



Principal **Nick Martin**
BSc, MA, PGCE, NPQH

Examinations Policy

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Contents

Part 1 - Examination Policy	Page 3
Part 2 – Malpractice & Mal-administration	Page 11
Part 3 – Non-Examined Assessment Policy	Page 15
Part 4 – Internal & External Appeals Policy	Page 28
Part 5 – Equality & Disability Policy	Page 30
Part 6 – Wordprocessor Policy	Page 37
Part 7 – Requests for alternative accommodation ...	Page 38
Part 8 – Withdrawal from Exams Policy	Page 41
Part 9 – Exam Fees Payment Policy	Page 43
Part 10 – Exam Office Contingency Plan	Page 44
Part 11 – Emergency Evacuation Plan (Exams)	Page 51
Part 12 - Data Protection Policy (Exams)	Page 52



Part 1

Examination Policy (SWA)

1. Rationale and Aim

The Samuel Whitbread Academy provides a broad and balanced curriculum for all students, intended to meet the specific needs of individuals. All students are entitled to, and should be supported in, an entry for their chosen qualifications at the end of their courses leading to a recognised qualification.

2. Policy

The purpose of this policy is:

- To ensure the planning and management of exams are conducted efficiently and in the interests of candidates
- To ensure the operation of an efficient exams system with clear guidelines for all relevant staff.

It is the responsibility of everyone involved in the centre's exam processes to read, understand and implement this policy.

Samuel Whitbread Academy is committed to abiding by JCQ regulations and those required by other Awarding Bodies of which we are an accredited Centre.

Where references are made to JCQ regulations/guidelines, further details can be found at www.jcq.org.uk.

3. Qualifications Offered

The qualifications offered at this centre are decided by the Principal, Vice Principal (Curriculum) and the Heads of Department.

Current qualifications offered are:

- GCE, GCSE, BTEC's, L3 Applied General and Functional Skills.
- The subjects offered for these qualifications in any academic year may be found in the Academy's published prospectus for that year. If there is to be a change of specification for the next academic year, the exams office must be informed by 1st October in the current academic year.
- The centre is also an accredited centre for Cambridge Admissions Testing and Oxford Testing for entry to Oxford and Cambridge.
- Decisions on whether a candidate should be entered for a particular subject will be taken by the Head of Department, in consultation with the Vice Principal (Curriculum), Head of Year, subject teachers and parents/guardians.
- Students are responsible for liaising with the Exams office staff to ensure they are entered for their required Cambridge & Oxford Admissions Testing exams.

4. Procedure

Responsibilities for the efficient running of the exams process:

(4a) Head of Centre:

- Has overall responsibility for the Academy as an exam centre and advises on appeals and re-marks.

- Is responsible for reporting all suspected or actual incidents of malpractice – please refer to the JCQ document <https://www.jcq.org.uk/exams-office/malpractice/> and Part 2, *Malpractice & Mal-administration Policy*, for further information.

(4b) Exams Office:

- Manages the administration of internal and external examinations
- Advises the senior leadership team, subject and class tutors and other relevant support staff on annual exam timetables and procedures as set by the various awarding bodies
- Oversees the production and distribution, to all centre staff and candidates, of an annual calendar for all exams in which candidates will be involved and communicates regularly with staff concerning imminent deadlines and events
- Ensures that candidates and their parents/guardians are informed of and understand those aspects of the exams timetable that will affect them
- Checks with teaching staff that the necessary coursework and/or non-examined assessments are completed on time and in accordance with JCQ guidelines
- Maintains systems and processes to support the timely entry of candidates for their exams
- Receives checks and stores securely all exam papers and completed scripts (including the secure retention of any electronic copies of word-processed scripts), and ensures that scripts are dispatched as per the guidelines.
 - Administers access arrangements and make applications for special consideration following the regulations in the JCQ publication <https://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance/>
- Identifies and manages exam timetable clashes.
- Processes on-line applications for access arrangements
- Accounts for income and expenditures relating to all exam costs/charges
- The Exams and Data Manager line manages the Deputy Exams officer who supports the Examinations and Data Manager, deputising where appropriate.
- Organises the recruitment, training and monitoring of a team of exam invigilators responsible for the conduct of all exams
- The Exams and Data Manager is responsible for consulting with the Head of centre over any suspected malpractice incidents reported by the invigilation team or any other interested party
- Ensures candidates' coursework/non-examined assessment marks, and any other material required by the appropriate awarding body, are submitted by published deadlines
- Tracks, dispatches and stores returned coursework/non-examined assessments
- Arranges for dissemination of exam results and certificates to candidates
- Processes any post results service requests

(4c) Heads of department

- Give guidance and pastoral oversight of candidates who are unsure about exam entries or amendment to entries
- Accurately complete entry and all other mark sheets adhering to deadlines set by the Exams and Data Manager
- Complete coursework/non-examined assessment mark sheets and associated declarations to deadlines set by the Exams and Data Manager
- Requests post results services for their department in consultation with SLT

(4d) Teachers

- Supply entry information, coursework and non-examined assessment as required by the head of department and Exams and Data Manager

(4e) SENCo/Specialist Teacher

- Identifies candidates for testing for access arrangements and notify the Exams Office in a timely manner so that arrangements can be made for exam days
- Administration and undertaking of appropriate specialist assessor testing
- Provision of additional support
- Work with the exams office to provide access arrangements required by candidates in exam rooms

(4f) Invigilators

- Assist the Exams and Data Manager in the efficient running of exams according to JCQ regulations
- Collection of exam papers and other material from the exam office at the start of the exam
- Collection of all exam papers in the correct order, completion of the official examination register and ensuring their return to the exam office at the end of the exam.
- Supervise candidates at all times during examinations, providing equipment when asked for and reporting any suspected malpractice to the Exams and Data Manager in the first instance.
- Where the Awarding Body requires it, the Centre will observe all new Invigilators on their first invigilation of an assessment related to the qualification overseen by that Awarding Body and annually thereafter. These observations shall be recorded using the Awarding Body supplied form and completed forms then retained for audit purposes.

(4g) Candidates

- Inform the exams office of any anomalies on examination timetables, including personal details.
- Understanding coursework/non-examined assessment regulations and sign a declaration that authenticate their work as their own.
- Ensuring their good conduct in all exams according to JCQ regulations

5. Exam Seasons and Timetables

5a) Exam Seasons

Internal exam seasons are scheduled:

Year 11 and Year 13 – Nov/Dec

Year 11 – March (Core and Ebacc subjects only).

Year 12 – June/July

Year 10 – Apr/May

External exams are scheduled May/June for all qualification's

External re-sits of GCSE English Lang and Maths are in November

External BTEC, and L3 Applied General exams are also available in January; entries made at the discretion of the Head of Department.

External Functional Skills testing are scheduled at various points throughout the year when the candidate is deemed ready to take the test.

5b) Timetables

Timetables for external exams are produced by the exams office and may be viewed by staff, parents and learners on Edulink. It is the responsibility of the student to ensure that they check their email accounts regularly.

6. Entries, entry details, late entries and Re-takes

(6a) Entries & Late Entries

Heads of Departments will provide estimated entry information to the Exams and Data Manager as requested.

- Students are selected for their exam entries by the Head of Department and subject teaching staff
- Entry deadlines are circulated to Heads of Department via email and staff briefings
- A student or parent/guardian may request a subject entry, change of level or withdrawal subject to approval of the relevant Head of Department in consultation with the teacher, Head of Year and Vice Principal (Curriculum).
- The centre accepts Private entries from former students ONLY where we are able to accommodate
- The centre does not act as an exam centre for other organisations.
- Late entries will be accepted by the Examinations and Data Manager where possible through the relevant Head of Department only.

(6b) Re-takes

Re-take decisions will be made in consultation with the student, subject teacher, Head of Sixth Form and Head of Department.

- GCSE re-takes are only possible in November of each year for English Language and Mathematics.
- AS/Applied/Vocational units (where applicable) can be re-sat in Year 13 only
- A2 units cannot be re-sat unless the student returns as a private candidate
- BTEC externally assessed units can be re-sat as required if time allows and is permitted by the specification of the subject.

7. Exam Fees

- Candidates or departments will not be charged for registrations, entries, changes of tier or withdrawals made by the proper procedures provided they are made within the awarding body deadlines.
- Late entry or late amendment fees are paid for by the department, or in the case of student request, by the student.
- Students will be charged a minimum fee of £10 to pay for the repair and cleaning of any desks which they have defaced in any manner at the discretion of the Vice Principal
- Students must pay for an Enquiry about a Result, should the centre not uphold the enquiry and the student insists on pursuing such enquiry. For further information, please refer to Part 4, Para 4(a), Internal & External Appeals Policy.
- Private entries are to be paid for by the candidate.

Please refer to Part 8, Exam Fees Payment, for further information.

8. The Equality Act 2010, Special Needs and Access Arrangements

8(a) Equality

All exam centre staff must ensure that they meet the requirements of any equality legislation. For further information, please refer to the SWA, Equality Policy, available as a separate document and published on the BEST Academy website at [Equalities Policy - Best Academy](#)

8(b) Special Needs

The centre will comply with the legislations, including making reasonable adjustments to the service that they provide to candidates in accordance with requirements defined by the legislation, awarding bodies and JCQ.

- A student's special needs requirements are determined by the SENCo and the specialist teacher.
- The SENCo will inform subject teachers of students with special educational needs who are embarking on a course leading to an exam.
- The SENCo will inform individual staff of any special arrangements that individual students may be granted during the course and exams, including any coursework or non-examined assessment.

8(c) Access Arrangements

Implementing the special arrangements for students to take exams is the responsibility of the Exams and Data Manager in consultation with the SENCo.

- Submitting Access Arrangements, via the online system, is the responsibility of the Exams Office. Completion of the necessary paperwork and testing prior to this rests with the SENCo/specialist teacher.

- Collection of evidence to support an access arrangement is the responsibility of the SENCo/specialist teacher.
- Completion of the Data Protection Notice by the candidate is the responsibility of the specialist teacher before conducting any diagnostic testing.
- Please refer to Part 6 Word-processing policy for further information on the use of word processors for examination purposes.
- Please refer to Part 7 – Requests for Alternative accommodation for students requesting to sit exams other than in exam halls
- Rooming and invigilation to support access arrangements, as defined in the JCQ access arrangements regulations, is the responsibility of the exams office and learning support department staff.

9. Private Candidates

- Managing entries, timetables, fees and notices of private candidates is the responsibility of the Exams and Data Manager.
- Private candidates are to register with the exam office no later than the end of January for summer exams, and the end of September for November exams.
- Private candidates are to provide passport sized photographs.
- Entry fees, administration and invigilation charges may apply – Please refer to Part 9, Exam Fees Payment Policy.

10. Estimated Grades

Heads of department are responsible for submitting estimated grades to the exams office when requested by the appropriate deadline.

11. Managing Invigilators and exam days

11(a) Managing Invigilators

- External invigilators will be used to invigilate all exams.
- Recruitment of invigilators is the responsibility of the Exams and Data Manager.
- Securing the necessary Disclosure Barring Service (DBS) clearance for new invigilators is the responsibility of the HR dept. DBS fees for securing such clearance are paid by the centre.
- Invigilators rates of pay are set by the Principal and SLT and approved by the Board of Governors.
- Invigilators are timetabled, briefed and trained by the Exams and Data Manager and Deputy Exams Manager.

11(b) Exam Days

- The Exams and Data Manager will book all exam rooms after liaison with other users. Large exam rooms are to be booked through the Facilities team.
- The Exams and Data Manger will instruct the site team on room setting up and timings. It is the responsibility of the site team to ensure that the room are set up in accordance with the JCQ Instructions for the [Conduct of an Exam \(ICE\)](#) document in collaboration with the exam office.
- The exams office staff will make the question papers and other exam stationery materials available to the invigilation team.
- A lead invigilator will be appointed to each of the large exam halls and will start all exams in accordance with JCQ guidelines.
- An invigilator will start all of the smaller rooms in accordance with JCQ guidelines.
- Subject staff may not enter the exam room. They are entitled to address their candidates outside the room whilst lining up only. Exceptions to this are the Head of Centre and SLT when assisting the Exams office and invigilation team with settling students prior to the exam or should they be called upon for assistance during the exam.
- Subject staff are permitted in exam rooms during practical examinations to enable them to aid the invigilator with any technical difficulties that may occur.

- Subject staff are permitted in the exam room for on-line testing, but cannot be the sole invigilator in the room at any time. IT support staff are also permitted in rooms where computers are in use to provide the necessary technical expertise.
- Unused exam papers will not be released to subject staff until 24 hours after the scheduled start time of the exam, providing that all students within the centre have completed the paper.
- At the end of the exam, the Exams office staff will arrange for the safe dispatch of completed examination scripts to awarding bodies.

12. Students, clash students and Special Consideration

12(a) Students

- The Exams office will produce an “Examination Booklet” for all students in advance of each series. A formal briefing session for candidates may be given by the Head of Year and the booklet will be forwarded via “Edulink” on which timetables will be available to view.
- In accordance with the SWA, Safeguarding Policy, students are to wear School Uniform for all examinations, and 6th form are to comply with the acceptable dress code and wear their lanyards at all times.
- Candidates’ personal belongings remain their own responsibility and the centre accepts no liability for their loss or damage. Bags are not permitted in any exam room or hall. It is the responsibility of the student to ensure that their bag/belongings are stored safely in a locker or other safe place before going to any exam room or hall.
- Candidates must not have access to items other than those clearly allowed in the instructions on the question paper, the stationery list, or the specification for that subject. The relevant JCQ notice will be displayed inside and outside of every room.
- Disruptive candidates are dealt with in accordance with JCQ guidelines.
- Candidates are required to stay for the full duration of the paper that they are sitting.
- Candidates will not be released until at least an hour after the PUBLISHED start time of the exam has passed. For morning exams the earliest a candidate may leave the exam room unescorted is 10.00am, and 14.30pm for afternoon exams.
- Candidates may only leave the exam room for genuine reasons and must be supervised at all times. Toilet breaks will not be permitted in the first 60 minutes of an exam or in the final 15 minutes unless medical evidence is supplied to the exam office.
- The exams office is responsible for contacting any absent students, supported by the Head of Year teams.
- Students arriving late must report to the Exams and Data Manager, who will accommodate them as appropriate in accordance with JCQ guidelines.
- Students that do not attend an exam, without good reason, may be invoiced for the examination fees.

12(b) Clash Candidates

The exams office will be responsible as necessary for supervising escorts, identifying a secure venue and arranging any over-night supervision.

12(c) Special Consideration

Special Consideration can be applied after an assessment if there was a reason the learner may have been disadvantaged during the assessment which had or is likely to have had a material effect on that learner’s ability to take an assessment or demonstrate his or her level of attainment in an assessment.

- Should a candidate be unable to attend an exam because of illness, suffer bereavement or other trauma, or experience some other event outside of their control, be disadvantaged or disturbed (other than momentary disturbances) during an exam, then it is the candidate’s responsibility to alert the Exams and Data Manager, or Invigilator to that effect without delay.
- When required, the candidate is responsible for providing evidence to support their claim for special consideration within 5 days of the exam affected. For absences due to ill health, a medical note or, [jcq.org.Form-14 Self-Certification-Form](#) must be submitted.

- The Exams office staff will make a special consideration application to the relevant awarding body within 10 days of the last exam in the series abiding by the following principles:
 - Should not invalidate the assessment requirements of the qualification
 - Should not give the learners an unfair advantage
 - Should reflect the learner's normal way of working
 - Should be based on the individual need of the learner

Special consideration, if successful, may result in a small post-assessment adjustment to the mark of the learner and is outside of the control of the Academy.

13. Internal Assessment

13(a) Coursework

Please also refer to Part 3, Non-Examined Assessment Policy.

Students who are required to produce coursework or Non-examined Assessment as part of their chosen course, must complete and submit their work by the date supplied by their subject teacher along with the signed declaration.

- Heads of department will ensure that all marks and requested samples are ready for dispatch by the deadlines issued by the Exams and Data Manager.
- The Exam office will co-ordinate the dispatch of coursework and keep accurate records of dates and moderator details.

13(b) Learner Appeals against Assessments – Internally assessed Units

The centre is required to publish a policy for appealing internal assessments. Please refer to Part 4, Internal & External Appeals Policy.

14. Results, Enquiries about Results (EAR's)/Access to Scripts (ATS) & Certificates.

14(a) Results

- Candidates will receive individual results slips on results days in person at the Academy or by post to their home address if requested.
- The results slips will be in the form of a centre produced document or Awarding Body statement of results
- Students must provide an A5 size stamped address envelope prior to the last day of term if they wish their results to be posted to them.
- Should a candidate wish for a third party to collect their results on their behalf, they must provide a letter or complete the google form stating who they grant permission to and inform their nominated person to bring photographic identification with them. No results will be released without the correct identification or prior written authority to the Exams office being received.
- Arrangements for the building and accommodation for results days are the responsibility of the Exams office.

14(b) Enquiries about Results (EAR's)

- EAR's may be requested by centre staff or the candidate following the release of results.
- All EAR's (with the exception of Re-Moderation), require the written consent of the candidate.
- A request for re-moderation of internally assessed work may be submitted without the consent of the candidates concerned.
- The cost of EAR's at the request of the centre will be paid by the centre upon receipt of the candidate's consent.
- The Head of Centre, in consultation with the Vice Principal (Curriculum), is responsible for authorising centre requests for EAR's.
- The cost of an EAR at the request of the candidate will be met by the candidate.
- The Exams and Data Manager will produce guidelines on EAR's stating all the costs and deadlines for staff and students. A copy of a request form for an EAR will be placed in the results envelope of every student.

- It is the responsibility of the student to adhere to the deadlines given on the EAR request form.

14(c) Access to Scripts (ATS)

- After the release of results, candidates may ask subject staff to request the return of the written exam papers within the deadlines given on the Request for EAR form in 14(b) above.
- Centre staff may also request scripts for investigation or teaching purposes. The consent of the student concerned must be gained prior to the request being submitted. This is the responsibility of the subject teacher.
- The cost of EAR's will be met either by the department requesting the script, or the student instigating the request.
- Processing of ATS will be the responsibility of the Exams Office.

14(d) Certificates

- Candidates will receive their certificates in person from the centre. A signature is required upon collection.
- Certificates can be collected by a third person, provided they have written authorisation to do so, and bring suitable identification with them that confirms their identity.
- The centre is only obliged to retain certificates for 12 months.
- A new certificate may not be offered by the awarding body and is the responsibility of the candidate to pursue the issue of any replacement certificates with the relevant awarding body.



Part 2

Malpractice & Maladministration Policy (SWA)

1. Rationale and Aim

The Samuel Whitbread Academy is committed to abiding by the JCQ regulations and procedures for reporting malpractice and maladministration. The aim of this policy is to ensure that anyone involved in the management, assessment and quality assurance of any qualifications are fully aware of the contents of the policy and arrangements are in place to prevent and investigate instances of malpractice and maladministration.

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

2. Policy

The purpose of this policy is

- To confirm how Samuel Whitbread Academy manages malpractice under normal delivery arrangements in accordance with the regulations
- To confirm Samuel Whitbread Academy has in place a written malpractice policy which covers all qualifications delivered by the centre and details how candidates are informed and advised to avoid committing malpractice in examinations/assessments, how suspected malpractice issues should be escalated within the centre and reported to the relevant awarding body (GR 5.3)
- To define malpractice and maladministration.
- It is the responsibility of everyone involved in the Centre's exam processes to read, understand and implement this policy.

Where references are made to JCQ regulations/guidelines, further details can be found at <https://www.jcq.org.uk/>.

Reference in the policy to **GR** and **SMPP** relate to relevant sections of the current JCQ publications **General Regulations for Approved Centres** and **Suspected Malpractice: Policies and Procedures**.

3. General principles

In accordance with the regulations Samuel Whitbread Academy will:

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

• 4. Definitions:

Malpractice & Mal-administration

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

- a breach of the Regulations
- a breach of awarding body requirements regarding how a qualification should be delivered
- a failure to follow established procedures in relation to a qualification which:
 - gives rise to prejudice to candidates
 - compromises public confidence in qualifications
 - compromises, attempts to compromise or may compromise the process of assessment, the integrity of any qualification or the validity of a result or certificate
- damages the authority, reputation or credibility of any awarding body or centre or any officer, employee or agent of any awarding body or centre (SMPP 1)

Candidate malpractice

'Candidate malpractice' means malpractice by a candidate in connection with any examination or assessment, including the preparation and authentication of any controlled assessments, coursework or non-examination assessments, the presentation of any practical work, the compilation of portfolios of assessment evidence and the writing of any examination paper. (SMPP 2)

Examples of candidate malpractice (this list is not exhaustive):

- The alteration or falsification of any results documents, including certificates
- A breach of the instructions or advice of an invigilator, supervisor or the awarding body in relation to the examination or assessments;
- Accessing the internet, online materials or AI tools during remote assessment and remote invigilation, where this is not permitted
- Plagiarism: unacknowledged copying from, or reproduction of, third party sources or incomplete referencing (including the internet and artificial intelligence (AI) tools);
- Collusion: working collaboratively with other candidates, beyond what is permitted
- Copying from another candidate (including the use of technology to aid the copying)
- Allowing work to be copied, e.g. posting work on social networking sites prior to an examination/assessment
- Disruptive behaviour in the examination room or during an assessment session
- Making a false declaration of authenticity in relation to the authorship of controlled assessment, coursework, non-examination assessment or contents of a portfolio
- Being in possession of unauthorised confidential information about an examination or assessment
- The inclusion of inappropriate, offensive, obscene, homophobic, transphobic, racist or sexist material in scripts, controlled assessments, Non-examination assessments or portfolio's.
- Impersonation: pretending to be someone else, arranging for another person to take one's place in an examination or assessment
- Bringing into the examination/assessment room un-authorized material, e.g. notes, calculators (when prohibited), iPods, mobile phones, pagers, watches, ear buds or any similar electronic device

A list of examples (although not fully exhaustive) of candidate malpractice can be found at <https://www.jcq.org.uk/exams-office/malpractice/>

Centre staff malpractice

'Centre staff malpractice' means malpractice committed by:

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

Examples of centre staff malpractice include such scenario's as

- Breach of Security
- Deception
- Improper Assistance to candidates
- Failure to co-operate with an investigation
- Maladministration

A list of examples(although not fully exhaustive) of the above scenario's can be found at <https://www.icq.org.uk/exams-office/malpractice/>

5. Preventing malpractice:

Samuel Whitbread Academy has in place:

- Robust processes to prevent and identify malpractice, as outlined in section 3 of the JCQ publication **Suspected Malpractice: Policies and Procedures**. (SMPP 4.3)
- This includes ensuring that all staff involved in the delivery of assessments and examinations understand the requirements for conducting these as specified in the following JCQ documents and any further awarding body guidance: *General Regulations for Approved Centres 2023-2024*; *Instructions for conducting examinations (ICE) 2023-2024*; *Instructions for conducting coursework 2023-2024*; *Instructions for conducting non-examination assessments 2023-2024*; *Access Arrangements and Reasonable Adjustments 2023-2024*; *A guide to the special consideration process 2023-2024*; *Suspected Malpractice: Policies and Procedures 2023-2024*; *Plagiarism in Assessments*; *AI Use in Assessments: Protecting the Integrity of Qualifications*; *A guide to the awarding bodies' appeals processes 2023-2024* (SMPP 3.3.1)

To ensure that students and staff are aware of what constitutes malpractice the Centre will

- Email via Edulink the following JCQ notices
- Un-authorized items poster
- Warning to candidates poster
- Information for candidates – coursework
- Information for candidates – NEA assessments
- Information for candidates – on screen tests (when applicable)
- Information for candidates – written exams
- Information for candidates – privacy notice
- Information for candidates – social media
- For any NEA assessments, staff are to ensure that they have read the JCQ [Artificial Intelligence \(AI\) Use in Assessments: Protecting the Integrity of Qualifications](#)
- Students are to sign the appropriate declaration to authenticate that the work produced is their own
- At the start of all courses, students will be emailed information on the use of AI and the consequences

Copies of all of these documents and this policy will also on the school website for reference.

6. Reporting Malpractice or Maladministration

It is the responsibility of every member of staff to report any concerns they have on malpractice or maladministration through their relevant Head of Department in the first instance. If their concern involves the Head of Department then they should report any suspected incidents to the Head of Centre/Vice Principal (Curriculum).

- Suspected malpractice can be identified and reported by any of the following:
 - centres (including by students, parents or centre staff);

- awarding bodies (including by examiners, moderators and awarding body staff);
- other individuals (such as funding agency staff, anonymous sources, or members of the public).
- Once suspected malpractice is identified, any member of staff at the centre can report it using the appropriate channels (SMPP 4.3)
- The head of centre/Vice Principal (Curriculum) will follow the JCQ publication <https://www.jcq.org.uk/exams-office/malpractice/> to, notify the appropriate awarding body immediately of all alleged, suspected or actual incidents of malpractice, using the appropriate forms, and will conduct any investigation and gathering of information in accordance with the requirements of the JCQ publication
- The head of centre/Vice Principal (Curriculum) will ensure that where a candidate who is a child/vulnerable adult is the subject of a malpractice investigation, the candidate's parent/carer/ appropriate adult is kept informed of the progress of the investigation (SMPP 4.1.3)
- Form JCQ/M1 will be used to notify an awarding body of an incident of candidate malpractice. Form JCQ/M2 will be used to notify an awarding body of an incident of suspected staff malpractice/maladministration (SMPP 4.4, 4.6)
- Malpractice by a candidate discovered in a controlled assessment, coursework or non- examination assessment component prior to the candidate signing the declaration of authentication need not be reported to the awarding body but will be dealt with in accordance with the centre's internal procedures. The only exception to this is where the awarding body's confidential assessment material has potentially been breached. The breach will be reported to the awarding body immediately (SMPP 4.5)
- If, in the view of the investigator, there is sufficient evidence to implicate an individual in malpractice, that individual (a candidate or a member of staff) will be informed of the rights of accused individuals (SMPP 5.33)
- Once the information gathering has concluded, the head of centre (or other appointed information-gatherer) will submit a written report summarising the information obtained and actions taken to the relevant awarding body, accompanied by the information obtained during the course of their enquiries (5.35)
- Form JCQ/M1 will be used when reporting candidate cases; for centre staff, form JCQ/M3 will be used (SMPP 5.37)
- The awarding body will decide on the basis of the report, and any supporting documentation, whether there is evidence of malpractice and if any further investigation is required. The head of centre will be informed accordingly (SMPP 5.40)
- Once a decision has been made, it will be communicated in writing to the head of centre as soon as possible. The head of centre will communicate the decision to the individuals concerned and pass on details of any sanctions and action in cases where this is indicated. The head of centre will also inform the individuals if they have the right to appeal. (SMPP 11.1)

7. Appeals against decisions made in cases of malpractice

Samuel Whitbread Academy will:

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



Part 3

Non-Examined Assessment Policy (NEA)

1. Rationale and Aim

The Samuel Whitbread Academy recognises that non-examined assessments are an important element of several learning pathways. We are committed to implementing the guidelines instructions and policies as detailed by the awarding bodies and Government agencies and ensuring that all students have the best possible environment to achieve their potential.

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*

2. Policy

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

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

[Definition taken directly from the JCQ publication Instructions for conducting non-examination assessments– Foreword, page 3]

3. Procedure – Responsibilities

(3a) 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 internally assessed marks

(3b) Senior leaders

- Ensure the correct conduct of non-examination assessments 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
- Confirms with subject heads that appropriate awarding body forms and templates for non-examination assessments 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
- 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.

(3c) Subject head/lead

- Ensures subject teachers understand their role and responsibilities within the non-examination assessment process

- Ensures NEA and relevant awarding body subject specific instructions are followed in relation to the conduct of non-examination assessments
- Works with the QA lead/Lead internal verifier to ensure appropriate procedures are followed to internally standardise/verify the marks awarded by subject teachers
- 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.
- Has read and understood the JCQ [Artificial Intelligence \(AI\) Use in Assessments: Protecting the Integrity of Qualifications](#)

(3d) Subject teacher

- Understands and complies with the general instructions as detailed in NEA
- Has read and understood the JCQ [Artificial Intelligence \(AI\) Use in Assessments: Protecting the Integrity of Qualifications](#)
- Where these may also be provided by the awarding body, understands and complies with the awarding body's specification for conducting non-examination assessments, including any subject-specific instructions, teachers' notes or additional information on the awarding body's website
- Marks internally assessed work to the criteria provided by the awarding body
- Notifies all students of their Non-Examined Assessment component marks before the Appeals window closes. (Part 4, Internal & External Appeals policy refers).

(3e) Exams officer

- Carries out tasks where these may be applicable to the role in supporting the administration/management of non-examination assessment

(3f) SENCo

- Ensure that details of any student requiring access arrangements are given to the Examinations & Data Manager at the beginning of the course
- Work with teaching staff to ensure that approved access arrangements are applied during all non-examined assessments.

4. Procedure for Task(s)

(4a) Subject teacher – task setting

- 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
- 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
- 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
- As relevant to the subject/component, advises candidates on relevant aspects before candidates begin working on a task
- Refers to the awarding body's specification to determine where word and time limits apply/are mandatory

(4b) Subject teacher – task taking and supervision

- Checks the awarding body's subject-specific requirements ensuring candidates take tasks under the required conditions and supervision arrangements
- Ensures conditions for any formally supervised sessions are put in place and regulations are known, understood and followed by candidates

- Ensures there is sufficient supervision to enable the work of a candidate to be authenticated
- Instructs candidates to present work as detailed in [NEA](#) unless the awarding body's specification gives different subject-specific instructions
- Instructs candidates to add their candidate number, centre number and the component code of the assessment as a header/footer on each page of their work
- Ensures 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.
- Allow candidates to revise and re-draft work after advice has been given at a general level
- Unless stated otherwise in the awarding body's specification, and where appropriate, allows candidates to collaborate when carrying out research and preparatory work
- Where candidates may work in groups, keeps a record of each candidate's contribution and ensure that it is possible to attribute assessable outcomes to individual candidates
- When working in groups, ensures that where an assignment requires written work to be produced, each candidate writes up their own account of the assignment
- Records any assistance given beyond general advice and takes it into account in the marking or submits it to the external examiner
- When reviewing candidates' work, unless prohibited by the specification, provides oral and written advice at a general level to candidates
- Ensures when work has been assessed, candidates are not allowed to revise it
- Assesses the work of each candidate individually
- Ensures candidates are aware of the JCQ documents and understand and comply with [jcq.org.uk NEA Assessments 2023 FINAL.pdf](#) and [jcq.org.uk Social-Media-Information-for-Candidates Final.pdf](#)

(4c) Subject teacher - Keeping materials secure

- 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
- 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 – Keeping materials secure

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

(4d) Subject teacher – Authentication procedures

- 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.

- Where teachers have doubts about the authenticity of student work submitted for assessment (for example, they suspect that parts of it have been generated by AI but this has not been acknowledged), they must investigate and take appropriate action.

(4e) Subject teacher – marking and annotation

Subject teacher

- 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 in a timely manner to enable an internal appeal to be submitted by a candidate and the outcome known before final marks are submitted to the awarding body – for further information refer to Part 4, Internal and External Appeals policy.

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 that all paperwork showing standardisation is annotated.

Subject teacher

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

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. Failure to meet the awarding body deadlines, will constitute mal-administration.
- 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

- Where marks have been provided by the subject teacher, 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 head/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 relates to the Centre.

5. Task taking – externally assessed components

(5a) Subject teacher - Conduct

- 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

(5b) 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 Conduct of an Exam \(ICE\)](#)

(5c) Subject teacher – Submission of work

- 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 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/uploads the work to the awarding body instructions by the required deadline

Access arrangements

Subject teacher

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

Special educational needs coordinator (SENCo)

- Follows the regulations and guidance in the [jqc.org.uk access-arrangements-and-special-consideration](http://www.jcq.org.uk/access-arrangements-and-special-consideration)
- 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

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 the <https://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance/>
- where a candidate is eligible, will submit an application for special consideration via the awarding body's secure extranet site to the prescribed timescale
- Where application for special consideration via the awarding body's secure extranet site is not applicable, submits the required form to the awarding body to the prescribed timescale
- Keeps required evidence on file to support the application

Malpractice

Head of centre

- Understands the responsibility to report to the relevant awarding body any suspected cases of malpractice involving candidates, teachers, invigilators or other administrative staff as per the Malpractice and Mal-administration policy in Part 2
- Is familiar with the <https://www.jcq.org.uk/exams-office/malpractice/> publication

Subject teacher

- Is aware of the <https://www.jcq.org.uk/exams-office/non-examination-assessments/notice-to-centres-sharing-nea-material-and-candidates-work/>
- Ensures candidates understand the <https://www.jcq.org.uk/exams-office/information-for-candidates-documents/>

Exams officer

- Signposts the [jqc.org.uk Malpractice_22-23_FINAL2.pdf](http://www.jcq.org.uk/Malpractice_22-23_FINAL2.pdf) publication to the head of centre

- Signposts the [jcq.org.uk non-examination-assessments/notice-to-centres-sharing-nea-material-and-candidates-work/](http://jcq.org.uk/non-examination-assessments/notice-to-centres-sharing-nea-material-and-candidates-work/) to subject heads
- Signposts candidates to the relevant JCQ information for candidates documents on the JCQ website <https://www.jcq.org.uk/exams-office/information-for-candidates-documents>
- Where required, supports the head of centre in investigating and reporting incidents of suspected malpractice

Enquiries about results

Head of centre

- Ensures the centre's *internal and external appeals procedures* clearly detail the procedure to be followed by candidates (or their parents/carers) appealing against a centre decision not to support an enquiry about results request or not supporting an appeal following the outcome of an enquiry about results

Subject head/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.org.uk/exams-office/post-results-services/ publication
- 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

Subject head/lead

- Confirms understanding of the *Practical Skills Endorsement for the A Level Sciences designed for use in England*
- Ensures a response is provided to JCQ indicating which awarding body the centre intends to use for its entries in A level Biology, Chemistry and Physics (in Autumn 2016)
- 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

Senior Leader

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

Subject head/lead

- Confirms understanding of the *Spoken Language Endorsement for GCSE English Language specifications designed for use in England*
- 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 (where required) 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	<i>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</i>	IT
Centre set task: Subject teacher fails to meet the assessment criteria as detailed in the specification	<i>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</i>	HOD
Candidates do not understand the marking criteria and what they need to do to gain credit	<i>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</i>	Subject Teacher/HOD
Subject teacher long term absence during the task setting stage	<i>See centre's exam contingency plan - Teaching staff extended absence at key points in the exam cycle</i>	HOD
Issuing of tasks		
Task for legacy specification given to candidates undertaking new specification	<i>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</i>	Senior Leaders
Awarding body set task not issued to candidates on time	<i>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</i>	HOD
The wrong task is given to candidates	<i>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</i>	HOD
Subject teacher long term absence during the issuing of tasks stage	<i>See centre's exam contingency plan - Teaching staff extended absence at key points in the exam cycle</i>	HOD
Task taking		
Supervision		
Planned assessments clash with other centre or candidate activities	<i>Assessment plan identified for the start of the course Assessment dates/periods included in centre wide calendar</i>	HOD
Rooms or facilities inadequate for candidates to take tasks under appropriate supervision	<i>Timetabling organised to allocate appropriate rooms and IT facilities for the start of the course Staggered sessions arranged where IT facilities insufficient for</i>	HOD

	<i>number of candidates Whole cohort to undertake written task in large exam venue at the same time (exam conditions do not apply)</i>	
Insufficient supervision of candidates to enable work to be authenticated	<i>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</i>	HOD
A candidate is suspected of malpractice prior to submitting their work for assessment	<i>Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (chapter 9 Malpractice) are followed An internal investigation and where appropriate internal disciplinary procedures are followed</i>	Head of Centre/Exams officer
Access arrangements were not put in place for an assessment where a candidate is approved for arrangements	<i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (chapter 2), to determine the process to be followed to apply for special consideration for the candidate</i>	Exams Officer/SENCo
Advice and feedback		
Candidate claims appropriate advice and feedback not given by subject teacher prior to starting on their work	<i>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</i>	HOD
Candidate claims no advice and feedback given by subject teacher during the task-taking stage	<i>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</i>	HOD
A third party claims that assistance was given to candidates by the subject teacher over and above that allowed in the regulations and specification	<i>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</i>	HOD/Exams officer
Candidate does not reference information from published source	<i>Candidate is advised at a general level to reference information before work is submitted for formal assessment Candidate is again referred to the Non-Examination Assessments - JCQ Joint Council for Qualifications Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion</i>	Subject Teacher
Candidate does not set out references as required	<i>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 his/her own research, planning, resources etc. is regularly checked to ensure continued completion</i>	Subject Teacher
Candidate joins the course late after formally supervised task	<i>A separate supervised session(s) is arranged for the candidate to catch up</i>	Teacher

taking has started		
Candidate moves to another centre during the course	<i>Awarding body guidance is sought to determine what can be done depending on the stage at which the move takes place</i>	Exam Officer
An excluded pupil wants to complete his/her non-examination assessment(s)	<i>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</i>	HOD
Resources		
A candidate augments notes and resources between formally supervised sessions	<i>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</i>	Teacher
A candidate fails to acknowledge sources on work that is submitted for assessment	<i>Candidate's detailed record of his/her own research, planning, resources etc. is checked to confirm all the sources used, including books, websites and audio/visual resources Awarding body guidance is sought on whether the work of the candidate should be marked where candidate's detailed records acknowledges sources appropriately Where confirmation is unavailable from candidate's records, awarding body guidance is sought and/or a mark of zero is submitted to the awarding body for the candidate</i>	Teacher
Word and time limits		
A candidate is penalised by the awarding body for exceeding word or time limits	<i>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</i>	Teacher
Collaboration and group work		
Candidates have worked in groups where the awarding body specification states this is not permitted	<i>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</i>	Teacher
Authentication procedures		
A teacher has doubts about the authenticity of the work submitted by a candidate for internal assessment Candidate plagiarises other material	<i>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</i>	Teacher/HOD
Candidate does not sign their authentication statement/declaration	<i>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</i>	Teacher
Subject teacher not available to sign authentication forms	<i>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</i>	HOD
Presentation of work		
Candidate does not fully complete the awarding body's	<i>Cover sheet is checked to ensure it is fully completed before accepting the work of a candidate for formal assessment</i>	Teacher

cover sheet that is attached to their worked submitted for formal assessment		
Keeping materials secure		
Candidates work between formal supervised sessions is not securely stored	<i>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</i>	HOD
Adequate secure storage not available to subject teacher	<i>Records confirm adequate/sufficient secure storage is available to subject teacher prior to the start of the course Alternative secure storage sourced where required</i>	HOD
Task marking – externally assessed components		
A candidate is absent on the day of the examiner visit for an acceptable reason	<i>Awarding body guidance is sought to determine if alternative assessment arrangements can be made for the candidate If not, eligibility for special consideration is explored and a request submitted to the awarding body where appropriate</i>	Teacher, Exams Officer
A candidate is absent on the day of the examiner visit for an unacceptable reason	<i>The candidate is marked absent on the attendance register</i>	Teacher, Exams officer
Task marking – internally assessed components		
A candidate submits little or no work	<i>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</i>	Teacher
A candidate is unable to finish their work for unforeseen reason	<i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (chapter 5), to determine eligibility and the process to be followed for shortfall in work</i>	Teacher, Exams Officer
The work of a candidate is lost or damaged	<i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (chapter 5), to determine eligibility and the process to be followed for lost or damaged work</i>	Teacher, Exams Officer
Candidate malpractice is discovered	<i>Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (chapter 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</i>	Head of Centre, HOD , Exams Officer
A teacher marks the work of his/her own child	<i>A conflict of interest is declared by informing the awarding body that a teacher is teaching his/her own child at the start of the course Marked work of said child is submitted for moderation whether part of the sample requested or not</i>	Head of Centre, , Exams Officer
An extension to the deadline for submission of marks is required for a legitimate reason	<i>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 (chapter 5), to determine eligibility and the process to be followed for non-examination assessment extension</i>	HOD, Exams Officer
After submission of marks, it is discovered that the wrong task was given to candidates	<i>Awarding body is contacted for guidance Relevant staff are signposted to the JCQ publication A guide to the special consideration process (chapter 2), to determine eligibility and the process to be followed to apply for special consideration for candidates</i>	Senior Leader, Exams Officer
A candidate wishes to appeal the marks awarded for their work by their teacher	<i>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</i>	HOD, Head of Centre, Exams Officer

	<p><i>Candidates are informed of their marks at least two weeks prior to the internal deadline set by the exams officer for the submission of marks</i></p> <p><i>Through the candidate exam handbook, candidates are made aware of the centre's internal appeals procedures and timescale for submitting an appeal prior to the submission of marks to the awarding body</i></p>	
<p>Deadline for submitting work for formal assessment not met by candidate</p>	<p><i>Records confirm deadlines given and understood by candidates at the start of the course</i></p> <p><i>Candidates confirm/record deadlines known and understood</i></p> <p><i>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</i></p> <p><i>Decision made (depending on the circumstances) if the work will be accepted late for marking or a mark of zero submitted to the awarding body for the candidate</i></p>	Teacher
<p>Deadline for submitting marks and samples of candidates work ignored by subject teacher</p>	<p><i>Internal/external deadlines are published at the start of each academic year</i></p> <p><i>Reminders are issued through senior leaders/subject heads as deadlines approach</i></p> <p><i>Records confirm deadlines known and understood by subject teachers</i></p> <p><i>Where appropriate, internal disciplinary procedures are followed</i></p>	HOD
<p>Subject teacher long term absence during the marking period</p>	<p><i>See centre's exam contingency plan (Teaching staff extended absence at key points in the exam cycle)</i></p>	HOD



Part 4

Appeals Policy & Review of Marking and Access Arrangements Decisions

1. Rationale and Aim

The Samuel Whitbread Academy are committed to ensuring that the marking of all internal assessment(s) and the administration of access arrangements are done fairly, consistently and in accordance with the specification of the qualification concerned. The policy details the procedure for appealing against an internally assessed mark should any candidate disagree with the marks they have been awarded.

The JCQ Code of Practice requires that all centres must publish their Internal Appeals Policy.

2. Policy

Candidates' work will be assessed by staff who have appropriate knowledge, understanding and skill, and who have been trained appropriately. The Academy is committed to ensuring that the work produced by candidates is authenticated in line with the requirements of the awarding body. Where several staff are involved in the marking of internally assessed units, this centre will ensure that an internal moderation and standardisation process is undertaken to ensure fairness and consistency across marking.

If a candidate believes that this may not have happened in relation to their work, they are entitled to implement this appeals procedure.

3. Procedure for Appealing Centre Assessed Marks

- Samuel Whitbread Academy will ensure that candidates are informed of their centre assessed marks at least 2 working weeks before the final submission date for the appropriate Awarding Body to enable a window for candidates who may request a review of the centre's marking.
- Requests for reviews must be made in writing to the Exams & Data Manager, before the published subject deadline.
- The Samuel Whitbread Academy will inform candidates that they may request copies of materials to assist them in considering whether to request a review of the centre's marking of the assessment.
- The Samuel Whitbread Academy will, having received a request for copies of materials, promptly make them available to the candidate.
- The Samuel Whitbread Academy will provide candidates with sufficient time in order to allow them to review copies of materials and reach a decision.
- The candidate can review the work and marking and should they decide to appeal, they must then contact the Exams & Data manager by email giving the specific reason for the appeal. It is not sufficient to say "I don't agree with the marks",
- The Samuel Whitbread Academy will allow sufficient time for the review to be 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.
- The Samuel Whitbread Academy will instruct the reviewer to ensure that the candidate's mark is consistent with the standard set by the centre.
- The candidate will be informed in writing of the outcome of the review of the centre's marking.

- The outcome of the review of the centre's marking will be made known to the Head of Centre. A written record will be kept and made available to the awarding body upon request. Should the review of the centre's marking bring any irregularity in procedures to light, the awarding body will be informed immediately.
- After the candidate's work has been internally assessed, it is moderated by the awarding body to ensure consistence in marking between centres. The moderation process may lead to marks changes. This process is outside the control The Samuel Whitbread Academy, and is not covered by this procedure.
- The Examinations and Data Manager, in conjunction with the Vice Principal (Exams), is in overall charge of managing appeals relating to internal assessments.
- The Head of Centre will appoint a senior member of staff, i.e. a Vice Principal, Assistant Vice Principal or Associate Principal, to conduct the investigation. The senior member of staff will not have had any involvement in the internal assessment process for the subject in question.
- For appeals that require the appointment of assessors from outside of the centre, the Academy reserve the right to request payment of expenses incurred from the applicant. Any such fees will be agreed before the appeal commences.

4. Procedure for Appealing Externally Assessed Marks

In accordance with JCQ Post Results Publication, prior to the release of results, this centre will make available to all students the process for submitting and Enquiry about Results (EAR's). The procedure and deadlines will be sent via Edulink before the end of the Academic Year to all candidates.

4(a) Student Requests

- The Exams office will produce a paper and/or google form for students to submit their request
- An EAR form will be placed in the results envelope of every student
- The EAR form will detail all services, costs and deadlines
- The Exam office will process all enquiries once the completed form has been submitted and payment made.
- Once the enquiry has been completed, the exams office will inform the student via email of the outcome.
- Should the enquiry result in a change of grade, the centre will refund the appropriate fee.
- Requests for EAR's will only be accepted from the student – requests emailed to the exam office MUST originate from the student school email account.

4(b) Centre Requests

- The Exams office will produce a paper and/or google form for students to sign to give their permission for the centre to submit and EAR on their behalf.
- Students will be informed of the centre's desire to request an EAR on their behalf; the student has the right to refuse this.
- The form will state the subject that the centre wishes to submit the enquiry for
- In signing the form, the student also gives the centre authorisation to submit further EAR's where the centre finds it appropriate.
- The centre will pay for any re-marks that are requested in this manner.
- It is at the discretion of the centre to decide on the EAR's they will fund.

5. Procedure for Appealing Decisions in Relation to Exam Access Arrangements

5a Student or Parent/Carer Requests

- Exam Access Arrangements will be provided in line with the JCQ guidance on Exam Access Arrangements.
- The decision to award access arrangements sits with the exam boards, following an application made by the school.

- The application will be made following a review of all evidence held in the school, which will include any specialist and professional assessments of need and a review of evidence of normal way of working in the classroom provided by teachers and other learning support staff.
- If a student and/or their parents and carers disagree with the decision to apply or not to apply, they should present their case in writing to the principal.
- The principal will then appoint an appropriately qualified professional to review the evidence and the decision made in line with JCQ guidance on Exam Arrangements and Reasonable Adjustments.



Part 5

Equality & Disability Policy (Exams)

1. Rationale and Aim

This document is provided as an exams-specific supplement to the centre-wide equality policy 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”

This document is provided as an exams-specific supplement to the *centre-wide accessibility*

2. Policy

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

It is the responsibility of everyone involved in the centre’s exam processes to read, understand and implement this policy.

Samuel Whitbread Academy is committed to abiding by JCQ regulations and those required by other Awarding Bodies of which we are an accredited Centre.

Where references are made to JCQ regulations/guidelines, further details can be found at www.jcq.org.uk.

3. 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 2021/22.

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

Procedures for:

4. **Roles and Responsibilities for Identifying the need for Access Arrangements**

4(a) Head of Centre

- Is familiar with the entire contents, refers to and directs relevant centre staff to the annually updated JCQ publications
- 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 centre's compliance with relevant legislation is in place.
- Ensures an appropriately qualified assessor(s) is appointed and that evidence of the qualification(s) of the person(s) appointed is held on file.
- Defines and documents roles, responsibilities and processes in identifying, requesting and implementing access arrangements (Access Arrangements Policy).

4(b) Senior Leaders

- Are familiar with the entire contents of the annually updated JCQ publications including JCQ [General Regulations](https://www.jcq.org.uk/wp-content/uploads/2023/09/AA_regs_Revision_One_Sep23_FINAL.pdf) and https://www.jcq.org.uk/wp-content/uploads/2023/09/AA_regs_Revision_One_Sep23_FINAL.pdf (AA)
- Support the SENCo in determining the need for and implementing access arrangements.

4(c) 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 https://www.jcq.org.uk/wp-content/uploads/2023/09/AA_regs_Revision_One_Sep23_FINAL.pdf
- Ensures the assessment process is administered in accordance with the regulations.
- Leads on the access arrangements process to facilitate access for candidates.
- If not the appropriately qualified assessor, works with the person/persons appointed, on all matters relating to assessing candidates and the administration of the assessment process.
- Ensures that all assessments carried out and arrangements put in place comply with JCQ and awarding body regulations and guidance.
- Ensures arrangements put in place for exams/assessments reflect a candidate's normal way of working within the centre.
- Ensures the need for access arrangements for a candidate 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 exams/assessments.
- Provides appropriate evidence to confirm the need(s) of a candidate.
- Completes appropriate documentation as required by the regulations of JCQ and the awarding body.

4(d) Teaching Staff

- Inform the SENCo of any support that might be needed by a candidate.
- Ensures arrangements put in place for exams/assessments reflect a candidate's normal way of working within the centre.
- Provide information to evidence the normal way of working of a candidate.

4(e) 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 a detailed understanding of the current JCQ publication https://www.jcq.org.uk/wp-content/uploads/2023/09/AA_regs_Revision_One_Sep23_FINAL.pdf
- Conducts appropriate assessments to identify the need(s) of a candidate

5. **Roles and Responsibilities for Requesting Access Arrangements**

5(a) Special Educational Needs Coordinator (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/> 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.
- Makes an awarding body referral through AAO where the initial application for approval may not be approved by AAO, where it is deemed by the centre that the candidate does meet the criteria for the arrangement(s).
- In conjunction with the Exams Officer ensures that arrangements and approvals where required, are in place before a candidate takes his/her first exam or assessment (which is externally assessed or internally assessed/externally moderated).
- In conjunction with the Exams Officer ensures that where approval is required that this is applied for by the awarding body deadline.
- Presents the files when requested by a JCQ Inspector.
- Liaises with teaching staff regarding any appropriate modified paper requirements for candidates.

5(b) Exams Officer

- Is familiar with the entire contents of the annually updated JCQ publication GR and is aware of information contained in <https://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/> where this may be relevant to the EO role.
- In conjunction with the SENCo follows guidance in <https://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/> Chapter 8 to process approval applications for access arrangements for all 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.
- Confirms by ticking the 'Confirmation' box prior to submitting the application for approval that the 'malpractice consequence statement' has been read and accepted.
- Ensures that arrangements, and approvals where required, are in place before a candidate takes his/her 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.
- Maintains a record of approvals made to include where appropriate, a print out of the AAO approval and a signed data protection notice (which provides candidate consent to their personal details being shared).
- 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.

6. Implementing Access Arrangements and the Conduct of Exams (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' or [ICE](#)

6(a) 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.

- Is familiar with the Checklist for Heads of Centre and Examination Officers – The Equality Act 2010 and Conduct of Examinations provided in the current [ICE](#) publication.

6(b) 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.

6(c) 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 EO 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.

6(d) Exams Officer

- Is familiar with and follows the Checklist for Heads of Centre and Examination Officers – The Equality Act 2010 and Conduct of Examinations provided in the current [ICE](#) publication.
- 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 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 regarding the facilitation and invigilation of access arrangement candidates.
- Liaises with the SENCo regarding rooming of access arrangement candidates.
- Liaises with the SENCo to ensure that invigilators are made aware of the Equality Act 2010 and are trained in disability issues.
- Ensures appropriate seating arrangements are in place where different arrangements may need to be made for a candidate to facilitate access to his/her exams.

- Ensures 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.
- 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.

6(e) 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.
- Highlight any concerns that may require the implementation of Access Arrangements in accordance with the assessment calendar.
- 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 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.

6(f) Teacher Responsible for Planning

- Appoints appropriate centre staff as facilitators to support candidates (practical assistant, prompter, Oral Language Modifier, reader, scribe or Sign Language Interpreter).
- 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.

6(g) Site Team

- Responsible for rooms and non-specialist equipment (chairs, tables, clocks etc.) used for exams that may need to be adapted for a candidate.

6(h) IT Services (I.T.)

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

7. Implementing Access Arrangements and the Conduct of Exams (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’.”

The roles and responsibilities below also apply to internal exams (mock or IPE exams) taken as a precursor to externally set exams.

7(a) Special Educational Needs Co-ordinator (SENCo)

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

7(b) Teaching Staff

- Support the SENCo in implementing appropriate access arrangements for candidates.
- Ensures centre-delegated and awarding body approved arrangements are in place prior to a candidate taking his/her first formal supervised assessment.
- Ensures candidates are aware of the access arrangements that are in place for their assessments.
- 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.

7(c) 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 his/her formal supervised assessment.

8. Facilitating Access – Examples at Annex A

Please refer to Annex A for information confirming 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.

Annex A shows a table of 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.

Annex A

Example of Candidate Needs(s)	Arrangements Explored	Centre Actions
<p>A medical condition Which prevents the candidate from taking exams in the centre.</p>	<p>Alternative site for the conduct of examinations.</p> <p>Supervised rest break.</p>	<ul style="list-style-type: none"> • SENCo gathers evidence to support the need for the candidate to take exams at home. • Pastoral head provides written statement for file to confirm the need. • Approval confirmed by SENCo; AAO approval for both arrangements not required. • Pastoral head discussion with candidate to confirm the arrangements should be put in place. • EO submits appropriate 'Alternative site for the conduct of exams form'. • EO provides candidate with exam timetable and JCQ information for candidates. • Pastoral head confirms with candidate the information is understood. • Pastoral head agrees with candidate that prior to each exam will call to confirm fitness to take exam. • EO allocates invigilator(s) to candidate's timetable; confirms time of collection of exam papers and materials. • Invigilator monitors candidate's condition for each exam and records any issues on incident log. • Invigilator records rest breaks (time and duration) on incident log and confirms set time given for exam. • Invigilator briefs EO after each exam on how candidate's performance in exam may have been affected by his/her condition. • EO discusses with pastoral head if candidate is eligible for special consideration (candidate present but disadvantaged). • EO processes request(s) for special consideration where applicable; incident log(s) provides supporting evidence. • Pastoral head informs candidate that special consideration has been requested.
<p>Persistent and significant difficulties in accessing written text.</p>	<p>Reader/computer reader. 25% Extra time. Separate invigilation within the centre.</p>	<ul style="list-style-type: none"> • Confirms candidate is disabled within the meaning of the Equality Act 2010. • Papers checked for those testing reading. • Computer reader sourced for use in papers (or sections of papers) testing reading OR up to 50% extra time awarded. • Form 8, signed and dated, with Sections A, B and C completed; kept on file with body of supporting evidence, printed approval from AAO and signed data protection notice.
<p>Significant difficulties concentrating.</p>	<p>Prompter. Separate invigilation within the centre.</p>	<ul style="list-style-type: none"> • Gathers evidence to support substantial and long term adverse impairment. • ³⁵Confirms 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 separate room).
A wheelchair user.	Desk. Rooms. Facilities. Seating arrangements. Practical assistant.	<ul style="list-style-type: none"> • 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. • 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.



Part 6

Laptop and Word Processor Policy

1. Rationale and Aim

Samuel Whitbread Academy recognises that some students may benefit from the use of a word processor in lessons and during some or all of their examinations. The aim of this policy is to explain how the Academy assesses and implements the use of Word Processing in formal assessments.

2. Policy

This policy details how the centre facilitates the use of Word Processing for examinations. The term examination refers to both externally and internally assessed units. This policy is written in conjunction with reference to j.cq.org.uk/exams-office/access-arrangements-and-special-consideration/

3. Procedure

The use of a Word Processor in examinations, requires that an Access Arrangement has been identified by the SENCo . For details on the procedure for identifying the need for such Access Arrangements, please refer to Part 5, Equality and Disability Policy (Exams).

Students, once formally assessed and identified by the academy as having one or more of the following traits, will be permitted the use of a Word Processor in Examinations:

- 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;
- Illegible or incomprehensible handwriting.

Entitlement to a Word Processor as an Exam Access arrangement.

- The use of a word processor as an exam access arrangement will not be granted to a student because he/she prefers to type, works faster on a keyboard.
- Pupils will be entitled to word process exams and assessments where the SENCo has confirmed in writing that there is a significant identified need and has approved the use of a laptop as the normal method of working.
- Spell Check, Grammar, Data and auto-correct functions can normally be used on all pieces of work except in examinations and controlled assessments when it will be disabled.
- It will only be possible for students to have access to a word processor for exams and assessments where a need has been established, it's use is recommended by an educational psychologist or specialist teacher approved by the School, and where typing is efficient, accurate and of sufficient speed to be able to cope in class: as a guide, we would require at least 20 words per minute.
- In public examinations students will use a school word processor or laptop.

Limitations to Laptop Use

- Students who do not have an entitlement to a word processor for assessments and exams will still be expected to handwrite them.
- Some school and home work may still be required to be hand-written.
- Some exams are over two hours of handwritten answers. Students will be expected to build up their handwriting stamina in preparation for these exams.
- A subject teacher has the right to veto the use of a laptop.
- Students who use a lap top will still have to handwrite work where it is appropriate not to type in lessons including:
 - Where its use might be dangerous or problematic e.g. in a particular experiment in Chemistry.
 - Where particular exercises should not be done with computer assistance e.g.maps, sketches, graphs and diagrams.
 - Where calculations are required without the assistance of computer functions such as in Mathematics.
 - If an individual student, in any lesson, is using a laptop in such a way as to cause a distraction or disturbance to the learning of others or is using it for entertainment.
- Students will be allowed to use a laptop in school, either their own laptop or using one such as a Chromebook, leased or borrowed from the school.

Detailed Procedures

If authorised by the SENCo a student may borrow a laptop from Learning Support, they may lease one from the school using our one to one Chromebook scheme or bring in their own for use in the school. They will need to:

- Ensure all word processed work, which would normally be done in exercise books during lessons, be made available to the class teacher for marking and feedback. This may be by printing it out regularly at home and filing appropriately, or by sharing their work with their class teacher via their school Google Drive.
- Follow "Pride in Your Work" guidance and ensure that all work is labelled with date, name and title.

Storage of work

Students should make use of their Google Drive (@mybest.org.uk) which has unlimited storage. Memory sticks should be avoided as they are more prone to getting lost.

Loss or Damage

Students need to abide by the school's acceptable use policy when it comes to using school ICT equipment.



Part 7

Requests for smaller room invigilation

The purpose of this statement covers the circumstances in which a candidate with 'an established difficulty' may be eligible to take exams in alternative accommodation. Requests may be received from students, parents and teachers for individuals to sit their exams in a smaller room. This guidance applies to external exams and any internal mock exams that might take place in a larger exam hall.

The JCQ guidance, Exam Access Arrangements and reasonable adjustments will be followed at all times. <https://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/>

Alternative accommodation is determined by the SENCo, in conjunction with relevant teaching staff and exam team personnel. JCQ are clear that the decision to offer alternative accommodation to candidates is the responsibility of the SENCo.

It must reflect the candidate's normal way of working in internal school tests and mock examinations as a consequence of a long-term medical condition or long term social, mental or emotional needs.

Arrangements to do exams in a smaller exam venue, or with other specific seating arrangement, will be decided based on the following guidelines:

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

In line with JCQ guidance, a substantial and long-term impairment will be supported by evidence from the following only:

- a letter/report from CAMHs, a HCPC registered psychologist, a medical consultant, a psychiatrist, a Speech and Language Therapist (SaLT); or
- a letter/report from the Local Authority Specialist Service, Local Authority Sensory Impairment Service or Occupational Health Service; or
- a current EHCP which confirms the candidate's learning difficulty, medical condition, physical disability, sensory or multi- sensory impairment.

In extreme situations, where a child is on a waiting list for CAMHs, consideration will be given to alternative accommodation provided that there is clear documented evidence in school of a long term and substantial impairment AND evidence of being on the CAMHs waiting list is provided.

This evidence must confirm the candidate's eligibility for alternative accommodation.

- The candidate's disability must be established within school (s.5.16 p69 of JCQ guidance) and known to a Form Tutor, a Head of Year, the SENCo or a senior member of staff with pastoral responsibilities.
- Nervousness, low level anxiety or being worried about examinations is not sufficient grounds for alternative accommodation within the centre.
- Any student who has an extenuating circumstance that occurs in the lead up to, or during, the exam period that is likely to impact on their usual exam performance, will be considered under the term "special consideration." Evidence will be collected and the exam board advised if JCQ criteria is met. Seating arrangements may also be varied at the last minute on these occasions and in consultation with the student and exams team.
- Where a candidate panics on the day of an examination or becomes anxious, then they may be seated more appropriately within the main examination venue, where this is feasible.
- alternative accommodation is no different to other access arrangements; such as prompters, supervised rest breaks etc.
- Staff with pastoral responsibilities who are working with students that have established and long-term health conditions will help to determine if alternative accommodation is warranted. Together, with the SENCo and exams team, a centre-based decision will be made on the need for separate invigilation.
- The alternative accommodation will be reviewed after each internal mock cycle to determine if it is still required.

Author: Thomas Rowell
Date: December 2023



Part 8

Policy for Withdrawal from an Exam

1. Rationale and Aim

The Academy seek to safeguard the interests of the student whilst recognising that 'in their interests' may include a reduction in the number of courses that individual students complete. Withdrawal from an examination will be agreed by the student, the parents or guardian, the member of staff, the Head of Department and Head of Year. Where required, the SENCO will be consulted.

2. Policy

The Academy will enter all students for all of the exams associated with their chosen areas of study and the courses that are mandatory according to the national curriculum. Where withdrawals from courses are required, the Academy will make the necessary withdrawals in agreement with those parties detailed in Para 1. Students will not be charged for any entries made prior to the withdrawal that have been agreed with said parties.

3. Procedure

3(a) Teaching staff

There must be a paper trail of information to justify your decision, records of discussions with Tutors, Heads of Year/Department and Learning Support if appropriate.

- Discuss the situation with the student
- Discuss with the Learning Support Department (they may help with coursework/work)
- Discuss the situation with the HoD
- Discuss the situation with the Head of Year
- All students remain the responsibility of the teacher and must not be sent from the teaching room.
- Withdrawn students must do work from other subjects or continue to do work set by their teacher in a supervised teaching room as arranged by the teacher.

3(b) HoD

- Keep an overview with the students interests in mind
- Inform the Head of Year of your intention – they will need to keep an overview of the 'withdrawals' situation in the year group as a whole
- Inform parents of the intention to withdraw by letter or email giving the reasons for the withdrawal (lack of coursework, standard of work, Mock result etc)
- If there is no objection from parents pass a copy of this letter or email to the Year Co-ordinator and Examinations Office

3(c) Year Co-ordinator

- Year Co-ordinators keep an overview with the students' interests in mind
- Inform the Vice Principal for Curriculum prior to the withdrawal to gain their approval for such withdrawal.

Some parents may wish for their children to be entered for the examination, in which case the student will be entered for the examination and Year Co-ordinators will seek an undertaking made by the parents/guardians to do all they can to support the student and the teacher to achieve a grade. The student will agree to any and all conditions of this entry (Learning Contract).

3(d) Examinations Officer

- Withdraw student once notice in writing has been received from the Head of Department and agreed by the Head of Year/Vice Principal
- Complete relevant paperwork and make any necessary charges.



Part 9

Exam Fees Payment Policy

1. Rationale and Aim

This Academy enters students for all examinations relevant to their area of study from an annual examination budget. However, there are a few fees that parents/guardians or external students are required to pay. This policy sets out the areas for which payment is required.

2. Policy

Examination fees for any External students, modular re-sits, examinations that are not attended (without good reason and appropriate evidence), amendments to tiers of entry at the student/parent/guardian's request are required to be paid by the student.

3. Procedure

3(a) External Student Fees

External Students will contact the Exams Manager to request permission to sit exams at the Academy. The Academy has the right to refuse any application from an external candidate.

- All examination fees, as published by the relevant examination board will be paid before any examination entries are made and are non-refundable.
- An additional administration fee of £50 per subject will be charged at the point of entry
- Invigilation charges where separate invigilation is needed will also be charged at the hourly rate, plus 30 mins per exam.
- Administrative fees will not be refunded should the candidate withdraw.
- Entry fees will only be refunded once the centre has received the refund from the awarding body.

3(b) Re-Sit Fees

Should a candidate wish to re-sit an examination, they must complete the relevant re-sit request form and forward this along with payment in full to the examination manager by the published Academy deadline. Should the student request a re-sit after this deadline, late fees will apply as published by the appropriate Awarding Body.

- Re-takes of any units in 6th form are paid for by the student
- GCSE re-takes in English and Maths are paid for by the centre for full time 6th form students attending re-sit classes only.
- BTEC unit re-takes are paid for by the centre up to Year 11.
- Functional Skills are paid for by the centre.
- Cambridge & Oxford Admissions Testing entries are paid for by the centre

3(c) Re-Imbursement of Fees for Non-Attendance

The Academy reserves the right to invoice the parent/guardian for the re-imbusement of any examination fees that a student has been entered for and has failed to attend. Fees charged will be in line with the published entry fees for the relevant Awarding Body.

3(d) Fees for Amendments to Entries

Changes to tiers of entry that are requested by the parent/guardian will be charged at the appropriate rate according to the published fees of the Awarding Body concerned. Any changes to tiers of entry requested by the appropriate Head of Department will be met by the Academy.



Part 10

Exam Office Contingency Plan

1. Rationale and Aim

This plan examines potential risks and issues that could cause disruption to the management and administration of the exam process at The Samuel Whitbread Academy¹.

This plan complies with [General Regulations - JCQ Joint Council for Qualifications](#) (section 5) in that:

The centre agrees to “have in place a written examination contingency plan/examinations policy which covers all aspects of examination administration. This will allow members of the senior leadership team to have a robust contingency plan in place, minimising risk to examination administration, should the examinations officer be absent at a crucial stage of the examination cycle;”

2. Policy

This Policy, by outlining actions/procedures to be invoked in the event of disruption, is intended to mitigate the impact these disruptions have on our exam process.

Alongside internal processes, this plan is informed by scenarios contained in the Joint contingency plan in the event of widespread disruption to the examination system in England, Wales and Northern Ireland.

It is the responsibility of everyone involved in the centre’s exam processes to read, understand and implement this policy.

Where references are made to JCQ regulations/guidelines, further details can be found at [JCQ Joint Council for Qualifications](#)

3. Procedure

Causes of potential disruption to the exam process:

3(a) Exam officer extended absence at key points in the exam process.

Criteria for implementation of the plan

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

Cyber Attack:

- The BEST IT Disaster Recovery Plan will be implemented – Please refer to the policy on SWA Website

Planning

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

• Entries

- Awarding bodies not being informed of early/estimated entries which prompts release of early information required by teaching staff
- Candidates not being entered with awarding bodies for external exams/assessment

- Awarding body entry deadlines missed or late or other penalty fees being incurred

Pre Exams

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

Exam Time

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

Results and Post Results

- Results not downloaded
- Access to examination results affecting the distribution of results to candidates
- The facilitation of the post-results services

Centre actions:

- The Samuel Whitbread Academy has appointed a Deputy Examinations Officer who will take over administration and examination process in the absence of the Exams and Data Manager.
- The Deputy will be able to oversee the whole process with daily support from SLT and increased admin support.
- The Deputy Examinations Officer will have worked alongside the Exams and Data Manager and been shown all aspects of the examinations cycle in preparation for any unplanned absence.
- Administrative staff within the Exams and Data office will be developed to enable them to step in and assist with administration and give support to the Deputy Examinations Officer.
- Recruitment of invigilators will be undertaken by the HR department.
- Senior Leadership team are to ensure that JCQ regulations are strictly adhered to and advise the Deputy Exams officer accordingly. It is the responsibility of the Head of Centre to appoint a member of the Senior Leadership Team to take upon this responsibility and to ensure that they are familiar with the JCQ regulations.
- Training of invigilators will be undertaken either by outside agencies or by the Deputy Exams officer with help and guidance from experienced personnel from the Exams Officer Network Group.
- Invigilators who have helped in previous exam cycles will be employed to assist the Deputy Exams Officer.
- The Exams and Data Manager has access to the Academy computer system via a VPN and can assist, if possible, from off site

Planning

- Senior Leadership team will provide guidance and support to the Deputy Exams Officer, liaising with Heads of Departments. Documentation from previous years' specifications offered is available for updating and confirming with HOD's.
- Annual exam plan from previous year can be consulted and updated by the Deputy Exams Officer, with guidance from SLT
- The recruitment of invigilators can be undertaken by HR and training can be provided by outside agencies.

Entries

- SLT to liaise with HOD's to ensure that the Deputy Exams Officer is notified of any subjects that they teach that require early release materials. Deputy exams officer to contact relevant awarding bodies to ensure the centre receives them. Pre-release materials can be downloaded from Awarding Body Websites once they are published and can be re-produced by the Reprographics department if necessary.

- SLT to oversee the entry process in conjunction with the Deputy Exams Officer and if necessary can request the assistance of Exams Officers from the locally run Exam officer Network Group or Exams Officers within the Trust.
- SLT and Deputy Exam Officer, to liaise with HOD's to confirm correct entries made and to correct any errors. SLT are to make available funding for any late fees if required.

Pre Exams

- Deputy Exams Officer to prepare invigilation schedules, rooming and timetabling with admin support from office staff, invigilators and with input from the SLT. Information for candidates from previous exam cycles can be updated by the Deputy Exams Officer and verified by SLT.
- External invigilators will be employed where necessary
- Head of Year to ensure that all candidates are fully aware of the rules and regulations and have checked their timetables when they are published on Edulink.
- SLT to ensure that HOD's prepare their internal assessment marks and either input them online or complete all the relevant paperwork. Exam office staff/admin staff will send off to Awarding Bodies under the direction of the Deputy Exam Officer and SLT.
- Head of Centre to ensure that a member of the SLT is responsible for the secure storage of examination materials and that said personnel are fully complicit with JCQ and any other awarding body regulations.

Exam Time

- SLT, Head of Year(s) and key personnel to be present for every exam session to ensure that the exams are undertaken under the correct conditions and to give support to the Deputy Exams Officer. A rota for this is to be drawn up by SLT in advance of the exam cycle.
- SLT to oversee the completion of any malpractice procedures, supported by the Deputy Examinations Officer
- Deputy Examinations officer, with the help of increased admin/invigilator support, to ensure that completed scripts are sent off to awarding bodies.

Results and Post Results

- Deputy Examinations Officer will undertake the downloading and preparing the statement of results for the candidates, assisted by the Data Administrator and SLT.
- Invigilators and Data Office staff will assist with the distribution of results to candidates under the direction of the Deputy Examinations Officer and Admin support.
- Post Results forms can be updated from previous cycles by the Deputy Examination Officer, or by consulting the Exams Officer Network Group. SLT will oversee the post results requested by the school/HOD's etc.

3(b)SENCo extended absence at key points in the exam cycle

Criteria for implementation of the plan

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

Planning

- Candidates not tested/assessed to identify potential access arrangement requirements
- Evidence of need and evidence to support normal way of working not collated

Pre-exams

- Approval for access arrangements from the awarding body not applied for
- 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

- The Academy will appoint a deputy SENCo with the appropriate qualification to undertake the assessment for potential access arrangements. Where appropriate staff cannot be sought within the Centre, the SLT will appoint an external agency to undertake the testing.
- Admin support will be made available to collate evidence of need within the Learning Support Department by utilising existing administrative staff or Learning support Assistants.
- Approvals to awarding bodies will be undertaken by Exams Office staff who will also undertake the ordering of modified papers – and liaise with Awarding Bodies should modified paper deadlines have been missed
- The deputy SENCo appointed above will oversee the training of staff involved in supporting candidates with access arrangements. Administrative staff within the learning support department will liaise with Exam office staff to organize suitable personnel and rooming etc.

3(c) Teaching staff extended absence at key points in the exam cycle

Criteria for implementation of the plan:

- Key tasks not undertaken including:
- Early/estimated entry information not provided to the exams officer on time; resulting in pre-release information not being received
- Final entry information not provided to the exams officer on time; resulting in:
 - candidates not being entered for exams/assessments or being entered late
 - late or other penalty fees being charged by awarding bodies
- Internal assessment marks and candidates' work not provided to meet submission deadlines

Centre actions

- In the event of teaching staff absence, an alternative member of the teaching staff will deputise all key tasks required for the smooth running of the exams cycle. The Head of Department will be responsible for allocation of a deputy and the delivery of all key tasks. Such member will be given a "buddy" who has experience of the exam process to offer help and guidance.
- Teaching staff absence will be notified to the Exams and Data Manager by the SLT who will inform them of the nominated replacement. The Exams and Data Manager will also offer help and support where required.

3(d) Invigilators - lack of appropriately trained invigilators or invigilator absence

Criteria for implementation of the plan

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

Centre actions:

- The shortage of trained invigilators able to conduct exams will be addressed by the SLT.
- Externally trained and approved invigilators will be employed through an Agency
- Invigilators from another Centre will be sought through the Exams Office Network Group
- Learning Supervisors / Admin support staff who have received training will be utilised when and where required
- Learning support assistants with the appropriate training will also be utilised

3(e) 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

- SLT will be notified of room shortage by the Exams Officer and a plan will be drawn up to free up suitable rooms
- Rooms will be made available by moving classes to other rooms within the centre to make room for examinations
- Alternative venue (Robert Bloomfield Academy) will be used in the first instance with the exams officer notifying Awarding Bodies of the change of venue and overseeing the safe transportation of examination materials. SLT will ensure that candidates are notified and transported to the alternative location. Additional locations such as, Etonbury Academ and BEST House will be used if and when required.

3(f) 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:

- Awarding bodies will be notified of technical issues and IT Support team called to rectify the issue
- Backup's will be instigated
- Entries will be made remotely direct to Awarding Bodies
- Results will be downloaded from Awarding Body websites though internet access outside of the Academy.

3(g) Disruption of teaching time – centre closed for an extended period

Criteria for implementation of the plan

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

Centre actions:

Reference is made to the Ofqual Guidance, [Exam system contingency plan: England, Wales and Northern Ireland - GOV.UK](#)

- In accordance with the aforementioned Ofqual Guidance, the Head of Centre will communicate with parents, carers and students about the potential for disruption to teaching time and how this will be addressed as follows:
- Students due to sit examinations will be prioritised for teaching and learning
- Alternative locations will be sought and transport provided
- Lessons and homework, where possible, will be published on Edulink and Google Classroom
- On-line teaching will be offered where practical and relevant
- Students will be given the opportunity to sit exams in a later season where possible

3(h) Candidates unable to take examinations because of a crisis – centre remains open

Criteria for implementation of the plan

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

Centre actions:

- In accordance with aforementioned Ofqual Guidance, the Head of Centre will communicate with parents, carers and students about the potential for disruption to the Centre. The Exams and Data Manger, on behalf of the Head of Centre, will communicate with relevant awarding organisations at the outset to make them aware of the issue

- The Head of Centre will liaise with candidates to identify whether the examination can be sat at the alternative venue in agreement with the relevant awarding organisations.
- Offer candidates an opportunity to sit any examinations missed at the next available series
- The Exams and Data Manager, will apply to awarding organisations for special consideration for candidates where they have met the minimum requirements

3(i) Centre unable to open as normal during the exams period

Criteria for implementation of the plan

- Centre unable to open as normal for scheduled examinations

Centre actions:

- In accordance with aforementioned Ofqual Guidance, the Head of Centre will communicate with parents, carers and students about the potential for disruption to the Centre. The Exams and Data Manager, on behalf of the Head of Centre, will inform each awarding organisation, with which examinations are due to be taken, of the Centre closure and disruption to candidates as soon as is possible
- The Head of Centre will open for examinations and examination candidates only, if possible.
- If it is not possible to open for ANY students, then the Head of Centre will arrange for the alternative venue (Robert Bloomfield Academy) to be set up to accommodate exams, and as such exams may have to be cancelled for up to one school day whilst preparations are being made. Awarding bodies will be informed immediately and students will be informed via all media available to the Academy.
- Apply to awarding organisations for special consideration for candidates where they have met the minimum requirements
- Offer candidates an opportunity to sit any examinations missed at the next available series, if possible

3(j) 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:

- In accordance with the aforementioned Ofqual guidance, the Examinations and Data manager, on behalf of the Head of Centre will communicate with awarding organisations to organise alternative papers.
- Contact the awarding body to see if it can provide the Centre with electronic access to examination papers via a secure external network to reproduce locally.
- Contact Exams officer Network Group to see if they have a spare copy of the correct paper and arrange for it to be copied with the authority of the awarding body.

3(k) 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:

- In accordance with aforementioned Ofqual guidance, the Head of Centre will communicate with parents, carers and students about the potential for disruption to the Centre.
- Seek advice from awarding organisations and their normal collection agency regarding collection.
- Ensure secure storage of completed examination scripts until collection can be arranged either by the Awarding Body or the organisation responsible for the script collection.

- Scripts under the “yellow label” system can be taken to the post office for dispatch under the contract at the earliest opportunity with Awarding body approval.

3(l) 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:

In accordance with aforementioned Ofqual guidance, the Head of Centre will communicate this immediately to the relevant awarding organisation(s) and subsequently to students and their parents or carers

- Gather any evidence it can to support the work undertaken by the candidates
- Contact the awarding body immediately to appraise it of the problem and take appropriate advice

3(m) Centre unable to distribute results as normal

Centre actions:

In accordance with the aforementioned Ofqual guidance, the Head of Centre will contact awarding organisations about alternative options

- Make arrangements to access results from an alternative site – Best House on the same site would be made available.
- Results to be downloaded from Awarding Body websites, printed and collated for students
- Arrange to distribute results from the alternative location or share facilities with another school within the Trust.

3(n) National disruption to exams including during a Pandemic

Awarding body action:

Every year there will be a national “contingency” day scheduled into the Summer exams season to allow for a National event that prevents exams to be taken as usual. This contingency day will be decided across Awarding Bodies and communicated to all Centres. Awarding Bodies will act in line with all Govt guidance should there be a disruption to exams due to a Pandemic.

Centre actions:

Samuel Whitbread Academy will publish the National Contingency date on the school website. This will also be written into the Exams booklet which is sent to all parents and students with their Summer timetables.

The Centre will abide by all Govt guidance in relation to national school closures due to a Pandemic.



Part 11

Emergency Evacuation Procedure (Exams)

1. Rationale and Aim

This plan examines procedure for the evacuation of exam halls and rooms in the event of Bomb Threat, Fire or Fire Alarm. This plan complies with JCQ [ICE](#) publication

2. Policy

This Policy, by outlining actions/procedures to be invoked in the event of such disruption, is intended to mitigate the impact these disruptions have on our exam process.

3. Procedure

In the event of an emergency evacuation of an exams room for events such as:

- Fire/Fire alarm
- Bomb alert
- Any other emergency which requires an evacuation of an exams room

Invisgators at Samuel Whitbread Academy have been informed that they must take the following action (In accordance with [ICE](#) regulation 18: Emergencies):

- Stop the candidates from writing and make a note of the time this instruction is given.
- Remind students to remain in their seats, in silence until further instruction is given
- SLT will decide if evacuation is required and communicate this decision with the Exams & Data Manager and invigilators
- If authorisation to evacuate is given, the invigilator will instruct the students to evacuate in an orderly fashion row by row as instructed by the nearest fire exit
- All question papers and scripts are to remain in the room
- A copy of the attendance registers and seating plan will be taken by the invigilator to the assembly point separate to any non-examination students on the playing field
- SLT are to assist in the evacuation and the supervision of students outside of the exam room
- When instructed, invigilators and SLT supervise the return of the candidates to the exam room
- Lead invigilator to complete the exam room Incident Log stating the exact timings, nature of the emergency and the duration of the interruption
- Once everyone has settled back into the room, the Lead invigilator will re-start the exam, adjusting the finish time to allow for the interruption allowing students the full time allocation
- Where there are very small numbers of candidates sitting the exam, SLT will consider re-rooming instead of evacuation where possible to minimise disruption.



Part 12

Data Protection Policy (Exams)

1. Rationale and Aim

This policy details the measure we undertake to protect exam related data within the Academy to comply with the regulations as set out by the Data Protection Act 2018 (DPA 2018) and UK General Data Protection Regulations (GDPR)

2. Policy

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 these General Regulations 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. (JCQ [General Regulations for Approved Centres](#) (section 6.1) **Personal data**)

By implementing the measures outlined in the policy, we will be ensuring the data held by the centre for our exam candidates is protected.

3. Procedure

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

3(a) Exams Related Information

There is a requirement for the exams office staff to hold exams-related information on candidates taking external examinations. For further details on the type of information, please refer to Annex A. Candidates' exam related data may be shared with the following organisations:

- Awarding bodies
- Joint Council for Qualifications (JCQ)

- The Department for Educations
- Local Authority
- Multi Academy Trust

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

- Hard copy
- Email
- Secure extranet sites
- Management information systems provided by ESS, Edulink
- Analysis information systems (SiSRA/ALPS)
- Data exchange to enable entries/results via electronic data interchange (EDI)

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

3(b) Informing candidates of the Information held

Samuel Whitbread Academy ensures that candidates are fully aware of the information and data held. All candidates are informed via electronic communication and this policy is available to all students on the school website.

Candidates are made aware of the above when the entries are submitted to awarding bodies and via their electronic examination timetables send via the MIS.

When exam timetables are issued, the centre also brings to the attention of the 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. Candidates eligible for access arrangements which require awarding body approval are also required to provide their consent by signing the GDPR compliant JCQ candidate personal data consent form (**Personal data consent, Privacy Notice (AAO) and Data Protection confirmation**) before any such access arrangements can be processed online.

3(c) 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 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 actions detailed in the BEST GDPR policy will be implemented.

3(d) Candidate information, audit and protection measures

For the purpose of the 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 in line with the BEST GDPR policy

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

3(e) 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 BEST GDPR Policy available on the school website.

3(f) 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 (where available)
- 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 Mr I Bulter, DPO in writing or email in line with the BEST GDPR Policy.

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.

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.

3(g) Publishing exam results

The centre will publish exam results within the centre in line with the following principles

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

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

Annex A – Exams Related Information

Information type	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
Access arrangements information	Candidate name Candidate DOB Gender Data protection notice (candidate signature) Diagnostic testing outcome(s) Specialist report(s) (may also include candidate address) Evidence of normal way of working	Access Arrangements Online MIS Lockable metal filing cabinet Access Arrangements Online MIS	Secure user name and password In secure office (SENCo/Exams)	DOB + 25 Years
Alternative site arrangements	Candidate name Candidate DOB Gender	Access Arrangements Online MIS Lockable metal filing cabinet	Secure user name and password In secure office (SENCo/Exams)	Retain until the deadline for reviews of marking has passed or until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later... (Reference ICE 12)
Attendance registers copies	Candidate Name Exam Number	Exams Office	Secure Office	Retain until the deadline for reviews of marking has passed or until the deadline for

Annex A – Exams Related Information

Information type	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
				reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later... (Reference <u>ICE 12</u>)
Candidates' scripts	Candidate Name Exam Number	Exams office secure storage until despatch to exam board	Secure Office	Not retained
Certificates	Candidate Name Exam details Exam Results	Exams office secure storage	Secure Office	DOB + 25 Years
Certificate issue information	Candidate Name Exam Number Signature	Exams office secure storage	Secure Office	Current Yr + 6 Years
Conflicts of interest records	Name, relationship to candidate, individual circumstances	Exam Office Electronic Filing	Secure Office Password	Retain until the deadline for reviews of marking has passed or until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been

Annex A – Exams Related Information

Information type	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
				completed, whichever is later... (Reference ICE 12)
Entry information	Student Name, DOB, Cand No, ULN, UCI	MIS	Password	Retain until the deadline for reviews of marking has passed or until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later... (Reference ICE 12)
Exam room incident logs	Student Name Invigilator Name	Exam office	Secure office	Retain until the deadline for reviews of marking has passed or until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later... (Reference ICE 12)

Annex A – Exams Related Information

Information type	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
Invigilator and facilitator training records	Invigilator Name	Exam Office Electronic Filing	Password Secure Office	Until Invigilator leaves
Overnight supervision information	Student Name Cand Number	Electronic Filing Exams Office	Password Secure office	Retain until the deadline for reviews of marking has passed or until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later... (Reference ICE 12)
Post-results services: confirmation of candidate consent information	Student Name, Cand No, Contact Details	Exams Office	Secure Office	Retain until the deadline for reviews of marking has passed or until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later... (Reference ICE 12)

Annex A – Exams Related Information

Information type	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
Post-results services: requests/outcome information	Student Name, Cand No, Contact Details	Electronic Filing Exams Office	Password Secure office	Retain until the deadline for reviews of marking has passed or until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later... (Reference ICE 12)
Post-results services: scripts provided by ATS service	Student Name Cand Number	Exams Office	Secure Office	Retain until the deadline for reviews of marking has passed or until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later... (Reference ICE 12)
Private candidate information	Student Name, Cand No, Contact Details	Exams Office, Electronic Filing	Secure Office	Retain until the deadline for reviews of marking has passed or until the deadline for reviews of marking

Annex A – Exams Related Information

Information type	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
				has passed or until any appeal, malpractice or other results enquiry has been completed, and certificates issued, whichever is later... (Reference ICE 12)
Results information	Student Name, DOB, Cand No, ULN, UCI, Grades	MIS, Exam Office	Password Secure Office	Current Yr + 6 Years
Seating plans	Student Name, DOB, AA	Exams Office, MIS	Secure Office, Password	Retain until the deadline for reviews of marking has passed or until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later... (Reference ICE 12)
Special consideration information	Student Name, DOB, Cand No, Individual circumstances	Exams Office, MIS	Secure Office, Password	Retain until the deadline for reviews of marking has passed or until the deadline for reviews of marking has passed or until

Annex A – Exams Related Information

Information type	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
				any appeal, malpractice or other results enquiry has been completed, whichever is later... (Reference ICE 12)
Suspected malpractice reports/outcomes	Student Name, DOB, Cand No, Individual circumstances	Exams Office, MIS	Secure Office, Password	Retain until the deadline for reviews of marking has passed or until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later... (Reference ICE 12)
Transferred candidate arrangements	Student Name, DOB, Cand No, Individual circumstances	Exams Office, MIS	Secure Office, Password	Retain until the deadline for reviews of marking has passed or until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later... (Reference ICE 12)

Annex A – Exams Related Information

Information type	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
Very late arrival reports/outcomes	Student Name, DOB, Cand No, Individual circumstances	Exams Office, MIS	Secure Office, Password	Retain until the deadline for reviews of marking has passed or until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later... (Reference <u>ICE 12</u>)

Annex B – Exams Archiving Policy

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Access arrangements information	Any hard copy information kept by the EO relating to an access arrangement candidate.	To be archived in the exam officer at end of the candidate's final exam series.	Confidential waste/shredding
Alternative site arrangements	Any hard copy information generated on an alternative site arrangement. Notifications submitted online via CAP.	Retain until the deadline for reviews of marking has passed or until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later... (Reference ICE 12)	Confidential waste/shredding
Attendance register copies	Signed records of the seating plan, the invigilation arrangements and the centre's copies of the attendance registers for each examination.	The awarding bodies may need to refer to these records. The centre keep them until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later... (Reference ICE 12, 22)	Confidential waste/shredding
Awarding body administrative information	Any hard copy publications provided by awarding bodies.	To be retained until the current academic year update is provided.	Confidential waste
Candidates' scripts	Any unwanted copies of scripts returned to the centre through the Access to Scripts (ATS) service.	To be retained securely until the awarding body's earliest date for confidential disposal of unwanted scripts.	Confidential disposal
Candidates' work	Non-examination assessment work returned to the centre by the awarding body at the end of the moderation period.	To be logged on return to the centre and immediately returned to subject staff as records owner. To be stored safely and securely along with work that did not form part of the moderation sample (including materials stored electronically) ...	Returned to candidates or safe disposal

Annex B – Exams Archiving Policy

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Centre consortium arrangements for centre assessed work	Any hard copy information generated or relating to consortium arrangements for centre assessed work. Applications submitted online via CAP.	Retain until the deadline for reviews of marking has passed or until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later... (Reference ICE 12)	
Certificates	Candidate certificates issued by awarding bodies.	Retain all unclaimed certificates under secure conditions for a minimum of 12 months from the date of issue (Reference GR 5.14)	Confidential destruction
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	Destroy any unclaimed certificates after retaining them for a minimum of 12 months. A record of certificates that have been destroyed should be retained for four years from their date of destruction. Return any certificates requested by the awarding bodies. Certificates remain the property of the awarding bodies (Reference GR 5.14)	Confidential destruction
Certificate issue information	A record of certificates that have been issued.	Keep record of all certificates signed for in line with all other exam records. DOB + 25 Yrs	Confidential destruction
Confidential materials: initial point of delivery logs	Logs recording awarding body confidential exam materials received by an authorised member of staff at the initial point of delivery and the secure movement of packages by an authorised member of staff to the secure room for transferal to the centre's secure storage facility.	Retain until the deadline for reviews of marking has passed or until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later... (Reference ICE 12)	Confidential destruction

Annex B – Exams Archiving Policy

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Confidential materials: 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	Retain until the deadline for reviews of marking has passed or until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later... (Reference ICE 12)	Confidential destruction
Conflicts of interest records	Records demonstrating the management of conflicts of interest	The records must be retained until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later. (Reference GR 5.3)	Confidential destruction
Dispatch logs	Proof of dispatch of exam script packages to awarding body examiners covered by the DfE (Standards & Testing Agency) yellow label service	Retain until the deadline for reviews of marking has passed or until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later... (Reference ICE 12)	Confidential destruction
Exam question papers	Question papers for timetabled written exams.	Kept in the secure office until after the awarding body's published finishing time for the examination + 24 Hours or, in the case of a timetable variation, until all candidates within the centre have completed the examination. This does not restrict access to question papers by authorised centre personnel for the purpose of conducting examinations GR 6.13)	Issued to subject staff

Annex B – Exams Archiving Policy

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms for each exam session.	Retain until the deadline for reviews of marking has passed or until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later... (Reference ICE 12)	Confidential destruction
Exam stationery	Awarding body exam stationery provided solely for the purpose of external exams.	...return unused stationery to the secure storage facility or secure room until needed for a future examination. destroy confidentially any out-of-date stationery. (Reference ICE 30)	Confidential destruction
Examiner reports		(Where/if provided) To be immediately provided to head of department as records owner.	
Finance information	Copy invoices for exams-related fees.	To be returned to Finance department as records owner at the end of the academic year.	N/A to exam office staff
Invigilator and facilitator training records		A record of the content of the training given to invigilators and those facilitating an access arrangement for a candidate under examination conditions must be available for inspection and retained on file until the deadline for reviews of marking has passed	Confidential destruction
Moderator reports		(Where printed from electronic copy) To be immediately provided to head of department as records owner.	Confidential destruction
Moderation returns logs	Logs recording the return of candidates' work to the centre by the awarding	The records must be retained until the deadline for reviews of marking has passed or until any appeal, malpractice or other	Confidential waste

Annex B – Exams Archiving Policy

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
	body at the end of the moderation period	results enquiry has been completed, whichever is later. (Reference GR 5.3)	
Overnight supervision information	<p>The JCQ Overnight Supervision form is completed online using CAP. The JCQ Overnight Supervision Declaration form is downloaded from CAP) for signing by the candidate, the supervisor and the head of centre</p> <p>Any hard copy information relating to overnight supervision arrangements. Reports submitted online via CAP.</p>	Retain until the deadline for reviews of marking has passed or until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later... (Reference ICE 12) be sent to an awarding body, unless specifically requested... (Reference ICE 8)	Confidential waste
Post-results services: confirmation of candidate consent information	Hard copy or email record of required candidate consent	Consent forms or e-mails from candidates will be retained by the centre and kept for at least six months following the outcome of the clerical re-check or review of marking or any subsequent appeal. The awarding bodies reserve the right to inspect such documentation. (Reference PRS 4 , plus appendix A and B)	Confidential waste
Private candidate information	Any hard copy information relating to private candidates' entries.	Retain until the deadline for reviews of marking has passed or until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later... (Reference ICE 12)	Confidential waste
Proof of postage – candidates' work	<p>Proof of postage of sample of candidates' work submitted to awarding body moderators.</p> <p>(Proof of postage of candidates' scripts to awarding body examiners/markers)</p>	Retain until the deadline for reviews of marking has passed or until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later... (Reference ICE 12)	Confidential waste

Annex B – Exams Archiving Policy

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Results information	Broadsheets of public examination results summarising candidate final grades by subject by exam series.	Records for current year plus previous 6 years to be retained as a minimum.	Confidential waste
Seating plans	Plans showing the seating arrangements of all candidates for every exam taken.	Retain until the deadline for reviews of marking has passed or until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later... (Reference ICE 12)	Confidential waste
Special consideration information	Any hard copy information relating to a special consideration application which has been submitted to an awarding body for a candidate and signed evidence produced by a senior leader in support of the application.	All applications must be supported by signed evidence produced by a member of the senior leadership team. The centre must retain this evidence until after the publication of results. (Reference SC 6)	Confidential waste
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.	Retain until the deadline for reviews of marking has passed or until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later... (Reference ICE 12)	Confidential waste
Transferred candidate arrangements	Any hard copy information relating to a transferred candidate arrangement. Applications submitted online via CAP.	Retain until the deadline for reviews of marking has passed or until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later... (Reference ICE 12)	Confidential waste
Very late arrival reports/outcomes	Any hard copy information relating to a candidate arriving very late to an exam. Reports submitted online via CAP.	Retain until the deadline for reviews of marking has passed or until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry	Confidential waste

Annex B – Exams Archiving Policy

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		has been completed, whichever is later... (Reference ICE 12)	

Author and Date

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