

This policy was reviewed in: **October 2024**
This policy is due to be reviewed in: **October 2025**

Key staff involved in the policy

Role	Name(s)
Head of Centre	Helen Ness-Gifford, Headmistress
Examinations Officer	Shula Hodge
Senior Leader(s)	Caroline Derbyshire, Deputy Head Academic
Head of Individual Learning	Lisa Britnell

Table of Contents

.....	1
Key staff involved in the policy	1
The purpose of the policy	3
Roles and responsibilities overview	3
Head of Centre responsibilities	3
Resilience and contingency arrangements	4
Cyber security	5
Recruitment, selection, training and support	5
External and internal governance arrangements	6
Escalation Process (Appendix A)	6
Delivery of qualifications	6
Public liability	6
Conflicts of interest	6
Controlled assessments, coursework and non-examination assessments	6
Security of assessment materials	7
National Centre Number Register and other information requirements	7
Centre inspections	8
Access arrangements and reasonable adjustments	8
Access Arrangements Policy (Separate policy)	9
Malpractice	9
Personal data	10
The Examination Cycle	12
Planning: roles and responsibilities	12

Secure materials	12
The secure room and the secure storage facility	12
Information sharing	12
Information gathering	13
Access arrangements	13
Alternative Rooming Arrangements Policy (Exams)	14
Internal assessment and endorsements	14
Senior Leaders	14
Teaching staff	15
Examinations Officer	15
Invigilation	15
Entries: roles and responsibilities	16
Estimated entries	16
Final entries	16
Entry fees	17
Late entries	17
Re-sit entries	17
Private candidates	17
Candidate statements of entry	17
Pre-exams: roles and responsibilities	17
Exam time: roles and responsibilities	23
Leaving the Examination Room Policy	25
Results and post-results: roles and responsibilities	27
Exams review: roles and responsibilities	29
Retention of records: roles and responsibilities	30
Appendix A Escalation Process	31
Appendix B Examinations Child Protection and Safeguarding Policy	34
Staff	35
Appendix C Conflicts of interest Policy	38
Appendix D Whistleblowing policy	39
Appendix E Malpractice Policy (Examinations)	42

The purpose of the policy

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

This policy will ensure that:

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

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

This policy will be communicated to all relevant centre staff.

Roles and responsibilities overview

(GR 2)

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

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

The Head of Centre must not normally 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 Senior Leadership Team 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.

Head of Centre responsibilities

(GR 1)

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

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

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

(ICE Introduction) **It is the responsibility of the Head of Centre to ensure that all staff comply with the instructions in the instructions for conducting examinations document.** Failure to do so may constitute malpractice as defined in the JCQ document Suspected Malpractice: Policies and Procedures, 1 September 2024 to 31 August 2025.

(GR 5.1)

The Head of Centre must ensure:

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

Head of Centre

- understands the contents, refers to and directs relevant centre staff to annually updated JCQ documents including:
 - General Regulations for Approved Centres (GR)
 - Instructions for conducting examinations (ICE)
 - Access Arrangements and Reasonable Adjustments (AARA)
 - Suspected Malpractice - Policies and Procedures (SMPP)
 - Instructions for conducting coursework (ICC)
 - Instructions for conducting non-examination assessments (NEA)
 - 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 (unless exclusions apply) 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 penalties (see **National Centre Number Register and other information requirements** section)
- ensures that the centre promptly reports any incidents to the relevant awarding body/bodies which might compromise any aspect of assessment delivery, such as a cyber-attack
- ensures members of centre staff do not forward emails and letters from awarding body or JCQ personnel without prior consent to third parties or upload such correspondence onto social media sites and applications (including third party applications)
- ensures members of centre staff do not advise parents/candidates to contact awarding bodies/JCQ directly nor provide them with the names, addresses and contact details (including email addresses) of examiners, moderators, external verifiers and any other awarding body examining/assessment personnel/JCQ personnel

Resilience and contingency arrangements

(GR 3.16-19)

The centre must ensure they are familiar with the regulators' guidance on ensuring resilience in the qualifications system. Centres should consider putting in place a process for gathering evidence of candidate performance in line with the published guidance.

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

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

The plan must cover the following scenarios:

- the Head of Centre, relevant senior leader(s) with oversight of examination and assessment administration, Head of Individual Learning, Examinations Officer or any other key staff essential to the examination process being absent at a critical stage of the examination cycle
- the potential impact of other events such as flooding which could lead to all or parts of the centre becoming unavailable
- potential issues with the centre's IT systems.

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

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

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

Cyber security

(GR 3.20-21)

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

- providing training for authorised staff on the importance of creating strong unique passwords and keeping all account details secret
- providing training for staff on awareness of all types of social engineering/ phishing attempts
- enabling additional security settings wherever possible
- updating any passwords that may have been exposed
- setting up secure account recovery options
- reviewing and managing connected applications
- monitoring accounts and regularly reviewing account access, including removing access when no longer required
- ensuring authorised members of staff securely access awarding bodies' online systems in line with awarding body regulations regarding cyber security and the JCQ document *Guidance for centres on cyber security*
- authorised staff will have access, where necessary, to a device which complies with awarding bodies' multi-factor authentication (MFA) requirements.
- reporting any actual or suspected compromise of an awarding body's online systems immediately to the relevant awarding body

Recruitment, selection, training and support

(GR 5.3)

- the centre 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
- ensures that teaching staff do not use artificial intelligence (AI) as the sole means of marking candidates' work
- enables the relevant senior leader(s), the Examinations Officer and the Head of Individual Learning to receive appropriate training and support in order to facilitate the effective delivery of

examinations and assessments within the centre, and ensure compliance with the published JCQ and awarding body regulations

- ensures that the Head of Individual Learning understands the JCQ document Access Arrangements and Reasonable Adjustments and is given sufficient time to manage the access arrangements process within the centre
- ensures that the Examinations Officer understands relevant awarding body and JCQ documentation and has sufficient time to perform their role
- ensures that any member(s) of the Senior Leadership Team who are responsible for examination administration familiarise themselves with relevant awarding body and JCQ documentation (This will ensure the Examinations Officer and the Head of Individual Learning are supported as well as ensuring effective centre decision making in line with the published regulations)
- ensures that teachers understand the relevant awarding body and JCQ documentation for the qualifications they are delivering to ensure they are delivered in line with the relevant regulations

External and internal governance arrangements

(GR 5.3)

- the centre has in place a written escalation process should the Head of Centre, or a member of the Senior Leadership Team with oversight of examination and assessment administration, be absent

Escalation Process (Appendix A)

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

Delivery of qualifications

(GR 5.3)

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

Public liability

(GR 5.3)

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

Conflicts of interest

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

Controlled assessments, coursework and non-examination assessments

(GR 5.3)

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

Security of assessment materials

(GR 5.3)

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

National Centre Number Register and other information requirements

(GR 5.3)

- provides contact details as follows:
 - a physical address to which all examination and assessment materials will be despatched. This must be the registered address of the centre
 - a landline telephone number – this must be the number of the main office/ switchboard of the centre
 - a contact email address for communications – this must be the email address of the person or team responsible for the administration of examinations (Personal email addresses such as ‘Yahoo’, ‘Hotmail’ and ‘Gmail’ are not acceptable)
 - Note: except for WJEC, if this is a shared email account it must not be used to access awarding body secure websites
 - the name of the Head of Centre and their email address
 - senior designated contact details (this might include a personal mobile number and/or email address). These must be the contact details of someone who can be reached in an emergency if the centre is closed over the summer and who can mobilise resources to respond to the issue
- responds to the National Centre Number Register annual update by the end of October every year
 - informs the National Centre Number Register Team immediately (email address – ncn@ocr.org.uk) if any changes occur after the National Centre Number Register annual update has taken place (This must be on centre headed stationery which can be sent as an email attachment including the signature of the Head of Centre)
 - informs the National Centre Number Register Team (email address – ncn@ocr.org.uk) of any changes to relevant contact details no later than 6 weeks prior to moving to a new address or re-locating of the secure storage facility (This must be on centre headed stationery which can be sent as an email attachment)
 - informs the National Centre Number Register Team immediately of any other changes in circumstances that could affect the centre’s status
 - responds, by completing the Head of Centre Declaration, to the National Centre Number Register request for confirmation that they are aware of and adhering to the latest versions of the JCQ regulations, and does so no later than the end of October every year
 - responds to any other reasonable requests made by the National Centre Number Register Team

- (GR 1.9) Understands that this responsibility for completing the Head of Centre declaration survey cannot be delegated to a member of the Senior Leadership Team or the Examinations Officer, and acknowledges that failure to respond to the NCNR annual update, and/or the Head of Centre's declaration, will result in:
 - the centre status being suspended
 - the centre not being able to submit examination entries
 - the centre not receiving or being able to access question papers
 - and ultimately, awarding bodies could withdraw their approval of the centre

Centre inspections

(GR 5.3)

- co-operates with the JCQ Centre Inspection Service, an awarding body or a regulatory authority when subject to an inspection, an investigation or an unannounced visit
- allows all venues used for examinations and assessments, paperwork and secure storage facilities to be open to inspection
- understands the JCQ Centre Inspector will identify themselves with a formal identity document and **must** be accompanied throughout their tour of the premises, including inspection of the centre's secure storage facility

Policies available for inspection

(GR 5.3)

- the centre has in place the following policies for inspection that will ~~must~~ be reviewed and updated annually:
 - a written child protection/safeguarding policy in place, including Disclosure and Barring Service (DBS) clearance, which satisfies current legislative requirements (Appendix B)
 - a written complaints policy (Separate policy)
 - a written conflicts of interest policy (Appendix C)
 - a written data protection policy (Separate policy)
 - a written equalities policy (Separate policy)
 - a written contingency plan which covers all aspects of examination/ assessment administration and delivery (Separate policy)
 - a written internal appeals procedure which must cover at least appeals regarding internal assessment decisions, access to post-result services and appeals, and centre decisions relating to access arrangements and special consideration (Separate policy)
 - a written malpractice policy which covers all qualifications delivered by the centre. The policy must detail how candidates are informed and advised to avoid committing malpractice in examinations/assessments, how suspected malpractice issues should be escalated within the centre and reported to the relevant awarding body. It must also acknowledge the use of AI (e.g. what AI is, when it may be used and how it should be acknowledged, the risks of using AI, what AI misuse is and how this will be treated as malpractice). Appendix E
 - a written policy regarding the management of non-examination assessments including controlled assessments and coursework. (For CCEA GCSE centres this would be a written controlled assessments policy) (Separate policy)
 - a written whistleblowing policy (Appendix D)
 - a written policy on the use of word processors in examinations (Separate policy)

Access arrangements and reasonable adjustments

(GR 5.4)

The Head of Centre/Senior Leadership Team will:

- appoint a Head of Individual Learning, or an equivalent member of staff, who will coordinate the access arrangements process within the centre and determine appropriate arrangements for candidates with learning difficulties and disabilities, candidates for whom English is an additional language, as well as those with a temporary illness or temporary injury
- ensure that learners have the correct information and advice on their selected qualification(s) in an accessible format and that the qualification(s) meet their needs (The recruitment process must include the centre assessing each potential learner and making justifiable and professional

judgements about the learner's potential to complete the examinations/assessments successfully and achieve the qualification(s). The centre's assessment must identify, where appropriate, the support that will be made available to the learner to facilitate access to examinations/assessments)

- recognise its duties towards disabled candidates, including private candidates, ensuring compliance with all aspects of the Equality Act 2010†, particularly Section 20 (7) (This must include a duty to explore and provide access to suitable courses, through the access arrangements process submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates. Where the centre is under a duty to make a reasonable adjustment, the centre must not charge a disabled candidate any additional fee in relation to the adjustment or aid)
 - † for any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect
- ensure that the Head of Individual Learning undertakes the necessary and appropriate steps to gather a picture of need and demonstrate normal way of working for a private candidate such as a distance learner or a home educated student (The centre, where required, must lead on the assessment process. The candidate must be assessed by the centre's appointed assessor. In some instances, depending on their needs, the candidate may have to be assessed away from the centre, for example at home. The centre must comply with the obligation to identify the need for, request and implement access arrangements)
- ensure that where a candidate with a learning difficulty requires an assessment of their needs, they are assessed by an appropriately qualified assessor as appointed by the Head of Centre (Evidence of the assessor's qualification(s) must be obtained before they assess candidates and held on file for inspection)
- have a written process in place to not only check the qualification(s) of their assessor(s) but that the correct procedures are followed as in Chapter 7 of the JCQ document *Access Arrangements and Reasonable Adjustments*

Access Arrangements Policy (Separate policy)

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

Malpractice

(GR 5.11)

The centre will:

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

Personal data

(GR 6.6, 6.8)

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

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

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

Examinations Officer

- understands the contents of annually updated JCQ documents including:
 - General Regulations for Approved Centres
 - Instructions for conducting examinations
 - Suspected Malpractice - Policies and Procedures
 - Post-Results Services (PRS)
 - A guide to the special consideration process
- completes/submits the National Centre Number Register annual update (administered on behalf of the JCQ member awarding bodies by OCR <https://ocr.org.uk/administration/ncn-annual-update/>) by the end of October every year to confirm the centre's contact details or informs of any changes ((and follows the process (in GR 5.3) if any changes occur after the annual update has taken place)
- is familiar with the contents of annually updated information from awarding bodies on administrative procedures, key tasks, key dates and deadlines
- ensures key tasks are undertaken and key dates and deadlines met
- recruits, trains and deploys a team of internal/external invigilators; appoints lead invigilators, as may be applicable to the centre and keeps a record of the content of training provided to invigilators for the required period
- works with the Head of Individual Learning to ensure invigilators supervising access arrangement candidates and those acting as a facilitator supporting access arrangement candidates fully understand the respective role and what is and what is not permissible in the exam room
- supports the Head of Centre in ensuring that awarding bodies are informed (where required) of any conflict of interest declared by members of centre staff and in maintaining internal records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected before the published deadline for entries for each examination series
- briefs other relevant centre staff where they may be involved in the receipt and dispatch of confidential materials on the requirements for maintaining the integrity and security of confidential examination/assessment materials

Senior Leaders

- are familiar with the contents, refer to and direct relevant centre staff to annually updated JCQ documents including:
 - General Regulations for Approved Centres
 - Instructions for conducting examinations
 - Access Arrangements and Reasonable Adjustments
 - Suspected Malpractice - Policies and Procedures
 - Instructions for conducting coursework
 - Instructions for conducting non-examination assessments
 - A guide to the special consideration process
 - Post-Results Services
- ensure teaching staff undertake key tasks, as detailed in this policy, within the exams process (exam cycle) and meet internal deadlines set by the Examinations Officer and Head of Individual Learning

- 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

Head of Individual Learning

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

(GR 5.4)

- ensures any applications for access arrangements or reasonable adjustments are submitted by the published deadline (The Head of Individual Learning will hold on file appropriate documentary evidence to substantiate such an arrangement, which is open to inspection. For those qualifications covered by Access Arrangements Online, a JCQ Centre Inspector will sample a centre's applications)
- ensures a file is presented which must contain for each online application the downloaded approval for the respective arrangement(s), supporting evidence of need and a signed candidate data personal consent form (This information must be readily available for inspection at the venue where the candidate is taking the examination(s))
- ensures requests for modified papers are submitted by the published deadline
 - ensures there are appropriate resources in place at the time of examinations/assessments to meet candidates' needs, e.g. sufficient readers and scribes

Teaching staff

- undertake key tasks, as detailed in this policy, within the exams process and meet internal deadlines set by the Examinations Officer and Head of Individual Learning
- keep updated with awarding body subject and teacher-specific information to confirm effective delivery of qualifications
- attend relevant awarding body training and update events

Invigilators

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

Reception staff

- support the Examinations Officer in the receipt and dispatch of confidential materials and follow the requirements for maintaining the integrity and security of confidential examination/assessment materials

Site staff

- support the Examinations Officer 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 Examination Cycle

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

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

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

Planning: roles and responsibilities

Secure materials

Head of Centre

(GR 3.6)

- ensures the centre has a secure storage facility in a room solely assigned to examinations (ICE 3.1)

The secure room and the secure storage facility

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

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

The secure storage facility

Access to the secure storage facility **must** be restricted to two to six key holders, one of whom **must** be the Examinations Officer.

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

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

Information sharing

Head of Centre

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

Examinations Officer

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

Information gathering

Examinations Officer

- undertakes an annual information gathering exercise in preparation for each new academic year to ensure data about all qualifications being delivered is up to date and correct
- collates all information gathered into one central point of reference
- researches awarding body guidance to identify administrative processes, key tasks, key dates and deadlines for all relevant qualifications
- produces an annual exams plan of key tasks and key dates to ensure all external deadlines can be effectively met; informs key centre staff of internal deadlines
- (where applicable to the role) collects information on internal exams/assessments to enable preparation for and conduct of Year 11, 12 and 13 mocks

Senior Leaders

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

Access arrangements

Head of Centre

- ensures the centre has documented processes in place relating to access arrangements and reasonable adjustments
- ensures the Head of Individual Learning is fully supported in effectively implementing access arrangements and reasonable adjustments once approved

Head of Individual Learning

- assesses candidates (or works with the appropriately qualified assessor as appointed by the Head of Centre) to identify access arrangements/reasonable adjustments requirements
- gathers evidence to support the need for access arrangements for a candidate
- liaises with teaching staff to gather evidence of normal way of working for a candidate
- determines candidate eligibility for arrangements or adjustments that are centre delegated
- gathers signed *Personal data consent* forms from candidates where required and ensures *Data protection confirmation(s) by the Examinations Officer or Head of Individual Learning* are completed
- applies for approval using *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 Examinations Officer regarding exam time arrangements for access arrangement candidates
- ensures staff appointed to facilitate access arrangements for candidates are thoroughly trained and understand the rules of the particular arrangement(s) and keeps a record of the content of training provided to facilitators for the required period
- works with the Examinations Officer to ensure invigilators and those acting as a facilitator fully understand the respective role and what is and what is not permissible in the exam room
- liaises with the relevant member of the Senior Leadership Team on the centre's policy on the use of word processors in examinations
- ensures criteria for candidates granted alternative rooming arrangements is clear, meets JCQ regulations and best meets the needs of individual candidates and remaining candidates in main exam rooms

Alternative Rooming Arrangements Policy (Exams)

(Refer to the Access Arrangement Policy)

Examinations Officer

- provides an annually reviewed and updated word processor policy, specific to the centre, which details the criteria the centre uses to award and allocate word processors for examinations

Senior Leaders

- Approves an annually reviewed and updated word processor policy, specific to the centre, which details the criteria the centre uses to award and allocate word processors for examinations

Teaching staff

- Support the Head of Individual Learning in determining and implementing appropriate access arrangements/reasonable adjustments

Internal assessment and endorsements

Head of Centre

Controlled assessments, coursework and non-examination assessments

(GR 5.7)

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

Senior Leaders

- ensure teaching staff have the necessary and appropriate knowledge, understanding, skills, and training to set tasks, conduct task taking, and to assess, mark and authenticate candidates' work (including where relevant, private candidates)
- ensure appropriate internal moderation, standardisation and verification processes are in place
- ensure teaching staff delivering relevant qualifications follow JCQ Instructions for conducting coursework and the specification provided by the awarding body

- ensure teaching staff delivering GCE and GCSE specifications (which include components of non-examination assessment) follow JCQ Instructions for conducting non-examination assessments and the specification provided by the awarding body
- ensure teaching staff delivering qualifications which include (wholly or in part) units of coursework follow JCQ Instructions for conducting coursework and the specification provided by the awarding body
- for VTQs qualifications, ensure teaching staff follow appropriate instructions issued by the relevant 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

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

Examinations 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 thorough training for new invigilators on the current instructions for conducting examinations and an update for the existing invigilation team so that they are aware of any changes in a new academic year, before they are allocated to invigilate an exam
- ensures invigilators supervising access arrangement candidates understand their role (and the role of a facilitator who may be supporting a candidate) and the rules and regulations of the access arrangement(s)
- ensures invigilators are briefed on the access arrangement candidates in their exam room and made aware of the access arrangement(s) awarded (ensuring these candidates are identified on the seating plan) and confirms invigilators understand what is and what is not permissible
- collects evaluation of training to inform future events

Entries: roles and responsibilities

Head of Centre

- ensures the centre's obligations as detailed in the regulations are met. (With reference to GR 5.4 Entries)

Estimated entries

Examinations Officer

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

Estimated entries collection and submission procedure

The Examinations Officer collects estimated entries from Head of Departments in the July of each year. These are collated and submitted by the Examinations Officer before the awarding body deadline.

Senior Leaders

- provide entry information requested by the Examinations Officer to the internal deadline
- inform the Examinations Officer immediately of any subsequent changes to entry information

Final entries

Head of Centre

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

Examinations Officer

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

Senior Leaders

- provide information requested by the Examinations Officer to the internal deadline
- inform the Examinations Officer 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 Examinations Officer and confirms information is correct

Entry fees

Entry fees are disbursed to the candidates school account for the Easter billing of each year.

Late entries

Examinations 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 Examinations Officer in relation to making final entries on time
 - meeting internal deadlines identified by the Examinations Officer for making final entries

Re-sit entries

Re-sits are handled as entries and fees are disbursed to the candidates school account

Private candidates

The centre does not accept private candidates.

Candidate statements of entry

Examinations 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 Examinations Officer

Candidates

- confirm entry information is correct or notify the Examinations Officer of any discrepancies

Pre-exams: roles and responsibilities

Head of Centre

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

Access arrangements and reasonable adjustments

Head of Individual Learning

- 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 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)
- ensures the person appointed to facilitate an access arrangement must not normally be the candidate's own subject teacher, Learning Support Assistant or teaching assistant (Where the candidate's own subject teacher, Learning Support Assistant or teaching assistant is used, a separate invigilator must always be present)
- 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

Examinations Officer

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

Access to Scripts, Reviews of Results and Appeals Procedures (Separate policy)

Dispatch of exam scripts

Examinations 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 Examinations Officer by the internal deadline (where this still may be required by the awarding body)

Examinations 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

Head of Individual Learning

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

Teaching staff

- support the Head of Individual Learning 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 Examinations Officer to the internal deadline
- ensure teaching staff provide required samples of work for moderation and sample recordings for monitoring to the Examinations Officer to the internal deadline

Examinations Officer

- submits marks, endorsement grades and samples to awarding bodies/moderators/monitors to meet the external deadline (or delegates this task to relevant teaching staff)
- 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

Examinations Officer

- provides an annually reviewed/updated invigilator handbook to invigilators, trains new invigilators on the current regulations on appointment and updates the existing invigilation team on any regulation changes and any changes to centre-specific arrangements
- deploys invigilators effectively to exam rooms throughout an exam series (including the provision of a roving invigilator where a candidate and invigilator (acting as a practical assistant, prompter, reader or scribe) are accommodated on a 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 Head of Individual Learning regarding the facilitation and invigilation of access arrangement candidates

Head of Individual Learning

- liaises with the Examinations Officer 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

Examinations Officer or Senior Leader

- will accompany the Inspector throughout a visit

Head of Individual Learning or relevant **senior leader** (in the absence of the Head of Individual Learning)

- 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

Examinations Officer

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

Candidate Identification Procedure

Candidate photographs with names are available in all examination venues

- 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 Examinations Officer
- Seat candidates in exam rooms as instructed by the Examinations Officer /on the seating plan

Security of exam materials

Examinations 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.

- 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 materials is maintained during the downloading, printing and collating process (ensuring printing is carried out in a secure environment at the centre to prevent unauthorised personnel accessing live assessment materials and ensuring only authorised members of centre staff have access to electronic question paper materials)
- at least two and no more than six members of centre staff should be authorised to handle secure electronic materials, one of whom must be the Examinations Officer. Other members of centre staff may assist with printing and collation provided they are under supervision.

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

Examinations 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

- overnight supervision arrangement will be applied as per JCQ regulations.
- 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 Head of Individual Learning regarding rooming of access arrangement candidates

Head of Individual Learning

- liaises with the Examinations Officer 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 Examinations Officer to ensure exam rooms are set up according to JCQ and awarding body requirements

Alternative site arrangements

Examinations 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 form online using CAP (or through the awarding body where a qualification may sit outside the scope of CAP) of any alternative sites that will be used to conduct timetabled examination components of the qualifications listed in the JCQ regulations

Centre consortium arrangements

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

Transferred candidate arrangements

Examinations 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/assessments

Examinations Officer

- prepares for the conduct of internal exams/assessments under external conditions (where applicable to the centre)
- provides a centre exam timetable of subjects and rooms
- provides seating plans for exam rooms
- requests internal exam papers from teaching staff
- arranges invigilation (where applicable to the centre)

Head of Individual Learning

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

Teaching staff

- provide exam papers and materials to the Examinations Officer
- support the Head of Individual Learning in making appropriate arrangements for access arrangement candidates

Exam time: roles and responsibilities

Head of Centre

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

Access arrangements

Examinations 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 exam
 - liaises with the Head of Individual Learning to apply for approval through AAO where required or through the awarding body where qualifications sit outside the scope of AAO

Candidate absence

Candidate Absence Policy

If you miss your examination, you cannot sit it on another day. You must provide a letter for the Examination Office, from your parents, explaining why you were unable to sit the examination, as soon as possible and within three or four days of the date of the missed examination, with a certificate from your GP if it was for a medical reason.

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

Examinations 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

If you arrive in School before 0930 hours for a morning examination, or before 1400 hours for an afternoon examination, you should go straight to reception and sign in. Reception will then contact the Examination Manager who will take you to the examination hall. You will be allowed the full-time allocation to sit the examination. If you arrive in School after 0930 hours for a morning examination, or after 1400 hours for an afternoon examination, you must report to Reception immediately on arrival. You will be asked to sign a declaration form confirming that you have not been in contact with anyone who may have had sight of the paper. Where possible you should be accompanied to Reception by a parent/adult who can co-sign the declaration. At this point you will be taken to the examination venue in the presence of a member of staff, to ensure that the security of the examination is not compromised. During this time, you may not communicate with anyone in anyway. You will still be allowed the full time allocated to sit the examination. If you arrive in School after 0930 hours for a morning examination, or after 1400 hours for an afternoon examination, be aware that the Examination Board may decline to mark your paper. If the security of the examination has not been compromised, we will request that your paper is accepted by the Examination Board, however, please note that there are no guarantees.

Conducting exams

Head of Centre

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

Examinations 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

Examinations Officer

- dispatches scripts as instructed by JCQ and awarding bodies
- keeps appropriate records to track dispatch

Exam papers and materials

Examinations Officer

- organises exam question papers and associated confidential resources in date order in the secure storage facility
- attaches erratum notices received to relevant sealed question paper packets
- collates attendance registers and examiner details in date order
- regularly checks mail or email inbox for updates from awarding bodies
- in order to avoid potential breaches of security, ensures care is taken to ensure the correct question paper packets are opened by ensuring a member of centre staff, additional to the person removing the papers from secure storage, e.g. an invigilator, checks the day, date, time, subject, unit/component and tier of entry, if appropriate, immediately before a question paper packet is opened
- ensures this second pair of eyes check is recorded
- 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)

No food is permitted in the examination room unless agreed in advance with the Examination Office for medical reasons. Water is provided within the examination venue. If a candidate brings a water bottles into the examination venue then they must be see-through plastic with a sports cap.

Leaving the Examination Room Policy

For examinations that last one hour or more, candidates must stay under centre supervision until 1000 for a morning examination or 1430 for an afternoon examination, i.e. one hour after the awarding body's published starting time for that examination. For examinations that last less than one hour, candidates must be supervised and question papers must be kept in secure storage until the published finishing time of the examination.

Candidates who are allowed to leave the examination room temporarily must be accompanied by a member of centre staff. This must not be the candidate's subject teacher or a subject expert for the examination in question.

Candidates may be allowed extra time at the discretion of the centre to compensate for their temporary absence. Candidate toilet breaks unless for medical reasons will NOT be compensated for their temporary absence.

Examinations 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) (Separate policy)

Site staff

- ensure exam rooms are available and set up as requested by the Examinations Officer
- 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)

Where a candidate is being disruptive, the invigilator must warn the candidate that they may be removed from the examination room. The candidate must also be warned that their awarding body will be informed and may decide to penalise them, which could include disqualification.

The Head of Centre has the authority to remove a candidate from the examination room but should only do so if the candidate would disrupt others by remaining in the room.

Senior Leaders

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

Examinations Officer

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

Invigilators

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

Malpractice

See *Irregularities* above.

Special consideration

Senior Leaders

- support eligible applications for special consideration by signing appropriate evidence

Examinations 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 (Separate policy)

Candidates

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

Unauthorised items

Arrangements for unauthorised items taken into the exam room

Unauthorised items will be removed from the examination venue and taken to the examination office. After the examination items can be returned to the candidate and where necessary action may be taken which could include a written warning and or advising the awarding body.

Invigilators

- are informed of the arrangements through training

Internal exams/assessments

Examinations Officer

- briefs invigilators on conducting internal exams
- returns candidate scripts to teaching staff for marking

Invigilators

- conduct internal exams as briefed by the Examinations Officer

Results and post-results: roles and responsibilities

Head of Centre

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

Internal assessment

Senior Leaders

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

Managing results day(s)

Senior Leaders

- identify centre staff who will be involved in the main summer results day(s) and their role
- 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

Examinations Officer

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

Site staff

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

Accessing results

Head of Centre

- ensures results are 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

Examinations 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)

Examinations 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

Examination Officer

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

Certificates

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

Certificate Issue Procedure and Retention Policy

- candidates on Roll: Certificates will be collected and signed for by the candidate from the exam office
- all other certificates are sent via Royal Mail signed for delivery to the candidates' home address as listed on the MIS
- the Examination office will retain certificates for 12 months and then securely destroy if not collected for reposted

Candidates

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

Exams review: roles and responsibilities

Examinations 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 Examinations Officer to produce a plan to action any required improvements identified in the review

Retention of records: roles and responsibilities

Examinations Officer

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

Exams Archiving Policy (Separate policy)

Appendix A Escalation Process

Purpose of the process

In terms of internal governance arrangements, it is the responsibility of the Head of Centre to ensure that Pipers Corner School 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.

This process confirms the main duties and responsibilities to be escalated.

This process also supports Pipers Corner School being able to confirm to an awarding body the external governance arrangements so that the awarding body has confidence in the integrity of centre activities such as the delivery of qualifications and the conducting of examinations and assessments.

Before examinations (Planning)

In the event of the absence of the Head of Centre or the Deputy Head Academic, responsibility for implementing JCQ regulations and requirements relating to activity prior to examinations will be escalated to **Assistant Head Academic**.

To support understanding of the regulations and requirements, the following JCQ publications will be referenced:

- General Regulations for Approved Centres
- Instructions for conducting examinations
- Access Arrangements and Reasonable Adjustments
- Instructions for conducting coursework
- Instructions for conducting non-examination assessments
- Suspected Malpractice: Policies and Procedures
- A guide to the special consideration process

Main duties and responsibilities relate to:

- Third party arrangements
- Centre status
- Confidentiality
- Resilience and contingency arrangements
- Cyber security
- Communication
- Centre management:
 - Recruitment, selection, training and support
 - External and internal governance arrangements
 - Delivery of qualifications
 - Public liability
 - Conflicts of interest
 - Controlled assessments, coursework and non-examination assessments
 - Security of assessment materials
 - National Centre Number Register and other information requirements
 - Centre inspections
 - Additional JCQ publication for reference:
 - JCQ Centre Inspection Service Changes
 - Policies available for inspection
 - Specific JCQ publications for reference:
 - General Regulations for Approved Centres (5)
 - Instructions for conducting examinations (25)
 - Access Arrangements and Reasonable Adjustments (5)
 - Personal data, freedom of information and copyright

Before examinations (Entries and Pre-exams)

In the event of the absence of the Head of Centre or the Deputy Head Academic, responsibility for implementing JCQ regulations and requirements relating to entries and exam preparation will be escalated to **Assistant Head Academic**.

To support understanding of the regulations and requirements, sections of relevant JCQ publications will be specifically referenced including:

- General Regulations for Approved Centres (5)
- Instructions for conducting examinations (1-15)
- Access Arrangements and Reasonable Adjustments (6-8)

Main duties and responsibilities relate to:

- Access arrangements and reasonable adjustments
- Entries (including ensuring appropriate controls are in place which allow accurate entries to be submitted to the awarding bodies)

Additional JCQ publications for reference:

- Key dates
- Guidance Notes for Transferred Candidates
- Alternative Site guidance notes
- Guidance notes for overnight supervision of candidates with a timetable variation

- Centre assessed work (including ensuring that candidates' work is backed-up and considering the contingency of candidates' work being backed-up in the event of IT system corruption and cyber-attacks, and ensuring appropriate controls are in place which allow accurate internally assessed marks to be submitted to the awarding bodies)

Additional JCQ publication for reference:

- Guidance Notes – Centre Consortium Arrangements

- Candidate information

Additional JCQ publications for reference:

- Information for candidates documents
- Exam Room Posters

During examinations (Exam time)

In the event of the absence of the Head of Centre or the Deputy Head Academic, responsibility for implementing JCQ regulations and requirements relating to during exam time will be escalated to **Assistant Head Academic**.

The centre also 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.

To support understanding of the regulations and requirements, sections of relevant JCQ publications will be specifically referenced including:

- General Regulations for Approved Centres (, 5)
- Instructions for conducting examinations (16-31)
- Access Arrangements and Reasonable Adjustments (8)
- A guide to the special consideration process (2-7)

Main duties and responsibilities relate to:

- Conducting examinations and assessments

Additional JCQ publication for reference:

- Guidance Notes – Very Late Arrival
- Malpractice
- Retention of candidates' work

After examinations (Results and Post-Results)

As a contingency, the centre has at least one senior member of staff (senior designated contact) who is available to manage emergency requests from awarding bodies that are results related during the summer holidays. The National Centre Number Register is provided with the senior designated

contact details (this might include a personal mobile number and/or email address). These are the contact details of someone who can be reached in an emergency if the centre is closed over the summer and who can mobilise resources to respond to the issue. (GR 3.18, 5.3)

In the event of the absence of the Head of Centre or the Deputy Head Academic, responsibility for implementing JCQ regulations and requirements relating to after examinations will be escalated to **Assistant Head Academic**.

To support understanding of the regulations and requirements, sections of relevant JCQ publications will be specifically referenced including:

- General Regulations for Approved Centres (5)

Main duties and responsibilities relate to:

- Results

Additional JCQ publication for reference:

- Release of Results notice

- Post-results services and appeals

Additional JCQ publications for reference:

- Post-Results Services (Information and guidance to centres)
- JCQ Appeals Booklet (A guide to the awarding bodies' appeals processes)

- Certificates

Appendix B Examinations Child Protection and Safeguarding Policy

The purpose of the policy

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

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

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

This policy should be read in conjunction with the school's **Recruitment** and **Safeguarding and Promoting Children's Welfare** policies.

Policy aims

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

Introduction

All staff involved in the management, administration and conducting of examinations at Pipers Corner School are made aware of their safeguarding responsibilities. This includes raising awareness and understanding of the role played by these staff members in safeguarding and promoting the welfare of children whilst they are undertaking their examinations/assessments.

As part of the training given to staff involved in the management, administration and conducting of examinations/assessments, the following are highlighted as part of an induction/training programme:

- child protection policy (which should amongst other things also include the policy and procedures to deal with child-on-child abuse)
- behaviour policy (which should include measures to prevent bullying, including cyberbullying, prejudice-based and discriminatory bullying)
- staff behaviour policy (sometimes called a code of conduct) should amongst other things, include low-level concerns, allegations against staff and whistleblowing
- safeguarding response to children who are absent from examinations, particularly on repeat occasions and/or prolonged periods
- the role of the designated safeguarding lead (including the identity of the designated safeguarding lead and any deputies)

Roles and Responsibilities

Designated Safeguarding Lead (DSL)

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

Examinations Officer

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

Other examinations staff

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

Staff

Recruitment

Pipers Corner School ensures that only 'suitably qualified and experienced adults' are employed in the management, administration and conducting of examinations and assessments. This is supported by the safer recruitment process which includes:

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

DBS check information

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

Existing staff

Although there is no statutory requirement to update DBS checks for existing staff, external invigilators/facilitators will undertake a 'rolling DBS check' every three years.

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

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

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

'Break in service'

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

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

Supporting staff

All exams staff at Pipers Corner School

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

Training/information delivered

Date delivered	Details of training/information delivered	Audience (e.g. invigilators, access arrangements facilitators etc.)
01/09/2022	Safeguarding	Whole School
09/2023	Safeguarding	Whole School
09/2024	Safeguarding	Whole School

Areas covered

All examinations staff will be trained/updated on the following areas to ensure that they are complying with the centre policy on child protection and safeguarding:

- For example:
- Abuse of position of trust
- Children who may be particularly vulnerable
- Children with special educational needs and disabilities or have mental health needs
- Early help

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

Reporting

- The process for staff to report issues/concerns relating to child protection and safeguarding is to report them to the DSL; if the DSL is not available, they should report to any member of the School's Safeguarding Team
- If a member of staff needs to make a complaint/report a colleague or other adult who works with children (whistleblowing), they should report to the Headmistress

Protocols for one-to one support/supervision

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

Summoning immediate assistance in case of any concern

- Contact the DSL using the internal phone system (ext. 824; 839 if he is not available) and/or alerting staff of urgent need via examaalert@piperscorner.co.uk

Leaving the examination room temporarily

- Where a member of staff may accompany a candidate requiring a toilet break: the member of staff is required to first check that the facilities are unoccupied, once this has been established the member of staff may wait outside the facility for the candidate
- Where a member of staff may accompany a candidate who is feeling unwell: the candidate should be taken to the onsite nurse

References

Keeping Children Safe in Education <https://www.gov.uk/government/publications/keeping-children-safe-in-education--2>

Check someone's criminal record as an employer www.gov.uk/dbs-check-applicant-criminal-record

DBS Update Service www.gov.uk/dbs-update-service

DBS Checks for Schools <https://onlinedbschecks.co.uk/job-sectors/dbs-checks-for-schools/>

Appendix C Conflicts of interest Policy

(GR 5.3)

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

*Notes that entering members of centre staff for qualifications at their own centre must be as a last resort in cases where the member of centre staff is unable to find another centre, and ensures:

- proper protocols are in place to prevent the member of centre staff having access to examination materials prior to the examination and that other centre staff are briefed on maintaining the integrity and confidentiality of the examination materials
- during the examination series the member of centre staff is treated in the same way as any other candidate entered for that examination, does not have access to examination materials and does not receive any preferential treatment

Appendix D Whistleblowing policy

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

The Head of Centre and governing board at Pipers Corner School aim to create and maintain an approach to examinations and assessments that reflects an ethical culture and encourages staff and students to be aware of and report practices that could compromise the integrity and security of examinations and assessments.

In compliance with section 5.11 of the JCQ's **General Regulations for Approved Centres**, Pipers Corner School will take all reasonable steps to prevent the occurrence of any malpractice (which includes maladministration) before, during and after assessments have taken place

- inform the awarding body **immediately** of any alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, by completing the appropriate documentation
- as required by an awarding body, gather evidence of any instances of alleged or suspected malpractice (which includes maladministration) in accordance with the JCQ document **Suspected Malpractice: Policies and Procedures**¹ and provide such information and advice as the awarding body may reasonably require

This policy requirement was added within **General Regulations for Approved Centres** in response to the recommendations within the report of the *Independent Commission on Examination Malpractice*².

This policy sets out the whistleblowing procedures at Pipers Corner School. It has been produced (and reviewed) by Deputy Head Academic who is also a member of the Senior Leadership Team and responsible for handling any cases of whistleblowing. Deputy Head Academic is fully aware of the contents of this policy and will escalate any instances of malpractice through the Head of Centre to the relevant awarding body/bodies.

This policy also sets out the principles which allow members of centre staff and students to feel confident in reporting instances of actual, alleged or suspected malpractice to relevant members of senior leadership.

Purpose of the policy

This policy:

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

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

The Whistleblower

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

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

Reporting

If a member of centre staff involved in the management, administration and/or conducting of examinations and assessments (such as Examinations Officer, exams assistant or invigilator), a student or a member of the public (such as a parent/carer) has a concern or reason to believe that malpractice has or will occur in an examination or assessment, concerns should normally be raised initially with Deputy Head Academic.

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

Examples of malpractice

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

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

Whistleblowing procedure

If the individual does not feel safe raising the issue/reporting malpractice within the centre, or they have done so and are concerned that no action has been taken, that individual could consider making their disclosure³ to a malpractice expert at the awarding body for the qualification where malpractice is suspected.

For members of centre staff, it is likely that the Public Interest Disclosure Act (PIDA)⁴ offers you legal protection from being dismissed or penalised for raising certain serious concerns ('blowing the whistle'). Whistleblowing rights under PIDA are day one rights⁵. This means that the worker does not need the same two years' service that is needed for other employment rights.

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

- The qualifications and subjects involved
 - The centre involved
 - The names of staff/candidates involved
 - The regulations breached/specific nature of suspected malpractice
 - When and where the suspected malpractice occurred
-

- Whether multiple examination series are affected
- If the issue has been reported to the centre and what the outcome was
- How the issue became apparent

Members of the public are not protected by PIDA, but the awarding body will make every effort to protect their identity if that is what they wish, unless the awarding body is legally obliged to release it⁶.

Alternatively, a worker could consider making a disclosure to Ofqual⁷ as a prescribed body for whistleblowing to raise a concern about wrongdoing, risk or malpractice.

Exams Officer Professional Standards

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

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

Anonymity

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

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

Students

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

Appendix E Malpractice Policy (Examinations)

Head of Centre and Examinations Officer

- Through taking an ethical approach and working proactively to avoid malpractice among students and staff the Examinations Officer 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
- 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 where the Head of Centre/Examination Office or Head of Individual Learning is absent at a critical stage of the examination cycle
- The examination contingency plan should reinforce procedures in the event of the Centre being unavailable for examinations owing to an unforeseen emergency
- All relevant Centre staff must be familiar with the examination contingency plan. Consideration should be given as to how these arrangements will be communicated to candidates, parents and staff should disruption to examination occur.

The Head of Centre must report to the awarding body immediately all cases of suspected or actual malpractice in connection with the examination.

Senior Leaders

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

Examinations Officer

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

Invigilators

- Record any incidents or irregularities on the examination room incident log (for example, late/very late arrival, candidate or Centre staff suspected malpractice, candidate illness or needing to leave the examination room temporarily, disruption or disturbance in the examination room, emergency evacuation)
- Candidates are informed and advised to avoid committing malpractice in examinations by way of the annual Examination Briefing.
- Candidates are under formal examination conditions from the moment they enter the room in which they will be taking their examinations until the point at which they are permitted to leave. Any malpractice suspected or actual, from this point must be reported to the relevant awarding body.
- Suspected malpractice is reported by an invigilator to the Examinations Officer. The Examinations Officer investigates and where necessary reports to the Deputy Head Academic and Head of Centre. In addition, the Examinations Officer reports the matter to the awarding body.

AI Use in Assessments: Protecting the Integrity of Qualifications

Senior Leaders and Teaching Staff

The JCQ AI Use in Assessments: Protecting the Integrity of Qualifications guidance is intended to provide teachers/assessors involved in delivering JCQ qualifications with the information they need to manage use of AI in assessments. Update: February 2024.

The guidance is designed to help students and teachers to complete NEAs, coursework and other internal assessments successfully. These assessments give students the chance to demonstrate skills which cannot be assessed in exams (see link above).

- Centre staff must be aware of the risks of using AI and must be clear on what constitutes malpractice
- Where teaching staff have doubts about the authenticity of candidate work submitted for assessment (for example, they suspect that parts of it have been generated by AI but this has not been acknowledged), they must investigate and take appropriate action

Candidates

Candidates who misuse AI such that the work they submit for assessment is not their own will have committed malpractice, in accordance with JCQ regulations, and may attract severe sanctions.

- Candidates must be aware of the risks of using AI and must be clear on what constitutes malpractice
- Candidates must make sure that work submitted for assessment is demonstrably their own. If any sections of their work are reproduced directly from AI generated responses, those elements must be identified by the student and they must understand that this will not allow them to demonstrate that they have independently met the marking criteria and therefore will not be rewarded
- Where teaching staff have doubts about the authenticity of candidate work submitted for assessment (for example, they suspect that parts of it have been generated by AI but this has not been acknowledged), they must investigate and take appropriate action.

Plagiarism in Assessments

Plagiarism calls into question the integrity of examinations and assessments, especially those assessment components such as non-examination assessments where plagiarism can occur most easily. If non-examination assessments are to remain as a viable assessment method, it is the duty of all who are preparing and assessing candidates for assessments as well as those who have an interest in the setting, marking and administration of assessments, to do whatever they can to address plagiarism.

Guidance for Teachers/Assessors

Senior Leaders and Teaching Staff

Teaching staff entering candidates for a qualification with a non-examination assessment (NEA) component, must authenticate the work which is submitted for assessment. Must confirm that the work produced is solely that of the candidate concerned. Must not accept work which is not the candidate's own. Where there are doubts about the authenticity of candidate work submitted for assessment you must investigate and take appropriate action.

If your suspicions are confirmed and the candidate has not signed the declaration of authentication, your Centre need not report the malpractice to the appropriate Awarding Body. Centres can resolve the matter themselves prior to the signing of the declarations.

If plagiarism is detected by the Centre and the declaration of authentication has been signed, the case must be reported to the Awarding Body. The procedure is detailed in JCQ Suspected Malpractice Policies and Procedures. (<https://www.jcq.org.uk/exams-office/malpractice/>).

Candidates

Plagiarism refers to a student copying work and submitting it as their own. This can involve published resources (whether in print or on the internet), AI-generated content, essays, or pieces of work previously submitted for assessments by others or manufactured artefacts. Copying can involve memorisation and reproduction of text.

The sanctions applied to a candidate committing plagiarism and making a false declaration of authenticity range from a warning regarding future conduct to disqualification and the candidate being barred from entering for one or more examinations for a set period of time.