

**SOUTH LINCOLNSHIRE ACADEMIES TRUST (SLAT)  
BOURNE ACADEMY, SPALDING ACADEMY, GILES ACADEMY  
and COWLEY ACADEMY**

# **EXAMINATION POLICY 2024/2025**

**Aspire - Challenge – Achieve**



**South Lincolnshire  
Academies Trust**

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Trust Wide	November 2025	L Conley Chief Executive Officer

## Key staff involved in the exams policy

Role	Name(s)
Head of centre	Head of School
Senior leaders	James Hind – Deputy Chief Executive Officer E Dyer – Deputy Chief Executive Officer K Chrysostomou – Trust Executive Education Director
Exams officer	Bourne Academy – Jayne Shields Spalding Academy – Caroline Garbutt/Amy Gott Giles Academy – Carol Goodwin Cowley Academy – Heather Barton
SENCo (or equivalent role)	Karen Joel – Trust Head SENCo

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## Purpose of the policy

The Trust 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 exam process are 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

**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 in order to ensure the security and integrity of the examinations/assessments. This individual must have the authority to deploy the necessary resources to ensure that the centre is always compliant in meeting those published JCQ regulations and awarding body requirements.

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

**The head of centre 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 examinations contingency plan.

## Head of centre responsibilities

(GR1)

Heads of centre must ensure that senior leadership teams and exam office personnel familiarise themselves with the entire contents of the current JCQ *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, eg. 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 or 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. Centre 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, SENCo/ALNCo, 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

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

## **Recruitment, selection, training and support**

(GR 5.3)

- Retains a workforce of an appropriate size and competence, including sufficient managerial and other 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 (EO) and the ~~ALS lead~~/SENCo (or equivalent role) to receive appropriate training and support in order to facilitate the effective delivery of examinations and assessments within the centre, and ensure compliance with the published JCQ and awarding body regulations
- Ensures that the SENCo (or equivalent role) understands the JCQ document [Access Arrangements and Reasonable Adjustments](#) and is given sufficient time to manage the access arrangements process within the centre
- Ensures that the examinations officer understands relevant awarding body and JCQ documentation and has sufficient time to perform their role
- Ensures that any member(s) of the senior leadership team who are responsible for examination administration familiarise themselves with relevant awarding body and JCQ documentation (This will ensure the examinations officer and the SENCo are supported as well as ensuring effective centre decision making in line with the published regulations)
- Ensures that teachers understand the relevant awarding body and JCQ documentation for the qualifications they are delivering to ensure they are delivered in line with the relevant regulations

## External and internal governance arrangements

(GR 5.3)

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

### Escalation Process

The exams process is supported by the Chief Executive Officer, Mrs L Conley, and two Deputy Chief Executive Officers, Mr J Hind and Ms E Dyer who have substantial experience with the management of the exams process. In the Trust, Dr K Chrysostomou who is a Trust Executive Education Director continues to be involved with the management of exams and Operation Support, Mr A Roffe who also is involved with the running of exams. These people would form a team to support the running of any exam should the Head of Centre be absent during any part of the process.

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

See Escalation Process Policy available in the examination inspection folder and available on request.

### 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
    - the location of the centre's secure storage facility in a secure room which must only be used for the purpose of administering secure examination materials
    - the secure room only contains exam-related material
    - there are between two and six key holders only, each keyholder must fully understand their responsibilities as a key holder to the secure storage facility
    - access to the secure room and secure storage facility is restricted to the authorised two to six key holders (the exams officer must be one of the keyholders) and staff approved by the head of centre are accompanied by a key holder at all times
    - appropriate arrangements are in place to ensure that confidential examination materials are only handed over to authorised members of centre staff
    - appropriate arrangements are in place for handling secure electronic materials:
      - Only authorised members of staff are able to access and download secure electronic materials;
      - Electronic materials are stored locally on the school's secure storage area on the network, which can only be accessed by the authorised members of staff;
      - Once accessed and stored for the use of the candidate(s) entered for the examination in question, the file is deleted (and also deleted from the deleted items folder)
      - Secure files will always be accessed and printed within a secure environment. Only authorised members of staff must be present in the room
      - In exceptional circumstances where the electronic material is not available for download, mitigating circumstances will be in place to ensure all abovementioned JCQ guidelines are followed.
  - 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
  - the relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk

- 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*
  - to receive and issue material received from the awarding bodies to staff and candidates, and notify them of any advice and instructions relevant to the examinations and assessments
- 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](mailto: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](mailto: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 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

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

## Child Protection/Safeguarding Policy

Please refer to the Safeguarding Policy [Policies – SLAT](#)

- a written complaints policy

## Complaints Policy (Exams)

See Complaints Policy available in the Examination Inspection Folder and available on request.

- a written conflicts of interest policy

## Conflicts of interest

(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 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 immediately family (eg 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 (eg 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 the 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

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

See Conflicts of Interest Policy available in the Examination Inspection Folder and available on request.

- a written data protection policy

### **Data Protection Policy**

Please refer to the General Data Protection Policy [Policies – SLAT](#)

- a written equalities policy

### **Equalities Policy**

Please refer to the Equalities Policy [Policies – SLAT](#)

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

## **Exam Contingency Plan**

See Examinations Contingency Plan available in the Examination Inspection Folder and available on request.

- 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

## **Internal Appeals Procedure**

See Internal Appeals Procedure available in the Examination Inspection Folder and available on request.

## **Malpractice**

- 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 (eg 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).

## **Malpractice Policy (Exams)**

Please see Malpractice Policy that can be found in Exams Inspection Folder.

- a written policy regarding the management of non-examination assessment including controlled assessment and coursework. (For CCEA GCSE centres this would be a written controlled assessments policy)

## **Management of Non-Examination Assessment Including Controlled Assessment and Coursework Policy**

See Management of Non-Examination Assessment including Controlled Assessment and Coursework Policy available in the Examination Inspection Folder and available on request.

- a written whistleblowing policy

## **Whistleblowing Policy (Exams)**

See Whistleblowing Policy available in the Examination Inspection Folder and available on request.

- a written policy on the use of word processors in examinations

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

See Word Processing Policy available in the Examination Inspection Folder and available on request

## Access arrangements and reasonable adjustments

(GR 5.4)

The Head of Centre/Senior Leadership Team will:

- appoint a SENCo, or an equivalent member of staff, 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)  
†or any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect
- ensure that the SENCo undertakes the necessary and appropriate steps to gather a picture of need and demonstrate normal way of working for a private candidate such as a distance learner or a home education 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

See Access Arrangements Policy available in the Examination Inspection Folder and available on request.

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

### Malpractice



### (GR 5.11)

The centre will:

- take all reasonable steps to prevent the occurrence of any malpractice (which includes maladministration), before, during and after assessments have taken place
- inform the awarding 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, 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 Students Materials for the purposes of candidate assessment, the Student Materials will be held on behalf of the awarding body.

## Exams officer (EO)

- 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 following the process (in GR 5.3) if any changes occur after the annual update has taken place)

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

### Special educational needs co-ordinator (SENCo) or equivalent role

- 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 SENCo 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, eg sufficient readers and scribes

### **Teaching staff**

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

### **Invigilators**

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

### **Reception staff**

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

### **Site staff**

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

### **Candidates**

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

### **The exam cycle**

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

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

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

## **Planning: roles and responsibilities**

### **Secure materials**

#### **Head of centre**

(GR 3.6)

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

(ICE 3.1)

#### **The secure room and the secure storage facility**

##### **The secure room**

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

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

##### **The secure storage facility**

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

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

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

### **Information sharing**

#### **Head of centre**

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

#### **Exams officer**

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

## **Information gathering**

### **Exams officer**

- Undertakes an annual information gathering exercise in preparation for each new academic year to ensure data about all qualifications being delivered is up to date and correct
- Collates all information gathered into one central point of reference
- Researches awarding body guidance to identify administrative processes, key tasks, key dates and deadlines for all relevant qualifications
- Produces an annual exam 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 PPE's

### **Senior leaders**

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

## **Access arrangements**

### **Head of centre**

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

### **SENCo (or equivalent role)**

- Assesses candidates (or works with the appropriately qualified assessor as appointed by the head of centre) to identify access arrangements/reasonable adjustments requirements
- Gathers evidence to support the need for access arrangements for a candidate
- Liaises with teaching staff to gather evidence of normal way of working for a candidate
- Determines candidate eligibility for arrangements or adjustments that are centre-delegated
- Gathers signed *Personal data consent* forms from candidates where required and ensures *Data protection confirmation(s) by the examinations officer or SENCo* are completed
- Applies for approval 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 EO regarding exam time arrangements for access arrangement candidates

- Ensures staff appointed to facilitate access arrangements for candidates are thoroughly trained and understand the rules of the particular arrangement(s) and keeps a record of the content of training provided to facilitators for the required period
- Works with the EO to ensure invigilators and those acting as a facilitator fully understand the respective role and what is and what is not permissible in the exam room
- Liaises with the relevant member of the senior leadership team on the centre's policy on the use of word processors in examinations
- Ensures criteria for candidates granted alternative rooming arrangements is clear, meets JCQ regulations and best meets the needs of individual candidates and remaining candidates in main exam rooms

## **Alternative Rooming Arrangements Policy (Exams)**

Alternative rooming arrangements (for example, a room for a smaller group of candidates with similar needs) is an available access arrangement as defined in the JCQ regulations. This is an arrangement where a candidate with an established difficulty may be eligible to take their examinations in a smaller environment away from the main examination room.

The purpose of this policy is to confirm the criteria when these arrangements may be considered and granted for a candidate at South Lincolnshire Academies Trust in compliance with the regulations.

A decision where an exam candidate may be approved for alternative rooming arrangements within the centre will be made by the SENCo (or equivalent role).

Decisions are based on:

- whether the candidate has a substantial and long-term impairment which has an adverse effect (AARA 5.16)
- the candidate's normal way of working within the centre (AARA 5.16)
- ensuring the proposed arrangement does not unfairly disadvantage or advantage the candidate (AARA 4.2.1) (In accordance with the regulations: A centre must make decisions on appropriate access arrangements for their candidates. Although professionals from other organisations may give advice, they cannot make the decision for the centre. They will not have a working knowledge of an individual candidate's needs and how their difficulties impact in the classroom and/or in timed assessments. It is the responsibility of the SENCo (or equivalent role within the centre) to make appropriate and informed decisions based on the JCQ regulations).
- Nervousness, low level anxiety or being worried about examinations is not sufficient grounds for separate invigilation within the centre (AARA 5.16)
- 1:1 invigilation and the use of an alternative room would apply where the candidate has a serious medical condition such as frequent seizures, Tourette's or significant behavioural issues which would disturb other candidates in the examination room (AARA 5.16)

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

- The candidate has an established difficulty as defined in section 5.16 of the JCQ's [Access Arrangements and Reasonable Adjustments](#) publication (ICE 14.18)
- The candidate's disability is established within the centre and known to relevant staff or a senior member of staff with pastoral responsibilities (AARA 5.16)

- Alternative rooming arrangements reflects the candidate's normal and current way of working in internal tests and mock examinations (AARA 5.16)
- Where a candidate sits their examinations in a smaller environment away from the main examination room, the regulations and guidance within the JCQ publication [Instructions for conducting examinations](#) will be adhered to, particularly in relation to accommodation and invigilation arrangements (ICE 14.18)

At South Lincolnshire Academies Trust, arrangements for seating candidates in rooms separate to the main cohort may be put in place in other circumstances. As and when applicable, these circumstances include seating candidates in an 'access arrangements' room(s) for candidates with readers, word processors, scribes, etc.

### **Senior leaders, Teaching staff**

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

### **Internal assessment and endorsements**

#### **Head of centre**

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

(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, eg 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 assessment 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 AQA Applied General qualifications, OCR Cambridge Nationals, Entry Level Certificate or Project qualifications (and CCEA GCE unitised AS and A-level qualifications) follow JCQ [Instructions for conducting coursework](#) and the specification provided by the awarding body
- Ensure teaching staff delivering 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 VTQ 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

## **Exams officer**

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

## **Invigilation**

### **Head of centre**

- Ensures relevant support is provided to the EO in recruiting, training and deploying a team of invigilators
- Ensures, if contracting supply staff to act as invigilators, that such persons are competent and fully trained, understanding what is and what is not permissible (and not taking on its own an assurance from a recruitment agency, that this is the case)



- Determines if additional invigilators will be deployed in timed Art exams in addition to the subject teacher to ensure the supervision of candidates is maintained at all times
- Ensures that, wherever possible 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.

### **Exams officer**

- Recruits additional invigilators where required to effectively cover all exam periods/series throughout the academic year
- Collects information on new recruits to identify if they have invigilated previously and if any current maladministration/malpractice sanctions are applied to them
- Provides 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 seasons and 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

#### **Exams officer**

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

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

- Information on estimated entries will be sort from departments before half term. BTEC will be via a spreadsheet produced by Mrs Stacey Dyer. Other qualifications will be via updating of a spreadsheet. This will include awarding body, course title and level and class codes.

#### **Senior leaders**

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

## **Final entries**

### **Head of centre**

- Ensures appropriate controls are in place which allow accurate data to be submitted to the awarding bodies, eg entries

### **Exams 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

### **Final entries collection and submission procedure**

The Exams Officer will prepare mark sheets on SIMS for each subject. These will be checked, an entry made and the mark sheet marked as complete. Exams Officers will then make the entries via A2C.

### **Senior leaders**

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

## **Entry fees**

These will be taken from the Exams budget.

## **Late entries**

### **Exams officer**

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

## **Senior leaders**

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

### **Re-sit entries**

Who pays the fees for re-sit entries will be made before an entry is made and is at the discretion of the Chief Executive Officer.

### **Private candidates**

The Trust do not normally accept private candidates.

## **Candidate statements of entry**

### **Exams officer**

- Provides candidates with statements of entry for checking

### **Teaching staff**

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

### **Candidates**

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

## **Pre-exams: roles and responsibilities**

### **Head of centre**

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

## **Access arrangements and reasonable adjustments**

### **SENCo (or equivalent role)**

- 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**

### **Exams officer**

- Issues individual exam timetable information to candidates and informs candidates of any designated contingency sessions warding 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**

Please refer to the Access to Scripts, review of results and appeals policy which can be found in the Exams Inspection Folder.

## **Dispatch of exam scripts**

### **Exams officer**

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

## **Estimated grades**

### **Senior leaders**

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

### **Exams officer**

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

## **Internal assessment and endorsements**

### **Head of centre**

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

### **SENCo (or equivalent role)**

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

### **Teaching staff**

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

### **Senior leaders**

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

### **Exams officer**

- Submits marks, endorsement grades and samples to awarding bodies/moderators/monitors to meet the external deadline
- Keeps a record to track what has been sent

- Logs moderated samples returned to the centre
- Ensures teaching staff are aware of the requirements in terms of retention and subsequent disposal of candidates' work

## **Candidates**

- Authenticate their work as required by the awarding body

## **Invigilation**

### **Exams officer**

- Provides an annually reviewed/updated invigilator handbook to invigilators, trains new invigilators on the current regulations on appointment and updates 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 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 SENCo (or equivalent role) regarding the facilitation and invigilation of access arrangement candidates

### **SENCo (or equivalent role)**

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

### **Invigilators**

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

## **JCQ Centre Inspections**

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

- Will accompany the Inspector throughout a visit

### **SENCo (or equivalent role) or relevant Senior leader (in the absence of the SENCo)**

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

## **Seating and identifying candidates in exam rooms**

### **Exams officer**

- Ensures a procedure is in place to verify candidate identity including private candidates

## **Candidate Identification Procedure**

The purpose of this procedure is to confirm that South Lincolnshire Academies Trust:

- Verifies the identity of all students that it enters for examinations or assessments (GR 5.6)
- Has processes in place to be satisfied that all candidates identities have been checked (GR 5.6)
- Has written procedures in place to verify the identity of all candidates at the time of the examinations or assessment (GR 5.9)

Candidates will be well known to the Centre as private or external candidates are not normally accepted by the Trust. Any such candidates will only be accepted if they are past students of the Trust and checked by a verification process which involves photo-ID (GR 5.6)

Year Leads and Senior Managers familiar with the students will be seeing all students into the exam rooms.

Each desk will have a name card on which will include a picture of the student.

### **Exams officer**

- Ensures a procedure is in place to verify the identity of all candidates.
- Ensures invigilators are aware of the procedure – invigilators must establish the identify of all candidates sitting examinations, in accordance with the written procedure. When identifying candidates, the attendance register should ideally be completed
- 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)
- Informs candidates prior to their first examination that where it is impossible to identify a candidate due to the wearing of religious clothing, such as a veil, the candidate will be approached by a member of staff of the same gender and taken to a private room where they will be politely asked to remove the religious clothing for identification purposes and that once identification has been established, the candidate should replace, for example, their veil and proceed as normal to sit the examination (ICE 16.6)

### **Invigilators**

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

## **Security of exam materials**

### **Exams officer**

- Confirms appropriate arrangements are in place to ensure that confidential materials are only handed over to those authorised by the head of centre
- Ensures access to the secure room is restricted and staff approved by the head of centre are accompanied by a key holder 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
- Ensures the integrity and security of any electronic question paper is maintained during the downloading, printing and collating process (ensuring printing is carried out in 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 Exams 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**

#### **Exams officer**

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

### **Overnight Supervision Arrangements Policy**

The purpose of this policy is to confirm that South Lincolnshire Academies Trust:

- Follows the correct procedures when considering the arrangements for a candidate entered for multiple examinations timetabled for the same day
- Reserves the right to exercise discretion when considering allowing a candidate to take an examination the following morning



- Has appropriate arrangements in place to maintain the security and integrity of the examination(s)

### **Overnight supervision arrangements**

- Overnight supervision will be followed in line with JCQ rules and all appropriate paperwork will be signed by the necessary people and stored
- Overnight supervision arrangements should only be applied as a last resort and once all other options have been exhausted (ICE 8)
- The head of centre must be satisfied with any arrangements for overnight supervision of a candidate where necessary and must accept full responsibility for the security and integrity of the examination throughout (ICE 8)
- Candidates are not allowed to take examinations on an earlier day than that scheduled on the timetable (ICE 8.1)
- The overnight supervision arrangements must ensure that the candidate does not have advance warning of the content of the examination deferred until the following morning. This means the candidate must not meet or communicate with anyone who may have knowledge of the content. This includes any form of electronic communication/storage device, eg telephone, e-mail, internet and social media. It also extends to television and radio, which could report key details of the day's examinations (ICE 8.4)
- Identifies exam rooms and specialist equipment requirements
- Allocates invigilators to exam rooms (or where supervising candidates due to an exam timetable clash) according to required ratios
- Liaises with site staff to ensure exam rooms are set up according to JCQ and awarding body requirements
- Liaises with the SENCo (or equivalent role) regarding rooming of access arrangement candidates

### **SEnCo (or equivalent role)**

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

### **Site staff**

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

### **Alternative site arrangements**

#### **Exams officer**

- (Where/if applicable to the centre) ensures question papers will only be taken to an alternative site where the published criteria for an alternative site arrangement has been met
- Will inform the JCQ Centre Inspection Service to timescale by submitting a JCQ Alternative Site 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

## **Transferred candidate arrangements**

### **Exams officer**

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

## **Internal exams/assessments**

### **Exams officer**

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

### **SENCo (or equivalent role)**

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

### **Teaching staff**

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

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

### **Head of centre**

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

## **Access arrangements**

### **Exams officer**

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

## **Candidate absence**

An absent candidate may subsequently arrive once the exam is underway, becoming a late or very late arrival, at which point South Lincolnshire Academies Trust reserves the right to exercise discretion whether to allow a candidate who arrives after the start of the examination to enter the examination room and sit the examination (see **Candidate Late Arrival**)

Any candidates entered for an exam that are absent at the time of the exam will be notified to the Exams Officer and the Attendance Manager by the Year Lead. The exam entry will be checked and if still valid the candidate will be contacted by the Pastoral staff. A minibus will be sent to collect them if required

If a candidate fails to sit an examination, a confirmed candidate absence is clearly recorded on the attendance register which is sent to the examiner/marker and is noted on the seating plan by either crossing through the candidate details or marking as Abs.

Any exams not attended will be charged to the student's parent/carer.

Based upon the circumstances for the absence, and subject to the required conditions being met, an application for special consideration may also be made to the relevant awarding body. The conditions are:

- the examination is in the candidate's terminal exam series (SC 4.2)
- the candidate has completed or will be able to complete the required percentage of the assessment to meet the minimum requirements for enhanced grading in cases of acceptable absence (SC 4.5)
- the application for special consideration can be supported by appropriate evidence signed by a member of the senior leadership team (SC 6)

## **Invigilators**

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

## **Candidates**

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

## **Candidate behaviour**

See *Irregularities* below.

## **Candidate belongings**

See *Unauthorised items* below.

## **Candidate late arrival**

## **Exams officer**

- Ensures that candidates who arrive very late for an exam are reported to the awarding body by submitting a report on candidate admitted very late to examination room using CAP to timescale
- Warns candidates that their script may not be accepted by the awarding body
- Sends the script of a candidate who arrives late/very late to the awarding body/examiner in the normal way (ICE 21.4)
- Submits on-line, using the Centre Admin Portal (CAP), Form JCQ/VLA – Report on candidate admitted very late to examination room within 7 days of the examination having taken place, providing the following details:
  - The time the candidate came under centre staff supervision
  - The reason the candidate arrived late, including any details of special arrangements made for the candidates to reach the centre
  - The actual starting and finishing times of the examination
  - The time the candidate started the examination
  - The time the candidate finished the examination
  - Any assurances that the candidate did not access and was not made aware of the paper's content prior to sitting the exam (ICE 21.4)

## **Invigilators**

- Are informed of the policy/process for dealing with late/very late arrival candidates through training
- Ensure candidates who arrive late/very late are given the required instructions prior to starting the examination (the invigilation's announcement) without disturbing other candidates
- Ensure that relevant information is recorded on the exam room incident log
- Allow a candidate who arrived late/very late, and is allowed the full working time to do the examination, to continue after the normal finishing time, instructing them to stop working after the full working time allowed has passed (ICE 26.2)

## Candidate Late Arrival Policy

A candidate will be considered late if they arrived:

- After the start of the examination and (for an examination which lasts an hour or more) up to 10.00am for a morning examination or up to 2.30pm for an afternoon examination (ICE 21.1)

A candidate will be considered very late if they arrived:

- More than one hour after the awarding body's published starting time for an examination which lasts one hour or more, i.e. after 10.00am for a morning examination or after 2.30pm for an afternoon examination (ICE 21.3)
- After the awarding body's published finishing time for an examination that lasts less than one hour (ICE 21.3)

This policy confirms that South Lincolnshire Academies Trust reserves the right to exercise discretion whether to allow a candidate who arrives after the start of the examination to enter the examination room and sit the examination and confirms:

- The correct procedures are followed when dealing with a candidate who arrives late to an examination
- Appropriate arrangements are in place for the management of late arrivals in order to maintain the security and integrity of the examination

The following procedures are applied at South Lincolnshire Academies Trust in relation to candidates who arrive late to examinations:

- A candidate who arrives after the start of the examination may be allowed to enter the examination room and sit the examination (ICE 21.1)
- A candidate who arrives late, and is permitted to sit the examination, will be allowed the full time for the examination (ICE 21.2)
- A candidate who arrives within one hour of the awarding body's published starting time for an examination which lasts an hour or more, ie a candidate arriving up to 10.00am for a morning examination or up to 2.30pm for an afternoon examination **will** be permitted by the centre to sit the examination
- A candidate who arrives after 10.00am for a morning examination, or 2.30pm for an afternoon examination, will be considered very late (ICE 21.3) and **will** be permitted by the centre to sit the examination
- a candidate who arrives after the awarding body's published finishing time for an examination that lasts less than one hour will be considered very late (ICE 21.3) and **will** be permitted by the centre to sit the examination
- a candidate who arrives very late will be warned that the awarding body may not accept their script (ICE 21.4)
- If a candidate arrives in the afternoon for a paper that had been re-arranged for a morning session, may be allowed to take the paper at the published time as long as the candidate has not had any contact with candidates who sat the paper earlier (ICE 21.5) The awarding body will be informed of the situation and will decide whether to accept the script (ICE 21.6)
- In all cases the centre will submit declarations for the very late arrival of candidates for examinations, in accordance with the current JCQ document **Instructions for conducting examinations** (GR 5.9)

## **Exams officer**

The Exams Officer will:

- Inform invigilators of the process for dealing with candidates who arrive late/very late through training
- Provide an exam room incident log for invigilators to record relevant information relating to candidates who arrive late/very late
- Warn a candidate who arrives very late that the awarding body may not accept their script (ICE 21.4)
- Send the script of a candidate who arrives late/very late to the awarding body/examiner in the normal way (ICE 21.4)

## **Invigilators**

Invigilators will:

- Ensure candidates who arrive late/very late are given the required instructions prior to starting the examination (the invigilator's announcement) without disturbing other candidates:
- Ensure relevant information is recorded on the exam room incident log relating to candidates who arrive late/very late
- Allow a candidate who arrived late/very late, and is allowed the full working time to do the examination, to continue after the normal finishing time, instructing them to stop working after the full working time allowed has passed (ICE 26.2)

## **Conducting exams**

### **Head of centre**

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

### **Exams officer**

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

## **Dispatch of exam scripts**

### **Exams officer**

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

## **Exam papers and materials**

### **Exams officer**

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

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

This policy confirms that South Lincolnshire Academies Trust reserves the right to exercise discretion whether to allow food and drink in the examination room, and confirms:

- the correct procedures are followed regarding food and drink in the examination room
- appropriate arrangements are in place for the management of food and drink in the examination room
- Any food and drink is only allowed in the examination room at the discretion of the head of centre. (ICE 18.2)

To enable invigilators to check these items quickly and efficiently:

- Drink bottles should be transparent with all labels removed which would include transparent, reusable plastic bottles (ICE 18.2)
- Only water should be taken in to the exam rooms.
- Food will not normally be allowed unless for medical reasons.
- Any food should not be in wrappers and should be able to be eaten quietly e.g. sweets to stop a cough, food required by a diabetic.

## Head of centre

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

## Exams Officer

- Ensures candidates are aware of the regulations, and centre-specific arrangements, relating to food and drink in the examination room
- Ensures invigilators are trained and aware of the regulations/centre-specific arrangements relating to food and drink in the examination room
- Escalates any issue or breach of centre-specific arrangements to the relevant senior leader for the application of internal sanction(s)
- Escalates any breach of JCQ regulations immediately to the head of centre (a breach of the regulations constitutes suspected or actual malpractice)

## Invigilators

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



## Leaving the Examination Room Policy

Candidates leaving the examination room at South Lincolnshire Academies Trust is managed in line with JCQ regulations.

This policy confirms:

- The correct procedures are followed in relation to candidates leaving the examination room

### Arrangements for leaving the examination room

- For examinations that last one hour or more, candidates must stay under centre supervision until 10.00am for a morning examination or 2.30pm for an afternoon examination, i.e. one hour after the awarding body's published starting time for that examination (ICE 23.1)
  - For examinations that last less than one hour, candidates must be supervised and question papers must be kept in secure storage until the published finishing time of the examination (ICE 23.2)
  - Candidates who are allowed to leave the examination room temporarily must be accompanied by a member of centre staff. This must not be the candidate's subject teacher or a subject expert for the examination in question (ICE 23.3)
  - Candidates can only leave the examination room where necessary or where supervised rest breaks have been granted by the SENCo. The centre must ensure that candidates who leave the room do not have access to any unauthorised materials (ICE 23.4)
- Candidates will not normally be allowed to leave the exam room until the examination has finished.
  - If there is an impelling reason for this to happen e.g. a toilet break due to a medical condition, they will be escorted by an invigilator.
  - Time will not normally be added back for a short break.

### Exams Officer

- Ensures invigilators are aware how candidates who may be allowed to leave the examination room temporarily should be managed and recorded

### Invigilators

- Ensures a candidate who may be allowed to leave the examination room temporarily is accompanied by a member of centre staff who is not the candidate's subject teacher or a subject expert for the examination in question (ICE 23.3)
- Records instances on the exam room incident log of candidates who may be allowed to leave the examination room temporarily because they may be feeling unwell or require a toilet break (ICE 20.2)

### Exams officer

- Ensures exam rooms are set up and conducted as required in the regulations
- Provides invigilators with appropriate resources to effectively conduct exams
- Briefs invigilators on exams to be conducted on a session by session basis (including the arrangements in place for any transferred candidates and access arrangement candidates)

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

## **Senior leaders**

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

### **Emergency Evacuation Policy**

This is available on request if required and displayed in the examinations room(s).

### **Lockdown Policy**

- See Appendix 3

## **Site staff**

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

## **Invigilators**

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

## **Candidates**

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

## **Irregularities**

## **Head of centre**

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

- **Managing Behaviour Policy**

The purpose of this policy is to confirm that candidate behaviour in the examination room at South Lincolnshire Academies Trust is managed in line with JCQ regulations.

To ensure candidates are aware of the standard of behaviour that is required in the examination room, South Lincolnshire Academies Trust will:

- Ensure the **JCQ Information for candidates documents** (coursework, non-examination assessments, on-screen tests, social media and written examinations) and awarding body privacy notices are distributed to all candidates whether electronically or in hard copy format **prior** to assessments and/or examinations taking place ([GR 5.8](#))
- Ensure candidates are also made aware of the content of the JCQ **Unauthorised items** and **Warning to candidates** posts ([GR 5.8](#))
- Ensure candidates are briefed prior to assessments and/or examinations taking place on what they must and must not do when sitting written examinations and/or on-screen tests, and when producing coursework and/or non-examination assessments ([GR 5.8](#))

### **Candidate malpractice**

- ‘Malpractice’ means any act, default or practice which is a breach of the Regulations ([SMPP 1.2](#))
- Suspected malpractice means all alleged or suspected incidents of malpractice ([SMPP 2](#))
- ‘Candidate malpractice’ normally involves malpractice by a candidate in connection with any examination or assessment, including the preparation and authentication of any controlled assessments, coursework or non-examination assessments, the presentation of any practical work, the compilation of portfolios of assessment evidence and the completion of an examination ([SMPP 2](#))
- Inappropriate behaviour by a candidate in the examination room or assessment session is deemed ‘candidate malpractice’
- Failure by a centre to notify, investigate and report to an awarding body all allegations of malpractice or suspected malpractice constitutes malpractice in itself ([SMPP 1.7](#))

### **Instructions for conducting examinations – Malpractice in the examination room**

The following requirements are applied at South Lincolnshire Academies Trust:

- Candidates are under formal examination conditions from the moment they enter the room in which they will be taking their examination(s) until the point at which they are permitted to leave
- Candidates must not talk to, attempt to communicate with or disturb other candidates once they have entered the examination room. If they do, this must be reported to the relevant awarding body
- Candidates must not open the question paper until the examination begins. If they do, this must be reported to the relevant awarding body ([ICE 19.1](#))
- Where a candidate is being disruptive, the invigilator must warn the candidate that they may be removed from the examination room. The candidate must also be warned that the awarding

body will be informed and may decide to penalise them, which could include disqualification (ICE 24.1)

- The head of centre must report to the awarding body immediately all cases of suspected or actual malpractice in connection with the examination (ICE 24.3)
- The head of centre has the authority to remove a candidate from the examination room but should only do so if the candidate would disrupt others by remaining in the room (ICE 24.3)
- Where candidates commit malpractice, the awarding body may decide to penalise them, which could include disqualification. Candidates should be warned of the possible penalties an awarding body may apply as detailed in the JCQ document **Suspected Malpractice: Policies and Procedures** (ICE 24.5)

## **Senior leaders**

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

## **Exams Officer**

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

## **Invigilators**

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

## **Malpractice**

See *Irregularities* above.

## **Special consideration**

### **Senior leaders**

- Support eligible applications for special consideration by signing appropriate evidence

### **Exams officer**

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

## **Special Consideration Policy**

Please see Appendix 2.

## **Candidates**

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

## **Unauthorised items**

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

If a candidate takes unauthorised items into the exam room these should be handed into the invigilator at the start of the exam. This includes mobile phones, electronic devices, Air pods, earphones, earbuds, wrist watches, smart glasses or any other smart device. Failure to do so will result in the awarding body being informed and appropriate action taken including the possibility of disqualification from this and further exams.

## **Invigilators**

- Are informed of the arrangements through training

## **Internal exams/assessments**

### **Exams officer**

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

### **Invigilators**

- Conduct internal exams as briefed by the EO

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

### **Head of centre**

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

## **Internal assessment**

### **Senior leaders**

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

## **Managing results day(s)**

### **Senior leaders**

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

### **Exams officer**

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

### **Results day programme**

This may vary from year to year but will be notified to the students and their parents in advance via e-mail and also the Trust's web sites.

### **Site staff**

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

### **Accessing results**

#### **Head of centre**

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

#### **Exams officer**

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

### **Post-results services**

#### **Head of centre**

- Ensures an **internal appeals procedure** is available where candidates disagree with any centre decision not to support a clerical re-check, a review of marking, a review of moderation or an appeal
- Ensures that senior members of centre staff are available immediately after the publication of results

- Understands that if the centre has concerns about one of its component/subject cohorts, then requests for reviews of marking should be submitted for all candidates believed to be affected (candidate consent is required as marks and subject grades may be lowered, confirmed or raised)

### **Exams officer**

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

### **Teaching staff**

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

### **Candidates**

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

### **Analysis of results**

#### **Deputy Chief Executive Officer:**

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

### **Certificates**

Certificates are provided to centres by awarding bodies after results have been confirmed. Certificates always remain the property of the awarding bodies.

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

The purpose of this policy is to confirm how South Lincolnshire Academies Trust issues examination certificates to candidates and the policy for the retention of any unclaimed/uncollected certificates in compliance with JCQ regulations.

South Lincolnshire Academies Trust will:

- Obtain and maintain accurate candidate contact information to ensure the correct and secure despatch of certificates (GR 5.14)
- Distribute certificates to all candidates without delay and regardless of any disputes (GR 5.14)
- Not withhold any certificate without prior permission from the relevant awarding body which will only be given in very exceptional circumstances (GR 5.14)
- Keep a record of the certificates that are issued (GR 5.14)
- Return any certificates requested by the awarding bodies as certificates always remain the property of the awarding bodies (GR 5.14)

Once all the certificates have been received from the awarding bodies, they will be collated and made available for collection. Candidates will be notified by InTouch and via the web site that they are available. The school's reception should be contacted and a convenient time arranged.

Certificates will be kept for 14 months after they become available for collection. After this date they may be destroyed and a record of certificates that have been destroyed retained for 4 years from their date of destruction. Candidates will be informed that some awarding bodies do not offer a replacement certificate service and in such circumstances the awarding body will issue a Certifying Statement of Results which will provide an accurate and complete record of results for all qualifications covered by the original certificate. Any replacement certificates required will be at the cost of the candidate.

### **Candidates**

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

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

#### **Exams officer**

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

#### **Senior leaders**

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

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

#### **Exams officer**



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

## **Exams Archiving Policy**

The purpose of this policy is to:

- Identify exams-related information/records held by the exams office
- Identify the retention period
- determine the action required at the end of the retention period and the method of disposal
- inform or supplement the centre-wide records management policy/data retention policy
- see Appendix 1

## APPENDIX 1

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
<b>Access arrangements information</b>	Any hard copy information kept by the EO relating to an access arrangement candidate.	To be returned to SENCo (or equivalent role) as records owner at the end of the candidate's final exam series.	
<b>Alternative site arrangements</b>	Any hard copy information generated on an alternative site arrangement. Notifications submitted online via CAP.	To be retained until after the deadline for review of results.	Confidential destruction by licenced company
<b>Attendance register copies</b>		(Reference ICE 12,...22: ...keep signed records of the seating plan, the invigilation arrangements and the centre's copies of the attendance registers for each examination. The awarding bodies may need to refer to these records. The centre must keep them until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.....keep a copy of the attendance register until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later)	Confidential destruction by licenced company
<b>Awarding body exams administration information</b>	Any hard copy publications provided by awarding bodies.	To be retained until the current academic year update is provided.	Disposed of in recycling bin
<b>Candidates' scripts</b>	Any unwanted copies of scripts returned to the centre through the Access to Scripts (ATS) service.	To be retained securely until the awarding body's earliest date for confidential disposal of unwanted scripts.  (Reference GR 3.15: ... ensure that when scripts that have been returned under access to scripts arrangements are no longer required, they are disposed of in a confidential manner, but no earlier than the dates specified by the awarding bodies.)	Confidential destruction by licenced company
<b>Candidates' work</b>	Non-examination assessment work returned to the centre by the awarding body at the end of the moderation period.	To be logged on return to the centre and immediately returned to subject staff as records owner.  To be stored safely and securely along with work that did not form part of the moderation sample (including materials stored electronically)  (Reference GR 3.15: ...store safely and securely all non-examination assessments, including controlled assessments, including coursework or portfolios, retained in, or returned to, the centre until the deadline for a review of moderation has passed or until a review of moderation, an appeal or a malpractice investigation has been completed, whichever is later. This includes materials stored electronically. See paragraph 4.8 of the Jcq publication <i>Instructions for conducting non - examination assessments</i> )	Returned to candidates or safe disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		<a href="https://www.jcq.org.uk/exams-office/non-examination-assessments">https://www.jcq.org.uk/exams-office/non-examination-assessments</a>	
<b>Centre consortium arrangements for centre assessed work</b>	Any hard copy information generated or relating to consortium arrangements for centre assessed work. Applications submitted online via CAP.	To be retained until after the deadline for review of results	Confidential destruction by licenced company
<b>Certificates</b>	Candidate certificates issued by awarding bodies.	Reference GR 5.14: retain all unclaimed certificates under secure conditions for a minimum of 12 months from the date of issue)	Confidential destruction by licenced company
<b>Certificate destruction information</b>	A record of unclaimed certificates that have been destroyed.	Reference GR 5.14: destroy any unclaimed certificates after retaining them for a minimum of 12 months. They must be destroyed in a confidential manner. Centres that do not have a means of destroying certificates confidentially may return them to the respective awarding body. A record of certificates that have been destroyed should be retained for four years from their date of destruction. However, candidates should be informed that some awarding bodies do not offer a replacement certificate service. In such circumstances the awarding body will issue a Certifying Statement of Results... (Where an awarding body issues a replacement certificate, or a Certifying Statement of Results, this will provide an accurate and complete record of results for all qualifications covered by the original certificate)  ....return any certificates requested by the awarding bodies. Certificates always remain the property of the awarding bodies.	Confidential destruction by licenced company
<b>Certificate issue information</b>	A record of certificates that have been issued.	Reference GR 5.14: ...obtain and maintain accurate candidate contact information to ensure the correct and secure despatch of certificates...distribute certificates to all candidates without delay and regardless of any disputes (such as non-payment of fees). Certificates must not be withheld without prior permission from an awarding body which will only be given in very exceptional circumstances. A record should be kept of the certificates that are issued...)	
<b>Confidential materials: initial point of delivery logs</b>	Logs recording awarding body confidential exam materials received by an authorised member of staff at the initial point of delivery and the secure movement of packages by an authorised member of staff to the secure room for transferral to the centre's secure storage facility.	To be retained until results released to students	Confidential destruction by licenced company
<b>Confidential materials: receipt, secure movement and secure storage logs</b>	Logs recording confidential exam materials received, securely moved, checked and placed in the secure storage facility by the exams officer (or other authorised member of centre staff) throughout the period the materials are	To be retained until results released to students	Confidential destruction by licenced company

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
	confidential. (Including for example, the handling of confidential MFL Listening materials).		
<b>Conflicts of interest records</b>	Records demonstrating the management of conflicts of interest.	Reference GR 5.3: ...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.)	Confidential destruction by licenced company
<b>Dispatch logs</b>	Proof of dispatch of exam script packages to awarding body examiners covered by the DfE (Standards & Testing Agency) yellow label service (England only).		Confidential destruction by licenced company
<b>Entry information</b>	Any hard copy information relating to candidates' entries.		Confidential destruction by licenced company
<b>Exam question papers</b>	Question papers for timetabled written exams.	(Reference ICE 31: Question papers must not be released to centre personnel until after the awarding body's published finishing time for the examination or, in the case of a timetable variation, until all candidates within the centre have completed the examination.  For CCEA examinations question papers must not be released until 21 hours after the published finishing time for the examination).  (Reference GR 6.13: ...For confidentiality purposes question papers must not be released to centre personnel for use in accordance with paragraph 6.12 until after the awarding body's published finishing time for the examination or, in the case of a timetable variation, until all candidates within the centre have completed the examination. This does not restrict access to question papers by authorised centre personnel for the purpose of conducting examinations... )	Issued to subject staff
<b>Exam room checklists</b>	Checklists confirming exam room conditions and invigilation arrangements for each exam session.		Confidential destruction by licenced company
<b>Exam room incident logs</b>	Logs recording any incidents or irregularities in exam rooms for each exam session.		Confidential destruction by licenced company
<b>Exam stationery</b>	Awarding body exam stationery provided solely for the purpose of external exams.	Reference ICE 30: ...return unused stationery to the secure storage facility or secure room until needed for a future examination. Surplus stationery must not be used for internal school tests,	Confidential destruction by licenced company

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		mock examinations and non-examination assessments... destroy confidentially any out-of-date stationery.)	
<b>Examiner reports</b>		(Where/if provided) To be immediately provided to head of department as records owner.	
<b>Finance information</b>	Copy invoices for exams-related fees.	To be returned to Finance department as records owner at the end of the academic year.	Confidential destruction by licenced company
<b>Handling secure electronic materials logs</b>	(Where used by the centre) Logs recording the arrangements applied when handling secure electronic materials provided to the centre and accessed by the exams officer (or other authorised member of centre staff)		
<b>Invigilation arrangements</b>	See <i>Exam room checklists</i>		Confidential destruction by licenced company
<b>Invigilator and facilitator training records</b>		(Reference ICE 12: A record of the content of the training given to invigilators and those facilitating an access arrangement for a candidate under examination conditions must be available for inspection and retained on file until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.)	Confidential destruction by licenced company
<b>Moderator reports</b>		(Where printed from electronic copy) To be immediately provided to head of department as records owner.	
<b>Moderation returns logs</b>	Logs recording the return of candidates' work to the centre by the awarding body at the end of the moderation period		Confidential destruction by licenced company
<b>Overnight supervision information</b>	The JCQ <i>Overnight Supervision</i> form is completed online using CAP. The JCQ <i>Overnight Supervision Declaration</i> form is downloaded from CAP for signing by the candidate, the supervisor and the head of centre.  Any hard copy information relating to overnight supervision arrangements. Reports submitted online via CAP.	(Reference ICE 8: ...keep all completed forms available for inspection until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later. Forms may be stored electronically or in hard copy paper format and must not be sent to an awarding body, unless specifically requested...)	Confidential destruction by licenced company

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
<b>Post-results services: confirmation of candidate consent information</b>	Hard copy or email record of required candidate consent.	(Reference <a href="#">PRS 4.2</a> , plus appendix A and B: Consent forms or emails from candidates <b>must</b> be retained by the centre and kept for at least six months following the outcome of the clerical re-check or review of marking or any subsequent appeal. The awarding bodies reserve the right to inspect such documentation).	Confidential destruction by licenced company
<b>Post-results services: requests/outcome information</b>	Any hard copy information relating to a post-results service request (RoRs, appeals, ATS) submitted to an awarding body for a candidate and outcome information from the awarding body.		Confidential destruction by licenced company
<b>Post-results services: tracking logs</b>	Logs tracking to resolution all post-results service requests submitted to awarding bodies.		Confidential destruction by licenced company
<b>Private candidate information</b>	Any hard copy information relating to private candidates' entries.		Confidential destruction by licenced company
<b>Proof of postage – candidates' work</b>	Proof of postage of sample of candidates' work submitted to awarding body moderators.  (Proof of postage of candidates' scripts to awarding body examiners/markers)	(Reference <a href="#">ICE 29</a> : Centres not involved in the secure despatch of exam scripts service... must obtain proof of postage/despatch for each packet of scripts, which must be retained on the centre's files until the results are published, in case of loss or damage. (Proof of postage will provide evidence that the candidates' scripts have left the centre. This will indicate that the scripts were written at the appointed time and that, should the scripts not be received by the awarding body/examiner, then special consideration may be possible.) ...)	Confidential destruction by licenced company
<b>Resilience arrangements: Evidence of candidate performance</b>	The collection of evidence of student performance to ensure evidence in the qualifications system	Reference Ofqual <a href="#">Guidance on collecting evidence of student performance to ensure resilience in the qualifications system</a> : <b>Retention of work</b> Student work, either the original or a copy, must always be retained by the centre. Student work can be retained digitally or physically. Students may be given copies, or the original work, where this would support their study.	
<b>Resolving timetable clashes information</b>	Any hard copy information relating to the resolution of a candidate's clash of timetabled exam papers		Confidential destruction by licenced company
<b>Results information</b>	Broadsheets of public examination results summarising candidate final grades by subject by exam series.	Records for current year plus previous 6 years to be retained as a minimum.	Confidential destruction by licenced company

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
<b>Seating plans</b>	Plans showing the seating arrangements of all candidates for every exam taken.	(Reference ICE 12: ...keep signed records of the seating plan, the invigilation arrangements and the centre's copies of the attendance registers for each examination. The awarding bodies may need to refer to these records. The centre must keep them until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later...)	Confidential destruction by licenced company
<b>Second pair of eyes check records/forms</b>	Records of the check that must take place by a second person (additional to the person removing question paper packets from secure storage) immediately before a question paper packet is opened	(Reference ICE 5, 18: In order to avoid potential breaches of security, care must be taken to ensure that the correct question paper packets are opened.  A member of centre staff, additional to the person removing the question paper packets from secure storage, eg an invigilator, must check the day, date, time, subject, unit/component and tier of entry, if appropriate, immediately before a question paper packet is opened. This second pair of eyes check must be recorded).	
<b>Special consideration information</b>	Any hard copy information relating to a special consideration application which has been submitted to an awarding body for a candidate and signed evidence produced by a senior leader in support of the application.	(Reference SC 6: All applications <b>must</b> be supported by appropriate evidence signed by a member of the senior leadership team. <b>The centre must retain this evidence until after the publication of results.....</b> ( A centre may be asked by an awarding body to provide signed evidence.)	
<b>Suspected malpractice reports/outcomes</b>	Any hard copy information relating to a suspected or actual malpractice investigation/report submitted to an awarding body and outcome information from the awarding body.		Confidential destruction by licenced company
<b>Transferred candidate arrangements</b>	Any hard copy information relating to a transferred candidate arrangement. Applications submitted online via CAP.		Confidential destruction by licenced company
<b>Very late arrival reports/outcomes</b>	Any hard copy information relating to a candidate arriving very late to an exam. Reports submitted online via CAP.		Confidential destruction by licenced company

# Special Consideration Policy

## 2024/25

### **What defines special consideration?**

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

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

Special consideration can only go some way to assist a candidate affected by a potentially wide range of difficulties, emotional or physical, which may influence performance in their assessments. It cannot remove the difficulty faced by the candidate. This means that there will be some situations where candidates should not be entered for a qualification or a unitised examination. This is because only minor adjustments can be made to the mark awarded. To make larger adjustments would jeopardize the standard of the qualification. (JCQ's **A guide to the special consideration process**, 1).

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

### **Purpose of the policy**

The purpose of this policy is to identify roles and responsibilities in the special consideration process and confirms that South Lincolnshire Academies Trust will... submit any applications for special consideration where candidates meet the published criteria. (JCQ's [General Regulations for Approved Centres](#), section 5.9)

### **Eligibility for special consideration**

#### **Roles and responsibilities**

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

- Is familiar with the contents, refers to and directs relevant centre staff to the annually updated JCQ publication [SC](#)
- Ensures that, where relevant and in eligible situations, applications for special consideration will be submitted to awarding bodies by the exams officer

##### **Exams officer**

- Understands the criteria as detailed in [SC](#) to determine where candidates will/will not be eligible for special consideration



- Ensures that, where relevant and in eligible situations, applications for special consideration will be submitted to awarding bodies

### Teaching staff and/or SENCo (or equivalent role)

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

### Candidates (or parents/carers)

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

### Applying for special consideration

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

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

1. Where a candidate may arrive for an exam and is clearly unwell, extremely distressed and/or may have sustained an injury that requires emergency access arrangements to be put in place:
  - the candidate will be kept comfortable and under centre supervision from the required time while appropriate arrangements are put in place for the candidate to take the exam in the best possible conditions
  - a judgement will be made on how the candidate's situation or disposition affected performance in the exam
  - where appropriate and where eligible, special consideration will be applied for
2. Where candidates may be affected by a major disturbance in the exam room (emergency evacuation etc.), an online application for special consideration will be submitted to the relevant awarding body where candidates have been disadvantaged.
3. Special consideration will be applied for an allowance on the last paper taken in a day when a candidate has been entered for three or more exams **timetabled for the same day** and the total duration of those papers is more than 5 hours 30 minutes (GCSE, Level 1 and Level 2 examinations) or more than 6 hours (GCE and Level 3 examinations). (Where extra time has been used following formal approval, this will be included in the calculation. Supervised rest breaks **will not** be included in the total duration of the papers when applying for special consideration).
4. Where a candidate may be affected by a minor disturbance in the exam room caused by another candidate such as momentary bad behaviour, a mobile phone ringing, or a momentary fire alarm, the candidate would not be eligible for special consideration.

The centre **must not** submit applications for special consideration for trivial cases. Examples of trivial cases which **would not** warrant special consideration include, but are not limited to:

- A bird tweeting outside the examination room
- A lorry reversing
- A toilet being flushed
- Doors in a corridor adjacent to the examination room opening and closing
- Very short, momentary noise from, for example, aeroplanes, helicopters, lawn mowers (SC 1)

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

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

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

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

## **Processing applications for special consideration**

### **Roles and responsibilities**

#### **Head of centre**

- Ensures that all eligible applications will be supported by appropriate evidence signed by a member of the senior leadership team

#### **Senior leadership team**

- Sign appropriate evidence to support all eligible applications

#### **Exams officer**

- Understands that special consideration must be applied for at the time of the assessment

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

### **Teaching staff and/or SENCo (or equivalent role)**

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

### **Candidates (or parents/carers)**

- Will be asked to provide any medical or other evidence that may be required to support an application for special consideration
- Will be informed that all cases must be dealt with by the centre

### **Submitting applications for special consideration**

Where a candidate or group of candidates is/are eligible for special consideration, applications will be submitted to the relevant awarding body following the published processes in SC.

In cases of online applications for special consideration, the candidate/candidates will be informed when an application for special consideration is submitted to the awarding body (to ensure compliance with the UK GDPR/Data Protection Act 2018).

Evidence to support all applications will be retained on file until after the publication of results.

### **Timetabled written exams**

- Applications for individual candidates will be submitted online (where the awarding body's secure system accepts these) by logging into the relevant awarding body secure extranet site and following the links to special consideration
- The processes for submitting a single application to cover all exams affected where a candidate is present but disadvantaged and a separate application for each day on which exams are missed where a candidate is absent from an examination for an acceptable reason detailed in [SC 6](#) will be followed
- [Form 10 Application for special consideration](#) will only be completed and submitted to the awarding body where a paper application is specifically required by the awarding body
- For cases involving groups of candidates, applications will be made online where the awarding body's secure system accepts group applications or form 10 will be completed
- [Form 14 Self certification form](#) (Self certification for candidates who have missed an examination) will only be completed by a candidate/parent/carer where circumstances warrant this and will not be used where the centre knows the candidate was ill

## **Internally assessed work**

- Where appropriate, applications will be made online where the awarding body's secure system accepts them or form 10 will be completed and submitted to the awarding body
- Where a short extension to a work submission deadline for an individual candidate is being requested, the awarding body will be contacted directly
- Where an application relates to a shortfall in work for an individual candidate, this will be submitted online or by completing form 10, dependent on the awarding body

## **Post assessment adjustments – special consideration (Vocational qualifications)**

- Where the learner's circumstances are eligible, form 10 or [form VQ/SC Application for special consideration - Vocational qualifications](#) will be completed and submitted to the awarding body

## **Private candidates**

- Any private candidate entered by the centre must liaise with the exams officer (not the awarding body) regarding any application for special consideration

## **Applications post-publication of results**

If, after the publication of results for a particular exam series, a claim is made that special consideration was not applied for at the time of an assessment where a candidate was eligible, the claimant will be informed that late applications will only be accepted by an awarding body in the most exceptional circumstances and where a member of the senior leadership team is able to produce compelling evidence to support a late application.

If a claim is made after the completion of a review of results, the claimant will be informed that an application for special consideration cannot be submitted.

## **Appendix 3**

# **Lockdown Policy for Examinations**

(Please also refer to the SLAT Lockdown Procedure in the Health and Safety Policy)

## **Purpose of the policy**

This policy details the measures taken at South Lincolnshire Academies Trust (SLAT) in the event of a centre lockdown during the conducting of examinations.

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

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

A lockdown may be required in the following situations (this is not an exhaustive list):

- an incident or civil disturbance in the local community which poses a risk
- an intruder on the site with the potential to pose a risk
- local risk of air pollution, such as a smoke plume or gas cloud
- a major fire in the vicinity
- a dangerous animal roaming loose
- an internal threat from a student
- any other external or internal incident which has the potential to pose a threat to the safety of exams staff and candidates

South Lincolnshire Academies Trust has devised lockdown procedures during the conducting of examinations after consulting [ProtectUK](#) and the Department of Education's [School and college](#) security guidance.

In the event of a lockdown during an examination the focus before, during and after an exam will be:

- training staff engaged/involved in the conducting of examinations
- how to achieve an effective lockdown
- implementing [RUN, HIDE, TELL](#) principles
- the welfare and safety of exam candidates and centre staff engaged in the conducting of examinations
- how to let people know what's happening
- maintaining the integrity and security of the examinations/assessments process

## **Roles and responsibilities**

### **Head of centre**

- To ensure that a dedicated lockdown alarm tone is in place and recognised by all staff and candidates

- To ensure that all staff involved in the conducting of examinations are trained in how to raise the alarm for a lockdown, act effectively and made aware of their responsibilities
- To arrange appropriate training for all exams-related staff in lockdown procedures
- To ensure that candidates are aware of the procedures relating to a lockdown, particularly those arriving late for an examination who cannot access the exam room due to it being in lockdown
- To ensure that all candidates and staff are aware of a possible exit point in case an intruder manages to gain access, or the exam room becomes unsafe
- To provide written lockdown procedures for exam room/invigilator use
- To inform the relevant emergency services immediately in the case of any potential threat to the safety of exams staff and candidates

### **Senior leadership team (SLT)**

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

### **Exams officer**

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

### **Invigilators**

- To be aware of the centre's lockdown procedure
- To quickly and physically secure access/egress points
- To be aware of an effective communication system to inform authorities of the situation
- To complete attendance registers as soon as possible so candidates can be identified in the event of a lockdown
- Where safe/possible, to communicate with the exams officer during a lockdown to confirm the situation in a particular exam room

### **Lockdown procedure**

#### **Before an examination**

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

- A member of SLT will be present around exam room areas
- Candidates will be instructed to enter the exam room immediately

- Candidates will be instructed to remain silent, hide under exam desks or sit against a wall/around a corner but not near the door and to ensure mobile phones are on silent and non-vibrate mode
- Where safe/possible, the SLT member will communicate (via mobile phone/walkie talkie) the situation to the exams officer (ensuring that all mobile phones/walkie talkies are on silent and non-vibrate mode)
- Where safe/possible, the exams officer will collate the information from all exam rooms and forward this to the head of centre immediately
- Invigilators will:
  - lock all windows and close all curtains/blinds
  - switch off all lights
  - lock all doors and/or use tables, or any other furniture, to barricade the entrance to the examination room
  - take an attendance register/head count if possible
  - (if the threat is a chemical or toxic release) instruct candidates to cover their nose and mouth (their own clothing can be used) and attempt to use anything to hand to seal up cracks around doors and any vents into the room
  - where safe/possible, not leave the examination question papers unattended/out of sight
- The head of centre will make informed decisions on alerting parents/carers, awarding bodies and emergency services.

## During an examination

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

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

## After an examination

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

- Invigilators will:
  - stop dismissing candidates from the exam room
  - instruct candidates who have left the room to re-enter the exam room
  - instruct candidates to remain silent and hide under desks/tables
  - where safe/possible, communicate (via mobile phone/walkie talkie) the situation to the exams officer (ensuring that all mobile phones/walkie talkies are on silent and non-vibrate mode)
  - lock all windows and close any/all curtains/blinds
  - switch off all lights
  - lock all doors and/or use tables, or any other furniture, to barricade the entrance to the exam room
  - (if the threat is a chemical or toxic release) instruct candidates to cover their nose and mouth (their own clothing can be used) and attempt to use anything to hand to seal up cracks around doors and any vents into the room
  - where safe/possible, not leave the examination question papers and candidates' scripts unattended/out of sight
- Where safe/possible, the exams officer will collate the information from all exam rooms and forward this to the head of centre immediately

## Ending a lockdown

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



and where this may be applicable:

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