

ASPIRE • BELIEVE • ACHIEVE



King's Academy  
**Prospect**

# EXAMS POLICY

## 2023/24

This policy is reviewed annually to ensure compliance with current regulations

Approved/reviewed by	
Mr D Littlemore	
Date of next review	03/05/25

## Key staff involved in the-policy

Role	Name(s)
Head of centre	<b>Mr D Littlemore</b>
Exams officer line manager (Senior leader)	<b>Mr G Edwards</b>
Exams officer	<b>Mr R Jenkins</b>
Asst exams officer	<b>Mrs M Maramreddy</b>
ALS lead/SENCo	<b>Mr J Birk</b>
Senior leader(s)	<b>Ms M Morris</b>
	<b>Mrs S McCavish</b>
	<b>Mrs S Stevens</b>
	<b>Mr R Gerrard</b>

## Contents

Key staff involved in the policy	2
Purpose of the policy	6
Roles and responsibilities overview	6
Recruitment, selection and training of staff	7
Internal governance arrangements	8
Escalation Process	8
Delivery of qualifications	8
Public liability	8
Security of assessment materials	8
Malpractice	9
Policies/procedures	9
Exam Contingency Plan	9
Lockdown Policy (Exams)	9
Internal Appeals Procedures	10
Equalities Policy	10
Complaints and Appeals Procedure (Exams)	10
Child Protection/Safeguarding Policy (Exams)	10
Data Protection Policy (Exams)	10
Whistleblowing Policy (Exams)	11
Access Arrangements Policy	11
Conflicts of interest	11
Conflicts of Interest Policy (Exams)	11
National Centre Number Register	12
Centre inspections	12
The exam cycle	14
Planning: roles and responsibilities	14
Information sharing	14
Information gathering	14
Access arrangements	15
Word Processor Policy (Exams)	15
Separate Invigilation Policy	16
Internal assessment and endorsements	16
Non-examination Assessment Policy	16
Invigilation	17
Entries: roles and responsibilities	18
Estimated entries	18
Estimated entries collection and submission procedure	18
Final entries	18
Final entries collection and submission procedure	18
Entry fees	19
Late entries	19
	3

Re-sit entries	19
Private candidates	19
Candidate statements of entry	19
Pre-exams: roles and responsibilities	19
Access arrangements and reasonable adjustments	19
Briefing candidates	20
Access to Scripts, Reviews of Results and Appeals Procedures	20
Dispatch of exam scripts	20
Estimated grades	20
Internal assessment and endorsements	20
Invigilation	21
JCQ Centre Inspections	21
Seating and identifying candidates in exam rooms	22
Candidate Identification Procedure	22
Security of exam materials	22
Timetabling and rooming	23
Overnight Supervision Arrangements Policy	23
Alternative site arrangements	23
Centre consortium arrangements	23
Transferred candidate arrangements	24
Internal exams	24
Exam time: roles and responsibilities	24
Access arrangements	24
Candidate absence	24
Candidate Absence Policy	24
Candidate behaviour	25
Candidate belongings	25
Candidate late arrival	25
Candidate Late Arrival Policy	25
Conducting exams	26
Dispatch of exam scripts	26
Exam papers and materials	26
Exam rooms	26
Food and Drink Policy (Exams)	26
Leaving the Examination Room Policy	27
Emergency Evacuation Policy (Exams)	27
Irregularities	28
Managing Behaviour Policy (Exams)	28
Malpractice Policy (Exams)	28
Malpractice	29
Special consideration	29
Special Consideration Policy	29

Unauthorised items	29
Arrangements for unauthorised items taken into the exam room	29
Internal exams	29
Results and post-results: roles and responsibilities	30
Internal assessment	30
Managing results day(s)	30
Results day programme	30
Accessing results	30
Post-results services	30
Analysis of results	31
Certificates	31
Certificate Issue Procedure and Retention Policy	31
Exams review: roles and responsibilities	31
Retention of records: roles and responsibilities	32
Exams Archiving Policy	32
Appendices	33
A - Exam Contingency Plan - 32	
B - Internal Appeals Policy - 49	
C - Exams Disability Policy - 53	
D - Access Arrangements Policy - 58	
E - Word Processor Policy (Exams) - 63	
F - Non Examination Assessment Policy - 69	
G - Exams Information Retention Policy - 76	
H - Exams Complaints and Appeals Procedure - 85	
I - Emergency evacuation policy - 89	
J - Exam lockdown policy - 92	
K - Exams Conflict of Interest Policy - 95	
L - Overnight Supervision Arrangements Policy - 97	
M - Leaving the Exam Room Policy - 98	
N - Cyber Security Policy - 99	

## Purpose of the policy

The centre is committed to ensuring that the exams management and administration process is run effectively and efficiently and in compliance with the published JCQ regulations and awarding body requirements.

This exam policy will ensure that:

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

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

This policy will be communicated to all relevant centre staff.

After ratification by the Senior Leadership Team and Local Governor Board,, this policy will be published on the school's website and brought to the attention of all those identified with roles and responsibilities within the policy.

## Roles and responsibilities overview

**The head of centre** is the individual who is accountable to the awarding bodies for ensuring that the centre is always compliant with the published JCQ regulations and awarding body requirements to ensure the security and integrity of the examinations/assessments.

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

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

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

### Head of centre responsibilities

The **head of centre** is the individual who is accountable to the awarding bodies for ensuring that the centre is always compliant with the published JCQ regulations and awarding body requirements to ensure the security and integrity of the examinations/assessments. **It is the responsibility of the head of centre to ensure that all staff comply with the instructions in this booklet.**

Failure to do so may constitute malpractice as defined in the JCQ publication *Suspected Malpractice: Policies and Procedures, 1 September 2023 to 31 August 2024*:

<https://www.jcq.org.uk/exams-office/malpractice> (ICE Introduction)

### Head of centre

- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:
  - [General Regulations for Approved Centres](#) (GR)
  - [Instructions for conducting examinations](#) (ICE)
  - [Access Arrangements and Reasonable Adjustments](#) (AA)

- Suspected Malpractice - Policies and Procedures (SM)
- Instructions for conducting non-examination assessments (NEA) (and the instructions for conducting coursework)
- A guide to the special consideration process (SC)
- Ensures the centre has appropriate accommodation to support the size of the cohorts being taught including appropriate accommodation for candidates requiring access arrangements and/or practical assessments
- Where/if using a third party to deliver any part of a qualification (including its assessments) at the centre:
  - maintains oversight of, and responsibility for, the delivery of the qualification in accordance with JCQ regulations and awarding body requirements
  - has in place a written agreement with the third party to ensure there is a shared understanding of the arrangement and will manage the risk of failure by the third party to deliver the expected service
  - ensures that a copy of the written agreement is available for inspection if requested by the awarding body
- Ensures that relevant members of staff respond promptly to actions raised by the JCQ Centre Inspection Service, understanding that failure to do so could result in the same penalties as listed in the previous bullet point
- Ensures that the centre promptly reports any incidents to the relevant awarding body/bodies which might compromise any aspect of assessment delivery such as a cyber-attack
- Ensures other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials are briefed on the requirements for maintaining the integrity and confidentiality of the exam materials
- Ensures members of centre staff do not forward emails and letters from awarding body or JCQ personnel without prior consent to third parties or upload such correspondence onto social media sites and applications
- Ensures members of centre staff do not advise parents/candidates to contact awarding bodies/JCQ directly nor provide them with addresses/email addresses of awarding body examining/assessment personnel or JCQ personnel

### **Recruitment, selection and training of staff**

- Retains a workforce of an appropriate size and competence, including sufficient managerial and other resource, to undertake the delivery of the qualification as required by an awarding body. This includes taking reasonable steps to ensure occupational competence where this is required for the assessment of specific qualifications
- Provides fully qualified teachers to mark non-examination assessments, and/or fully qualified assessors for the verification of centre-assessed components
- Enables the relevant senior leader(s), the examinations officer (EO) and the ALS lead/SENCo to receive appropriate training and support in order to facilitate the effective delivery of examinations and assessments within the centre, and ensure compliance with the published JCQ regulations
- Appoints an ALS lead/SENCo who will determine appropriate arrangements for candidates with learning difficulties and disabilities
- Ensures that the ALS lead/SENCo has sufficient time to both manage the access arrangements process within the centre and familiarise him/herself with the JCQ publication *Access Arrangements and Reasonable Adjustments*
- Ensures that the examinations officer is line managed and actively supported by a member of the senior leadership team who has a good working knowledge of the examination system

### **Internal governance arrangements**

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

- Has in place a member of the senior leadership team who will provide support and guidance to the examinations officer and ensure that the integrity and security of examinations and assessments is maintained throughout an examination series
- Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the EO
- Makes sure that a teacher, a tutor or a senior member of centre staff who teaches the subject being examined, is not an invigilator during the examination

### **Delivery of qualifications**

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

### **Public liability**

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

### **Security of assessment materials**

- Takes all reasonable steps to maintain the integrity of the examinations/assessments, including the security of all assessment materials, by ensuring:
  - the location of the centre's secure storage facility in a secure room which must only be used for the purpose of administering secure examination materials
  - the secure room only contains exam-related material
  - there are between two and six keyholders only, each of whom must fully understand their responsibilities as a key holder to the secure storage facility
  - access to the secure room and secure storage facility is restricted to the authorised two to six keyholders and staff approved by the head of centre are accompanied by a keyholder at all times
  - appropriate arrangements are in place to ensure that confidential examination materials are only handed over to authorised members of centre staff
  - appropriate arrangements are in place for handling secure electronic materials
  - the relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk
  - that when it is permitted to remove question paper packets from secure storage, and to avoid potential breaches of security, arrangements are in place to carefully check and record that the correct question paper packets are opened (If it is ever subsequently identified following this check that the wrong question paper packet has been opened, it will be resealed and the incident reported to the relevant awarding body's Malpractice Investigation Team immediately)
- Makes arrangements to receive, check and store question papers and examination material safely and securely at all times and for as long as required in accordance with the current JCQ publication *Instructions for conducting examinations*
- Makes arrangements to receive and issue material received from the awarding bodies to staff and candidates, and notify them of any advice and instructions relevant to the examinations and assessments
- Allows candidates access to relevant pre-release materials on, or as soon as possible after, the date specified by the awarding bodies

### **Malpractice**

- Through taking an ethical approach and working proactively to avoid malpractice among students and staff takes all reasonable steps to prevent the occurrence of any malpractice/maladministration before, during and after assessments have taken place
- Ensures any person involved in administering, teaching or completing examinations/assessments is advised that where malpractice is suspected, or alleged, personal data about them will be provided to the awarding body (or bodies) whose



examinations/assessments are involved. Personal data about them may also be shared with other awarding bodies, the qualifications regulator or professional bodies in accordance with the JCQ publication *Suspected Malpractice – Policies and Procedures*

- Ensures irregularities are investigated and informs the awarding bodies immediately of any alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, by completing the appropriate documentation
- As required by an awarding body, ensures evidence of any instances of alleged or suspected malpractice (which includes maladministration) is gathered in accordance with the JCQ publication *Suspected Malpractice - Policies and Procedures* and provides such information and advice as the awarding body may reasonably require

### **Policies/procedures**

- Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place (that allow the senior leadership team to act immediately in the event of an emergency or staff absence)

#### **Exam Contingency Plan**

The Exam Contingency Plan is included at Appendix A of this document.

#### **Lockdown Policy (Exams)**

The Lockdown policy can be access here:  
[Lockdown procedure prospect - FINAL.docx](#)

- Ensures an internal appeals procedures is in place and drawn to the attention of candidates and (where relevant) their parents/carers

#### **Internal Appeals Procedures**

The Internal Appeals Policy is included at Appendix B of this document.

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

#### **Equalities Policy**

The Equalities Policy can be access here:  
<https://drive.google.com/drive/folders/1Tm7DJJXu4W1dzJY6cnAqaTewUjxxSZiE>

The Exams Disability Policy is included at Appendix C of this document.

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

#### **Complaints and Appeals Procedure (Exams)**

The Complaints and Appeals Procedure is included at Appendix G of this document.

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

#### **Child Protection/Safeguarding Policy (Exams)**

The Child protection/safeguarding policy may be found at

<https://drive.google.com/drive/folders/1Q0lgsmcP2cxzob6E6R9-4yoZZ99sIGV>

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

### **Data Protection Policy (Exams)**

The Data Protection Policy may be found at

<https://drive.google.com/drive/folders/1Q0lgsmcP2cxzob6E6R9-4yoZZ99sIGV>

- Ensures the centre has a whistleblowing policy in place

### **Whistleblowing Policy (Exams)**

The Whistleblowing Policy may be found at

[Whistleblowing Policy.docx](#)

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

### **Access Arrangements Policy**

The Access Arrangements Policy is included at Appendix D of this document.

### **Conflicts of interest**

- Ensures the relevant awarding bodies are informed before the published deadline for entries for each examination series of any potential conflict of interest where:
  - a member of centre staff is taking a qualification at the centre which includes internally assessed components/units (noting that being entered by the centre must be as a last resort where unable to find an alternative centre)
  - a candidate is being taught and prepared for a qualification which includes internally assessed components/units by a member of centre staff with a close relationship to the candidate
- Maintains clear records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected by the above, and where:
  - a member of exams office staff has a close relationship to a candidate being entered for exams and assessments at the centre or at another centre
  - a member of centre staff is taking a qualification at the centre which does not include internally assessed components/units (noting that being entered by the centre must be as a last resort where unable to find an alternative centre)
  - a member of centre staff is taking a qualification at another centre

### **Conflicts of Interest Policy (Exams)**

See Appendix K – Conflict of Interest policy

### **National Centre Number Register**

- Provides contact details and an address to which all correspondence in connection with the administration of examinations and assessments can be directed which must be the registered address of the centre
- Ensures the National Centre Number Register annual update is responded to by the end of October
- Takes responsibility for confirming, on an annual basis, that they are both aware of and adhering to the latest version of the JCQ's regulations. This confirmation is managed as part of the National Centre Number Register (NCNR) annual update
- Understands that this responsibility cannot be delegated to a member of the senior leadership team or the examinations officer, and acknowledges that failure to respond to the NCNR annual update, and/or the head of centre's declaration, will result in:
  - the centre status being suspended

- the centre not being able to submit examination entries
- the centre not receiving or being able to access question papers and ultimately, awarding bodies could withdraw their approval of the centre

### Centre inspections

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

### Exams officer

- Understands the contents of annually updated JCQ publications including:
  - [General Regulations for Approved Centres](#)
  - [Instructions for conducting examinations](#)
  - [Suspected Malpractice - Policies and Procedures](#)
  - [Post-Results Services \(PRS\)](#)
  - [A guide to the special consideration process](#)
- Completes/submits the National Centre Number Register annual update (administered on behalf of the JCQ member awarding bodies by OCR <https://ocr.org.uk/administration/ncn-annual-update/>) by the end of October each year
  - Confirms the details or informs the awarding bodies of any changes to the centre's contact details through the National Centre Number Register
  - Informs the National Centre Number Register Team **immediately** (e-mail address – [ncn@ocr.org.uk](mailto:ncn@ocr.org.uk)) if any changes occur after the National Centre Number Register annual update has taken place
  - (Where it may be applicable) Informs the National Centre Number Register Team no later than 6 weeks prior to moving to a new address or a re-location of the secure storage facility
  - Informs the National Centre Number Register Team immediately of any other changes in circumstances that could affect the centre's status
- Is familiar with the contents of annually updated information from awarding bodies on administrative procedures, key tasks, key dates and deadlines
- Ensures key tasks are undertaken and key dates and deadlines met
- Recruits, trains and deploys a team of internal/external invigilators; appoints lead invigilators, as required and keeps a record of the content of training provided to invigilators for the required period
- Works with the ALS lead/SENCo to ensure invigilators supervising access arrangement candidates and those acting as a facilitator supporting access arrangement candidates fully understand the respective role and what is and what is not permissible in the exam room
- Supports the head of centre in ensuring that awarding bodies are informed (where required) of any conflict of interest declared by members of centre staff and in maintaining records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected before the published deadline for entries for each examination series
- Briefs other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials on the requirements for maintaining the integrity and confidentiality of the exam materials

### Senior leaders

- Are familiar with the contents, refer to and direct relevant centre staff to annually updated JCQ publications including:
  - [General Regulations for Approved Centres](#)

- Instructions for conducting examinations
- Access Arrangements and Reasonable Adjustments
- Suspected Malpractice - Policies and Procedures
- Instructions for conducting non-examination assessments (and the instructions for conducting coursework)
- A guide to the special consideration process
- Ensure teaching staff undertake key tasks, as detailed in this policy, within the exams process (exam cycle) and meet internal deadlines set by the EO and ALS lead/SENCo
- Ensure teaching staff keep themselves updated with awarding body subject and teacher-specific information to confirm effective delivery of qualifications
- Ensure teaching staff attend relevant awarding body training and update events

### **Additional Learning Support (ALS) lead/Special educational needs co-ordinator (SENCo)**

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

### **Teaching staff**

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

### **Invigilators**

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

### **Reception staff**

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

### **Site staff**

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

### **Candidates**

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

## **The exam cycle**

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

- planning
- entries
- pre-exams
- exam time

- results and post-results

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

## Planning: roles and responsibilities

### Information sharing

#### Head of centre

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

#### Exams officer

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

### Information gathering

#### Exams officer

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

#### Senior leaders

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

### Access arrangements

#### Head of centre

- Ensures there is appropriate accommodation for candidates requiring access arrangements in the centre for all examinations and assessments
- Ensures a written process is in place to not only check the qualification(s) of the appointed assessor(s) but that the correct procedures are followed as per Chapter 7 of the JCQ publication [Access Arrangements and Reasonable Adjustments](#)
- Ensures the ALS lead/SENCo is fully supported in effectively implementing access arrangements and reasonable adjustments once approved

#### ALS lead/SENCo

- Assesses candidates (or works with the appropriately qualified assessor as appointed by the head of centre) to identify access arrangements/reasonable adjustments requirements
- Gathers **evidence** to support the need for access arrangements for a candidate
- Liaises with teaching staff to gather evidence of **normal way of working** of an affected candidate
- Determines candidate eligibility for arrangements or adjustments that are centre-delegated

- Gathers signed **Personal data consent** forms from candidates where required and ensures **Data protection confirmation(s)** by the examinations officer or SENCo are completed
- Applies for **approval** through **Access arrangements online** (AAO) via the **Centre Admin Portal** (CAP), where required or through the awarding body where qualifications sit outside the scope of AAO
- Keeps a file for each candidate for JCQ inspection purposes containing all the required documentation (if documentation is stored electronically, an e-folder must be created for each individual candidate. The candidate's e-folder must hold each of the required documents for inspection)
- Employs good practice in relation to the Equality Act 2010
- Liaises with the EO regarding exam time arrangements for access arrangement candidates
- Ensures staff appointed to facilitate access arrangements for candidates are appropriately trained and understand the rules of the particular arrangement(s) and keeps a record of the content of training provided to facilitators for the required period
- Works with the EO to ensure invigilators and those acting as a facilitator fully understand the respective role and what is and what is not permissible in the exam room
- Liaises with the relevant member of the senior leadership team on the centre's policy on the use of word processors in examinations

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

The Word Processor Policy (Exams) is included at Appendix E of this document.

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

### **Separate Invigilation Policy**

The Separate Invigilation Policy is included within the Access Arrangements Policy at Appendix D of this document.

## **Senior leaders, Teaching staff**

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

## Internal assessment and endorsements

### **Head of centre**

#### **Controlled assessments, coursework and non-examination assessments**

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



- Ensures a **non-examination assessment policy** is in place for GCE and GCSE qualifications which include components of non-examination assessment (For CCEA GCSE centres this would be a controlled assessment policy)

### **Non-examination Assessment Policy**

The Non Examination Assessment Policy is included at Appendix F of this document.

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

### **Senior leaders**

- Ensure teaching staff have the necessary and appropriate knowledge, understanding, skills, and training to set tasks, conduct task taking, and to assess, mark and authenticate candidates' work (including where relevant, private candidates)
- Ensure appropriate internal moderation, standardisation and verification processes are in place
- Ensure teaching staff delivering AQA Applied General qualifications, OCR Cambridge Nationals, Entry Level Certificate or Project qualifications (and CCEA GCE unitised AS and A-level qualifications) follow JCQ [Instructions for conducting coursework](#) and the specification provided by the awarding body
- Ensure teaching staff delivering reformed GCE & GCSE specifications (which include components of non-examination assessment) follow JCQ [Instructions for conducting non-examination assessments](#) and the specification provided by the awarding body
- For other qualifications, ensure teaching staff follow appropriate instructions issued by the awarding body
- Ensure teaching staff inform candidates of their centre assessed marks as a candidate may request a review of the centre's marking before marks are submitted to the awarding body

### **Teaching staff**

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

### **Exams officer**

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

### Invigilation

#### **Head of centre**

- Ensures relevant support is provided to the EO in recruiting, training and deploying a team of invigilators
- Ensures, if contracting supply staff to act as invigilators, that such persons are competent and fully trained, understanding what is and what is not permissible (and not taking on its own an assurance from a recruitment agency, that this is the case)
- Determines if additional invigilators will be deployed in timed Art exams in addition to the subject teacher to ensure the supervision of candidates is maintained at all times

#### **Exams officer**

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

## Entries: roles and responsibilities

### Estimated entries

#### **Exams officer**

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

#### **Estimated entries collection and submission procedure**

The EO emails each HoD with details of last year's entry codes for the department and requests it be returned with additions, deletions and amendments. On receipt of estimates from HoDs, the EO updates the entries spreadsheet for the current year and submits required estimates via websites.

- Makes candidates aware of the JCQ **Information for candidates – Privacy Notice** at the start of a course leading to a vocational qualification or when entries are submitted to awarding bodies for processing for general qualifications

#### **Senior leaders**

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

### Final entries

#### **Exams officer**

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



## Final entries collection and submission procedure

Where possible, the EO extracts predictable entry lists from SIMS Exams Organiser and prints them for HoDs to sign off. For other subjects, the EO requests entry lists from HoDs, enters them in Exams Organiser and prints them for HoDs to sign off. Amendments are actioned by the EO on receipt of an annotated entry list or email. The EO uses a checklist to ensure all entries are submitted and checks exam board websites to ensure they have been received and processed.

### Senior leaders

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

### Entry fees

All entry fees for authorised entries are met from the exams budget. In the unusual event that a candidate requests an entry that is not authorised by the centre, the candidate is required to pay the full cost of the entry.

### Late entries

#### Exams officer

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

#### Senior leaders

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

### Re-sit entries

Re-sit entries, if authorised by the HoD, are paid for from the exams budget.

### Private candidates

The centre does not accept private candidates

### Candidate statements of entry

#### Exams officer

- Provides candidates with statements of entry for checking

#### Teaching staff

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

#### Candidates

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

## Pre-exams: roles and responsibilities

### Access arrangements and reasonable adjustments

#### **ALS lead/SENCo**

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

### Briefing candidates

#### **Exams officer**

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

## **Access to Scripts, Reviews of Results and Appeals Procedures**

### **Post-results Services**

In advance of the summer vacation, the Examinations Manager will publish to HoDs a Guide to Post-Results Services, containing advice, deadlines and costs. It will also provide the form for requesting these services.

#### Reviews of Results (RoR)

Every RoR request must be supported by a candidate consent form (or email that clarifies that the candidate is aware that the grade may fall) and must be requested by the relevant HoD and authorised by a member of Senior Leadership.

Priority KS5 RoR requests must be authorised by Head of Sixth Form, Assistant Head (Curriculum), or Head of Centre. KS4 RoRs and non-priority KS5 RoRs must be authorised by Assistant Head (Curriculum). RoRs should comply with the policy agreed

by HoDs in respect of:

- the gap between grade boundary and UMS achieved
- the existing and aspirational grade

Leadership.

Priority KS5 ATS requests must be authorised by Head of Sixth Form, Unauthorised requests for RoRs will be accepted from candidates when accompanied by the relevant fee and written consent.

Access to Scripts (ATS)

Every ATS request must be supported by a candidate consent form or email (the requirement for anonymity will be assumed) and must be requested by the relevant HoD and authorised by a member of Senior Leadership, Assistant Head (Curriculum), or Head of Centre. KS4 ATSs and non-priority KS5 ATSs must be authorised by Assistant Head (Curriculum). Appeals Process

If a candidate wishes to appeal against the School's decision not to support a request for a RoR or copy of a script, the candidate may submit an appeal against the decision. Appeals must: be made in writing; state the grounds for the appeal; and be addressed to the Head Teacher. The appeal must be received by the Head Teacher at least five working days before the deadline for the denied service. The Head Teacher and the Assistant Head (Curriculum) will meet and will inform the appellant of the outcome within three working days. If the appeal is upheld, the School will submit and pay for the RoR. If the appeal is turned down, the candidate is entitled to request the RoR or script copy and the School will submit the request subject to the deadline being met, written consent given and the relevant fee paid.

#### Dispatch of exam scripts

##### **Exams officer**

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

#### Estimated grades

##### **Senior leaders**

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

##### **Exams officer**

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

#### Internal assessment and endorsements

##### **Head of centre**

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

##### **ALS lead/SENCo**

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

##### **Teaching staff**

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

### **Senior leaders**

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

### **Exams officer**

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

### **Candidates**

- Authenticate their work as required by the awarding body

### Invigilation

#### **Exams officer**

- Provides an annually reviewed/updated invigilator handbook to invigilators, trains new invigilators on the current regulations on appointment and updates experienced invigilators on an annual basis of any regulation changes and any changes to centre-specific processes
- Deploys invigilators effectively to exam rooms throughout an exam series (including the provision of a roving invigilator where a candidate and invigilator (acting as a practical assistant, reader or scribe) are accommodated on a 1:1 basis to enter the room at regular intervals in order to observe the conducting of the exam, ensure all relevant rules are being adhered to and to support the practical assistant/reader and/or scribe in maintaining the integrity of the exam)
- Allocates invigilators to exam rooms (or where supervising candidates due to a timetable clash) according to the required ratios
- Liaises with the ALS lead/SENCo regarding the facilitation and invigilation of access arrangement candidates

#### **ALS lead/SENCo**

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

#### **Invigilators**

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

### JCQ Centre Inspections

#### **Exams officer or Senior leader**

- Will accompany the Inspector throughout a visit

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

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

### Seating and identifying candidates in exam rooms

#### **Exams officer**

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

#### **Candidate Identification Procedure**

Prior to the exam, the invigilator(s) will place on each occupied desk a card carrying the name, date of birth, candidate number and photograph (if available) of the candidate.

As soon as practicable the invigilator(s) will annotate the seating plan to confirm the identity of those present and to mark those absent. Members of SLT will be present to check the identity of candidates for whom a photograph is not available.

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

#### **Invigilators**

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

### Security of exam materials

#### **Exams officer**

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

## Reception staff

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

## Teaching staff

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

## Timetabling and rooming

### Exams officer

- Produces a master centre exam timetable for each exam series
- Identifies and resolves candidate exam timetable clashes according to the regulations (only applying overnight supervision arrangements as a last resort, once all other options have been exhausted and according to the centre's policy)

### **Overnight Supervision Arrangements Policy**

- See Appendix L – Overnight Supervision Policy

- Identifies exam rooms and specialist equipment requirements
- Allocates invigilators to exam rooms (or where supervising candidates due to an exam timetable clash) according to required ratios
- Liaises with site staff to ensure exam rooms are set up according to JCQ and awarding body requirements
- Liaises with the ALS lead/SENCo regarding rooming of access arrangement candidates

### ALS lead/SENCo

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

### Site staff

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

## Alternative site arrangements

### Exams officer

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

## Centre consortium arrangements

### Exams officer

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

### Senior leaders

- (Where/if applicable to the centre) Inform the EO of any joint teaching arrangements in place and where the centre is acting as the consortium co-ordinator

## Transferred candidate arrangements

### **Exams officer**

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

## Internal exams

### **Exams officer**

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

### **ALS lead/SENCo**

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

### **Teaching staff**

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

## **Exam time: roles and responsibilities**

## Access arrangements

### **Exams officer**

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

## Candidate absence

### **Candidate Absence Policy**

Absence is identified by Student Services during the morning registration process and in the exam rooms. They will telephone the candidate's parent/carer to ascertain the reason for absence and to encourage attendance where appropriate. In the case of persistent absentees, the Head of Year will contact the parent/carer.

### **Invigilators**

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

### **Candidates**

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



### Candidate behaviour

See *Irregularities* below.

### Candidate belongings

See *Unauthorised items* below.

### Candidate late arrival

#### **Exams officer**

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

#### **Invigilators**

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

#### **Candidate Late Arrival Policy**

In the event of a candidate arriving after the start of an examination, he or she may be allowed to sit the examination, either in the planned accommodation or elsewhere, but this is entirely at the discretion of the (Senior) Invigilator and/or the EO, who will take into account:

- the level of lateness
  - previous late arrivals by the same candidate
  - accommodation and invigilation availability

The (Senior) Invigilator will make an entry on the Exam Room Record Form. The late arrival will be brought to the attention of the relevant Head of Year, who will decide what action to take.

When a candidate arrives very late for an external examination, the candidate will be held back at the conclusion of the examination and the (Senior) Invigilator or EO will follow JCQ procedures.

### Conducting exams

#### **Head of centre**

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

#### **Exams officer**

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

### Dispatch of exam scripts

#### **Exams officer**

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

### Exam papers and materials

#### **Exams officer**

- Organises exam question papers and associated confidential resources in date order in the secure storage facility



- Attaches erratum notices received to relevant sealed question paper packets
- Collates attendance registers and examiner details in date order
- Regularly checks mail or email inbox for updates from awarding bodies
- In order to avoid potential breaches of security, ensures care is taken to ensure the correct question paper packets are opened by ensuring a member of centre staff, additional to the person removing the papers from secure storage, e.g. an invigilator, checks the day, date, time, subject, unit/component and tier of entry, if appropriate, immediately before a question paper packet is opened
- Ensures this additional/second check is recorded
- Where allowed by the awarding body, only releases exam papers and materials to teaching departments for teaching and learning purposes after the published finishing time of the exam, or until any timetable clash candidates have completed the exam

## Exam rooms

### **Head of centre**

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

### **Food and Drink Policy (Exams)**

Candidates may bring only water into the examination room for both public and internal exams. All labels must be removed from drinks containers. The School will provide water only for use in emergencies. If an invigilator supplies water to a candidate, it will be noted and reported to the relevant Head of Progress.

### **Toilet Breaks (Exams)**

Candidates are not allowed to go to the toilet in the first 60 minutes or the last 30 minutes

### **Leaving the Examination Room Policy**

- See Appendix M – Leaving the Exam Room Policy

### **Exams officer**

- Ensures exam rooms are set up and conducted as required in the regulations
- Provides invigilators with appropriate resources to effectively conduct exams
- Briefs invigilators on exams to be conducted on a session by session basis (including the arrangements in place for any transferred candidates and access arrangement candidates)
- Ensures sole invigilators have an appropriate means of summoning assistance (if this is a mobile phone, instructs the invigilator that the mobile phone is only allowed to be used for this specific purpose and that it must be kept on silent mode)

- Ensures invigilators understand they must be vigilant and remain aware of incidents or emerging situations, looking out for malpractice or candidates who may be in distress, recording any incidents or issues on the exam room incident log
- Ensures invigilators understand how to deal with candidates who may need to leave the exam room temporarily and how this should be recorded on the exam room incident log
- Provides authorised exam materials which candidates are not expected to provide themselves
- Ensures invigilators and candidates are aware of the emergency evacuation procedure
- Ensures invigilators are aware of arrangements in place for a candidate with a disability who may need assistance if an exam room is evacuated

### Senior leaders

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

### Emergency Evacuation Policy (Exams)

The Emergency Evacuation Policy is included at Appendix H of this document.

### Site staff

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

### Invigilators

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

### Candidates

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

### Irregularities

### Head of centre

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

### Managing Behaviour Policy (Exams)

Staff will monitor and record the behaviour of candidates during all exam series and identify any whose behaviour is a concern. Where appropriate, candidates may be allocated to separate rooms, possibly invigilated by members of SLT, in order to prevent disruption to other candidates.

### Senior leaders

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

## Exams officer

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

## Invigilators

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

### Special consideration

#### Senior leaders

- Provide signed evidence to support eligible applications for special consideration

#### Exams officer

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

### Special Consideration Policy

It is the responsibility of the relevant Head of Year to inform the Exams Officer of any candidates who may merit an application for Special Consideration. There is additional guidance on eligibility for special consideration in the context of COVID-19. JCQ has provided supplementary guidance for centres in England on page 17 of JCQ's guidance on the special consideration process in the context of the June 2024 examination series.

[https://www.jcq.org.uk/wp-content/uploads/2023/08/Guide\\_to\\_spec\\_con\\_process\\_2023\\_24\\_FINAL.pdf](https://www.jcq.org.uk/wp-content/uploads/2023/08/Guide_to_spec_con_process_2023_24_FINAL.pdf)

The Exams Officer will also consider a request for Special Consideration from a teacher, candidate or parent/carer.

All requests for Special Consideration must be authorised by the relevant Head of Year and/or be supported by relevant documentary evidence. All requests for Special Consideration must be submitted to the Exams Officer with supporting evidence within five days of the end of the exam series.

#### Candidates

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

### Unauthorised items

#### Arrangements for unauthorised items taken into the exam room

Candidates must place all unauthorised materials, including watches in their bags and place these as directed by the invigilator. All mobile phones and other electronic equipment must be set to silent. Any unauthorised material found in the possession of a candidate during an exam will be removed and will be returned to the candidate only when collected in person by the candidate's parent or carer, who will be notified of the malpractice.

## Invigilators

- Are informed of the arrangements through training

#### Internal exams

##### **Exams officer**

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

##### **Invigilators**

- Conduct internal exams as briefed by the EO

### **Results and post-results: roles and responsibilities**

#### Internal assessment

##### **Senior leaders**

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

#### Managing results day(s)

##### **Senior leaders**

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

##### **Exams officer**

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

#### **Results day programme**

##### **GCE**

By default the GCE Results Day Publication event will begin at 08:00 for A2 candidates and at 09:00 for AS candidates. It will conclude at 10:00.

##### **GCSE**

By default the GCSE Results Day Publication event will begin at 08:00 and conclude at 10:00.

The Exams Officer will arrange and publicise, via the summer issue of the Exams Booklet for Students and Parents, separate Results Day publication events for GCE and GCSE to coincide with the official Release of Results Days stipulated by the JCQ. These events will be open to candidates in years 11 – 13. Candidates will be required to collect their result slips in person or they may nominate a representative, who must produce the letter of nomination, show photo ID and sign the log.

Uncollected result slips will be posted later that day by first class mail. Results of external examinations held in November, January or March will be issued via tutors.

The Head of Centre will advise in advance all staff involved in results publication regarding those individuals and organisations to which examination result information

may be disclosed; when it may be disclosed; by whom it will be disclosed; and by what medium it will be disclosed.

### Site staff

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

### Accessing results

#### Head of centre

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

#### Exams officer

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

### Post-results services

#### Head of centre

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

#### Exams officer

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

#### Teaching staff

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

#### Candidates

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

## Analysis of results

### **Data Manager**

- Provides analysis of results to appropriate centre staff
- Provides results information to external organisations where required
- Undertakes the DfE School and College Checking Exercises (where applicable to the centre)  
<https://tableschecking.education.gov.uk>

## Certificates

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

### **Certificate Issue Procedure and Retention Policy**

When all certificates have arrived at the centre, candidates will be advised that they are available for collection from reception during normal school hours, subject to photographic identification being shown and a signature being provided.

The candidate may nominate someone to collect the certificates on their behalf, in which case the nominee must provide the written nomination, show their own photographic identification and provide a signature.

The School will undertake to return for correction any certificates that contain an error, for example in the candidate's name, and to bear the cost of correction.

If the candidate changes his or her name during their time at the School, they may receive certificates bearing their old name or some bearing one name and some their new name. In such cases, the School undertakes to enter candidates for examinations using their current legal name and it is the candidate's responsibility to request and pay for certificates bearing their chosen name.

### **Candidates**

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

### **Exams review: roles and responsibilities**

#### **Exams officer**

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

#### **Senior leaders**

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

### **Retention of records: roles and responsibilities**

#### **Exams officer**

- Keeps records as required by JCQ and awarding bodies. 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.



## Appendix A - Exam Contingency Plan

### Purpose of the plan

This plan examines potential risks and issues that could cause disruption to the exams process at King's Academy Prospect and, by outlining actions/procedures to be invoked in case of disruption, it is intended to mitigate the impact these disruptions have on our exam process.

Alongside internal processes, this plan is informed by the Exam system contingency plan: England, Wales and Northern Ireland.

This plan also confirms King's Academy Prospect is compliant with the JCQ regulation (section 5.3, General Regulations for Approved Centres 21-22) that the centre has in place a written examination contingency plan which covers all aspects of examination administration. This will allow members of the senior leadership team to act immediately in the event of an emergency or staff absence.

### Possible causes of disruption to the exam process

#### 1. Exam officer extended absence at key points in the exam process (cycle)

##### Criteria for implementation of the plan

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

##### *Planning*

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

##### *Entries*

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

##### *Pre-exams*

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



*Exam time*

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

*Results and post-results*

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

38

Centre actions to mitigate the impact of the disruption

- ▶ Support Staff work closely with the Exams Officer and are also able to provide backup throughout the cycle.

**2. SENCo extended absence at key points in the exam cycle**

### Criteria for implementation of the plan

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

#### *Planning*

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

#### *Pre-exams*

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

#### *Exam time*

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

39

### Centre actions to mitigate the impact of the disruption

- ▶ Staff cover for each other where possible and in cases where that is not possible the testing for access arrangements task is outsourced to an external provider.

### **3. Teaching staff extended absence at key points in the exam cycle**

Criteria for implementation of the plan

*Key tasks not undertaken including:*

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

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

*Non-examination assessment tasks not set/issued/taken by candidates as scheduled*

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

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

Centre actions to mitigate the impact of the disruption

- ▶ The heads of department are responsible for these tasks. In the event of the extended absence of any head of department a member of SLT or other head of department will be given responsibility for these tasks. The Exams Officer will prompt any acting head of department at key times.

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

Criteria for implementation of the plan

*Failure to recruit and train sufficient invigilators to conduct exams Invigilator shortage on peak exam days*

*Invigilator absence on the day of an exam*

#### Centre actions to mitigate the impact of the disruption

- ▶ The Exams Officer will regularly request invigilator availability; recruit new invigilators early in the year; identify shortages for particular exam sessions; fill gaps by using cover staff and/or support staff as appropriate.

### **5. Exam rooms - lack of appropriate rooms or main venues unavailable at short notice**

#### Criteria for implementation of the plan

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

*Insufficient rooms available on peak exam days*

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

#### Centre actions to mitigate the impact of the disruption

- ▶ Exams Officer will identify suitable rooms early in the year and obtain SLT agreement to use them.
- ▶ Exams Officer issues detailed daily plans three days before each exam day.
- ▶ Exams Officer and Head of Centre will meet to identify extent of unexpected problem, implement the best alternative plan, and direct other staff as necessary. The Lower School Hall and gym are backups for sports hall.
  - ▶ Hold students under supervision (probably in canteen) from the relevant time until alternative arrangements are in place.
- ▶ If neither main venue is available, identify a whole block of classrooms in either A, B, C or L block and relocate planned lessons elsewhere.
- ▶ If the Lower School Hall is unavailable, use the sports hall. If the sports hall is unavailable use the lower school hall, supplemented by large spaces such as gym, ELC, L22, sixth form common room, D28, B1, B2, A2.
- ▶ Enlist extra invigilators from cover and support staff

### **6. Failure of IT systems**

Criteria for implementation of the plan

*MIS system failure at final entry deadline*

*MIS system failure during exams preparation*

*MIS system failure at results release time*

Centre actions to mitigate the impact of the disruption

- ▶ Exams Manager to encourage early entry and submit entries in advance of the deadline to avoid the first risk.
- ▶ Exams Manager to create seating and invigilation plans at least three weeks in advance of each exam
- ▶ Import A2C files into spreadsheets and load to SISRA. Print individual results direct from screen.

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

Criteria for implementation of the plan

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

Centre actions to mitigate the impact of the disruption

- ▶ Contact awarding organisation(s) immediately to discuss action to be taken
- ▶ Consider applying for special consideration

## **8. 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 to mitigate the impact of the disruption

- ▶ Approach local schools to identify resources that can be made available, focusing on students approaching exams

## 9. Candidates unable to take examinations because of a crisis – centre remains open

### Criteria for implementation of the plan

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

### Centre actions to mitigate the impact of the disruption

- ▶ Transport problems/civil unrest/terrorist threat are foreseen to be the likely reasons.
- ▶ Exams Manager and Head of Centre will meet to identify nature and extent of problem.
- ▶ Exams Manager to contact awarding organisation(s) to seek advice. ▶ Consider applying for special consideration

## 10. Centre unable to open as normal during the exams period (including in the event of the centre being unavailable for examinations owing to an unforeseen emergency)

### Criteria for implementation of the plan

*Centre unable to open as normal for scheduled examinations*

### Centre actions to mitigate the impact of the disruption

- ▶ Invoke plan for reciprocal arrangement with Blessed Hugh Faringdon School (see below)
- ▶ Consider applying for special consideration

## 11. Disruption in the distribution of examination papers

### Criteria for implementation of the plan

*Disruption to the distribution of examination papers to the centre in advance of examinations*

Centre actions to mitigate the impact of the disruption

- ▶ Exams Manager to log all papers received against requirements and contact awarding organisations early in case of shortages ▶ Follow awarding organisation advice and instructions
- ▶ Download and print papers in school, ensuring that candidates are held under supervision if this causes delay to start of an exam ▶ Consider applying for special consideration

## **12. 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 to mitigate the impact of the disruption

- ▶ Store completed scripts for as long as necessary in the secure facility
- ▶ Follow awarding organisation advice and instructions
- ▶ Take packaged scripts to local post office if required

## **13. Assessment evidence is not available to be marked**

Criteria for implementation of the plan

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

Centre actions to mitigate the impact of the disruption

- ▶ Damage or destruction at the centre is foreseen to result from fire, flood or building collapse.
- ▶ Follow awarding organisation advice and instructions
- ▶ When safe to do so, attempt to salvage surviving scripts

## **14. Centre unable to distribute results as normal** (including in the event

of the centre being unavailable on results day owing to an unforeseen emergency)

Criteria for implementation of the plan

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

Centre actions to mitigate the impact of the disruption

- ▶ Invoke plan for reciprocal arrangement with Blessed Hugh Faringdon School (see below)

## Further guidance to inform procedures and implement contingency planning

### Ofqual

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

#### **1. Contingency planning**

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

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

#### **2. Disruption to assessments or exams**

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

You should discuss alternative arrangements with your awarding organisation if:

- the exam or assessment cannot take place
- a student misses an exam or loses their assessment due to an emergency, or other event, outside of the student's control

#### **3. Steps you should take**

##### **3.1 Exam planning**



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

### **3.2 In the event of disruption**

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

### **3.3 After the exam**

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

### **4. Steps the awarding organisation should take**

#### **4.1 Exam planning**

Establish and maintain, and at all times comply with, an up-to-date, written contingency plan.

Ensure that the arrangements in place with centres and other third parties enable them to deliver and award qualifications in accordance with their conditions of recognition.

#### **4.2 In the event of disruption**

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

#### **4.3 After the exam**

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

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

If some of the students have been adversely affected by the disruption, you should ask the awarding organisation about applying for special consideration.

Decisions about special consideration, when it is or is not appropriate, is for each awarding organisation to make. Their decisions might be different for different qualifications and for different subjects.

See also:

- [JCO's guidance on special considerations](#)
- [FAB's guidance on special considerations](#)

## 6. Wider communications

The regulators, [Ofqual](#) in England, [Qualifications Wales](#) in Wales and [CCEA](#) in Northern Ireland, will share timely and accurate information, as required, with awarding organisations, government departments and other stakeholders.

The [Department for Education](#) in England, the [Department of Education](#) in Northern Ireland and the [Welsh Government](#) will inform the relevant government ministers as soon as it becomes apparent that there will be significant local or national disruption; and ensure that they are kept updated until the matter is resolved.

Awarding organisations will alert the [Universities and Colleges Admissions Service](#) (UCAS) and the [Central Applications Office](#) (CAO) about any impact of the disruption on their deadlines and liaise regarding student progression to further and higher education.

Awarding organisations will alert relevant professional bodies or employer groups if the impact of disruption particularly affects them.

## 7. Widespread national disruption

In the event of widespread sustained national disruption, the government departments will communicate with regulators, awarding organisations and centres prior to a public announcement. Regulators will provide advice to government departments on implications for exam timetables.

[Ofqual guidance extract taken directly from the ***Exam system contingency plan: England, Wales and Northern Ireland - What schools and colleges and other centres should do if exams or other assessments are seriously disrupted***, (updated 30<sup>th</sup> September 2023)

<https://www.gov.uk/government/publications/exam-system-contingency-plan-england-wales-and-northern-ireland/what-schools-and-colleges-should-do-if-exams-or-other-assessments-are-seriously-disrupted>]

## JCQ

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

Further information may be found at:

<https://www.gov.uk/government/publications/exam-system-contingency-plan-england-wales-and-northern-ireland/what-schools-and-colleges-should-do-if-exams-or-other-assessments-are-seriously-disrupted>

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

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

15.4 In the event that the head of centre decides the centre cannot be opened for scheduled examinations, the relevant awarding body must be informed as soon as possible. Awarding bodies will be able to offer advice regarding the alternative arrangements for conducting examinations that may be available and the options for candidates who have not been able to take scheduled examinations.

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

<https://www.gov.uk/government/publications/examsystem-contingency-plan-england-wales-and-northern-ireland>

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

In the event of national disruption to a day of examinations in summer 2024, the awarding bodies will liaise with the qualification regulators and government departments to agree the most appropriate option for managing the impact. As a last resort the affected examinations will be rescheduled. Although every effort would be taken to keep the impact to a minimum, it is possible that there could be more than one timetable date affected following the disruption, up to and including the contingency day. Centres will be alerted if it is agreed to reschedule the examinations and the affected candidates will be expected to make themselves available in such circumstances. The decision regarding the rescheduling of examinations will always rest with the awarding body. The centre must conduct the examination on the scheduled date unless instructed to do otherwise by the awarding body. Where candidates choose not to be available for the rescheduled examination(s) for reasons other than those traditionally covered by special consideration, they will not be eligible for enhanced grading arrangements. Centres must therefore ensure candidates and parents are aware of this contingency arrangement so that they may take it into account when making their plans for the summer. However, the awarding bodies will not insist upon candidates being available throughout the entire timetable period as a matter of course.

[JCQ guidance taken directly from JCQ *Instructions for Conducting Examinations 2023-24*  
<http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations>, section 15,

**Contingency planning]**

*General Regulations for Approved Centres* <http://www.jcq.org.uk/exams-office/general-regulations>

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

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

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

*A guide to the special consideration process* <http://www.jcq.org.uk/exams->

[office/access arrangements-and-special-consideration/regulations-and-guidance](#)

## GOV.UK

*Emergency planning and response: Severe weather; Exam disruption*

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

*Teaching time lost due to severe weather conditions*

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

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

*Statutory guidance on school closures*

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

### Contingency Plan

#### Local Agreement Between

#### Blessed Hugh Faringdon Catholic School and King's Academy Prospect

JCO Scenario 5 – Centre is unable to open as normal during the examination period. Each school will operate as a backup centre for the partner school accommodating the partner school's candidates by using the backup school's exam hall in a 'relay' situation after the backup school's candidates have sat their papers. Whilst the partner school's candidates wait to take their exam, they will be supervised under controlled conditions subject to exam board approval from the irregularities department should a situation arise.

Issue	Action
Communication with parents, students, invigilators and staff	Each school to use their own websites, email and group call or equivalent systems.

Candidate supervision	<p>From the scheduled start time of the exam, candidates must be fully supervised and denied contact with the outside world, including no access to mobile phones, watches smartwatches or the internet.</p> <p>BHF: Students will be supervised in the Main Hall.</p> <p>Prospect: Students will be supervised in the Lower School Hall or, if that is in use, the Gymnasium.</p>
Communication with exam board(s)	<p>The contingency plan requires the partner school to immediately contact the exam board(s) to advise them of our problem and seek advice and assistance. If approval is granted, this local agreement is rolled out.</p> <p>BHF: The EO will rely on remote access to the school's computer system to provide all key information.</p> <p>Prospect: The EO will keep a USB drive on his person, to contain key information such as: JCQ Alternative Site Form, email addresses, phone numbers, this plan, exam timetable, access arrangements list, candidate contact details, etc.</p>

<b>Issue</b>	<b>Action</b>
Management accommodation	<p>The back-up school will have a single, suitably sized, designated office for use by the exams team from the partner school.</p> <p>BHF: The small meeting room.</p> <p>Prospect: Avon Meeting Room</p>
Key staff	<p>Key staff required to report to the backup school are:</p> <p>BHF: Deputy Head, Head of Year 11, Head of 6<sup>th</sup> Form, EO, Asst EO, SENCo, TAs and Subject leaders where available, invigilators.</p> <p>Prospect: HoC, Head of Year 11, Asst Head Teacher, Head of 6<sup>th</sup> Form, EO, Data Manager, SENCo, TAs, invigilators.</p> <p>Some teaching staff will be required to supervise students.</p>

IT	<p>Back-up school will provide Wifi passwords so partner school can gain remote access to their applications and Exam Board Websites. The back-up school will make available laptops/ or room with PCs suitable for use for students with access arrangements.</p> <p>BHF: will use remote access.</p> <p>Prospect: will use remote access if available.</p>
Papers	<p>On request, the exam board(s) will email a copy of the paper(s). The backup school will close its reprographics department to internal work and focus entirely on producing sufficient copies of each paper.</p>
Seating plans	<p>While exam papers are being produced, the management team will obtain entry lists from exam board websites and allocate students to venues. Invigilators will create detailed seating plans during the exam.</p>

<b>Issue</b>	<b>Action</b>
Exam venues	<p>When the exam venues become available, papers will be laid out and students will be grouped into classrooms according to their candidate number and called one group at a time.</p>
Dispatch of papers	<p>Exam boards will supply attendance registers and yellow labels. Papers will be packaged and dispatched using the backup school's bags and yellow label collection. Any papers not dispatched by the end of the day will be stored in the backup school's secure storage.</p>
Catering	<p>The back-up school will have in place a plan for providing food for displaced students.</p>
Planning	<p>During the first few hours of the 'crisis', the management teams of both schools will meet together regularly to monitor the developing situation and make plans for forthcoming exams. The use of the back-up will continue for as long as the crisis and awarding bodies require.</p>
Finance	<p>The Heads of Centre will agree in advance not to charge the displaced school in the event of the back-up being used.</p>

## JCQ Scenario 11 – Centre unable to distribute results as normal

Each school will operate as a backup centre for the partner school, distributing results to the partner school's candidates in separate accommodation.

### **Download Days (14 and 21 August 2024)**

On these days, staff need to collaborate to:

- Download exam results from exam board websites via A2C
- Load exam results into the school's MIS
- Load exam results into the school's analysis tool and run reports • Print statements of results ready for students
- Communicate to students plans for release of results
- Prepare consent forms for reviews of results

Issue	Action
Accommodation	<p>The back-up school will have a single, suitably sized, designated office for use by the exams team from the partner school.</p> <p>BHF: The small meeting room.</p> <p>Prospect: Not required</p>
Key staff	<p>Key staff required to report to the backup school are:</p> <p>BHF: N/A</p> <p>Prospect: Head of Centre, Deputy Head (Curriculum), Head of KS4/KS5, Exams Manager, Data Manager</p>
IT	<p>The back-up school will provide computers and wifi passwords so the partner school can gain remote access to their applications and Exam Board Websites.</p> <p>Back-up school will provide access to a PC with A2C installed if required.</p> <p>BHF: N/A</p> <p>Prospect: Will use remote access to Hosted SIMS.</p>
Printing	<p>The back-up school will provide access to printers and paper for the purpose of printing statements of results and results reports.</p>
Finance	<p>The Heads of Centre will agree in advance not to charge the displaced school in the event of the back-up being used.</p>
Communication with parents and students	<p>Each school to use their own websites, email and group call or equivalent systems to advise students and parents regarding arrangements for release day.</p>



## Release Days (15th and 22nd August 2024)

Issue	Action
Communication with parents, students, invigilators and staff	Each school to post arrangements for release day at entrances to their own premises.
Accommodation	<p>The back-up school will provide accommodation suitable for the displaced school's cohort to collect results and meet with staff for advice.</p> <p>BHF: TBD</p> <p>Prospect: Lower School Hall</p>
Key staff	<p>Key staff required to report to the backup school are: BHF:</p> <p>TBD</p> <p>Prospect: Head of Centre, Deputy Head (Curriculum), Head of KS4/KS5, Exams Manager, Data Manager</p>
IT	The back-up school will provide wifi passwords so the displaced school can gain access to Exam Board, etc. websites.
Finance	The Heads of Centre will agree in advance not to charge the displaced school in the event of the back-up being used.

## Appendix B - Internal Appeals Policy

Appeals against internal assessment decisions (centre-assessed marks)

This procedure confirms King's Academy Prospect's compliance with JCQ's General Regulations for Approved Centres 2023-24, section 5.7 that the centre has in place "a written internal appeals procedure relating to internal assessment decisions and to ensure that details of this procedure are communicated, made widely available and accessible to all candidates" and that the centre "must inform candidates of their centre assessed marks. A candidate is allowed to request a review of the centre's marking before marks are submitted to the awarding body."

Certain components of GCSE and GCE qualifications (legacy GCE coursework, GCE and GCSE non-examination assessments, the Art and Design timed exams and the A Level Sciences and GCSE (9-1) English endorsements), Cambridge Nationals, Cambridge Technicals and BTECs that contribute to the final grade of the qualification are internally assessed (marked) by the subject teacher. The marks awarded (the internal assessment decisions) are then submitted by the deadline set by the awarding body for external moderation.

Deadlines for the submission of marks (Summer 2024 exam series)

Date	Qualification	Details
07/05/2024	GCSE	AQA
15/05/2024	GCSE	Other than AQA
15/05/2024	GCE	Final date for submission of coursework marks (AQA, OCR, Pearson and WJEC)

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

King's Academy Prospect ensures that all centre staff follow a robust Non-examination assessment policy (for the management of GCE and GCSE non-examination

assessments). This policy details all procedures relating to non examination assessments, including the marking and quality assurance processes which relevant teaching staff are required to follow.

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

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

1. King's Academy Prospect will ensure that candidates are informed of their centre-assessed marks 'in writing' at least ten school days before the marks are due to be submitted to the awarding body so that they may request a review of the centre's marking before marks are submitted.
2. King's Academy Prospect will inform candidates that they have two school days within which they may request copies of materials (for example, a copy of their marked work, the relevant specification, the mark scheme and any other associated subject-specific documents) to assist them in considering whether to request a review of the centre's marking of the assessment. Such requests must be made 'in writing' to the relevant subject teacher. King's Academy Prospect will inform candidates that, if a request is not received within two school days, it will be assumed that the student does not wish to review their work.
3. King's Academy Prospect will inform candidates that a review may result in the mark staying the same, going up or going down and that it is the post-review mark that will be submitted to the awarding body.
4. King's Academy Prospect will, having received a request for copies of materials, promptly make them available to the candidate within one school day.
5. King's Academy Prospect will allow candidates two school days to review copies of materials and reach a decision.

6. Requests for reviews of marking must be made in writing within two school days of receiving copies of the requested materials – by completing the internal appeal form (see below) and handing it to his/her tutor, who will in turn pass it quickly to the nominated member of staff. King's Academy Prospect will inform candidates that, if an internal appeal form is not received within two school days, it will be assumed that the student does not wish to review their work.
  
7. The nominated member of staff will pass the appeal to an assessor within one school day, ensuring that the review of marking is carried out by an assessor who has appropriate competence, has had no previous involvement in the assessment of that candidate and has no personal interest in the review. King's Academy Prospect will allow one school day for the review to be carried out.
  
8. King's Academy Prospect will instruct the assessor to ensure that the candidate's mark is consistent with the standard set by the centre. The assessor will return the reviewed script to the nominated member of staff.
  
9. The nominated member of staff will inform the candidate in writing of the outcome of the review of the centre's marking within one school day.
  
10. The outcome of the review of the centre's marking will be made known to the head of centre. A written record of the review will be kept and made available to the awarding body upon request.

After candidates' work has been internally assessed, it is moderated by the awarding body to ensure consistency in marking between centres. The moderation process may lead to mark changes. This process is outside the control of King's Academy Prospect and is not covered by this procedure.

<b>Internal Appeal Form</b>			FOR CENTRE USE ONLY	
			Date received	
			Reference No.	
Awarding body		Exam paper code		
Subject		Exam paper title		
Please state the grounds for your appeal below				
<p>I wish to request a review of the centre's marking</p> <p>If necessary, continue on an additional page if this form is being completed electronically or overleaf if hard copy being completed</p>				
Appellant signature: Date of signature:				

This form must be signed, dated and returned to the exams officer on behalf

of the head of centre to the timescale indicated in the relevant appeals procedure.

## Appendix C - Exams Disability Policy

### Purpose of the policy

This document, which is provided as an exams-specific supplement to the *centre-wide disability/accessibility policy/plan*, describes how the centre will

*“recognise 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...*

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

[Quote taken directly from section 5.4 of the JCQ publication [General regulations for approved centres](#) 2023-24]

This publication is further referred to in this policy as [GR](#).

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

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

### The Equality Act 2010 definition of disability

A definition is provided on page 4 of the JCQ publication *Adjustments for candidates with disabilities and learning difficulties* [Access Arrangements and Reasonable Adjustments](#) 2023-24

This publication is further referred to in this policy as [AA](#).

### Identifying the need for access arrangements

## Roles and responsibilities

### Head of centre

- ▶ Is familiar with the entire contents, refers to and directs relevant centre staff to the annually updated JCQ publications including [GR](#) and [AA](#)

### Senior leaders

- ▶ Are familiar with the entire contents of the annually updated JCQ publications including [GR](#) and [AA](#)

### Special educational needs coordinator (SENCo)

- ▶ Has full knowledge and understanding of the contents, refers to and directs relevant centre staff to the annually updated JCQ publication [AA](#)

### Teaching staff

- ▶ Inform the SENCo of any support that might be needed by a candidate

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

- ▶ (where appropriate) Provide comments/observations to support the SENCo in *painting a holistic picture of need* confirming *normal way of working* for a candidate

### Assessor of candidates with learning difficulties

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

- ▶ Has detailed understanding of the JCQ publication [AA](#)

## Use of word processors

The Word Processor Policy is included at Appendix E of this document.

## Requesting access arrangements

### Roles and responsibilities

#### Special educational needs coordinator (SENCo)

- ▶ Determines if the arrangements identified for a candidate require prior approval from the awarding body before the arrangements are put in place or if approval is centre-delegated

## **Exams officer**

- ▶ Is familiar with the entire contents of the annually updated JCQ publication [GR](#) and is aware of information contained in [AA](#) where this may be relevant to the EO role

## **Implementing access arrangements and the conduct of exams** **Roles and responsibilities**

### **External assessments**

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

### **Head of centre**

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

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

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

### **Exams officer**

- ▶ Understands and follows instructions for *Invigilation arrangements for candidates with access arrangements* and *Access arrangements* in [ICE 2023-2024](#)

### **Other relevant centre staff**

- ▶ Support the SENCo and the exams officer to ensure appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams

### **Internal assessments**

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



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

[Quote taken from the JCQ publication [Instructions for conducting non-examination assessments](#), Foreword]

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

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

### **Teaching staff**

- ▶ Support the SENCo in implementing appropriate access arrangements for candidates

### **Internal exams**

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

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

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

### **Teaching staff**

- ▶ Support the SENCo in implementing appropriate access arrangements for candidates

## **Facilitating access - examples**

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

On a candidate by candidate basis, consideration is given to

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

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

Example of candidate need(s)	Arrangements explored	Centre actions
------------------------------	-----------------------	----------------

<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 breaks</p>	<p><i>SENCo gathers evidence to support the need for the candidate to take exams at home</i></p> <p><i>Pastoral head provides written statement for file to confirm the need</i></p> <p><i>Approval confirmed by SENCo; AAO approval for both arrangements not required</i></p> <p><i>Pastoral head discussion with candidate to confirm the arrangements should be put in place</i></p> <p><i>EO submits 'Alternative site form' for timetabled written exams to awarding body/bodies online through CAP</i></p> <p><i>An on-line submission must only be made for timetabled written examinations in the following qualifications:</i></p> <p><i>EO provides candidate with exam timetable and JCQ information for candidates</i></p> <p><i>Pastoral head confirms with candidate the information is understood</i></p>
---	---	---

62

		<p><i>Pastoral head agrees with candidate that prior to each exam will call to confirm fitness to take exam</i></p> <p><i>EO allocates invigilator(s) to candidate's timetable; confirms time of collection of exam papers and materials</i></p> <p><i>Invigilator monitors candidate's condition for each exam and records any issues on incident log</i></p> <p><i>Invigilator records rest breaks (time and duration) on incident log and confirms set time given for exam</i></p> <p><i>Invigilator briefs EO after each exam on how candidate's performance in exam may have been affected by his/her condition</i></p> <p><i>EO discusses with pastoral head if candidate is eligible for special consideration (candidate present but disadvantaged)</i></p> <p><i>EO processes request(s) for special consideration where applicable; incident log(s) provides supporting evidence</i></p> <p><i>Pastoral head informs candidate that special consideration has been requested</i></p>
--	--	--

Persistent and significant difficulties in accessing written text	Reader/computer reader 25% Extra time Separate invigilation within the centre	<i>Confirms candidate is disabled within the meaning of the Equality Act 2010</i>  <i>Papers checked for those testing reading</i>  <i>Computer reader/examination reading pen sourced for use in papers (or sections of papers) testing reading OR up to 50% extra time awarded</i>  <i>Original Form 8v 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</i>
Significant difficulty in concentrating	Prompter Separate invigilation within the centre	<i>Gathers evidence to support substantial and long term adverse impairment</i>  <i>Confirms with candidate how and when they will be prompted</i>  <i>Briefs invigilator to monitor candidate and the method of prompting (call out his name to bring his attention back to the paper - confirms requirement for separate room)</i>
A wheelchair user	Desk Rooms Facilities Seating arrangements Practical assistant	<i>Applies for practical assistant to help candidate set up wheelchair and other equipment in a practical assessment; approval automatically fails so awarding body referral lists the tasks that will be performed</i>  <i>Provides height adjustable desk in exam room</i>  <i>Allocates exam room on ground floor near adapted bathroom facilities</i>  <i>Spaces desks to allow wheelchair access</i>  <i>Seats candidate near exam room door</i>  <i>Confirms arrangements in place to assist the candidate in case of emergency evacuation of the exam room</i>  <i>Practical assistant cover sheet printed from AAO; to be completed by facilitator and inserted inside the candidate's work where this may be applicable to the assessment</i>

## Appendix D - Access Arrangements Policy

### What are access arrangements and reasonable adjustments?

#### Access arrangements

*“Access arrangements are agreed before an assessment. They allow candidates with specific needs, such as special educational needs, disabilities or temporary injuries to access the assessment and show what they know and can do without changing the demands of the assessment. The intention behind an access arrangement is to meet the particular needs of an individual candidate without affecting the integrity of the assessment. Access arrangements are the principal way in which awarding bodies comply with the duty under*

the Equality Act 2010\* to make 'reasonable adjustments'.

[AA Definitions, page 3]

## Reasonable adjustments

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

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

*An adjustment will not be approved if it:*

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

*This is because the adjustment is not 'reasonable'.* [AA Definitions, page 3]

## Purpose of the policy

The purpose of this policy is to confirm that King's Academy Prospect has a written record which clearly shows the centre is leading on the access arrangements process and is complying with its "...obligation to identify the need for, request and implement access arrangements..."

[JCQ General Regulations for Approved Centres, 5.5]

This publication is further referred to in this policy as [GR](#)

This policy is maintained and held by the SENCo alongside the individual files of each access arrangements candidate. Each file contains detailed records of all the essential information that is required to be held according to the regulations.

65

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

This publication is further referred to in this policy as [AA](#)

## Disability policy (exams)

A large part of the access arrangements process is covered in the Disability policy (exams) which covers staff roles and responsibilities in identifying the need for, requesting and implementing access arrangements and the conduct of exams.

The Exams Disability Policy is included at Appendix C of this document.

The access arrangements policy further covers the assessment process and related issues in more detail.

## The assessment process

Assessments are carried out by an assessor(s) appointed by the head of centre. The assessor(s) is (are) appropriately qualified as required by JCQ regulations in [AA](#) 7.3.

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

CP3TA=CCET+AAC

### Appointment of assessors of candidates with learning difficulties

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

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

The current assessor is the SENCo, employed by the school and a copy of his certificate is held on file.

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

As above the assessor is the SENCo, holds appropriate level 7 qualifications, copies of which are available for inspection.

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

Exam Access Assessment processes are administered with regard to the equality Act 2010 regulations and SEN Code of Practice (2015).

The school makes every attempt to identify students needing exam access as early as possible.

Where possible the school collects data about students who are new to the school regarding previously held exam access arrangements.

Teachers and the SENCo identify students needing exam access through:

- Screening tests
- Records of additional support provided by the Support for Learning team
- Candidates self-reported difficulties
- Information from feeder schools
- Comments from teachers on referral forms about a candidate's difficulties.
- Data drops and tracking information.
- Information contained in EHCP , EP reports or other relevant documents

Teachers work with the SENCo to identify students who have exam access needs. As of 2019 teachers refer students for exam access assessment via an online referral, which encapsulates 'Normal Way of Working' and 'Student Voice'.

Once appropriate information has been gathered to demonstrate need, the SENCo formally assesses students using approved psychometric tests to confirm the appropriate arrangements are justified.

### ***Painting a picture of need and gathering evidence to demonstrate normal way of working***

Students with exam access arrangements will, where practical, have these arrangements in class tests, mock exams and assessments.

Teachers who regularly work with students are required to provide evidence to paint a picture of 'Normal Way of Working'. As of 2019 this is through the completion of an online referral form, which encapsulate 'Normal Way of Working' and 'Student Voice'.

Teachers are also encouraged to provide samples of student work to further support 'Normal Way of Working'.

## Processing access arrangements

### Arrangements requiring awarding body approval

*Access arrangements online* (AAO) is a tool provided by JCQ member awarding bodies for centres to apply for required access arrangement approval for the qualifications listed on page 92 of [AA](#). This tool also provides the facility to order modified papers for those qualifications listed on page 74.

AAO is accessed by logging in to any of the awarding body secure extranet sites. A single application is required for each candidate regardless of the awarding body used.

In line with JCQ regulations and where possible, online applications are made by the published deadline. The Exam's office keeps a record of the printed online application, letters from awarding bodies.

### Centre-delegated access arrangements

King's Academy Prospect follows JCQ guidance when providing centre delegated access arrangements.

Centre-delegated access arrangements are provided when there is evidence that it is the candidates 'Normal Way of Working' and the need arises as a result of substantial and long term impairment or there is medical evidence to substantiate this arrangement.

## Centre-specific criteria for particular access arrangements

### Word processor policy (exams)

An exam candidate may be approved the use of a word processor where this is appropriate to the candidate's needs and not simply because this is the candidate's preferred way of working within the centre.

Details of the centre's Word Processor Policy can be found in Appendix E of this document.

### Separate invigilation within the centre

A decision where an exam candidate may be approved separate invigilation within the centre will be made by the SENCo.

The decision will be based on

- ▶ *whether the candidate has a substantial and long term impairment which has an adverse effect; and*
- ▶ *the candidate's normal way of working within the centre* [AA.5.16]

In line with JCQ regulations separate invigilation is provided in cases where the candidate's difficulties are established within the school. In such cases separate

68

invigilation reflects the candidate's normal way of working, where possible, in internal school tests and mock examinations and is granted as a consequence of a long-term medical condition or long term social, mental or emotional needs.

69

## **Appendix E - Word Processor Policy (Exams)**

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

References in this policy to AA and ICE relate to/are directly taken from the [Access Arrangements and Reasonable Adjustments 2023-24](#) and [Instructions for Conducting Examinations 2023-24](#) publications.

### **Introduction**

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

(AA 4.2.1)

The purpose of an access arrangement is to ensure, where possible, that barriers to assessment are removed for a disabled candidate preventing him/her from being placed at a substantial disadvantage as a consequence of persistent and significant difficulties.

The integrity of the assessment is maintained, whilst at the same time providing access to assessments for a disabled candidate.

(AA 4.2.2)

Although access arrangements are intended to allow access to assessments, they cannot be granted where they will compromise the assessment objectives of the specification in question.



(AA 4.2.3)

Candidates may not require the same access arrangements in each specification. Subjects and their methods of assessments may vary, leading to different demands of the candidate. SENCos should consider the need for access arrangements on a subject-by-subject basis.

## **Purpose of the policy**

This policy details how King's Academy Prospect complies with AA (chapter 4) Adjustments for candidates with disabilities and learning difficulties and (chapter 5.8) Word processor when awarding and allocating a candidate the use of word processor in his/her exams.

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

## **The use of a word processor**

70

The centre will

- ▶ allocate the use of a word processor to a candidate where it is their normal way of working within the centre (AA 5.8.1)
- ▶ award the use of a word processor to a candidate if it is appropriate to their needs  
Needs may include
  - a learning difficulty which has a substantial and long-term adverse effect on his/her ability to write legibly
  - a medical condition
  - a physical disability
  - a sensory impairment
  - planning and organisational problems when writing by hand
  - poor handwriting (AA 5.8.4)
- ▶ only permit the use of a word processor where the integrity of the assessment can be maintained (AA 4.2.1)
- ▶ not grant the use of a word processor where it will compromise the assessment objectives of the specification in question (AA 4.2.2)
- ▶ consider on a subject-by-subject basis if the candidate will need to use a word processor in each specification (AA 4.2.3)
- ▶ consider the needs of the candidate at the start of the candidate's course leading

to a qualification based on evidence gathered that firmly establishes the candidate's needs and 'normal way of working' in the classroom, internal tests/exams, mock exams etc. and confirm arrangements in place before the candidate takes an exam or assessment (AA 4.2.4)

- ▶ provide access to word processors to candidates in non-examination assessment components as standard practice unless prohibited by the specification (AA 5.8.2)

The centre will not

- ▶ simply grant the use of a word processor to a candidate because he/she prefers to type rather than write or can work faster on a keyboard, or because he/she uses a laptop at home (AA 5.8.4)

### **Exceptions**

The only exception to the above where the use of a word processor would be considered for a candidate would be

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

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

A candidate using a word processor is generally accommodated in a different room from the main cohort.

To comply with ICE 14, the centre:

- ▶ provides a word processor with the spelling and grammar check facility/predictive text disabled (switched off) (ICE 14.20)
- ▶ (where a candidate is to be seated with the main cohort without the use of a power point) checks the battery capacity of the word processor before the candidate's exam to ensure that the battery is sufficiently charged for the entire duration of the exam (ICE 14.21)
- ▶ ensures the candidate is reminded to ensure that his/her centre number, candidate number and the unit/component code appear on each page as a header or footer e.g. 12345/8001 – 6391/01 (ICE 14.22)

If a candidate is using the software application Notepad or Wordpad these do not allow for the insertion of a header or footer. In such circumstances once the candidate has completed the examination and printed off his/her typed script,

he/she must handwrite their details as a header or footer. The candidate must be supervised to ensure that he/she is solely performing this task and not re-reading their answers or amending their work in any way.

- ▶ ensures the candidate understands that each page of the typed script must be numbered, e.g. page 1 of 6 (ICE 14.23)
- ▶ ensures the candidate is reminded to save his/her work at regular intervals (or where possible, an IT technician will set up 'autosave' on each laptop/tablet)
- ▶ instructs the candidate to use a minimum of 12pt font and double spacing in order to assist examiners when marking (ICE 14.24)

(ICE 14.25)

The centre will ensure the word processor:

- ▶ is in good working order at the time of the exam
- ▶ is accommodated in such a way that other candidates are not disturbed and cannot read the screen
- ▶ is used as a type-writer, not as a database (although standard formatting software is acceptable) and is not connected to an intranet or any other means of communication
- ▶ is cleared of any previously stored data
- ▶ does not give the candidate access to other applications such as a calculator (where prohibited in the examination), spreadsheets etc.
- ▶ does not include graphic packages or computer aided design software unless permission has been given to use these
- ▶ does not have any predictive text software or an automatic spelling and grammar check enabled unless the candidate has been permitted a scribe or is using speech recognition technology (a scribe cover sheet must be completed), or the awarding body's specification permits the use of automatic spell checking
- ▶ does not include speech recognition technology unless the candidate has permission to use a scribe or relevant software
- ▶ is not to be used on the candidate's behalf by a third party unless the candidate has permission to use a scribe

### **Portable storage medium**

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

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

### **Printing the script after the exam is over**

The centre will ensure:

- ▶ the typed script can be printed from a portable storage medium
- ▶ the candidate

- is present to verify that the work printed is his or her own ▶ a word processed script is attached to any answer booklet which contains some of the answers
- ▶ a word processor cover sheet (Form 4) is completed and included with the candidate's typed script (according to the relevant awarding body's instructions)

### **The criteria King's Academy Prospect uses to award and allocate word processors for examinations**

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

#### **The use of word processors**

There are also exceptions where a candidate may be awarded/allocated the use of a word processor in exams where he/she has a firmly established need, it reflects the candidate's normal way of working and by not being awarded a word processor would be at a substantial disadvantage to other candidates.

In line with current JCQ Guidelines, it is permissible for a candidate using a word processor in an examination to type certain questions, i.e. those requiring extended writing, and handwrite shorter answers.

Appropriate exam-compliant word processors will be provided by the IT department in liaison with the exams officer.

The specific criteria used to determine the conditions under which a word processor will be allocated are detailed in Appendix E of this policy.

Statement produced by: **J Birk**

## Appendix F - Non Examination Assessment Policy

### What does this policy affect?

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

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

[Definition taken directly from the JCQ publication

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

This publication is further referred to in this policy as [NEA](#)

### Purpose of the policy

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

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

*The policy will need to cover all types of non-examination assessment. [NEA 1]*

### What are non-examination assessments?

This is explained in [NEA](#).

*Non-examination assessments measure subject-specific knowledge and skills that cannot be tested by timed written papers.*

*There are three assessment stages and rules which apply to each stage. These rules often vary across subjects. The stages are:*

- task setting;
- task taking;
- task marking.

[NEA 1]

### Procedures for planning and managing non-

## examination assessments identifying staff roles and responsibilities

### The basic principles

#### Head of centre

- ▶ Provides a signed declaration as part of the National Centre Number Register Annual Update to confirm awareness of and that relevant centre staff are adhering to the latest version of [NEA](#)
- ▶ Ensures the centre's *non-examination assessment policy* is fit for purpose ▶ Ensures the centre's *internal appeals procedures* clearly detail the procedure to be followed by candidates (or their parents/carers) appealing against internal assessment decisions (centre-assessed marks) and requesting a review of the centre's marking

#### Senior leaders

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

#### Quality assurance (QA) lead/Lead internal verifier

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

#### Subject head/lead

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

endorsements)

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

### **Subject teacher**

- ▶ Understands and complies with the general instructions as detailed in [NEA](#)
- ▶ Where these may also be provided by the awarding body, understands and complies with the awarding body's specification for conducting non examination assessments, including any subject-specific instructions, teachers' notes or additional information on the awarding body's website
- ▶ Marks internally assessed work to the criteria provided by the awarding body ▶ Ensures the exams officer is provided with relevant entry codes for subjects (whether the entry for the internally assessed component forms part of the overall entry code for the qualification or is made as a separate unit entry code) to the internal deadline for entries

### **Exams officer**

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

## **Task setting**

### **Subject teacher**

- ▶ Selects tasks to be undertaken where a number of comparable tasks are provided by the awarding body OR designs tasks where this is permitted by criteria set out within the subject specification
- ▶ Makes candidates aware of the criteria used to assess their work

## **Issuing of tasks**

### **Subject teacher**

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

## Task taking

### Supervision

#### Subject teacher

- ▶ Checks the awarding body's subject-specific requirements ensuring candidates take tasks under the required conditions and supervision arrangements
- ▶ Ensures there is sufficient supervision to enable the work of a candidate to be authenticated
- ▶ Ensures there is sufficient supervision to ensure the work a candidate submits is their own
- ▶ Is confident where work may be completed outside of the centre without direct supervision, that the work produced is the candidate's own.
- ▶ Where candidates may work in groups, keeps a record of each candidate's contribution
- ▶ Ensures candidates are aware of the current JCQ documents [Information for candidates - non-examination assessments](#) and [Information for candidates - Social Media](#)
- ▶ Ensures candidates understand and comply with the regulations in relevant JCQ documents Information for candidates

### Advice and feedback

#### Subject teacher

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

### Resources

#### Subject teacher

- ▶ Refers to the awarding body's specification and/or associated documentation to determine if candidates have restricted/unrestricted access to resources when planning and researching their tasks



- ▶ Ensures conditions for any formally supervised sessions are known and put in place
- ▶ Ensures appropriate arrangements are in place to keep the work to be assessed, and any preparatory work, secure between any formally supervised sessions, including work that is stored electronically
- ▶ Ensures conditions for any formally supervised sessions are understood and followed by candidates
- ▶ Ensures candidates understand that they are not allowed to introduce improved notes or new resources between formally supervised sessions ▶ Ensures that where appropriate to include references, candidates keep a detailed record of their own research, planning, resources etc.

## **Word and time limits**

### **Subject teacher**

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

## **Collaboration and group work**

### **Subject teacher**

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

## **Authentication procedures**

### **Subject teacher**

- ▶ Where required by the awarding body's specification
  - ensures candidates sign a declaration confirming the work they submit for final assessment is their own unaided work
  - signs the teacher declaration of authentication confirming the requirements have been met
- ▶ Keeps signed candidate declarations on file until the deadline for requesting reviews of results has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later

- ▶ Provides signed candidate declarations where these may be requested by a JCQ Centre Inspector
- ▶ Where there may be doubt about the authenticity of the work of a candidate or if malpractice is suspected, follows the authentication procedures and malpractice information in [NEA](#) and informs a member of the senior leadership team

## **Presentation of work**

### **Subject teacher**

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

## **Keeping materials secure**

### **Subject teacher**

- ▶ When work is being undertaken by candidates under formal supervision, ensures work is securely stored between sessions (if more than one session) ▶ When work is submitted by candidates for final assessment, ensures work is securely stored
- ▶ Follows secure storage instructions as defined in [NEA 4.8](#)
- ▶ Takes sensible precautions when work is taken home for marking ▶ Stores internally assessed work, including the sample returned after awarding body moderation, securely until the closing date for reviews of results or until the outcome of a review or any subsequent appeal has been completed ▶ Reminds candidates of the need to keep their own work secure at all times and not share completed or partially completed work on-line, on social media or through any other means (the JCQ document Information for candidates – social media should be brought to the attention of candidates)
- ▶ Liaises with the IT Manager to ensure that appropriate arrangements are in place to restrict access between sessions to candidates' work where work is stored electronically

### **IT Manager**

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

## **Task marking – externally assessed components**

### **Conduct of externally assessed work**

#### **Subject teacher**

- ▶ Liaises with the exams officer regarding the arrangements for any externally assessed components of a specification which must be conducted within a window of dates specified by the awarding body and according to JCQ Instructions for conducting examinations
- ▶ Liaises with the Visiting Examiner where this may be applicable to any externally assessed component

### **Appendix G - Exams Information Retention Policy**

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

The purpose of this policy is to:

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

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Access arrangements information	Any hard copy information kept by the EO relating to an access arrangement candidate.	To be returned to SENCo as records owner at end of the candidate's final exam series. To be retained for six years.	Confidential waste/shredding
Attendance register copies		To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later. [Reference ICE 6,15]	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.	Non-confidential destruction
Candidates' work	Non-examination assessment work (inc. controlled assessment, coursework, portfolios) returned to the centre after awarding body moderation.	To be 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) until after the deadline for EARs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series.	Returned to candidates or safe disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		[Reference GR 3, 5]	
Certificates		Unclaimed/uncollected certificates to be retained securely for a minimum of 12 months from date of issue. [Reference GR 5]	Confidential destruction
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	To be retained for 4 years from the date of certificate destruction. [Reference GR 5]	Confidential destruction
Certificate issue information	A record of certificates that have been issued to candidates.	To be retained in perpetuity [Reference GR 5]	No destruction
Confidential materials delivery logs	A log recording confidential materials delivered by awarding bodies to the centre and issued to authorised staff.	To be retained for one year from date of delivery	Non-confidential destruction
Confidential materials tracking logs	A log to track materials taken from or returned to secure storage throughout the time the material is confidential.	To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Non-confidential destruction

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Dispatch logs	Proof of dispatch of exam script packages to awarding body examiners covered by the DfE (Standards & Testing Agency) yellow label service	To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Non-confidential destruction
Entry information	Any hard copy information relating to candidates' entries.	To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential destruction
Exam question papers	Question papers for timetabled written exams.	<p>Issued to teaching staff after the published finishing time of the exam and only when all candidates in the centre have completed the exam.</p> <p>Instructions issued by an individual awarding body relating to the use of question papers for vocational qualifications after the examination has taken place are followed.</p> <p>[Reference ICE 16 and GR 5,6]</p>	Instructions issued by an individual awarding body relating to the use of question papers for vocational qualifications after the examination has taken place are followed.
Exam room checklists	Checklists confirming room conditions and invigilation arrangements for each exam room.	To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	See Exam room incident logs below

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		[Reference ICE 6]	
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms.	To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential destruction
Exam stationery		When awarding body or JCQ common stationery is considered surplus or is out-of-date it will be disposed of. [Reference ICE page 4 and ICE 23]	Confidential disposal
Examiner reports		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 – no copies retained in exams office
Invigilation arrangements	See Exam room checklists		
JCQ publications	Any hard copy publications provided by JCQ.	To be retained until the current academic year update is provided.	Non-confidential destruction

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Moderator reports		To be immediately provided to head of department as records owner.	
Overnight supervision information	Copy of JCQ form Timetable variation and confidentiality declaration for overnight supervision for any candidate eligible for these arrangements.	To be retained for JCQ inspection purposes for the relevant exam series.	Confidential disposal
Post-results services: confirmation of candidate consent information	Hard copy or email record of candidate consent for an EAR or ATS request to be submitted to an awarding body	EAR consent to be retained for at least six months following the outcome of the enquiry or any subsequent appeal. ATS consent to be retained for at least six months from the date consent given. [Reference PRS 4, appendix A and B]	Confidential disposal
Post-results services: requests/outcome information	Any hard copy information relating to a post-results service request (EARs, appeals, ATS) submitted to an awarding body for a candidate and outcome information from the awarding body.	EAR information to be retained for at least six months following the outcome of the enquiry or any subsequent appeal. ATS information to be retained for at least six months from the date consent given.	Confidential disposal
Post-results services: scripts provided by ATS service	Copies of exam scripts (or an electronic image of the script) returned to the centre by the	Where copies of scripts are retained by the centre, they must be securely stored	Confidential disposal



Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
	awarding body/copies downloaded by the centre where the awarding body provides online access to scripts.	(including any electronic versions) until they are no longer required. [Reference PRS 6]	
Post-results services: tracking logs	A log tracking to resolution all post-results service requests submitted to awarding bodies.	EAR information to be retained for at least six months following the outcome of the enquiry or any subsequent appeal. ATS information to be retained for at least six months from the date consent given.	N/A
Private candidate information	Any hard copy information relating to private candidates' entries.	N/A	N/A
Proof of postage – candidate work	Proof of postage of sample of candidates' work to awarding body moderators.	To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Non-confidential destruction
Resolving clashes information	Any hard copy information relating to the resolution of a candidate's clash of exam papers or a timetable variation.	To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential disposal
Results information	Broadsheets of results summarising candidate final grades by subject by exam series.	Records for current year plus previous 6 years to be retained as a minimum.	Confidential disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		[Reference Records Management Toolkit for Schools]	
Seating plans	Plans showing the seating arrangements of all candidates for every exam taken.	To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.  [Reference ICE 6]	Confidential disposal
Special consideration information	Any hard copy information relating to a special consideration request and supporting evidence submitted to an awarding body for a candidate.	Evidence supporting an on-line special consideration application and evidence supporting a candidate's absence from an exam must be kept until after the publication of results.  [Reference SC 6]	Confidential disposal
Suspected malpractice reports/outcomes	Any hard copy information relating to a suspected malpractice investigation/report submitted to an awarding body and outcome information from the awarding body.	Records for current year plus previous 6 years to be retained as a minimum.	Confidential disposal
Exams contracts	Exams contract form giving candidate consent re copyright and data protection plus agreement to abide by rules.	Records for current year plus previous 6 years to be retained as a minimum, in line with malpractice documents.	Confidential disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Transfer of credit information	Any hard copy information relating to a GCE AS transfer of credit arrangement (for a legacy unitised GCE AS specification) application submitted to an awarding body for a candidate.	To be retained until the issue of the GCE A level result for the candidate.	Confidential disposal
Transferred candidate information	Any hard copy information relating to an application for a transferred candidate arrangement submitted to an awarding body for a candidate.	To be retained until the transfer arrangements are confirmed by the awarding body.	Confidential disposal
Very late arrival reports/outcomes	Any hard copy information relating to a very late arrival report submitted to an awarding body for a candidate and outcome information from the awarding body.	To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential disposal

## Appendix H - Exams Complaints and Appeals Procedure

### Purpose of the procedure

This procedure confirms King's Academy Prospect's compliance with JCQ's *General Regulations for Approved Centres 2023-2024*, section 5.7 that the centre has in place "...a written complaints and appeals procedure which will cover general complaints regarding the centre's delivery or administration of a qualification."

### Grounds for complaint

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

#### Teaching and learning

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

#### Access arrangements

- ▶ Candidate not assessed by the centre's appointed assessor
- ▶ Candidate not involved in decisions made regarding his/her access arrangements
- ▶ Candidate did not consent to personal data being shared electronically (by the non-acquisition of a signed Data Protection Notice)
- ▶ Candidate not informed/adequately informed of the arrangements in place and the subjects or components of subjects where the arrangements would not apply
- ▶ Exam information not appropriately adapted for a disabled candidate to access it
- ▶ Adapted equipment put in place failed during exam/assessment

- ▶ Approved access arrangement(s) not put in place at the time of an exam/assessment
- ▶ Appropriate arrangements not put in place at the time of an exam/assessment as a consequence of a temporary injury or impairment

### **Entries**

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

### **Conducting examinations**

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

### **Results and Post-results**

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

## Complaints and appeals procedure

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

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

### How to make a formal complaint

- ▶ A complaint should be submitted in writing by completing a **complaints and appeals form**
- ▶ Forms are available from the exams office
- ▶ Completed forms should be returned to the Head of Centre
- ▶ Forms received will be logged by the centre and acknowledged within four calendar days

### How a formal complaint is investigated

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

### Appeals

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

- ▶ Any appeal must be submitted in writing by again completing a **complaints and appeals form**
- ▶ Forms received will be logged by the centre and acknowledged within four calendar days
- ▶ The appeal will be referred to the Chair of Governors for consideration
- ▶ The Chair of Governors will inform the appellant of the final conclusion in due course

## Complaints and appeals form

FOR CENTRE USE ONLY

Date received

Reference No.

Please tick box to indicate the nature of your complaint/appeal

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

**Name of complainant/appellant**

**Email address & phone**

**Candidate name** if different to  
complainant/appellant

Please state the grounds for your complaint/appeal below

If your complaint is lengthy please write as bullet points; please keep to the point and include relevant detail such as dates, names etc. and provide any evidence you may have to support what you say.

Your appeal should identify the centre's failure to follow procedures as set out in the relevant policy, and/or issues in teaching and learning which have impacted the candidate.

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

Detail any steps you have already taken to resolve the issue(s) and what you would consider to be a good resolution to the issue(s)

Complainant/appellant signature:

Date of signature:

This form must be completed in full; an incomplete form will be returned to the complainant/appellant

## Appendix I - Emergency evacuation policy

- An evacuation is mandatory if the bell rings continuously. The only exception is at 12:30 every Monday, when the system is briefly tested.
- Invigilators will instruct candidates to stop writing, make a note of the time the exam was stopped, pick up the Seating Plan and laminated room card; instruct candidates to leave all papers, scripts and belongings in the room; direct candidates to leave the room calmly and in silence, maintaining one metre separation.
- Once a public exam has started, use the muster points shown below.
- Maintain separation between candidates from different rooms using the laminated room cards, and attempt to reflect the room seating plan.
- When all candidates are gathered outside, do a headcount and compare with the count of students marked present on the seating plan. If the count does not tally, determine who is missing. Report outcomes to designated SLT.
- For internal exams or for a public exam that has not yet started, instruct students to report to the usual gathering place on the tennis courts. Invigilators should report to the staff gathering point on the tennis courts and report to the exams manager.
- Remember – health and safety is paramount.
- Await SLT instructions regarding re-entry to the exam room.

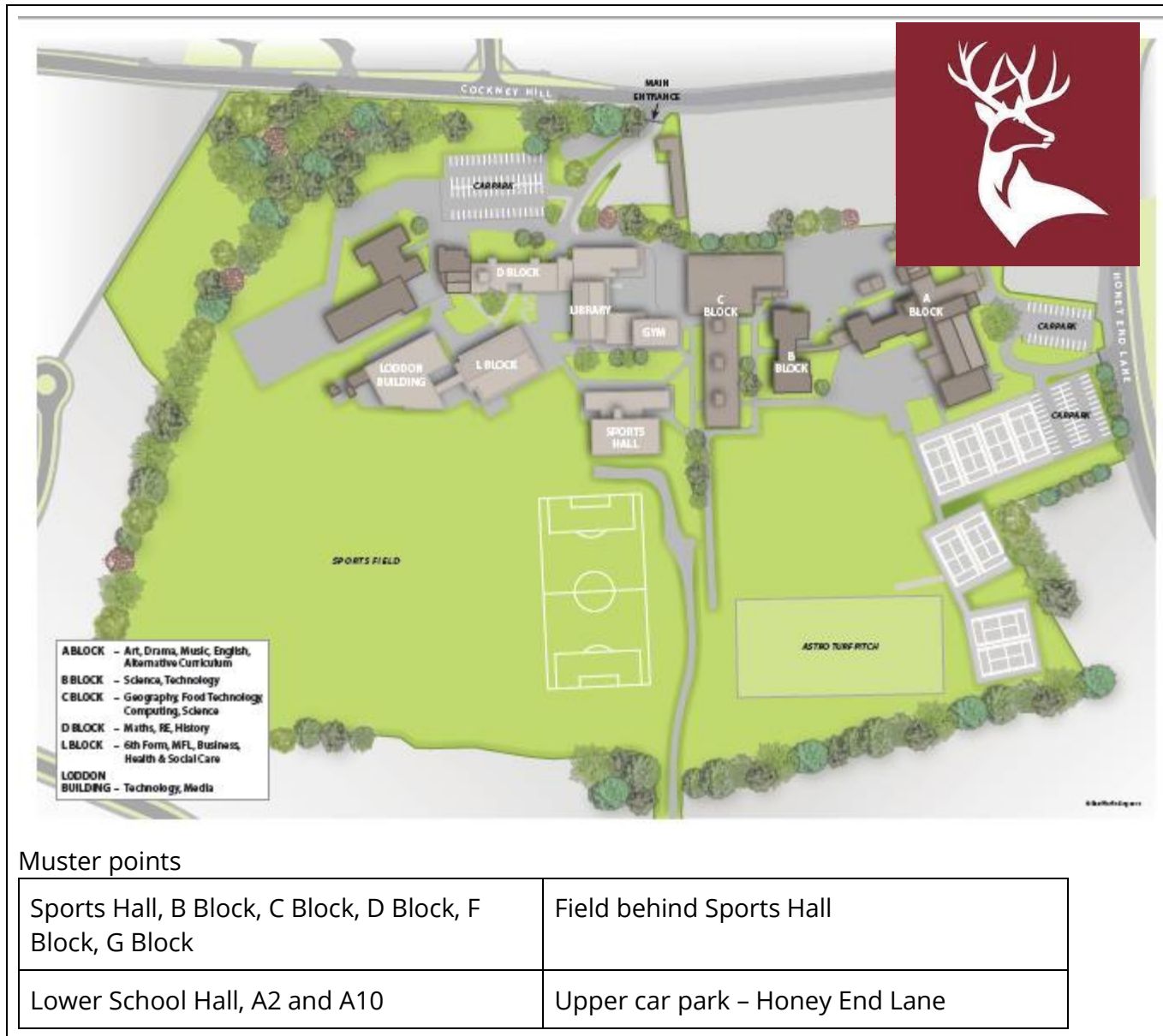
### Sports Hall

- The fire bell in the storage alcove will sound, making oral communication very difficult.
- Invigilators closest to the two emergency exits should open them immediately.
- Invigilators should move from the hall to the muster point as students leave.

### Lower School Hall

- The preferred exit is via the main doors at the back of the hall.
- A key is provided to open the right-hand extra external door.
- Invigilator should open rear doors and unlock extra external door.
- Alternative exit is via the stage.
- A key to the tennis court is provided to aid liaison with SLT.





## Appendix J - Exam lockdown policy

A lockdown is signalled by the bell ringing intermittently for more than the five rings used to signal lesson changeover. A text will be sent to Leadership and the Exams Manager mobiles with the words **PARTIAL LOCKDOWN** or **FULL LOCKDOWN** only. If exams are in progress, the Exams Officer will forward the text to invigilators via mobile.

### Before an examination

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

- „ A member of SLT or exams office will be present around main exam room
- „ Candidates will be instructed to enter the exam room immediately
- „ Candidates will be instructed to remain silent, hide under exam desks or sit against a wall/around a corner but not near the door
- „ Where safe/possible, the SLT member will communicate (via mobile phone/walkie talkie) the situation to the Exams Officer (ensuring that all mobile phones/walkie talkies are on 'silent' mode)
- „ The Exams Officer will collate the information from all exam rooms and forward this to the head of centre immediately
- „ Invigilators will
  - „ lock all windows and close all curtains/blinds
  - „ switch off all lights
  - „ lock all doors and/or use tables, or any other furniture, to barricade the entrance to the examination room
  - „ take an attendance register/head count if possible
  - „ (if the threat is a chemical or toxic release) instruct candidates to cover their nose and mouth (their own clothing can be used) and attempt to use anything to hand to seal up cracks around doors and any vents into the room

### During an examination

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

- „ Invigilators will:
  - „ tell candidates to stop writing immediately and turn their papers over.
  - „ collect the attendance register
  - „ make a note of the time when the examination was suspended
  - „ instruct candidates to remain silent, leave all examination materials on their desks and hide under exam desk

- „ where safe/possible check their mobile phone for a text message from the Exams Officer and communicate (via mobile phone) the situation to the Exams Officer (ensuring that all mobile phones are on 'silent' mode).
- „ lock all windows and close all curtains/blinds
- „ switch off all lights
- „ lock all doors and/or use tables, or any other furniture, to barricade the entrance to the examination room
- „ (if the threat is a chemical or toxic release) instruct candidates to cover their nose and mouth (their own clothing can be used) and attempt to use anything to hand to seal up cracks around doors and any vents into the room
- „ Where safe/possible, the Exams Officer will collate the information from all exam rooms and forward this to the head of centre immediately
- „ If required, where safe/possible, and following centre policy, the Exams Officer (or invigilators in the absence of the Exams Officer) will initiate the emergency evacuation procedure
- „ The Exams Officer will collect all examination papers and materials for safe/secure storage following advice from the appropriate awarding bodies

### **After an examination**

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

- „ Invigilators will:
  - „ stop dismissing candidates from the exam room
  - „ instruct candidates who have left the room to re-enter the exam room
  - „ instruct candidates to remain silent and hide under examination tables
  - „ where safe/possible, communicate (via mobile phone/walkie talkie) the situation to the Exams Officer (ensuring that all mobile phones are on 'silent' mode).
  - „ lock all windows and close all curtains/blinds
  - „ switch off all lights
  - „ lock all doors and/or use tables, or any other furniture, to barricade the entrance to the exam room
  - „ (if the threat is a chemical or toxic release) instruct candidates to cover their nose and mouth (their own clothing can be used) and attempt to use anything to hand to seal up cracks around doors and any vents into the room
- „ Where safe/possible, the Exams Officer will collate the information from all exam rooms and forward this to the head of centre immediately

### **Ending a lockdown**

- „ The lockdown will be ended by either
  - „ the sound of a defined alarm or
  - „ the identification/authorisation of Emergency Service officers/SLT/head of centre entering each exam room
- „ Invigilators will undertake a head count/register and confirm attendance with the Exams Officer/SLT
- „ Where applicable and if advised to do so by SLT/ head of centre, and following JCQ guidelines, if there is sufficient time remaining, candidates may restart their examination
- „ Invigilators will then:
  - „ ask candidates to return to their desks, remind them they are under exam conditions and allow a settling down period
  - „ recalculate the revised finish time(s) to allow for the full exam time
  - „ tell the candidates to turn their papers over and re-start their exam
  - „ amend the revised finish time(s) on display to candidates
  - „ note how long the lockdown lasted on the exam room incident log (to later inform a report to the awarding bodies and where relevant, any centre-wide lockdown recording form/log)
- „ The Exams Officer will
  - „ provide a report of the incident for awarding bodies (via the special consideration process or as advised by awarding bodies)
  - „ safely/securely store all collected exam papers and materials pending awarding body advice/guidance
- „ Where applicable/possible/available, SLT/Exams Officer will
  - „ negotiate any alternative exam sittings with the awarding bodies
  - „ offer, arrange and provide support services to staff and candidates
- „ At the earliest opportunity, SLT/head of centre will prepare a communication to parents/carers advising them of events (including relevant actions and outcomes)
- „ Where possible, exams staff and candidates will be invited to attend an assembly lead by the head of centre to discuss the lockdown and offer ongoing support
  - „ If this is not possible, communications will be provided via a centre text/email/newsletter and information uploaded to the centre website

## Appendix K - Exams Conflict of Interest Policy

### Key Purpose of the policy

The conflict of interest process is designed to protect the integrity of the exams system and also helps to ensure that staff members at schools and colleges are protected if there is an allegation of malpractice due to a perceived, or real, conflict.

### Before any exam season

Any member of staff working in the school should contact the exams manager if: -

- „ exams office staff have members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. children) being entered for examinations and assessments either at the school/college itself or other centre
- „ they are also employed as an exam marker and are marking the work of any students in the school
- „ school/college staff are taking qualifications at their centre which do not include internally assessed components/units
- „ school/college staff are taking qualifications at other centres.

Entering members of staff for qualifications at their own school/college should be a last resort, when the individual has been unable to find an alternative. In this case the Head of Centre must ensure that:

- „ the usual protocols are in place to prevent the staff member from accessing exam materials prior to the exam, and that other staff understand the importance of maintaining the integrity and confidentiality of the exam materials
- „ the member of staff does not receive any preferential treatment.

### Keeping records

The Head of Centre is responsible for ensuring that their school/college maintains clear records of all instances where:

- „ exams office staff have members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (eg children) being entered for examinations and assessments either at the school/college itself or other centre
- „ school/college staff are taking qualifications at their centre which do not include internally assessed components/units
- „ school/college staff are taking qualifications at other centres.

These records must:

- „ include details of the measures which have been put in place to mitigate any potential risk to the integrity of the affected qualifications
- „ be available for inspection by a visiting JCQ Centre Inspector and/or awarding body staff
- „ be available if requested in the event of concerns being reported to an awarding body
- „ be kept until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed (whichever is later).

## „ **Appendix L – Overnight Supervision Arrangements Policy**

The purpose of this policy is to:

- ▶ Identify the arrangements regarding students with multiple exams on the same day

King’s Academy Prospect work closely with students who have exam clashes to ensure there is enough time in the day to finish all assessments. We do not currently offer the possibility of overnight supervision as all exams are completed on the same day with supervision throughout.

## „ Appendix M – Leaving the Exam Room Policy

The purpose of this policy is to:

- ▶ identify the options available to students who leave the exam room

A student may choose to leave the exam room during an exam for a multitude of reasons. The scenarios and consequences are as follows: -

### Behaviour

If a student leaves the exam room through behavioural reasons they will only be allowed back into the exam room if they have been in sight of a member of staff at all times. Any loss of contact will be dealt as malpractice and result in the student being denied access back into the original or a subsequent exam room.

### Medical

If a student is unwell, they have the opportunity to leave temporarily whilst being supervised at all times with the possibility of returning to the original or a new exam room. If the student is unable to proceed or is out of action for too long, special consideration will be applied for by the Exams Manager.

### Toilet break

A student may leave to go to the toilet any time between one hour after the start time and 30 minutes before the scheduled end time. They must be supervised at all times between the exam venue and the toilets. This loss of time is not then added onto the student's exam time.

### Misc.

If a student chooses to leave the venue for any other reason e.g. a driving test then the student is not allowed back into the exam venue from the moment they are unsupervised.



## „ Appendix N – Cyber Security Policy

What is the Policy for:-

KGA Prospect is obliged to ensure that all its Information Technology (IT) Systems are secure and not subject to improper use. This policy describes the responsibilities for all users, including those of privately owned devices that connect to school systems. The purpose of this policy is to protect the school's devices and data from cyber-attack. Cyber-attacks can lead to systems becoming unavailable, data loss, financial loss and reputational damage. Implementation of this policy reduces the likelihood of these effects.

This policy should be read in conjunction with our

- Password Policy
- Combined Data Privacy Policy
- E-Safety Policy

Who is the Policy for

This policy is for the attention of anyone who is employed by, provides a service to, or volunteers to work at Bright Futures and uses its IT systems either on school owned device or a personally owned device. This includes governors and trustees.

This policy is split into two sections. Section 1 is for all users and provides a non-technical explanation of the key elements of cyber security.

Section 2 of the policy covers the same key elements in more technical detail and is intended for KGA Prospect IT staff and workers.

### **SECTION 1:**

Cyber Security for all users

#### Firewalls

A firewall is a device or software program that is located between your computer and the internet. It manages data flowing to and from your device, allowing legitimate connections and blocking malicious ones.

If you are using a KGA Prospect computer you are always protected by a firewall that is managed by the IT Department.

If you suspect your firewall is not working or incorrectly blocking a service, please contact the IT Department for help.

### Antivirus software Protection

Antivirus software when installed on a computer, scans for malicious software such as computer viruses, malware or ransomware. This protects your computer and data from malicious damage or theft.

If you are using a KGA Prospect computer it will already have Antivirus installed, this is managed by the IT department.

It is important that Antivirus software is up to date so that it can protect against the very latest threats. If you suspect the protection on a device is not up to date please contact the IT department.

If you encounter a message that a device is infected with a virus or you suspect it is, turn it off and contact the IT department immediately.

### Updates and Patches

Security vulnerabilities that enable malicious activity on computer systems are discovered frequently, software companies release security updates and patches on a regular basis. These must be installed to ensure devices have the latest protection. Out of date software increases vulnerability to cyber threats. The IT Department ensure that all KGA Prospect devices are updated in a timely manner

### Remote Working

Remote working accessing Trust systems from external locations. This could be from home, another school or a public place. If you are connecting to a network that is not managed by the IT department you should be aware that it could be less secure.

Devices supplied by KGA Prospect will still be protected by a firewall and antivirus software while working remotely.

You must only work remotely through the secure methods provided by the IT department.

You must also only work on data where it is stored, on secure KGA Prospect systems rather than downloading it to your device for editing. You should be aware of your surroundings when working on sensitive data or entering passwords and beware of 'shoulder surfers'

### Bring Your Own Device

Some users prefer to use their own IT equipment for either working remotely or bringing your own device into work. This is permitted but does require you to take some steps to protect your device and school systems as security precautions normally managed by the IT department are the responsibility of the device owner.

You must ensure you have a firewall enabled to protect against unauthorized access to you device and systems to which it is connected. Most computer operating systems include a firewall as do many internet routers supplied by ISPs. A number of third-party options exist.

You must ensure you have an up to date antivirus software installed. Some operating systems have one built in, there are several free, third-party options available as well.

Your device must have up to date software that is still under support and receiving security updates. The latest updates and patches must be installed.

If you require advice on enabling a firewall or antivirus protection or installing security updates the IT department can help with this.

If you share a device with other people such as family members you must take steps to ensure they do not have access to school data.

You should only access school data where it is stored, you should ensure you work with data directly on a secure platform and do not download it to your device.

Personal devices cannot be connected to the school network. The IT department can assist you to get connected to the correct network.

### Passwords

Passwords are an effective security countermeasure if they are strong and kept confidential.

Passwords are a means of validating a user's identity to access a computer resource, to ensure the security of that resource and to maintain the confidentiality of information held on that resource.

In most cases systems will have settings to ensure you choose a password that is secure. When selecting a password It is important that you choose a password that is hard to guess and easy to remember, you should avoid using the same or variations of the same password.

### Cyber Security Incidents

A cyber security incident is a breach of a computer system, there are a number of forms of cyber incident, it could be a virus infection, someone having access to data that they should not be able to access, a phishing attempt or a complex cyber-attack that causes a system to be unavailable.

All users have a responsibility to report cyber incidents. If you become aware of a cyber incident or a situation that you suspect could be an incident you should report this immediately to Mr A Smith.

## **SECTION 2:**

### Cyber Security for IT technical staff

Content

Subject:
Firewalls
Endpoint security
Patch and Vulnerability Management
Remote working
Using your own device
Passwords
Cyber security incident management

#### Firewalls

Firewalls are implemented for the purpose of securing the school's IT infrastructure and devices from each other as well as external threats.

The term Firewalls may refer to both physical hardware firewalls and virtual software based firewalls. Firewalls work by being situated between networks where all traffic leaving and entering the protected network must flow through the firewall.

The firewall will inspect the traffic and use configured rules and policies to make decisions as to whether traffic is allowed or blocked. Networks can be considered Trusted or Untrusted.

Trusted networks are networks that are owned and managed by the school.

Untrusted networks are networks that are not owned or managed by the school such as a user's home network, a network in a partner organisation or public network.

- All points where trusted networks connect to the untrusted networks must be protected by a firewall.
- All firewalls must have intrusion prevention (IPS) enabled for additional security.
- Administrative access to firewalls must be protected with a form of multi-factor authentication.
- All firewalls that are positioned between trusted networks and untrusted networks must be configured so that the IT department is alerted to any configuration changes.
- All trust owned computers must be protected with a software firewall when connected to trusted and untrusted networks.
- Firewall configurations will adopt a 'least privilege' approach and should limit traffic to only that which is needed.
- Firewall rules must be documented in a secure central location. Configurations will be periodically reviewed to ensure they meet the Trusts requirements and current security best practice.
- Firewall logs will be actively monitored and any breach or suspicious behavior will be treated as a cyber security incident.
- Changes to firewall rules must be requested via the IT Service Desk and subjected to change management procedures prior to being implemented.

## Endpoint Security

Endpoints are the devices that connect to the school's networks such as desktops, laptops or servers, these may be school owned devices or personal devices. These devices are all potential entry points for cyber-attacks, vulnerabilities in endpoints represent a risk to school's systems.

The term malware is used to describe different types of malicious software including, viruses, ransomware, trojans, mail bombs and root kits. The effects of this software can be damage to or theft of data, make IT systems unavailable and precipitate further cyber-attacks both inside and outside the school.

There are many sources of malicious software including websites, email, portable storage devices or infected personal devices that connect to school networks.

The impact of malware infection is a serious risk. Access to systems and data may be disrupted for extended periods during an infection while the infection is cleaned and data restored. There may be financial impact and reputational damage due the infection in relation to data breaches.

- All school devices must have an anti-malware product installed that is up to date and continuously monitors for malware. This product must report back to a management console where the IT department can monitor it.
- All school owned devices will be supplied with an appropriate anti-malware product that will be maintained by the IT department.
- All devices connected to the school network must run a supported version of their operating system and installed applications with the latest available patches applied.
- Anti-Malware software must be configured for on-access scanning which must include downloading or opening of files and folder and web page scanning.
- Anti-Malware must be configured to run regular system scans at least once daily.
- Email attachments must be scanned for malware prior to delivery.
- Users should consider the authenticity of email attachments and internet file downloads prior to opening them
- Users must be prevented from accessing known malicious websites using a content filtering system.
- Users must not disable anti-malware software, any on screen messages suggesting that antimalware is disabled or not functioning should be reported to the IT department.
- Anti-malware must not be configured to bypass or exclude any files or folders, in specific cases where this is necessary such configuration must be carried out by the IT Department and would be subject to change management procedures.
- Users experiencing difficulty with anti-malware installed on school owned devices should seek technical support from the IT department.
- The IT department reserves the right to disconnect any device from school systems where an infection is found or suspected. The device will remain disconnected until the infection has been removed.
- If you suspect a device is infected with malware, report the incident to the IT department as soon as possible.

## Patch and Vulnerability Management

In order to protect the school's IT systems from vulnerabilities and ensure ongoing and consistent operation it is important to adopt a managed approach to regular installation of patches, updates and firmware to devices, operating systems and applications. Regular updates are critical to maintaining a secure and operational environment. All devices connected to school networks require regular patching.

Vendors rate patches on a scale dependent on the severity of the vulnerability or issue that the patch addresses. This may be vendor specific or use a standardized model such as the Common Vulnerability Scoring System (CVSS).

The school uses a Vulnerability management tool to scan a sample of devices for known vulnerabilities that require remediation. Vulnerabilities found will be added to the vulnerability register and action will be taken to remediate the vulnerability.

The school uses a third party patch management solution which is part of its Remote Management and Monitoring Software (RMM). This software works by installing a software 'agent' onto a device, this agent then communicates with the RMM management tool. This product manages Windows and Apple MacOS endpoints.

- The IT Department will ensure they receive regular notifications from software vendors when patches become available where possible. Weekly automatic update reports from the RMM will also be used to identify required patches. Where automatic updates are not available manual checks will be made on a regular schedule.

- Schools may use a Windows Server Update Services (WSUS) server to centrally hold copies of patches to alleviate impact on internet connections during patch downloads. These servers must only be acting as patch repositories and not be configured to manage patches. This aspect is controlled by the RMM tool.

- The RMM agent must be installed on all Trust owned endpoint devices. Users must not be able to disable or remove the RMM agent.

- All updates and patches will be tested prior to deployment on test endpoints. Where there is no suitable test endpoint available, patches will be applied to a non-critical production device which will then be monitored prior to the wider release of the patch.

- Patches that are rated as critical or high risk by the vendor must be deployed within 14 days of release.

- Patches that are rated as medium, low or carry no severity must be deployed within 28 days



of release.

In the absence of a vendor rating category the table below can be used to assess and categorise the rating of any identified vulnerability.

Rating	CVSS Score
None	0.0
Low	0.1-3.9
Medium	4.0-6.9
High	7.0-8.9
Critical	9.0-10.0

- Devices that are not compatible with the RMM agent must be documented and checked on a weekly basis, with patches applied to the timescale above.
- All mobile endpoints such as iPads and Android tablets owned by the school should be joined to a Mobile Device Management Platform (MDM) that has the capability to detect and deploy patches.
- Patches may only be downloaded from the authorised vendor and not from third-party sources. • Software that has fallen out of scope for vendor patches and is therefore no longer supported must be removed or updated to a version that is supported.
- Hardware that is only able to run unsupported operating systems and software must be removed from school systems and disposed or upgraded.

### Remote Working

Remote working is the process of accessing a school's IT systems via any network that is not owned and managed by the Trust. This may include working from home, visiting the offices of other schools or partner organisations and working from public networks such as conference centres, hotels or cafes.

Remote working poses additional risks to cyber security. Accessing systems via untrusted networks means that users can be more vulnerable to cyber-attacks. Users must at all times consider the additional risk

- When working remotely users' devices must be protected by a firewall. Devices supplied by the school for remote working will be issued with a software firewall installed.
- Users accessing school data via a personal device must ensure they supply their own firewall.
- Remote access to school's systems must only be carried out via a secure and encrypted connection. The IT Department will ensure that all public facing systems can only be accessed in this manner.
- All devices used for remote working either school owned or personal devices must have antimalware software installed and adhere to the requirements of the Antivirus Security section of this policy.
- Users should be aware of their surroundings and protect yourself against "shoulder surfing" and take extra care when entering passwords or viewing sensitive documents. This is of particular importance when working in public areas. Client VPN (Virtual Private Network) is the process of using a establishing, via software a secure private connection to a remote system. A client VPN places the remote device as if it were part of the trusted network. This poses additional security issues.
- Remote access to internal systems must only be achieved through either a remote desktop solution in or a client VPN.
- Client VPN software must be kept up to date and have all its latest security patches installed.
- Access to systems via a client VPN is only available via school owned devices. Personally owned devices are not permitted to use client VPN.
- Only the IT Department may set up VPN access to internal systems.
- Only named individual users should be granted VPN access to trust systems. These users should be recorded centrally along with the system to which they have access.
- VPN must be used in conjunction with network segmentation. VPN clients must be segmented from the rest of the network and only have access to the network segment where the services they require are located.

## Bring Your Own Device (BYOD)

Whilst the trust does not require staff or students to use their own personal devices for work purposes it is recognized that it is often convenient and such use is permitted subject to the following requirements and guidelines.

- BYOD devices must connect to systems via a dedicated network either via a wireless network specifically configured for BYOD devices or a dedicated ethernet socket.
- BYOD devices must egress onto a dedicated network segment and not become part of the school's network.
- Users are not permitted to remove ethernet cables from school owned devices in order to gain access to the network.
- The IT Department must ensure that unused ethernet sockets are either unpatched or place the device in a quarantined network with no access to any services.
- Where schools wish to permit BYOD devices access to resources on the trusted network this must be requested via the Digital IT Manager and subjected to risk assessment and change management procedures. A secure solution must be adopted to protect elements of the trusted network from risks associated with BYOD devices. Users must at all times give consideration to the risks of using personal devices to access school information, in particular information that is classified as sensitive or confidential.
- The device must run a current version of its operating system. A current version is defined to be one for which security updates continue to be produced and made available to the device.
- Users should work on data directly at the source, for example documents should be opened from and saved directly back. Data should not be downloaded to the local disk of the device.
- Where downloading of data to a device is unavoidable, devices must be encrypted. (Some older devices are not capable of encryption and these should be replaced at the earliest opportunity.) Data considered as personal should not be downloaded to personal devices.
- A passcode/password must be set for all accounts which give access to the device.
- Users working remotely to access school systems on a personal device must ensure they have a firewall in place. See the remote working section of this policy for further guidance
- Devices must have an anti-malware product installed that is up to date and continuously monitors for malware. See the Anti virus Protection section of this policy for further guidance. • A password protected screen saver/screen lock must be configured.

- The device must be configured to “autolock” after a period of inactivity (no more than 15 minutes).

- Devices must remain up to date with security patches both for the device’s operating system

and its applications.

- The device security must not be compromised (e.g. by “jail breaking” or “rooting” a smartphone).

- All devices must be disposed of securely.

- Mobile devices must be enrolled in the school MDM to enable remote wipe of school data from the device.

- The loss or theft of a device containing school Data must be reported to the IT Department.

- Any use of personal devices by others (family or friends) must be controlled in such a way as to ensure that these others do not have access to school data.

In addition to the above requirements, the following recommendations will help further reduce risk:

- Consider configuring the device to “auto-wipe” to protect against brute force password attacks where this facility is available.
- Consider implementing remote lock/erase/locate features where these facilities are available.
- Do not leave mobile devices unattended where there is a significant risk of theft.
- Users should be aware of their surroundings and protect yourself against “shoulder surfing” and take extra care when entering passwords or viewing sensitive documents. This is of particular importance when working in public areas.
- Be mindful of the risks of using open (unsecured) wireless networks. Consider configuring your device not to connect automatically to unknown networks.
- If a personally owned device needs to be repaired, ensure that the company you use is subject to a contractual agreement which guarantees the secure handling of any data stored on the device.

### Passwords

Passwords are an effective security countermeasure if they are strong and kept confidential.

Passwords are a means of validating a user's identity to access a computer resource, to ensure the security of that resource and to maintain the confidentiality of information held on that resource.

For full guidance on passwords see the KGA Prospect Password Policy

### Cyber Security Incident Management

#### Definition of a Cyber Security Incident

A cyber Security Incident is a breach of a system's security in order to affect its integrity or availability, the unauthorised access to or attempted use of a system; or a breach of school's IT Policies or procedures. Examples include, but are not limited to:

- Loss of data or a device where such data is stored for example a laptop.
- Theft of a Trust owned device or personal device used to access Trust data.
- Unauthorised access to data.
- Breach of account credentials such as in a phishing attack.
- Unauthorised disclosure of information, such as email sent to an incorrect recipient.
- Malware infection.
- Disruption to systems caused by a cyber attack such as a Denial of Service.

Responsibilities It is the responsibility of all users of school IT systems to report any potential Cyber Security Incident. Reporting and Analysing an Incident All reports of a potential Cyber Security Incident should be made to the Digital IT Manager at the earliest opportunity by telephone or email.

Users should include as much detail as possible, including:

- Date, time and location of the incident.
- Which systems and data are affected.
- What has happened?
- How was the incident discovered?
- What containment or recovery has already taken place.

The incident will be logged in the Cyber Security Incident Log and a lead investigator will be appointed.

The lead investigator along with the IT Department will analyse the incident, categorise it and assign it a severity using the matrixes in this policy.

The lead investigator will determine the extent of the incident. Where necessary the lead investigator will escalate the incident for appropriate oversight from senior management as well as liaising with other key stakeholders such as finance, HR or safeguarding where required.



In the event an incident requires reporting to a third party for example if a data breach is reportable under GDPR this will be done at this stage in line with any relevant Trust policies such as the Combined Data Privacy Policy.

### Containment and Mitigation

The lead investigator along with relevant team members will determine the appropriate course of action required to limit the impact of the incident. This may involve action such as isolating specific networks or shutting down critical equipment.

None technical steps may need to be taken at this stage such liaising with parents, partner organizations or the media.

Care must be taken in this stage of the incident to consider the impact of any actions, this is particularly relevant in live targeted attack scenarios where the responses of the attacker to any reactions from the school may escalate the incident.

Action will be take at this point to completely remove the cause of the incident and confirm that this has been successful.

### Recovery

Systems will be returned to their normal state, any lost or damaged data will be restored from backups.

### Post Incident Review

Once the incident has been fully recovered the incident will be reviewed. The purpose of this review is to establish what lessons may be learned from the incident, and what improvements can be made.

The review should consider:

- Was the incident response effective and successful?
- Were there elements that could have been handled more effectively?
- What information was not available in the response that would have been useful?

### Cyber Security Incident Severity Matrix

Severity	Criteria
----------	----------

Critical	<ul style="list-style-type: none"> <li>• Over 80% of staff and students (or several critical staff/teams) unable to work</li> <li>• Critical systems offline with no known resolution</li> <li>• High risk to / definite breach of sensitive client or personal data</li> <li>• Severe reputational damage - likely to impact business long term</li> </ul>
High	<ul style="list-style-type: none"> <li>• 50% of staff and students unable to work</li> <li>• Risk of breach of personal or sensitive data</li> <li>• Non critical systems affected, or critical systems affected with known (quick) resolution</li> <li>• Potential serious reputational damage</li> </ul>
Medium	<ul style="list-style-type: none"> <li>• 20% of staff and students unable to work</li> <li>• Possible breach of small amounts of non-sensitive data</li> <li>• Low risk to reputation</li> <li>• Small number of non-critical systems affected with known resolutions</li> </ul>
Low	<ul style="list-style-type: none"> <li>• Minimal, if any, impact</li> <li>• One or two non-sensitive / non-critical devices affected</li> <li>• &lt; 10% of non critical users affected temporarily (short term)</li> </ul>

Cyber Security Incident Categories

- Malware: Infection on the network, including ransomware
- Denial of Service: Typically a flood of traffic taking down a website, can apply to phone lines, other web facing systems, and in some cases internal systems.
- Phishing: Emails attempting to convince someone to trust a link/attachment.
- Unauthorised Access: Access to systems, accounts, data by an unauthorised person (internal or external)
- Insider: Malicious or accidental action by an employee or student causing a security incident.
- Data breach: Lost/stolen devices or documents, unauthorised access or extraction of data from systems (usually linked with some of the above).
- Targeted attack: An attack specifically targeted at the Trust or School - usually by a sophisticated attacker (often encompassing several of the above categories)

## National Cyber Security

### Practical Tips

The National Cyber Security Centre has issues practical tips for everyone working in education. Each school needs to look after its data as well as manage the risks of using networked computers and servers.

Cyber security is about protecting the devices we use in school and the services we access on line, both at home and work, from theft or damage. It is also about preventing unauthorised access to the vast amounts of personal information we store on the devices and on line.

Cyber Security is important to schools because a number of schools have been seriously impacted by cyber incidents: perhaps a phishing attempt to steal money and passwords, or a ransomware attack that encrypts files preventing access. Many cyber incidents are untargeted and can affect any school that does not have basic levels of protection. As a school we hold lots of sensitive information, for example staff and parents bank details, medical information about students and safeguarding records. All of this has to be kept safe and confidential.

Cyber criminals understand that a school's information is sufficiently important that they might be prepared to pay a ransom to get it back. Potentially Cyberattacks could be undertaken by the following:

- Online Criminals – Good at identifying what can be monetised, for example stealing and selling sensitive data, or holding systems and information to ransom.
- Hackers –Individuals with varying levels of expertise, often operating in an untargeted way, to disrupt just for the sake of it.
- Malicious Insiders – use the access they have to conduct malicious activity.
- Honest mistakes – sometimes staff will just make an honest mistake.
- Pupils –Students enjoy the challenge of putting their IT skills to the test.

### Summary

Cybercriminals use a variety of methods based on their motive to attack school systems. Schools should have robust IT infrastructure and data protection policies to deter possible cyber-attacks. Following good data protection practices and methods will ensure if ever there is an attempted cyber-attack, the school's assets and intellectual property are secure. It will also ensure the downtime is minimal and the systems are restored at the earliest.

As well as taking the appropriate steps to reduce the impact of any potential Cyber Security attack all staff are asked to sign an E- safety policy.

This tells staff what is acceptable in the use technology and communications (including social media).The school has disciplinary measures in place, should staff not adhere to the guidance.

### Password Policy

#### Powerful Passwords

When implemented correctly, passwords are a free, easy and effective way of helping to prevent unauthorised users accessing devices or networks in school.

Here's how to use them well:

- Have a different password for each account / service. If this isn't possible then make sure your most sensitive accounts (e.g. access to student records) have a unique password. 8

- If you must write down your passwords, store them securely and away from your device.
- On the advice of the IT team, two factor authentication should be considered in specific circumstances. This gives a way of double-checking you really are who you are claiming to be.
- Always lock your account when you step away or stop using your device, even if it's just for a minute. This applies in school or when working from home. A good way of creating a strong and memorable password is to use three random words.

Passwords should be easy for you to remember but hard for somebody else to guess.

We strongly recommend that you don't include the following :

- Partner's name
- Child's name
- Pet's name
- Place of birth
- Favourite holiday
- Something related to your favourite sports team
- A list of numbers (e.g. 123456) or words like 'password' or 'qwerty'.