated and trained.

Exam Time

- Access arrangement candidate support not arranged for exam rooms.

Centre Actions

- Vice Principal (CBH) who is line manager of SENCo to appoint a suitable Deputy SENCo as quickly as possible, who will follow procedures and practices within the SENCo remit.
- Exams Officer to ensure that essential information is available to Vice Principal/SENCo line manager.
- Exam Officer to ensure that Exam cycle, policies and procedures are up to date at all times.

Teaching Staff (Particularly Subject Leaders) a critical stage of the exam cycle

Criteria for Implementation of the Plan

Key tasks not undertaken including:

- Early/estimated entry information not provided to the Exams Officer on time, resulting in pre-release information not being received.
- Final entry information not provided to the Exams Officer on time, resulting in candidates not being entered for exams/assessments or being entered late/late or other penalty fees being charged by awarding bodies.
- Non-examination assessment tasks not set/issued/taken by candidates as scheduled.
- Internal assessment marks and candidates' work not provided to meet awarding body submission deadlines.

Centre Actions

- Vice Principal Curriculum (KWI) and Assistant Vice Principal (CWR) to ensure departmental continuity by ensuring that an alternative member of the subject/faculty team takes responsibility for the actions above.

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

- Examinations Officer to maintain a shortlist of suitable invigilators.
- Examinations Officer to maintain an availability list and identify reserve invigilators are in place for exam days.
- The school will work above the minimum required invigilator capacity to ensure that there is already some contingency for absence in place.
- Assistant Vice Principal (CWR)/Examinations Officer to review training procedures regularly and put in place additional training as required.
- Examinations Officer to ensure a specific Exams day Contingency Plan is in place (Page 42).
- Examinations Officer to ensure that a specific Emergency Evacuation Plan is in place (Page 52-54).
- Examinations Officer to ensure an Incident Log is in place (Page 55).

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

- Exams Officer must ensure that a full and detailed plan of exam rooming is completed well in advance of the examination series.
- Assistant Vice Principal (CWR)/Examinations Officer to review all stages of the examination processes in line meetings.
- In the event of the Sports Hall being out of use, the Assembly Hall and/or Gymnasium will need to be used as emergency accommodation.
- Where necessary the Examinations Officer will need to contact the Examinations board to inform them of the details of unexpected incidents.
- Examinations Officer to ensure that a specific Emergency Evacuation Plan is in place (Page 52 – 54).

Cyber-attack

Criteria for Implementation of the Plan

- Where a cyber-attack may compromise an aspect of delivery.
- Where a cyber-attack may compromise completing an examination.
- Where a cyber-attack may compromise the receipt of results.
- Where a cyber-attack may compromise the integrity of secure electronic assessment materials.

Centre actions to mitigate the impact of the disruption listed above

The centre will:

- Back up documentation on external storage devices.
- Retain hard copies of all entries, seating plans, registers and other relevant documentation.
- Keep all secure account details secure and ensure that passwords are unique and robust.
- Enable additional security settings where possible (such as multi-factor authentication).
- Monitor accounts regularly and remove accounts for staff who no longer require access.
- Ensure that all users have levels of access that are appropriate to their role.
- Report any concerns immediately to school and trust IT staff, and the relevant awarding body.
- Exams officer will contact exam boards for advice on completing onscreen tests or receipt of results.

Failure of IT Systems

Criteria for Implementation of the Plan

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

Centre Actions

- Assistant Vice Principal (CWR)/Examinations Officer to contact school/Trust IT Manager/Technicians who are on site.
- Examinations Officer to contact all Examination boards (see Page 51 – which includes telephone numbers) for alternative method for dissemination of results.

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

- Examinations Officer to ensure that a specific Emergency Evacuation Plan is in place (Page 52 - 54).
- Assistant Vice Principal (CWR)/Examinations Officer to ensure that students and invigilators are aware of the process to follow in the event of fire alarm/serious incident/lockdown through training, exam booklets and assembly.

Disruption of Teaching Time – Centre Closed for an Extended Period

Criteria for Implementation of the Plan

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

Centre Actions

- The Headteacher/Governors to communicate with parents, carers and students about the potential for disruption to teaching time and the plans for addressing this
- Alternative venues to be prioritised for students with up-coming examinations. (Derby University/Riverside Centre to be contacted.)

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

Criteria for Implementation of the Plan

- Candidates are unable to attend the examination centre to take examinations as normal.

Centre Actions

- The centre to communicate with relevant awarding organisations at the outset to make them aware of the issue. The centre to communicate with parents, carers and candidates regarding solutions to the issue.
- Examinations Officer to liaise with Exam boards to sit exam at a different location in extreme situations.
- Should a significant number of students need to be isolated due to sickness, the Assembly Hall/Gym/Rooms 65 and 67 may be used. Decision to be taken in line with the situation.
- Where a small number of students are affected, we would use HO12/067 with separate invigilators.

Centre may not be able to open as normal during the examination period

Criteria for Implementation of the Plan

- Centre may not be able to open as normal for scheduled examinations (including centre being unavailable for examinations owing to an unforeseen emergency).
- A centre which is unable to open as normal for examinations must inform each awarding organisation with which examinations are due to be taken as soon as is possible.

Centre Actions

- Inform each awarding organisation with which examinations are due to be taken as soon as is possible.
- Consider 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).
- The Principal/SLT of the school will ensure that an alternative local venue is found (Contact to be made with Derby University/The Riverside Centre.)

Disruption in the Distribution of Examination Papers

Criteria for Implementation of the Plan

- Disruption to the distribution of examination papers to the centre in advance of examinations.

Centre Actions

- The Examinations Officer to communicate with awarding organisations to organise alternative delivery of papers.
- Examinations Officer to ensure that papers are kept securely until needed.
- Identified staff have key to Exam paper storage area.

Disruption to the Transportation of Completed Examination Scripts

Criteria for Implementation of the Plan

- Delay in normal collection arrangements for completed examination scripts.

Centre Actions

- The Examinations Officer to communicate with relevant awarding organisations at the outset to resolve the issue.
- Alternative transport should only be used with the agreement of the relevant Exam boards.
- All scripts will be stored securely until transportation is confirmed.

Assessment Evidence is not Available to be Marked

Criteria for Implementation of the Plan

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

Centre Actions

- It is the responsibility of the Head of Centre (School Principal) to communicate this immediately to the relevant awarding organisation(s) and subsequently to students and their parents or carers.

Centre Unable to Distribute Results as Normal

Criteria for Implementation of the Plan

- Centre is unable to access or manage the distribution of results to candidates, or to facilitate post-results services.

Centre Actions

- Centres to contact awarding organisations about alternative options.
- If this involves accessing results at a different site there may be need to inform staff, students and parents as soon as possible of the changes in distributing results.

Appendix 1 - Exams Day Contingency Plan

Examination Item	Location/Holder Name	Responsibility
Keys to secure storage for exam papers and exam stationery	Exam storage room Learning Hub. Includes shelving and lockable containers.	CWR and KRE

	KRE (EO) / CWR (SLT) / LRU (EA) / Luke Knight (Site Manager) Specific key needed for entry.	
Exams Office – Centre Timetable	Exam timetable widely published (email) and displayed in key areas around the school.	KRE
Seating Plans	These will be in exam boxes for the invigilators to collect. They will also be displayed in key areas around the school. Students have their own personal exam timetable with	KRE
Exam Cards/Layout of exam room/notices etc	Exam cards will be on the student exam desk. Attendance will be completed by an appointed invigilator. Main exam room set out by site staff. Access Arrangements by SENCo and team.	KRE
Invigilators	To meet in LH4 prior to the start of an examination day for briefing and updates. Invigilators booked and attendance and locations for the exam days clearly documented.	KRE
Access Arrangements	To be notified and checked on attendance sheets. Students will be collected by invigilators from Flexible Learning Centre or meet at scheduled examination room.	KRE/SEND team
Script envelopes/Examiner address labels.	Secure cupboard (Exam Administrator or exams support aware).	KRE/LRU
Exam Clashes	Resolution notice and arrangements where? Invigilators in Exam Hall/Access arrangement areas.	KRE
Collection of scripts	Invigilators to return to exams office.	KRE
Collation of scripts	Scripts checked off on official registers. Official attendance sheets completed before posting.	KRE/LRU
Completion of proof of posting form/posting scripts	Stored in lockable cupboard until collection.	KRE
Awarding body telephone numbers:	AQA 08001 977 162 OCR 01223 553 998 Pearson 03444 632 535 WJEC 02920 265 077	

Appendix 2 - Policy for Severe Disruption/Evacuation During External Examinations

Unreasonable Noise Disruption

In the event of a severe disruption in an externally set examination, invigilators are advised to stop the examination, tell the candidates to close their answer books, make a note of the time and summon help. (Exam Officer, Staff on Call (SLT), main office) to assist in resolving the issue. Exam conditions must be maintained while the resolution is sought. The lead invigilator will have a radio to communicate.

When the disruption has been resolved the candidates can resume their examination and the time taken to resolve the issue will be added on to the end of the examinations. The candidates must be supervised at all times and thus the break in the examination can be regarded as a 'supervised rest break'.

An incident log must be completed with the times of the disruptions noted. The Examinations Officer will make the Examining bodies aware of the disruption if necessary.

Fire/Bomb/Flood/Lockdown During an Examination

In the event of a fire alarm or bomb alert sounding (or any other emergency situation arising) during an examination, the first priority of the invigilators is to preserve life. The next priority is to ensure the security of the examination.

The lead invigilator should summon assistance (using radio), if there is time and it is appropriate, via the Exams Officer (Channel 8)/Senior staff (Channel 12) who will confirm if immediate evacuation is necessary. The principal of the school will decide in liaison with the Site Manager/Fire Officer as to whether a full evacuation is necessary.

If the emergency is over quickly, the candidates should resume the examination. The lead invigilator should make note of any time lost for the disruption. This will be added to the end of the examination so that the students have had the full allocated time to work on the examination.

An incident log must be completed with the times of the disruption noted. For more significant disruptions a special consideration form will be completed so as not to disadvantage the candidates.

Appendix 3 - Procedure for Emergency Evacuation from an Examination

If it is necessary to evacuate the building, the lead invigilator, should then stop the examination taking a note of the time and evacuate the examination room by row in silence. The candidates must leave all examination papers, scripts and writing equipment in the examination room. The candidates will remain supervised and in silence throughout the emergency. Several other members of staff (at least 1 from SLT) will help support the examination evacuation.

In the event of an emergency requiring candidates to evacuate the building during an examination, the following area(s) should be used:

For candidates in the main hall (Sports Hall or Assembly Hall):

Candidates will use the fire exits at the front of the examination hall which will take them to the outside car park.

Candidates that exit from the door nearest Reception should be directed calmly and in silence to move away from the school building to the edge of the school perimeter (near

Moorway Lane) and line up on the pavement starting from Ivy House entrance. Candidates should remain in examination conditions and follow instructions to stay in single file.

Candidates that exit from the door nearer the staff car park should be directed calmly and in silence to move away from the school building to the edge of the school perimeter (near Moorway Lane) and line up on the pavement starting from the staff car park barrier to the bus bays. Candidates should remain in examination conditions and follow instructions to stay in single file.

Candidates that are being supervised separately as part of access arrangement will need to exit the school from the nearest exit as directed by the invigilator and move away from the building, whilst remaining in exam conditions.

The examinations rooms should be securely locked after candidates have vacated the examination room.

At all times invigilators must act in accordance with section 25 of the instructions for 'conducting examination' booklet. They should also summon assistance immediately an emergency arises. Silence should be maintained during the time that the candidates are outside the examination room.

Section 25 of 'Instructions for conducting examination' states:

- The Lead invigilator must take the following action in an emergency such as fire alarm or bomb alert:
- Stop the candidates from writing.
- Collect the attendance register and evacuate the examination room in line with the school policy (see above).
- Advise candidates to leave all question papers, exam scripts and equipment in the examination room.
- Candidates should leave the room in silence.
- Make sure that the candidates are supervised as closely as possible while they are out of the examination room, ensuring 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 full working time set for the examination.
- 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 the action taken and send to the relevant awarding bodies.

Appendix 4 - Procedure for Lockdown During an Examination

- In the event of lockdown, a siren will be signalled.
- This will mean that the examination room will need to be secured.
- Fire doors should remain closed, and invigilators should ensure that an intruder does not have easy access to the examination hall.
- All other entrance doors should be locked.

- Students will then need to be directed to leave their examination desks and move to the sides of the examination room so that they are completely out of sight of vision from doors or windows.
- Candidates must do this in silence not only to uphold examination conditions but to ensure that any intruder is not alerted to sound.
- All question papers, exam scripts and equipment should remain on the examination desks.
- Make sure that the candidates are supervised as closely as possible while they are out of the examination seat, ensuring as far as possible that there is no discussion about the examination.
- The lead invigilator should at an appropriate period make a note of the time of the interruption and how long it lasted.
- The lead invigilator will then listen for radio communication and advice of the position in the examination room if/when requested.
- Once the incident has been resolved, students are to return to their examination desk in silence.
- Wait for the lead invigilator to re-commence the examination, with added time.
- Following the examination, the lead invigilator with the Exam Officer should make a full report of the incident and the action taken and send to the relevant awarding bodies

Appendix 5 – Exam Room Incident Log

EXAM ROOM INCIDENT LOG

This log is for exams officer and invigilator use to record any irregularities¹ that may take place in the exam room at the point of occurrence

Day	Date			Session ☒		Exam room
	DD	MM	YYYY	AM	PM	

Exam(s) taking place in this room

Paper code	Awarding body and Subject title	FOR EXAMS OFFICER USE ONLY
		If an incident relates to a matter that must be reported as follow up to the awarding body (e.g. very late arrival, suspected malpractice, special consideration) tick box in relevant row to confirm submission of report to awarding body

Time	Incident description and any actions (taken by exams officer and/or invigilator) at the point of occurrence
	Incident recorded by:
	Incident recorded by:
	Incident recorded by:
	Incident recorded by:

After the exam(s) in this room has (have) concluded, incidents recorded here will inform any required follow-up actions/reports to awarding bodies. This log will be affixed to signed copies of the **seating plan**, **attendance register(s)** and **exam room checklist** for this exam room session.

¹ Irregularities are unplanned incidents that could impact on the integrity and security of the exam, breach the rules and regulations or affect the conditions that enable candidates to achieve their potential. Examples include: candidate late/very late arrival; suspected malpractice (candidate, centre staff); emergency evacuation; candidate illness/distress/need to leave the exam room temporarily (e.g. requiring a toilet break); disturbance inside/outside the exam room; unauthorised persons entering the exam room etc.

This template is provided for members of The Exams Office only and must not be shared beyond use in your centre

Further guidance

Irregularities are unplanned incidents that could impact on the security of the examination, breach the rules and regulations or affect the conditions that enable candidates to achieve their potential. Examples include: candidate late/very late arrival; suspected malpractice (candidate or staff); emergency evacuation; lockdown; candidate illness/distress; disturbance inside/outside the exam room; unauthorised person entering the exam room, etc.

GOV.UK

Emergency planning and response - Severe weather - Exam disruption

- <https://www.gov.uk/guidance/emergencies-and-severe-weather-schools-and-early-years-settings>

Teaching time lost due to severe weather conditions

- <https://www.gov.uk/government/publications/teaching-time-lost-due-to-severe-weather-conditions>

Dispatch of exam scripts: yellow label service

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

Statutory guidance on school closures

- <https://www.gov.uk/government/publications/school-organisation-maintained-schools>

Ofqual

Joint contingency plan in the event of widespread disruption to the examination system in England, Wales and Northern Ireland

- <https://www.gov.uk/government/publications/exam-system-contingency-plan-england-wales-and-northern-ireland/joint-contingency-plan-in-the-event-of-widespread-disruption-to-the-examination-system-in-england-wales-and-northern-ireland>

JCQ

- General regulations for approved centres
- <http://www.jcq.org.uk/exams-office/general-regulations>
- Guidance on alternative site arrangements
- <http://www.jcq.org.uk/exams-office/forms>
- Instructions for conducting examinations
- <http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations>
- A guide to the special consideration process
- <http://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance>

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](#)

Contingency planning

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

General contingency guidance

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

Disruption to assessments or exams

- In the absence of any instruction from the relevant awarding organisation, you should make sure that any exam or timetabled assessment takes place if it is possible to hold it. This may mean relocating to alternative premises. You should discuss alternative arrangements with your awarding organisation if:
 - the exam or assessment cannot take place
 - a student misses an exam or loses their assessment due to an emergency, or other event, outside of the student's control
- [You may also wish to see the JCQ's notice to centres on exam contingency plans](#) and [JCQ's notice on preparing for disruption to examinations](#) in England, Wales and Northern Ireland for qualifications within its scope.

Steps you should take

Exam planning

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

In the event of disruption

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

After the exam

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

General Examinations Policy

Purpose of the Policy

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

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

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

This policy will be communicated to all relevant centre staff and available via the staff secured working area as well as our Examination portal on Derby Moor Spencer Academy school 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 published JCQ regulations and awarding body requirements

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

***The head of centre cannot also be the examinations officer. A Head of Centre and an Examinations Officer are two distinct and separate roles."** (JCQ General Regulations for Approved Centres 2025-26, 2.3 – 2.5)*

Head of Centre:

Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:

General Regulations for Approved Centres (GR)

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

Instructions for Conducting Examinations (ICE)

<https://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations>

Access Arrangements and Reasonable Adjustments (AA)

<https://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance>

Suspected Malpractice Policies and Procedures (SMPP)

<https://www.jcq.org.uk/exams-office/malpractice>

Instructions for Conducting Non-Examination Assessments (NEA) (and the Instructions for Conducting Coursework)

<https://www.jcq.org.uk/exams-office/non-examination-assessments>

- Ensures the centre has appropriate accommodation to support the size of the cohorts being taught.
- Ensures the National Centre Number Register annual update (administered on behalf of the JCQ member awarding bodies by OCR) is responded to by the end of October confirming they are both aware of and adhering to the latest version of the JCQ regulations and signs and returns the Head of Centre's declaration which is then kept on file for inspection purposes.
- Ensures the Exams Officer (EO) receives appropriate support and attends appropriate training offered by awarding bodies, MIS providers and other external providers to enable the exam process to be effectively managed and administered.
- Ensures a named member of staff acts as the Special Educational Needs Co-ordinator (SENCo).
- Ensures centre staff are supported and appropriately trained to undertake key tasks within the exams process.
- Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the EO.
- Ensures that a teacher who teaches the subject being examined, or a senior member of teaching staff who has had overall responsibility for the candidate's preparation for the examination, is not an invigilator during the timetabled written examination or on-screen test.
- Ensures confidentiality and security within the examination process is compliant with and managed according to JCQ and awarding body regulations, guidance and instructions including:
 - The location of the centre's secure storage facility in a secure room solely assigned to examinations for the purpose of administering secure examination materials.
 - The relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk.
 - That arrangements are in place to check that the correct question paper packets are opened by authorised members of centre staff.
- Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place - that allows the HoC to

act immediately in the event of an emergency or staff absence (see Exam Contingency Plan – Page 42).

- Ensures required internal appeals procedures are in place (Internal appeals procedures Page 74).
- Ensures a disability policy for exams showing the centre's compliance with relevant legislation is in place (Disability policy & Access Arrangements (exams) – Page 58
- Ensures a complaints and appeals procedure covering general complaints regarding the centre's delivery or administration of a qualification is in place (Complaints and appeals procedure (exams) Page 78).
- Ensures the centre has a child protection/safeguarding policy in place, including Disclosure and Barring Service (DBS) clearance, which satisfies current legislative requirements.
- Ensures the centre has a data protection policy in place.
- Ensures the centre has documented processes in place relating to access arrangements and reasonable adjustments (Disability & Access arrangements policy Page 58
- Ensures staff are only entered for qualifications through the centre as a last resort where entry through another centre is not available.
- Ensures the appropriate steps are taken where a candidate being entered for exams is related to a member of centre staff.
- Ensures members of centre staff do not forward e-mails and letters from awarding body or JCQ personnel without prior consent to third parties or upload such correspondence onto social media sites such as Facebook.
- Ensures members of centre staff do not advise parents/candidates to contact awarding bodies/JCQ directly.
- Ensures that the SENCo sufficient time to both manage the access arrangements process within the centre and familiarise themselves with the JCQ publication Access Arrangements and Reasonable Adjustments. (GR, 5.3.c)
- Ensures that the examinations officer is line managed and actively supported by a member of the senior leadership team who has a good working knowledge of the examination system. (GR, 5.3.c)
- Ensures that the examinations officer has sufficient time to perform their role and familiarise him/herself with relevant awarding body and JCQ documentation (GR, 5.3.c).

Exams Officer:

Understands the contents of annually updated JCQ publications including:

General Regulations for Approved Centres (GR)

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

Instructions for Conducting Examinations (ICE)

<https://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations>

Access Arrangements and Reasonable Adjustments (AA)

<https://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance>

Suspected Malpractice in Examinations and Assessments (SMEA)

<https://www.jcq.org.uk/exams-office/malpractice>

Instructions for Conducting Non-Examination assessments (NEA) (and the Instructions for Conducting Coursework)

<https://www.jcq.org.uk/exams-office/non-examination-assessments>

Post-Results Services (PRS)

<https://www.jcq.org.uk/exams-office/post-results-services>

- Is familiar with the contents of annually updated information from awarding bodies on administrative procedures, key tasks, key dates and deadlines.
- Ensures key tasks are undertaken and key dates and deadlines met.
- Recruits, trains and deploys a team of internal/external invigilators; appoints lead invigilators, as required, and keeps a record of the content of training provided to invigilators for the required period.
- Briefs other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials on the requirements for maintaining the integrity and confidentiality of the exam materials.
- Advises the Senior Leadership Team, subject and class tutors and other relevant support staff on annual exam timetables and application procedures as set by the various awarding bodies.
- Oversees the production and distribution to staff, invigilators and candidates of an annual calendar for all exams.
- Consults with teaching staff to ensure that necessary controlled assessment is completed on time and in accordance with JCQ guidelines.
- Provides and confirms detailed data on estimated entries.
- Receives, checks and stores securely all exam papers and completed scripts.
- Administers access arrangements and makes applications for special consideration using the JCQ publications Access arrangements, reasonable adjustments and special consideration
- Identifies and manages exam timetable clashes.
- Organises the recruitment, training and monitoring of a team of exams invigilators responsible for the conduct of exams.
- Submits candidates' Controlled Assessment marks, tracks despatch and stores returned controlled assessment and any other material required by the appropriate awarding bodies correctly and on schedule.

- Arranges for dissemination of exam results and certificates to candidates and forwards, in consultation with the SLT, any appeals/re-mark requests.
- Maintains systems and processes to support the timely entry of candidates for their exams.
- Books all exam rooms after liaison with other users.
- Ensures that Site Management have set up the allocated rooms.

Assistant or Vice Principal (Curriculum):

The Assistant or Vice Principal Curriculum is responsible for:

- Providing leadership in all matters relating to examinations.
- Organising teaching and learning.
- Managing external validation of courses.
- Ensuring that the Centre prepares all students to sit examinations in accordance with JCQ guidelines and to ensure that these guidelines are adhered to.
- Ensuring that the requirements of the Equality Act 2010 are met.
- Ensuring that Centre staff are aware of and comply with the JCQ requirements for 'The people present in the Examination Room'.

Senior Leaders (SLT):

Are familiar with the contents, refer to and direct relevant centre staff to annually updated JCQ publications including:

General Regulations for Approved Centres (GR)

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

Instructions for Conducting Examinations (ICE)

<https://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations>

Access Arrangements and Reasonable Adjustments (AA)

<https://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance>

Suspected Malpractice Policies and Procedures (SMPP)

<https://www.jcq.org.uk/exams-office/malpractice>

Instructions for Conducting Non-Examination Assessments (NEA) (and the Instructions for Conducting Coursework)

<https://www.jcq.org.uk/exams-office/non-examination-assessments>

Special Educational Needs Co-ordinator (SENCo):

The SENCo:

- Is familiar with the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:

Access Arrangements and Reasonable Adjustments

<https://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance>

- 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 the administration of the assessment process.
- Presents when requested by a JCQ Centre Inspector, evidence of the assessor's qualification.
- The provision of additional support - with spelling, reading, mathematics, dyslexia or essential skills, hearing impairment, English for speakers of other languages, IT equipment - to help candidates achieve their course aims.
- Working with the Examinations Officer and staff within the Learning Support Team in respect to the planning and implementation of Access Arrangements.

Head of Faculty:

- Ensures teaching staff undertake key tasks, as detailed in this policy, within the exams process (exam cycle) including submission of entries, estimated grades and the provision of internal examination papers and meet internal deadlines set by the EO and SENCo.
- Ensures teaching staff keep themselves updated with awarding body subject and teacher-specific information to confirm effective delivery of qualifications.
- Ensures teaching staff attend relevant awarding body training and update events.
- Ensuring that all internal assessment (Controlled Assessment) is ready for despatch at the correct time.
- Ensuring that marks for all internally assessed work are provided to awarding bodies ahead of deadlines.
- Ensuring that proper structures exist within their Area for the moderation and standardisation of all internal assessments.

Teaching staff:

- Undertake key tasks, as detailed in this policy, within the exams process and meet internal deadlines set by the EO and SENCo.
- Submit accurate estimated entry information ahead of the awarding body deadline.
- Ensure accurate sign off for candidate entries.

- Keep updated with awarding body subject and teacher-specific information to confirm effective delivery of qualifications.
- Ensuring that students are aware of the JCQ, Examination Body and Centre requirements pertaining to their taught course.
- Ensuring that JCQ guidelines are adhered to when preparing students for internal assessment (Controlled Assessment).
- Attend relevant awarding body training and update events.
- The submitting of candidates' names to the Heads of Faculty and the Examinations Office.
- Ensuring that the JCQ requirements for 'The people present in the Examination Room' (see below) are fulfilled.

Invigilators:

- Attend training, update, briefing and review sessions as required.
- Provide information as requested on their availability to invigilate.
- Sign a confidentiality and security agreement and confirm whether they have any current maladministration/malpractice sanctions applied to them.
- Maintaining vigilance to ensure that all Examination Regulations are adhered to by students during External examinations.
- Ensuring that the regulations in respect to 'People present in the Examinations Room' are adhered to by staff who may enter the Examinations Room.

Reception staff:

- Support the EO in the receipt and dispatch of confidential exam materials and follow the requirements for maintaining the integrity and confidentiality of the exam materials.

Site staff:

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

Candidates:

- Confirming entries.
- Complying with Controlled Assessment regulations and signing a declaration that authenticates the controlled assessment as their own.
- Understanding and fulfilling the JCQ, Examination Body and Centre requirements.

Qualifications

The qualifications offered at this centre are decided by the Head of Centre, Heads of Faculty and Senior Leadership Team. The qualifications offered are GCE, GCSE, BTEC, Functional Skills, **Entry Level**, and EPQ.

Examination Seasons/Series and Planning

Internal exams and assessments are currently scheduled in November and March for Year 11, December for Year 12, and June for Year 9 and 10. Internal exams are held under external exam conditions.

External GCE and GCSE exams and assessments are scheduled in November, May and June.

Most BTEC examinations are conducted in Jan/Feb and May/June.

On-demand tests can be scheduled only in windows agreed between the Exams Officer and the SLT.

The Exam Cycle

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

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

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

Information Sharing

Head of Centre:

Directs relevant centre staff to annually updated JCQ publications including:

General Regulations for Approved Centres (GR)

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

Instructions for Conducting Examinations (ICE)

<https://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations>

Access Arrangements and Reasonable Adjustments (AA)

<https://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance>

Suspected Malpractice Policies and Procedures (SMPP)

<https://www.jcq.org.uk/exams-office/malpractice>

Instructions for Conducting Non-Examination Assessments (NEA) (and the Instructions for Conducting Coursework)

<https://www.jcq.org.uk/exams-office/non-examination-assessments>

Exams Officer:

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

Information 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 exam plan of key tasks and key dates to ensure all external deadlines can be effectively met; informs key centre staff of internal deadlines.
- Collects information on internal exams to enable preparation for and conduct of Mock Examinations.

Head of Faculty:

- Responds (or ensures teaching staff respond) to requests from the EO on information gathering.
- Meets the internal deadline for the return of information.
- Informs 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.
- Notes the internal deadlines in the annual exams plan and directs teaching staff to meet these.

Access Arrangements

Head of Centre:

- Ensures there is appropriate accommodation for candidates requiring access arrangements in the centre for all examinations and assessments.
- Ensures a written process is in place to not only check the qualification(s) of the appointed assessor(s) but that the assessment process is administrated correctly.

- Ensures the SENCo is fully supported in effectively implementing access arrangements and reasonable adjustments once approved.
- Ensures that appropriate resources are in place at the time of exams or assessments to meet the access arrangement needs of candidates.

SEnCo:

- Assesses candidates (or works with the appropriately qualified assessor as appointed by the Head of Centre) to identify access arrangements requirements.
- Gathers **evidence** to support the need for access arrangements for a candidate.
- Liaises with teaching staff to gather evidence of **normal way of working** of an affected candidate.
- Determines candidate eligibility for arrangements or adjustments that are centre delegated.
- Gathers signed **data protection notices** from candidates where required.
- Applies for **approval** through *Access Arrangements Online* (AAO) via the Centre Admin Portal (CAP), where required or through the awarding body where qualifications sit outside the scope of AAO.
- Keeps relevant paperwork and evidence on file for JCQ inspection purposes.
- 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 appropriately trained and understand the rules of the particular arrangement(s) and keeps a record of the content of training provided to facilitators for the required period.
- Provides and annually reviews a centre procedure on the **use of word processors** in exams and assessments.
- Ensures criteria for candidates granted **separate invigilation within the centre** is clear, meets JCQ regulations and best meets the needs of individual candidates and remaining candidates in main exam rooms. (Disability and Access Arrangement Policy – 58-70)

Senior Leaders, Identified Subject Leaders (Senior Teacher/Faculty Leader), Teaching staff:

- Support the SENCo in determining and implementing appropriate access arrangements.
- Provide a statement for inspection purposes which details the criteria the centre uses to award and allocate word processors for examinations.

Internal Assessment and Endorsements

Head of Centre:

- Ensures an **internal appeals procedure Page 74** relating to internal assessment decisions is in place for a candidate to appeal against and request a review of the centre's marking (see Roles and Responsibilities overview).
- Ensures a **non-examination assessment policy Page 80** is in place for GCE and GCSE qualifications which include components of non-examination assessment.
- Ensures any irregularities relating to the production of work by candidates are investigated and any cases of suspected malpractice are reported to the awarding body, as required.

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.

Identified Subject Leaders (Senior Teacher/Faculty Leader):

- Ensures teaching staff delivering legacy GCE unitised AS and A-level qualifications (which include elements of coursework) and Entry Level or Project qualifications follow JCQ Instructions for conducting coursework and the specification provided by the awarding body.

<https://www.jcq.org.uk/exams-office/coursework/>

- Ensures teaching staff delivering GCE and 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.

<https://www.jcq.org.uk/exams-office/non-examination-assessments>

- For other qualifications, ensures teaching staff follow appropriate instructions issued by the awarding body.
- Ensures 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 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 or to facilitate an access arrangement, that such persons are competent and fully trained, understanding what is and what is not permissible.

Exams Officer:

- Recruits additional invigilators where required to effectively cover all exam periods/series throughout the academic year.
- Collects information on new recruits to identify if they have invigilated previously and if any current maladministration/malpractice sanctions are applied to them.
- Provides a training event for new invigilators on the instructions for conducting exams and an annual update event for the existing invigilation team so that they are aware of any changes.
- 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 that these candidates are identified on the seating plan) and confirms invigilators understand what is and what is not permissible.
- Ensures invigilators are made aware of the Equality Act 2010 and are trained in disability issues.
- 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.
- Collects evaluation of training to inform future events.

Entries: Roles and Responsibilities

Estimated Entries

Exams Officer:

- Requests made for estimated or early entry information, where this may be required by awarding bodies, from ST/FL's in a timely manner to ensure awarding body external deadlines for submission can be met.

Identified Subject Leaders (Senior Teacher/Faculty Leader):

- Provides information requested by the EO to the internal deadline.
- Informs the EO immediately of any subsequent changes to information.

Final Entries

Decisions on whether a candidate should be entered for a particular subject will be taken in consultation with the candidates and Subject teachers; the final decision lies with the Senior Leadership Team.

Exams Officer:

- Requests final entry information from ST/FL's in a timely manner to ensure awarding body external deadlines for submission can be met.
- Informs ST/FL's of subsequent deadlines for making changes to final entry information without charge.
- Confirms with ST/FL's 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.
- Enter candidates under names that can be verified against suitable identification such as birth certificates or passports (i.e. legal name).

Identified Subject Leaders (Senior Teacher/Faculty Leader):

- Provides information requested by the EO to the internal deadline.
- Informs 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.
- Checks final entry submission information provided by the EO and confirms information is correct.

Entry Fees

- The centre will pay all normal exam fees on behalf of candidates.
- Candidates and Faculties will not be charged for changes of tier, withdrawals made by the proper procedures or alterations arising from administrative

processes provided these are made within the time allowed by the Awarding Bodies.

- Entry fees are paid by the Centre.
- Late entry or amendment fees are paid by the Faculty.
- Fee reimbursements are sought from candidates who fail to sit an exam/do not meet the necessary Controlled Assessment requirements without medical evidence or evidence of other mitigating circumstances.
- Examination results may be withheld until such payment or evidence is presented.

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.

Identified Subject Leaders (Senior Teacher/Faculty Leader):

Minimises the risk of late entries by:

- Following procedures identified by the EO in relation to making final entries on time.
- Meeting internal deadlines identified by the EO for making final entries.

Re-Sit Entries

- Re-sit entries are made after discussion between Identified Subject Leaders, Senior Teacher/Faculty Leader) and SLT. Retake decisions will be made in consultation with Heads of Faculty and the Vice Principal (Curriculum).
- The Centre does not act as an Exam Centre for other organisations.
- Re-sit fees may be charged to the candidate.

Private Candidates

The Centre does not act as an Exam Centre for other organisations and does not facilitate private candidates.

Candidate Statements of Entry

Exams Officer:

- Provides candidates with statements of entry for checking.
- Where amendments are made then the checking process needs repeating as a FINAL version.

Teaching staff:

- Ensure candidates check statements of entry and return any relevant confirmation required to the EO.
- Ensure that where students query their tier of entry, they work through subject teachers who then liaise with the EO. Checks to ensure the accuracy of these changes will then also need to occur.

Candidates:

- Confirm entry information is correct or notify the EO of any discrepancies, including a final check where amendments have been made.
- Where there are queries around the tier of entry, the student should work with the class teacher and Head of subject.

Pre-Examinations: Roles and Responsibilities

Access Arrangements

SENCo:

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

Briefing candidates

Exams Officer:

- Issues individual exam timetable information to candidates.
- Prior to exams, issues relevant JCQ information for candidates' documents.
- Where relevant, issues relevant awarding body information to candidates.

- Issues centre exam information to candidates including information on:
 - Exam timetable clashes.
 - Arriving late for an exam.
 - Exam accommodation (rooming).
 - Absence or illness during exams.
 - What equipment is/is not provided by the centre.
 - Food and drink in exam rooms.
 - Prohibited items.
 - Exam room regulations.
 - Malpractice and the use of AI.
 - When and how results will be issued and the staff that will be available.
 - The post-results services and how the centre deals with requests from candidates.
 - When and how certificates will be issued.

Dispatch of Exam Scripts

Exams Officer:

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

Estimated Entries

Identified Subject Leaders (Senior Teacher/Faculty Leader):

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

Exams Officer:

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

Internal Assessment and Endorsements

Head of Centre:

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

SENCo:

- Liaises with teaching staff and Examinations Officer 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.

Identified Subject Leaders (Senior Teacher/Faculty Leader):

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

Exams Officer:

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

Candidates:

- Authenticate their work as required by the awarding body.

Invigilation

Exams Officer:

- Provides an annually reviewed/updated invigilator handbook to invigilators, trains new invigilators on appointment and updates experienced invigilators annually on new JCQ regulations.
- 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, reader or scribe] are accommodated on a 1:1 basis.
- Allocates invigilators to exam rooms (or where supervising candidates due to a timetable variation) according to the required ratios.
- Liaises with the SENCo 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 Inspection

Exams Officer and/or Senior leader:

- Will accompany the Inspector throughout the visit.
- Provide required documentation when requested.

Seating and identifying candidates in exam rooms

Exams Officer:

- Ensures a procedure is in place to verify candidate identity including private candidates.
- Ensures invigilators are aware of the procedure.
- Provides seating plans for exam rooms according to JCQ and awarding body requirements.

Invigilators:

- Follow the procedure for verifying candidate identity provided by the EO.
 - Prior to all examinations, candidate cards (with name, candidate number and picture) will be placed face up on exam desks by invigilators. Invigilators/EO will check once candidates have sat down at their desks that they candidate is in the correct seat, prior to the start of the exam.
 - Candidates without a school photograph will be identified by a member of SLT prior to the start of the exam.
 - External candidates will be required to bring in their own form of photo ID (driving license, passport, etc.) to verify their identity.
- Seat candidates in exam rooms as instructed by the EO on the seating plan.

Security of Exam Materials

Exams Officer:

- 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 placed in the secure storage facility.
- Receives, checks, and securely stores question papers and other exam materials according to JCQ and awarding body requirements.

- Ensures that confidential exam and assessment materials accessed via a secure download are treated with the same level of care as physical materials.

- Reports any potential or actual breaches of exam or assessment materials to the relevant awarding body immediately.

Reception staff:

- Follow the process to log confidential materials delivered to/received by the centre and issued to authorised staff.

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 JCQ regulations (only applying overnight supervision arrangements in rare and exceptional circumstances and as a last resort).
- Identifies exam rooms and specialist equipment requirements.
- Allocates invigilators to exam rooms (or where supervising candidates due to an exam timetable clash) according to required ratios.
- Liaises with site staff to ensure exam rooms are set up according to JCQ and awarding body requirements.
- Liaises with the SENCo regarding rooming of access arrangement candidates.

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 Rooming Arrangements

At Derby Moor Spencer Academy arrangements for seating candidates in rooms separate to the main cohort may be put in place in other circumstances. As and when applicable, these circumstances include:

- Candidates needing a small group
- Candidates with readers/computer readers/word processors
- Candidates needing a scribe or 1 to 1 invigilation

Decisions on the awarding of the arrangement are made by:

- Mrs Laura McGuinn (SENCO)
- Year Manager

Decisions are based on:

- Whether the candidate has a substantial and long-term impairment which has an adverse effect (AA 5.16)
- The candidate's normal way of working within the centre (AA 5.16)
- Ensuring the proposed arrangement does not unfairly disadvantage or advantage the candidate (AA 4.2.1)
- Nervousness, low level anxiety or being worried about examinations is not sufficient grounds for separate invigilation within the centre.(AA 5.16)

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

- The candidate has an established difficulty as defined in section 5.16 of the **JCQ's Access Arrangements and Reasonable Adjustments** publication (ICE 14.18)
- The candidate's disability is established within the centre and known to relevant staff or a senior member of staff with pastoral responsibilities (AA5.16)
- Alternative rooming arrangements reflects the candidate's normal and current way of working in internal tests and mock examinations (AA 5.16)
- Where a candidate sits their examinations in a smaller environment away from the main examination room, the regulations and guidance within the JCQ publication **Instructions for Conducting Examinations** will be adhered to, particularly in relation to accommodation and invigilation arrangements (ICE 14.18)

Alternative Site Arrangements

Exams Officer:

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

Transferred Candidate Arrangements

Exams Officer:

- Liaises with the host or entering centre, as required.
- Processes requests for *Transferred Candidate Arrangements* through CAP to the awarding body deadline.

- Where relevant (for an internal candidate) informs the candidate of the arrangements that have been made for their transferred candidate arrangements.

Internal Examinations

Exams Officer:

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

SENCo:

- Liaises with teaching staff and Examinations Officer to ensure appropriate arrangements for access arrangement candidates are met.
 - Candidates who have not been awarded access arrangements (such as extra time) will not receive them in mock exams.

Teaching staff:

- Provide exam papers and materials to the EO with key information on the front sheet as if it were a real examination.
- Support the SENCo and EO in making appropriate arrangements for access arrangement candidates.

Exam Time: Roles and Responsibilities

Access Arrangements

Exams Officer:

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

Candidate Absence

Candidate late arrival procedure - The Examinations Officers are responsible for handling absent candidates on exam day or subsequently.

- For clash candidates, the supervision of escorts, identifying a secure venue and arranging overnight supervision is the responsibility of the Examinations Officers.
- Should a candidate be ill before an exam, suffer bereavement or other trauma, be taken ill during the exam itself or otherwise disadvantaged or disturbed during an exam, then it is the candidate's responsibility to alert the Centre, the Examinations Officers, or an Invigilator, to that effect.
- The candidate must support any special consideration claim with appropriate evidence within **three days** of the exam, for example, by providing a letter from the candidate's medical professional that has directly treated the candidate. GP letters are acceptable in the event of a 'sudden illness'.

The Examinations Officers will then forward a completed special consideration form to the relevant awarding body within seven days of the exam.

- Appointment cards, letters with no reference to a specific illness or from a medical professional will not be sufficient.

Invigilators:

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

Candidates:

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

Candidate Late Arrival

Exams Officer:

- If a candidate arrives **late** (less than one hour after the published start time) for an exam, Exams staff are informed immediately of their arrival, and they are collected from reception by either the EO or examinations staff then escorted to the examination room. **The candidate is given to opportunity to secure their belongings and then have the exam regulations read to them outside the exam room (to avoid disturbing other candidates).** They are allowed the full duration of the exam and advised of their individual start and finish time as they start the exam. Persistent late arrivals are spoken to by SLT, Examinations Officer depending on their reason for being late.
- **Candidates who arrive very late** (more than one hour after the published start time) for an exam will be allowed to complete the exam in the normal way. **The exams officer will then make a report to the awarding body detailing the circumstances of the candidate's lateness.**
- Warns candidates **who are very late** that their work may not be accepted by the awarding body.

Invigilators:

- Are informed of the policy/process for dealing with late/very late arrival candidates through training.

- Ensure that relevant information is recorded on the exam room incident log.

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.

Reception Staff:

- Inform exams staff immediately when drivers arrive to collect exam script parcels.

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 exam question paper packets.
- Collates attendance registers and examiner details in date order.
- Regularly checks mail or email inbox for updates from awarding bodies.
- In order to avoid potential breaches of security, ensures prior to question paper packets being opened that another member of staff or an invigilator checks day, date, time, subject, unit/component and tier of entry.
- Where allowed by the awarding body, only releases exam papers and materials to teaching departments for teaching and learning purposes after the published finishing time of the exam, or until any timetable clash candidates have completed the exam.

Examination Rooms

Head of Centre:

- Ensures that on the day of the exam, relevant internal tests, mock exams, revision or coaching sessions for the exam candidates will not be held in the designated exam room(s).

- Ensures only authorised centre staff are present in exam rooms.
- Ensures the centre's policy relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates.

Exams Officer:

- Ensures exam rooms are set up and conducted as required in the regulations.
- Provides invigilators with appropriate resources to effectively conduct exams.
- Briefs invigilators on exams to be conducted on a session-by-session basis (including the arrangements in place for any transferred candidates and access arrangement candidates).
- Ensures sole invigilators have an appropriate means of summoning assistance.
- Ensures invigilators understand how to deal with candidates who may need to leave the exam room temporarily.
- Provides authorised exam materials which candidates are not expected to provide themselves.
- Ensures invigilators and candidates are aware of the emergency evacuation procedure.
- Ensures invigilators are aware of arrangements in place for a candidate with a disability who may need assistance if an exam room is evacuated.

Senior Leaders:

- Ensure a documented emergency evacuation procedure for exam rooms is in place.
- Ensure arrangements are in place for a candidate with a disability who may need assistance if an exam room is evacuated.
- Has a documented Lockdown Policy for Exam Rooms in place (page 52).

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 as instructed in training/update events and briefing sessions.

Candidates:

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

Food and drink

- Food and drink are allowed in the examination room at the discretion of the head of centre (ICE 18.4.h)
- Any food and drink brought into the examination room whether by the candidate or the centre must be free from packaging and all labels are removed from drink containers (ICE 18.4.h)
- To enable invigilators to check these items quickly and efficiently:
 - food brought into the examination room by the candidate must be free of packaging and in a transparent container
 - drink bottles must be transparent with all labels removed which would include transparent, reusable plastic bottles (ICE18.4.h)

The following arrangements are applied at Derby Moor Spencer Academy:

- Food and drink are allowed in the examination room only where:
 - food is free from packaging and in a transparent container
 - all labels are removed from drink containers and drink bottles are transparent (ICE 18.4.h)
 - reusable bottles must be transparent with **no writing, pictures, or other markings** (metal bottles are not allowed).
- Additional centre-specific arrangements:
 - Drink must be clear liquid in a clear bottle with the label removed
 - Food will be allowed for medical reasons only

Head of Centre:

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

Exams officer:

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

Invigilators:

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

Leaving the exam room

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

The following arrangements that allow candidates leaving the exam room are applied at Derby Moor Spencer Academy:

- Supervised rest break where the candidate needs to leave the exam room
- Where a candidate must be removed from the room due to anxiety/distress and time taken to calm down.
- Medical issue

Candidates who are allowed to leave the examination room temporarily *may* be allowed extra time to compensate for their temporary absence. (ICE 23.5) This is at the discretion of the exams officer.

- Candidates are not allowed to leave the exam room to use the toilet unless they have a toilet/medical pass, or it is an emergency.

Exams Officer:

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

Invigilators:

- Ensure a candidate who may be allowed to leave the examination room temporarily is accompanied by a member of centre staff who is not the candidate's subject teacher or a subject expert for the examination in question (ICE 23.3)
- Record instances on the exam room incident log of candidates who may be allowed to leave the examination room temporarily because they may be feeling unwell or require a toilet break (ICE 20.2)
- Ensure candidates who have finished the examination and have been allowed to leave the examination room early hand in their script, question paper and any other material before they leave the examination room. Ensure those candidates are not allowed back into the room (ICE 23.6)
- At the end of the examination, ensure candidates hand in their script, question paper and any other material before they leave the examination room (ICE 23.7)

Malpractice

Inappropriate behaviour by a candidate in the examination room is deemed 'candidate malpractice'.

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

'Malpractice', means any act, default or practice which is a breach of the Regulations (SMPP 1.2).

Failure by a centre to notify, investigate and report to an awarding body all allegations of malpractice or suspected malpractice constitutes malpractice in itself (SMPP 1.6)
Suspected malpractice means all alleged or suspected incidents of malpractice (SMPP, Definitions)

The following requirements are applied at Derby Moor Spencer Academy:

- Where a candidate is being disruptive, the invigilator must warn the candidate that they may be removed from the examination room.
- The candidate must also be warned that the awarding body will be informed and may decide to penalise them, which could include disqualification (ICE 24.1)
- The head of centre must report to the awarding body immediately all cases of suspected or actual malpractice in connection with the examination (ICE 24.3)
- Form JCQ/M1 - Report of suspected candidate malpractice must be completed (ICE 24.3)
- The head of centre has the authority to remove a candidate from the examination room but should only do so if the candidate would disrupt others by remaining in the room (ICE 24.3)
- Where candidates commit malpractice, the awarding body may decide to penalise them, which could include disqualification. Candidates should be warned

of the possible penalties an awarding body may apply as detailed in the JCQ publication Suspected Malpractice: Policies and Procedures (ICE 24.5)

- In cases of suspected malpractice, examination scripts must be packed as normal and Form JCQ/M1 must be submitted separately to the relevant awarding body (ICE 24.6)

Invigilators:

- Be vigilant and remain aware of incidents or emerging situations, looking out for malpractice (ICE 20.2)
- Warn a disruptive candidate that he/she may be removed from the examination room (ICE 24.1)
- Record what has happened, and actions taken on the exam room incident log (ICE 24.1)
- Additional responsibilities:
 - Inform the exams office as soon as possible.

Exams office/officer

- Ensure that the JCQ Information for candidates' documents (coursework, non-examination assessments, on-screen tests, privacy notice, social media and written examinations) are distributed to all candidates prior to assessments and/or examinations taking place and that candidates are also made aware of the content of the JCQ Unauthorised items and Warning to Candidates posters (GR 5.8)
- Ensure the JCQ Unauthorised items and Warning to Candidates posters are displayed in a prominent place for all candidates to see prior to entering the examination room (GR 5.8)
- Where a candidate is being/has been disruptive in the examination room, warn the candidate that the awarding body will be informed and may decide to penalise them, which could include disqualification (ICE 24.1)

Head of Centre

- Where a candidate is seriously disrupting others, makes the decision to remove the candidate from the examination room (ICE 24.3)
- Report to the awarding body immediately all cases of suspected or actual malpractice in connection with the examination by completing form JCQ/M1 (ICE 24.3)

Managing behaviour

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, disruption or disturbance in the exam room, emergency evacuation).

Special Consideration

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

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

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

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

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

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

Head of centre

- Is familiar with the contents, refers to and directs relevant centre staff to the annually updated JCQ publication SC.
- Ensures that, where relevant and in eligible situations, applications for special consideration will be submitted to awarding bodies by the exams officer.
- Ensures that all eligible applications will be supported by appropriate evidence signed by a member of the senior leadership team.

Exams officer

- Understands the criteria as detailed in SC to determine where candidates will/will not be eligible for special consideration
- Ensures that, where relevant and in eligible situations, applications for special consideration will be submitted to awarding bodies
- Understands that special consideration must be applied for at the time of the assessment
- Understands that special consideration cannot be applied in a cumulative fashion and that where a candidate may be affected by different indispositions, special consideration should only be applied for the most serious indisposition
- Ensures applications will be processed as required by the awarding bodies
- Keeps evidence to support all applications on file until after the publication of results and provides the appropriate evidence signed by a member of the senior leadership team to support an application where this may be requested by an awarding body
- Meets the required deadline(s) for submitting applications

Teaching staff and/or ALS lead/SENCo

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

Candidates (or parents/carers)

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

Unauthorised Materials

Arrangements for Unauthorised Materials Taken into the Exam Room

Candidates are advised prior to all exams that watches (any kind), phones (switched off), and earphones must be stored securely with their bag and coat outside of the exam room. Alternatively, candidates may leave phones/watches/earphones with Examination/Invigilation staff prior to the start of the exam and provided with the means to collect them after the examination has finished. Key reminders and exam regulations are read out to candidates at the start of every examination.

Invigilators:

- Are informed of the arrangements through training.

Results and Post-Results: Roles and Responsibilities

Internal Assessment

Identified Subject Leaders (Senior Teacher/Faculty Leader):

- Ensures teaching staff keep candidates' work, whether part of the moderation sample or not, secure and for the required period stated by JCQ and awarding bodies.

- Ensures work is returned to candidates or disposed of according to the requirements.

Managing Results Day(s)

Candidates will receive individual slips on Results Day, in person at the Centre. Results can be collected on behalf of a candidate by a nominated person(s), provided they have been authorised to do so and have written permission and identification. **Students may request in writing that results are emailed to their personal or school email address, or to the email address of a nominated person (candidates must provide their written consent for this), from 12pm on results day.**

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 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.
- Arrangements for the Centre to be open on Results Days are made by the Vice Principal (Curriculum).

Exams Officer:

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

Site staff:

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

Accessing Results

Head of Centre:

- Ensures results are restricted to key members of staff until the official dates and times of release of results to candidates.

Exams Officer:

- Informs candidates in advance of when and how results will be released to them.
- **Informs candidates that unless they give written permission, their results cannot and will not be given to or discussed with parents, carers, other family members, or friends.**
- 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

Clerical Recheck (CR) and Review of marking (RoM)

- CR or RoM may be requested by Centre staff or candidates if there are reasonable grounds to believe that there has been an error in marking. The candidate's consent is required before any CR/RoM is requested.
- If a result is queried, the Examinations Officers, teaching staff and Head of Centre will investigate the feasibility of asking for a CR/RoM at the Centre's expense.
- Standard practice will be that scripts are recalled from the awarding body (Access to Scripts request) to be checked by teaching staff (and Trust staff if required), to determine if a CR/RoM is worthwhile.
- If the centre advises a CR/RoM, the service *may* be paid for by the centre (providing certain criteria have been met). If the centre does not advise a CR/RoM, or criteria has not been met, the candidate will be responsible for the cost of the CR/RoM.
 - Criteria for centre paying for CR/RoM:
 - The candidate needs the grade to secure a higher education place, *and* the grade is less than 3 marks away from the higher-grade boundary.
 - The subject is **GCSE** English, maths, or science, *and* the grade is less than 3 marks away from achieving grade 4 or grade 5.
 - The candidate's subject teacher has requested the CR/RoM and has reason to believe that the marks should increase, resulting in an upward grade change.

ATS (Access to Scripts)

- After the release of results, candidates may ask subject staff to request the return of papers within three days of the issuing of results.
- Centre staff may also request scripts for investigation or for teaching purposes. For the latter, the consent of candidates must be obtained **by the teacher**.
- GCSE review of marking requests cannot be made once an original script has been returned.

Head of Centre:

- Ensures an **internal appeals procedure (Page 74)** is available where candidates disagree with any centre decision not to support a clerical check, a review of marking, a review of moderation or an appeal.
- Understands that in the event of an awarding body initiating a review of marking, candidates' marks and subject grades may be lowered, confirmed or raised.

Exams Officer:

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

Teaching staff:

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

Candidates:

- Meet internal deadlines to request the services.
- Provide informed consent and fees, where relevant.
- **Ensure that they themselves provide written consent for post-results services, and do not allow others (including parents/carers) to give consent on their behalf.**

Analysis of Results

Data Manager:

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

Certificates

Certificates are provided to centres by awarding bodies after results have been confirmed. Certificates are retained for a period of **five years** before being destroyed in line with awarding body regulations.

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.
- In exceptional circumstances (e.g. the candidate has moved to a different area too far away to reasonably return to collect the certificates), certificates may be posted at the candidate's own risk.

Exams Officer:

- Obtain and maintain accurate candidate contact information to ensure the correct and secure despatch of certificates.
- Communicate to candidates when and how certificates may be collected.
- Distribute certificates to all candidates without delay and regardless of any disputes (such as non-payment of fees). Certificates must not be withheld without prior permission from an awarding body which will only be given in very exceptional circumstances.
- Keep a clear and accurate record of all certificates issued.
- Destroy certificates after five years of retention in secure conditions.
- Keep a record of certificates that have been securely destroyed for a period of four years after the date of destruction.
- Return, if requested, any certificates to the awarding bodies. Certificates remain the property of the awarding bodies.

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.

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 exam archiving policy that identifies information held, retention period is met and ST/FL disposal, Exams Archiving Policy.

Complaints

A candidate (or their parent/carer) at Derby Moor Spencer Academy 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 examination 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 mark prior to marks being submitted to the awarding body.
- Candidate not informed of their centre assessed mark 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 decide whether to request a review of the centre assessed mark.
- Candidate unhappy with internal assessment decision (complainant to refer to the centre's **internal appeals procedure**).
- Centre fails to adhere to its internal appeals procedure.

Access arrangements and special consideration

- Candidate not assessed by the centre's appointed assessor
- Candidate not involved in decisions made regarding their access arrangements
- Candidate did not consent to record their personal data online (by the non-acquisition of a completed candidate personal data consent form)
- Candidate not informed/adequately informed of the arrangement(s) in place and the subjects or components of subjects where the arrangement(s) would not apply
- Examination information not appropriately adapted for a disabled candidate to access it
- Adapted equipment/assistive technology put in place failed during examination/assessment
- Approved access arrangement(s) not put in place at the time of an examination/assessment
- Appropriate arrangement(s) not put in place at the time of an examination/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 to the centre's internal appeals procedure)
- Centre fails to adhere to its internal appeals procedure

Additional grounds for complaint relating to access arrangements:

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 required examination/assessment
- Candidate entered for a wrong examination/assessment
- Candidate entered for a wrong tier of entry

Conducting examinations

- Failure to adequately brief candidate on examination timetable/regulations prior to examination/assessment taking place
- Room in which assessment held did not provide candidate with appropriate conditions for taking the examination
- Inadequate invigilation in examination room
- Failure to conduct the examination according to the regulations
- Online system failed during (on-screen) examination/assessment
- Disruption during the examination/assessment
- Alleged, suspected or actual malpractice incident not investigated/reported
- 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 examinations, candidate not made aware of the arrangements for post-results services and the availability 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 a decision on the submission of a results 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 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 a candidate without gaining required candidate consent/permission

Raising a concern/complaint

If a candidate (or parent/carer) has a general concern or complaint about the centre's delivery or administration of a qualification, Derby Moor Spencer Academy encourages an informal resolution in the first instance. This can be undertaken by raising the complaint or concern in writing for the attention of the Exams Officer (Mrs K Repton).

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

How to make a formal complaint

All documentation relating to the submission of a formal complaint should be returned to Mr S Doyle (Head of Centre) and Mrs K Repton (Exams Officer). Formal complaints will be logged

and acknowledged within 10 working days. To make a formal complaint, candidates (or parents/carers) must complete and return an exams complaint form. These are available on request from Miss L Russell (Data and Exams Administrator).

How a formal complaint is investigated

The head of centre will investigate or appoint a member of senior leadership staff (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 conclusions.

The findings and conclusion of any investigation will be provided to the complainant within 4 working weeks.

Internal appeals procedure

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

To submit an appeal, candidates (or parents/carers) must follow our Derby Moor Spencer Academy's internal appeals procedure and complete and return an internal appeal form. Appeals will be logged and acknowledged within 10 working days.

The appeal will be referred to the Vice Principal (Curriculum). It will be the responsibility of the Vice Principal (Curriculum) to inform the appellant of the final conclusion in accordance with the internal appeals procedure.

Non-Examination Assessment Policy

What Does This Policy Affect?

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

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

- *set by an awarding body.*
 - *designed to be taken simultaneously by all relevant candidates at a time determined by the awarding body; and*
 - *taken under conditions specified by the awarding body (including conditions relating to the supervision of candidates during the assessment and the duration of the assessment)*
- is classified as non-examination assessment (NEA).*

‘NEA’ therefore includes, but is not limited to, internal assessment. Externally marked and/or externally set practical examinations taken at different times across centres are classified as ‘NEA’.”

[Definition taken directly from the JCQ publication
Instructions for conducting non-examination assessments, Foreword
This publication is further referred to in this policy as NEA.

Purpose of the Policy

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

- Cover procedures for planning and managing non-examination assessments.
- Define staff roles and responsibilities with respect to non-examination assessments.
- Manage risks associated with non-examination assessments [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 1]

Procedures for Planning and Managing Non-Examination Assessments Identifying Staff Roles and Responsibilities

The Basic Principles

Head of Centre:

- Ensures that the centre's non-examination assessment policy is fit for purpose.
- Ensures the centre's internal appeals procedures clearly detail the procedure to be followed by candidates (or their parents/carers) appealing against internal assessment decisions (centre assessed marks) and requesting a review of the centre's marking.

Senior Leaders:

- Ensure the correct conduct of non-examination assessments (including endorsements) which comply with NEA and awarding body subject-specific instructions.
- Ensure the centre-wide calendar records assessment schedules by the start of the academic year.
- Where applicable, liaise with all relevant parties in relation to arrangements for and conduct of the monitoring visit for GCSE (9-1) Computer Science.

Quality Assurance (QA) Lead/Lead internal verifier:

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

Subject/Faculty Lead:

- Ensures subject teachers understand their role and responsibilities within the non-examination assessment process.
- Ensures NEA and relevant awarding body subject specific instructions are followed in relation to the conduct of non-examination assessments (including endorsements).
- Is familiar with and refer to the JCQ document *AI Use in Assessments: Protecting the Integrity of Qualifications*
- Works with the QA lead/Lead internal verifier to ensure appropriate procedures are followed to internally standardise/verify the marks awarded by subject teachers.

- Understands the arrangements that the centre needs to put in place where the centre might accept private candidates (including distance learners and home educated students) for components of non-examination assessment.

Subject teacher:

- Understands and complies with the general instructions as detailed in NEA.
- Is familiar with and refer to the JCQ document *AI Use in Assessments: Protecting the Integrity of Qualifications*, as well as the awarding body's specification and/or associated documentation published by the awarding bodies and the regulator.
- 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 or is made as a separate unit entry code) to the internal deadline for entries.

Exams Officer:

- Signposts the annually updated JCQ publication Instructions for Conducting Non-Examination Assessments 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 from a choice provided by the awarding body OR designs tasks where this is permitted by criteria set out within the subject specification.
- Makes candidates aware of the criteria used to assess their work.

Issuing of Tasks

Subject teacher:

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

Task Taking Supervision

Subject teacher:

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

Advice and Feedback

Subject teacher:

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

Resources

Subject teacher:

- Refers to the awarding body's specification and/or associated documentation to determine if candidates have restricted/unrestricted access to resources when planning and researching their tasks.
- Ensures conditions for any formally supervised sessions are known and put in place.
- Ensures conditions for any formally supervised sessions are understood and followed by candidates.

- Ensures candidates understand that they are not allowed to introduce improved notes or new resources between formally supervised sessions.
- Ensures that where appropriate to include references, candidates keep a detailed record of their own research, planning, resources, etc.

Word and Time Limits

Subject teacher:

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

Collaboration and Group Work

Subject teacher:

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

Authentication Procedures

Subject teacher:

- Where required by the awarding body's specification:
 - Ensures candidates sign a declaration confirming the work they submit for final assessment is their own unaided work.
 - Signs the teacher declaration of authentication confirming the requirements have been met.
- Keeps signed candidate declarations on file until the deadline for enquiries about results has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.
- Provides signed candidate declarations where these may be requested by a JCQ Centre Inspector.
- Where there may be doubt about the authenticity of the work of a candidate or if malpractice is suspected, follows the authentication procedures and malpractice information in NEA and informs the Exams Officer.

Presentation of Work

Subject teacher:

- Obtains informed consent at the beginning of the course from parents/carers if videos or photographs/images of candidates will be included as evidence of participation or contribution.
- Instructs candidates to present work as detailed in NEA unless the awarding body's specification gives different subject-specific instructions.
- Instructs candidates to add their candidate number, centre number and the component code of the assessment as a header/footer on each page of their work.

Keeping Materials Secure

Subject teacher:

- When work is being undertaken by candidates under formal supervision, ensures work is securely stored between sessions (if more than one session).
- When work is submitted by candidates for final assessment, ensures work is securely stored,
- Follows secure storage instructions as defined in NEA 4.8.
- Takes sensible precautions when work is taken home for marking.
- Stores internally assessed work, including the sample returned after awarding body moderation, securely until the closing date for enquiries about results or until the outcome of an enquiry or any subsequent appeal has been conveyed to the Centre.
- 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.
- Liaises with the IT Manager to ensure that appropriate arrangements are in place to restrict access between sessions to candidates' work where work is stored electronically.

IT Manager:

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

Task Marking – Externally Assessed Components

Conduct of Externally Assessed Work

Subject teacher:

- Liaises with the Exams Officer regarding arrangements for the conduct of any externally assessed non-examination component of a specification.
- Liaises with the Visiting Examiner where this may be applicable to any externally assessed component.

Exams Officer:

- Arranges timetabling, rooming and invigilation where 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.
- Conducts the externally assessed component according to the JCQ publication Instructions for conducting examinations.

Submission of Work

Subject teacher:

- Provides the attendance register to a Visiting Examiner.

Exams Officer:

- Provides the attendance register to the subject teacher where the component may be assessed by a Visiting Examiner.
- Ensures the awarding body's attendance register for any externally assessed component is completed correctly to show candidates who are present and any who may be absent.
- Where candidates' work must be despatched to an awarding body's examiner, ensures the completed attendance register accompanies the work.
- Keeps a copy of the attendance register until after the deadline for enquiries about results for the exam series.
- Packages the work as required by the awarding body and attaches the examiner address label.
- Despatches the work to the awarding body's instructions by the required deadline.

Task Marking – Internally Assessed Components

Marking and Annotation

Subject teacher:

- Attends awarding body training as required to ensure familiarity with the mark scheme/markings process.

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

Internal Standardisation

Quality Assurance (QA) lead/Lead internal verifier:

- Ensures that internal standardisation of marks across assessors and teaching groups takes place as required and to sequence.
- Supports staff not familiar with the mark scheme (e.g. NQTs, supply staff etc).
- Ensures accurate internal standardisation - for example by:
 - Obtaining reference materials at an early stage in the course.
 - Holding a preliminary trial marking session prior to marking.
 - Carrying out further trial marking at appropriate points during the marking period.
 - After most marking has been completed, holds a further meeting to make final adjustments.
 - Making final adjustments to marks prior to submission.
 - Retaining work and evidence of standardisation.

Subject teacher:

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

Consortium Arrangements

Subject/Faculty Lead:

- Ensures a consortium co-ordinator is nominated (where this may be required as the consortium lead).
- Liaises with the Exams Officer to ensure form JCQ/CCA is submitted to the awarding body 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.

Exams Officer:

- Arranges completion of form JCQ/CCA Centre consortium arrangements for centre - assessed work
- Submits form JCQ/CCA to the deadline for each exam series affected.
- Submits marks to the awarding body deadline.
- Where relevant, liaises with other consortium Exams Officers to arrange despatch of a single moderation sample to the awarding body deadline.
- Where relevant (as the consortium lead), retains all candidates' work in the consortium until after the deadline for enquiries about results for the exam series.

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 the moderator is provided with authentication of candidates' work, confirmation that internal standardisation has been undertaken and any other subject-specific information where this may be required.

Exams Officer:

- Inputs and submits marks online via the awarding body secure extranet site, keeping a record of the marks submitted to the external deadline/confirms with subject teachers that marks have been submitted to the awarding body deadline.
- Where responsible for marks input, ensures checks are made that marks for any additional candidates are submitted and ensures mark input is checked before submission to avoid transcription errors.
- Submits the requested samples of candidates' work to the moderator by the awarding body deadline, keeping a record of the work submitted/confirms with subject teacher that the moderation sample has been submitted to the awarding body deadline.

- Ensures that for postal moderation:
 - Work is dispatched in packaging provided by the awarding body.
 - Moderator label(s) provided by the awarding body are affixed to the packaging.
 - Proof of dispatch is obtained and kept on file until the successful issue of final results.
- Through the subject teacher, ensures the moderator is provided with authentication of candidates' work, confirmation that internal standardisation has been undertaken and any other subject-specific information where this may be required.

Storage and Retention of Work After Submission of Marks

Subject teacher:

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

Exams Officer:

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

External Moderation – Feedback

Subject/Faculty Lead:

- Checks moderator reports and ensures that any remedial action, if necessary, is undertaken before the next examination series.

Exams Officer:

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

Access Arrangements

Subject teacher:

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

Special Educational Needs Co-ordinator (SENCo):

- Follows the regulations and guidance in the JCQ publication Access Arrangements and Reasonable Adjustments.
- 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 (NEA)

Subject teacher:

- Understands that a candidate may be eligible for special consideration in assessments in certain situations where a candidate:
 - Is absent.
 - Produces a reduced quantity of work.
 - Work has been lost.
- Liaises with the Exams Officer when special consideration may need to be applied for a candidate taking assessments.

Exams Officer:

- Refers to/directs relevant staff to the JCQ publication A guide to the special consideration process
- Where a candidate is eligible, applies for special consideration via the awarding body's secure extranet site to the prescribed timescale.
- Where application for special consideration via the awarding body's secure extranet site is not applicable, submits the required form to the awarding body to the prescribed timescale.
- Keeps required evidence on file to support the application.

Malpractice (NEA)

Head of Centre:

- Understands the responsibility to immediately report to the relevant awarding body any alleged, suspected or actual incidents of malpractice involving candidates, teachers, invigilators or other administrative staff.
- Is familiar with the JCQ publication Suspected Malpractice in Examinations and Assessments: Policies and Procedures
- Ensures that those members of teaching staff involved in the direct supervision of candidates producing non-examination assessment are aware of the potential for malpractice and ensures that teaching staff are reminded that failure to report allegations of malpractice or suspected malpractice constitutes malpractice in itself.
- Is familiar with and refers to the JCQ document *AI Use in Assessments: Protecting the Integrity of Qualifications*.

Subject teacher:

- Is aware of the JCQ Notice to Centres - Teachers sharing assessment material and candidates' work
- Ensures candidates understand the JCQ document Information for candidates - non-examination assessments
- Ensures candidates understand the JCQ document Information for candidates - Social Media
- Escalates and reports any alleged, suspected or actual incidents of malpractice involving candidates to the Head of Centre.
- Is familiar with and refers to the JCQ document *AI Use in Assessments: Protecting the Integrity of Qualifications*.

Exams Officer:

- Signposts the JCQ publication Suspected Malpractice in Examinations and Assessments: Policies and Procedures to the Head of Centre.
- Signposts the JCQ Notice to Centres - Teachers sharing assessment material and candidates' work to subject heads.
- Signposts candidates to the relevant JCQ information for candidates' documents.
- Where required, supports the Head of Centre in investigating and reporting incidents of alleged, suspected or actual malpractice.
- Is familiar with and refers to the JCQ document *AI Use in Assessments: Protecting the Integrity of Qualifications*.

Suspected Misuse of AI in NEA

If the use of AI is suspected in any NEA, this must be reported to the Exams Officer and Subject/Faculty Lead immediately. The candidate's work will be reviewed (using the JCQ document *AI Use in Assessments: Protecting the Integrity of Qualifications* for guidance in identifying AI misuse) by the candidate's subject teacher and the subject/faculty lead. Findings will be reported to the Head of Centre and Exams Officer.

If the candidate has not signed the declaration of authentication, the candidate will not be reported for malpractice to the awarding organisation. The centre will take actions internally to ensure that the matter can be resolved prior to signing the declaration.

If the candidate has already signed the declaration of authentication, the candidate will be reported to the relevant awarding organisation (as detailed in the JCQ *Suspected Malpractice: Policies and Procedures*).

All candidates are made aware of the implications of using AI in NEAs at the start of the academic year through assemblies and via their class teachers.

Enquiries About Results

Head of Centre:

- Ensures the centre's internal appeals procedures clearly detail the procedure to be followed by candidates (or their parents/carers) appealing against a centre decision not to support a clerical check, a review of marking, a review of moderation or an appeal.

Subject/Faculty Lead:

- Provides relevant support to subject teachers making decisions about enquiries about 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 an enquiry about results to the internal deadline.
- Supports the Exams Officer in collecting candidate consent where required.

Exams Officer:

- Is aware of the individual post-results services available for externally assessed and internally assessed components of non-examination assessments as detailed in the JCQ publication Post Results Services (Information and guidance to centres...)
- Provides/signposts relevant centre staff and candidates to post-results services information.

- Ensures any requests for post-results services that are available to non-examination assessments are submitted online via the awarding body secure extranet site to deadline.
- Collects candidate consent where required.

Practical Skills Endorsement for the A-level Sciences Designed for Use in England

Head of Centre:

- Provides a signed declaration as part of the National Centre Number Register Annual Update, that all reasonable steps have been or will be taken to ensure that all candidates at the centre have had, or will have, the opportunity to undertake the 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.

Subject/Faculty Lead:

- Confirms understanding of the Practical Skills Endorsement for the A Level Sciences designed for use in England.
- 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 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 the monitoring visit.

Subject teacher:

- Ensures all the requirements in relation to the endorsement are known and understood.
- 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.

Exams Officer:

- Follows the awarding body's instructions for the submission of candidates Pass or Not Classified assessment.

Spoken Language Endorsement for GCSE English Language Specifications Designed for Use in England

Head of Centre:

- Provides a signed declaration as part of the National Centre Number Register Annual Update, that all reasonable steps have been or will be taken to ensure that all candidates at the centre have had, or will have, the opportunity to undertake the Spoken Language endorsement.

Quality Assurance (QA) lead/Lead internal verifier:

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

Subject/Faculty Lead:

- Confirms understanding of the Spoken Language Endorsement for GCSE English Language specifications designed for use in England.
- 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 the storage and submission of recordings.

Management of Issues and Potential Risks Associated with Non-Examination Assessments

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
Task setting		
Awarding body set task: IT failure/corruption of task details where set task details accessed from the awarding body online.	Awarding body key date for accessing/downloading set task noted prior to start of course. IT systems checked prior to key date. Alternative IT system used to gain access. Awarding body contacted to request direct email of task details.	ICT/ Teaching Staff
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.	Faculty Leader
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.	Teaching Staff
Subject teacher long term absence during the task setting stage.	See centre's exam contingency plan - teaching staff extended absence at key points in the exam cycle.	Head of Department/SLT
Issuing of tasks		
Task for legacy specification given to candidates undertaking new specification.	Ensures subject teachers take care to distinguish between requirements/tasks for legacy specifications and requirements/tasks for new specifications. Awarding body guidance sought where this issue remains unresolved.	Directors/ Exams Officers

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.	Teaching Staff/ Head of Departments
The wrong task is given to candidates.	Ensures course planning and information taken from the awarding body's specification confirms the correct task will be issued to candidates. Awarding body guidance sought where this issue remains unresolved.	Teaching Staff/ Faculty Leader/SLT/ Exams Officer
Subject teacher long term absence during the issuing of tasks stage.	See centre's exam contingency plan - teaching staff extended absence at key points in the exam cycle.	Faculty Leader/SLT
Task taking		
Supervision		
Planned assessments clash with other centre or candidate activities.	Assessment plan identified for the start of the course. Assessment dates/periods included in centre wide calendar.	Teaching Staff
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).	Teaching Staff/IT
Insufficient supervision of candidates to enable work to be authenticated.	Confirm subject teachers are aware of and follow the current JCQ publication Instructions for conducting non-examination assessments and any other specific instructions detailed in the awarding body's specification in relation to the supervision of candidates. Confirm subject teachers understand their role and responsibilities as detailed in the Centre's non-examination assessment policy.	Teaching Staff/Faculty Leader/ Exams Officer
A candidate is suspected of malpractice prior to submitting their work for assessment.	Instructions and processes in the current JCQ publication - Instructions for conducting non-examination assessments (section 9 Malpractice) are followed. An internal investigation and where appropriate internal disciplinary procedures are followed.	Teaching Staff/Faculty Leader/SLT/Exams Officer

Access arrangements were not put in place for an assessment where a candidate is approved for arrangements.	Relevant staff are signposted to the JCQ publication - A guide to the special consideration process (section 2), to determine the process to be followed to apply for special consideration for the candidate.	Exams Officer/SENCo
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.	Teaching Staff
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.	Teaching Staff
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.	Faculty Leader/SLT/Exams Officer
Candidate does not reference information from published source.	Candidate is advised at a general level to reference information before	Teaching Staff

	work is submitted for formal assessment. Candidate is again referred to the JCQ document - Information for candidates: non-examination assessments. Candidate's detailed record of their own research, planning, resources etc is regularly checked to ensure continued completion.	
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 document Information for candidates: non-examination assessments. Candidate's detailed record of their own research, planning, resources, etc is regularly checked to ensure continued completion.	Teaching Staff
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.	Teaching Staff
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.	
An excluded pupil wants to complete their 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.	SLT
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.	Teaching Staff
A candidate fails to acknowledge sources on work that is submitted for assessment.	Candidate's detailed record of their own research, planning, resources, etc is checked to confirm all the sources used, including books, websites and audio/visual resources.	Teaching Staff/Exams Officer

	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.	
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.	Teaching Staff
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.	Teaching Staff/Faculty Leader/ Exams Officer/SLT
Authentication procedures		
A teacher has doubts about the authenticity of the work submitted by a candidate for internal assessment. Candidate plagiarises other material.	Records confirm subject staff have been made aware of the JCQ document - Teachers sharing assessment material and candidates' work. Records confirm that candidates have been issued with the current JCQ document 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 document - Information for candidates: non-examination assessments. The candidate's work is not accepted for assessment. A mark of zero is recorded and submitted to the awarding body.	Faculty Leader/SLT/Exams Officer
A teacher suspects the candidate has used AI technology to write part or all of the assessment.	Teacher raises their suspicions with Faculty Lead/SLT/Exams Officer. If the candidate has not signed the authentication sheet the matter is	Teaching staff/faculty lead/SLT/Exams Officer

	resolved without reporting to the awarding body. If the candidate has signed the declaration sheet, the incident is reported to the awarding body as malpractice.	
Candidate does not sign their authentication statement/declaration.	Records confirm that candidates have been issued with the current JCQ document - Information for candidates: non-examination assessments. Candidates confirm/record they understand what they need to do to comply with the regulations as outlined in the JCQ document - Information for candidates: non-examination assessments. Declaration is checked for signature before accepting the work of a candidate for formal assessment.	Teaching Staff
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.	Faculty Leader
Presentation of work		
Candidate does not fully complete the awarding body's cover sheet that is attached to their work submitted for formal assessment.	Cover sheet is checked to ensure it is fully completed before accepting the work of a candidate for formal assessment.	Teaching Staff
Keeping materials secure		
Candidates work between formal supervised sessions is not securely stored.	Records confirm subject teachers are aware of and follow current JCQ publication - Instructions for conducting non-examination assessments. Regular monitoring ensures subject teacher use of appropriate secure storage.	Teaching Staff
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.	Faculty Leader
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	Teaching Staff/Exams Officer

	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.	
A candidate is absent on the day of the examiner visit for an unacceptable reason.	The candidate is marked absent on the attendance register.	Teaching Staff/Exams Officer
Task marking – internally assessed components		
A candidate submits little or no work.	Where a candidate submits no work, the candidate is recorded as absent when marks are submitted to the awarding body. Where a candidate submits little work, the work produced is assessed against the assessment 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.	Teaching Staff
A candidate is unable to finish their work for unforeseen reason.	Relevant staff are signposted to the JCQ publication - A guide to the special consideration process (section 5), to determine eligibility and the process to be followed for shortfall in work.	Teaching Staff/Faculty Leader/ Exams Officer
The work of a candidate is lost or damaged.	Relevant staff are signposted to the JCQ publication - A guide to the special consideration process (section 5), to determine eligibility and the process to be followed for lost or damaged work.	Exams Officer
Candidate malpractice is discovered.	Instructions and processes in the current JCQ publication - Instructions for conducting non-examination assessments (section 9 Malpractice) are followed. Investigation and reporting procedures in the current JCQ publication - Suspected Malpractice in Examinations and Assessments are followed. Appropriate internal disciplinary procedures are also followed.	Exams Officer/SLT
A teacher marks the work of their own child.	A conflict of interest is declared by informing the awarding body that a teacher is teaching their own child at the start of the course. Marked work of said child is submitted for moderation whether part of the sample requested or not.	Exams Officer/SLT

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 publication - A guide to the special consideration process (section 5), to determine eligibility and the process to be followed for non-examination assessment extension.	Teaching Staff/Exams Officer
After submission of marks, it is discovered that the wrong task was given to candidates.	Awarding body is contacted for guidance. Relevant staff are signposted to the JCQ publication - A guide to the special consideration process (section 2), to determine eligibility and the process to be followed to apply for special consideration for candidates.	Teaching Staff
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.	Head of Department/SLT/Exams Officer
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	Teaching Staff

	accepted late for marking or a mark of zero submitted to the awarding body for the candidate.	
Deadline for submitting marks and samples of candidates work ignored by subject teacher.	Internal/external deadlines are published at the start of each academic year. 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.	Faculty Leader/SLT/Exams Officer/lead teacher
Subject teacher long term absence during the marking period.	See centre's exam contingency plan (teaching staff extended absence at key points in the exam cycle).	Faculty Leader/SLT

Whistleblowing Policy (Exams)

Introduction

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

The head of centre and governing board at Derby Moor Spencer Academy 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, Derby Moor Spencer Academy will:

- take all reasonable steps to prevent the occurrence of any malpractice (which includes maladministration) before, during and after assessments have taken place
- inform the awarding body **immediately** of any alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, by completing the appropriate documentation
- as required by an awarding body, gather evidence of any instances of alleged or suspected malpractice (which includes maladministration) in accordance with the JCQ 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 Derby Moor Spencer Academy. It has been produced (and reviewed) by the Assistant Vice Principal (Exams) who is also a member of the senior leadership team and responsible for handling any cases of whistleblowing. This individual 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.

Purpose of the policy

This policy:

- encourages individuals to raise concerns, which will be fully investigated by appropriately trained and experienced individuals
- identifies how to report concerns
- explains how such concerns will be investigated and sets expectations regarding the reporting of outcomes
- provides details of relevant bodies to whom concerns about wrongdoing can be reported, including awarding organisations and regulators

- includes a commitment to do everything reasonable to protect the reporter's identity, if requested
- sets out how those raising concerns will be supported

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

The Whistleblower

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

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

Reporting

If a member of centre staff involved in the management, administration and/or conducting of examinations 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 Mr Craig Wragg (Assistant Vice Principal (Exams)).

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

Examples of malpractice

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

- Failure to comply with exam regulations as set out by the Joint Council for Qualifications (JCQ) and its awarding bodies
- A security breach of the examination paper
- Conduct of centre staff which undermines the integrity of the examination/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)
- Other conduct which may be interpreted as malpractice/maladministration

Whistleblowing procedure

If the individual does not feel safe raising the issue/reporting malpractice within the centre, or they have done so and are concerned that no action has been taken, that individual could

consider making their disclosure⁴ 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 rights⁶. This means that the worker does not need the same two years' service that is needed for other employment rights.

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

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

Members of the public are not protected by PIDA, but the awarding body will make every effort to protect their identity if that is what they wish, unless the awarding body is legally obliged to release it⁷.

Alternatively, a worker could consider making a disclosure to Ofqual⁸ 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 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 Derby Moor Spencer Academy are made to feel comfortable discussing/reporting malpractice issues of which they are aware. The regulations surrounding their assessments, and wider academic integrity, will be reiterated to students who are undertaking, or who are about to undertake, their courses of study.

Word Processor Policy

Compliance with JCQ Regulations

Derby Moor Spencer Academy complies with AA chapter 4 Adjustments for candidates with disabilities and learning difficulties regulations and guidance as follows:

(AA 4.2.1)

- Candidates with access to word processors are allowed to do so in order to remove barriers for disabled candidates which prevent them from being placed at a substantial disadvantage as a consequence of persistent and significant difficulties.
- The use of word processors is only permitted whilst ensuring that the integrity of the assessment is maintained, at the same time as providing access to assessments for a disabled candidate.
- The SENCo must ensure that access to a word processor does not unfairly advantage or disadvantage the candidate.

(AA 4.2.2)

- The use of a word processor is not granted where it will compromise the assessment objectives of the specification in question.

(AA 4.2.3)

- Candidates may not require the use of a word processor in each specification. As subjects and their methods of assessments may vary, leading to different demands of our candidates, the need for the use of a word processor is considered on a subject-by-subject basis.

(AA 4.2.4)

- The use of a word processor is normally considered and agreed where appropriate at the start of the course providing the centre has firmly established a picture of need and normal way of working for a candidate
- Candidates are made aware when they will have the use of a word processor for timetabled examinations and non-examination assessments.

(AA 4.2.5)

The use of a word processor for candidates is only granted if it reflects the support given to the candidate as their 'normal way of working', which is defined as support:

- in the classroom (where appropriate); or
- working in small groups for reading and/or writing; or
- literacy support lessons; or
- literacy intervention strategies; and/or
- in internal school tests/examinations
- mock examinations
- The only exceptions to the above would be 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.

The use of a word processor

The school complies with AA chapter 5 Access arrangements available as follows:

(AA 5.7.5)

- Where the centre has approval for the use of a scribe and where it reflects the candidate's normal way of working within the centre, as appropriate to their needs, the candidate may alternatively use:
 - a word processor with the spelling and grammar check switched on; or
 - a word processor with predictive text/spelling and grammar check switched on.

(AA 5.8.1)

- Provides a word processor with the spelling and grammar check facility/predictive text disabled (switched off).
- Only grants the use of a word processor to a candidate where it is their normal way of working (see 4.2.5 above) within the centre.
- Only grants the use of a word processor to a candidate if it is appropriate to their needs (for example, the quality of language significantly improves as a result of using a word processor due to problems with planning and organisation when writing by hand). (The above also extends to the use of electronic brailers and tablets)

(AA 5.8.2)

- Provides access to word processors to candidates in non-examination assessment components as standard practice unless prohibited by the specification.

(AA 5.8.3)

- Allows candidates to use a word processor in an examination to type certain questions, i.e. those requiring extended writing, and handwrite shorter answers.
- Are also aware that examinations which have a significant amount of writing, as well as those that place a greater demand on the need to organise thought and plan extended answers, are those where candidates will frequently need to type. Examinations which require more simplistic answers are often easier to handwrite within the answer booklet. The candidate avoids the difficulty of visually tracking between the question paper and screen.

(AA 5.8.4)

- In all cases, ensures that a word processor cover sheet (Form 4) is completed and included with each candidate's typed script (according to the instructions issued by the individual awarding body).
- Does not simply grant the use of a word processor to a candidate because they prefer to type rather than write or can work faster on a keyboard, or because they use a laptop at home.

Word processors and their programmes

Derby Moor Spencer Academy complies with I.C.E 14 Word processors (computers, laptops and tablets) instructions by ensuring:

- word processors are used as a typewriter, not as a database, although standard formatting software is acceptable.
- an unauthorised memory stick is not permitted for use by a candidate

- Candidates will be allocated a labelled memory stick at the start of the exam season and use the same one throughout.
- word processors have been cleared of any previously stored data, as must any portable storage medium used.
- Copies of word-processed scripts will be retained on a master USB which will be kept in secure storage as a back-up.
- word processors are in good working order at the time of the examination
- word processors are accommodated in such a way that other candidates are not disturbed and cannot read the screen
- candidates will be reminded to save their work at regular intervals, or an auto-save feature will be enabled.
- word processors are either connected to a printer so that a script can be printed off, or have the facility to print from a portable storage medium
- documents are printed after the examination is over
- candidates must ensure that word processed work contains their centre number, candidate number, and unit/component code as a header or footer, and the pages numbered (this may also be handwritten once the document has been printed).
- work should be typed in a minimum font size of 12pt and double spaced.
- candidates are present to verify that the work printed is their own and initial each printed page.
- word processed scripts are inserted in/attached to any answer booklet which contains some of the answers (and according to instructions issued by the individual awarding body).
- word processors are used to produce scripts under secure conditions, and if they are not then the centre is aware that they may be refused by the awarding body.
- word processors are not used to perform skills which are being assessed.
- word processors are not connected to an intranet or any other means of communication.
- candidates are not given access to other applications such as a calculator (where prohibited in the examination), spreadsheets etc when using a word processor.
- graphic packages or computer aided design software is not included on a word processor unless permission has been given to use these.
- predictive text software or an automatic spelling and grammar check is disabled unless the candidate has been permitted a scribe or is using voice recognition technology (the script must have a completed scribe cover sheet included), or the awarding body's specification permits the use of automatic spell checking.
- must not include computer reading (text to speech) software unless the
- candidate has permission to use a computer reader.
- voice recognition technology is not included on word processors unless the candidate has permission to use a scribe or relevant software.
- word processors are not used on the candidate's behalf by a third party unless the candidate has permission to use a scribe.
- tablets used during examinations/assessments are designed to run for a long period of time once fully charged and are 'free-standing'
- the battery capacity of all laptops and/or tablets is checked before the candidate's examination(s) with the battery sufficiently charged for the entire duration of the examination
- candidates with fully charged laptops or tablets are given the opportunity to be seated within the main examination hall without the need for separate invigilation and power points

- candidates using Notepad or WordPad software (which do not allow for the insertion of a header or footer) are instructed to handwrite their details as a header or footer once they have finished the examination and printed off their typed script; candidates are also supervised to ensure that they are solely performing this task and not re-reading their answers or amending their work in any way.
- **Word processors do not include AI tools**

The SENCo will complete JCQ Form 9 for candidates who have use of a word processor during exams.

Accommodating word processors in examinations

- Candidates using word processors (including laptops or tablets) are internally accommodated in the following manner:
 - Students are placed in the main exam room unless another access arrangement permits them to be accommodated in an alternative room.
 - where a candidate using a word processor is accommodated separately, a separate invigilator is used.
 - Student follow the necessary steps provided to set out the layout of their work in line with awarding body specifications.
 - Other arrangements relating to the use of word processors include:
 - All invigilators are trained in over-seeing the printing and signing of candidate's own work and the completion of the relevant cover sheet to accompany scripts.

Criteria used to award and allocate word processors for examinations

The 'normal way of working' for exam candidates, as directed by the head of centre, is that candidates handwrite their exams. An exception to this is where a candidate may have an approved access arrangement in place, for example the use of a scribe/speech recognition technology.

Awarding word processors

There are also exceptions where a candidate may be awarded the use of a word processor in exams where they have 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.

Exceptions might include where a candidate has, for example:

- 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

Allocating word processors

Appropriate exam-compliant word processors will be allocated by the IT department in liaison with the 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 published start time. The security of the exam will be maintained at all times and candidates will be supervised in line with sections 16 - 26 of the I.C.E.