



The Duke of York's Royal Military School

Examinations Policy

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Approved By

Alex Foreman

Role

Principal

Signed

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Ethos and boarding aims

Ethos

Our aim is to provide an all-round education with an academic focus. We will promote the full development of students by providing a secure, professional, and caring environment in which each student is encouraged to reach his or her individual potential and is prepared for the opportunities, responsibilities, and experiences of adulthood. These goals will be achieved in the context of a learning, spiritual, moral, and pastoral ethos, which respects values of Christian and other faith communities, and our unique military tradition.

Boarding Aims

- To promote the student personal values of courage, discipline, respect, integrity, loyalty, and commitment within an environment where learning is at its heart.
- To promote a pastoral environment in which **all** students can live, grow and be happy.
- To develop a sense of community and belonging within our 100% co-educational boarding school.
- To develop and foster supportive relationships between students, parents, staff, and other stakeholders.
- To understand and provide for the particular and evolving educational and boarding needs of the military community.
- To promote a respect for the rights of others and their property.
- To promote good manners and develop social skills "*Manners Maketh Dukies*".
- To promote the "student voice" in the discussion of boarding matters.
- To promote and develop the unique military ethos of the School.
- To provide a boarding environment which develops respect for others and where bullying or other forms of harassment are not tolerated.
- To provide students with a range of activities and experiences which will develop their character, resilience, and leadership skills, allowing students to make a positive contribution to our School community and beyond.
- To provide the highest quality boarding accommodation, pastoral care and medical care that complies with the National Minimum Standards for Boarding Schools and exceeds them wherever possible.

Purpose of the policy

The Duke of York's Royal Military School (DOYRMS) is an accredited JCQ exams centre and the Governors, the Head of Centre and all members of staff are committed to ensuring that all aspects of the exams process are run effectively and efficiently, and in compliance with the published JCQ regulations and awarding body requirements.

The exam policy ensures that:

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

This policy is reviewed annually to ensure that the ways of working in the centre are accurately reflected and that exams and assessments are conducted in-line with current JCQ (and awarding body) regulations, instructions, and guidance. This policy will be communicated to all relevant centre staff.

Roles and responsibilities overview

Key staff involved in the exams policy	
Role	Name
Head of Centre (HOC)	Mr A Foreman (Principal)
SLT member responsible for exams	Mrs Emma Dixon (Vice Principal)
Examinations Officer (EO)	Mrs Joanne Harnett
Assistant Examinations Officer	Ms Vanessa Hollis
SENCO & Access arrangements testing	Mrs A Saunderson
Also mentioned in this policy:	Students, SLT, Heads of Department, teachers, invigilators, facilities and site staff, IT staff, external agencies, parents/carers.

JCQ general regulations define two statutory responsibilities within the centre (**hereinafter the 'centre' is referred to as the 'school'**).

The **Head of Centre (HOC)** is the individual who is accountable to the awarding bodies for ensuring that the school is compliant with the published JCQ regulations and awarding body requirements, protecting the security and integrity of the examinations/assessments at all times.

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

The HOC may not appoint themselves as the EO; HOC and EO are two distinct and separate roles.

Head of Centre (HOC): Mr Alex Foreman, Principal

- Understands the contents, refers to and directs relevant school staff to annually updated JCQ publications.
- Ensures the school has appropriate accommodation to support the size of the cohorts being taught, including appropriate accommodation for candidates requiring access arrangements for exams and assessments.
- Takes responsibility for responding to the National School Number Register annual update each year, confirming that they are both aware of, and adhering to the latest version of the JCQ regulations, signing and returning the Head of Centre's declaration, which is then kept on file for inspection purposes. [Updated annually and kept on file in the Exams office].
- Enables the relevant senior leader(s), the examinations officer, and the SENCO to receive appropriate training and support to facilitate the effective delivery of examinations and assessments within the centre, ensuring compliance with the published JCQ regulations.
- Has an overview of all aspects of the exam cycle; including entries, conduct of NEA and coursework, conduct of practical exams, conduct of written exams, the results process, the post-results process, and any applications for Special Consideration.
- Appoints a SENCO who will determine appropriate arrangements for candidates with learning difficulties and disabilities.
- Ensures that confidentiality and security within the examination process is compliant with, and managed according to JCQ and awarding body regulations, guidance and instructions, including:
 - The location of the centre's secure storage facility is in a secure room solely assigned to examinations for the purpose of administering secure examination materials.
 - Appropriate arrangements are in place to ensure that confidential materials are only delivered to authorised members of school staff.
 - Access to the secure room and secure storage facility is restricted to authorised key holders only.
 - The relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk.
 - That arrangements are in place to check that the correct question paper packets are opened by authorised members of school staff.
- Through taking an ethical approach and working proactively to avoid malpractice among students and staff, the HOC takes all reasonable steps to prevent the occurrence of any malpractice/maladministration before, during and after examinations have taken place.
- Ensures irregularities are investigated and that any cases of alleged, suspected, or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, are reported to the awarding body immediately.
- Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place (that allow the senior leadership team to act immediately in the event of an emergency or staff absence).
- To support him in these responsibilities, the HOC delegates the day-to-day overview of these tasks to a Vice Principal who takes responsibility for line-managing all aspects of the exams process. In the event of HOC and Vice Principal absence, responsibility will be escalated to the Assistant Principal.

[\(Escalation Process is attached to this policy as appendix 15\)](#)

- Is responsible for ensuring that the school has a full Exam Contingency Plan in place. [\(Exam Contingency Plan is attached to this policy as appendix A1\)](#)
- The HOC ensures that the required internal appeals procedures are in place and drawn to the attention of candidates and (where relevant) their parents/carers. [\(Internal Appeals Procedures are attached to this policy as appendix A10\)](#)
- Ensures that the school has Exams Disability Procedures, demonstrating that the school is aware of, and compliant with, relevant legislation; and that it details the processes followed in respect of identifying the need for, requesting, and implementing access arrangements. [\(Exams Disability Procedures are attached to this policy as appendix A2\)](#)
- Ensures that a Complaints and Appeals procedure is in place, covering general complaints regarding the school's delivery or administration of a qualification, which is drawn to the attention of candidates and their parents/carers. [\(Exams Complaints Procedures are attached to this policy as appendix A11\)](#)
- Ensures that the school has a Child Protection/Safeguarding policy in place, including Disclosure and Barring Service (DBS) clearance, which satisfies current legislative requirements. [\(Child Protection/Safeguarding Procedures are attached to this policy as appendix A12\)](#)
- Ensures the school has a Data Protection policy in place that complies with General Data Protection Regulation (GDPR) regulations. [\(Data Protection Procedures are attached to this policy as appendix A13, Exams Data Archiving Procedures are attached to this policy as appendix A3\)](#)
- Ensures that the school has documented processes in place relating to access arrangements and reasonable adjustments [\(Access Arrangements and reasonable adjustments procedures are attached to this policy as appendix A5\)](#)
- Ensures that the Exam Officer annually follows the 'conflict of interest' protocols, keeping written records that show that these have been undertaken, reporting any potential conflicts of interest that are disclosed to the relevant awarding bodies. [\(Conflict of interest procedures are attached to this policy as appendix A17\)](#)

Examinations Officer (EO): Mrs Joanne Harnett

- Is a named person, appointed by the HOC. The school also employs an assistant EO who works closely with the EO.
- Understands the contents of annually updated JCQ publications and is familiar with the contents of annually updated information from awarding bodies on administrative procedures, key tasks, key dates, and deadlines.
- Ensures key tasks are undertaken and key dates and deadlines met.
- Recruits, trains, and deploys a team of internal/external invigilators; appoints lead invigilators as required and keeps a record of the content of training provided to invigilators for the required period.
- Works with the SENCO to ensure that invigilators supervising access arrangement candidates, and those acting as a facilitator supporting access arrangement candidates, fully understand the respective role and what is/what is not permissible in the exam room.
- Supports the HOC in ensuring that awarding bodies are informed of any Conflict of Interest declared by members of school staff, and in maintaining records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected before the published deadline for entries.
- Briefs other relevant school staff who may be involved in the receipt and despatch of confidential exam materials on the requirements for maintaining the integrity and confidentiality of the exam materials.

Special educational needs co-ordinator (SENCO)

- Is familiar with the contents of the annually updated JCQ publications, particularly those relating to Access Arrangements and Reasonable Adjustments, referring to and directing relevant school staff to the relevant guidance.
- Leads on the Access Arrangements and Reasonable Adjustments process (referred to in this policy as 'access arrangements')
- Is the qualified Access Arrangements assessor responsible for all matters relating to assessing candidates and ensuring that the correct procedures are followed.

Planning - roles and responsibilities

The examination cycle

The exams management and administration process that needs to be undertaken for each exam series is referred to as the exam cycle and the various tasks required are grouped into the following stages:

- Planning
- Internal Assessments and Endorsements (known as NEA – non-examined assessment)
- Entries
- Pre-exams
- Exam time
- Results and post-results

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

Information sharing and gathering (EO)

- At the start of the exam cycle EO directs relevant staff to the annually updated JCQ documentation and updated materials released by awarding bodies. EO updates access rights for all staff who need access to awarding body secure websites.
- EO organises an annual information gathering exercise in preparation for each new academic year, to ensure that data about all qualifications being delivered is up to date and correct, and makes necessary adjustments to school's MIS system.
- EO combines information from a range of sources, including internal and awarding bodies' websites, to produce an overall 'exams plan' containing tasks to be performed and key deadlines.
- Head of Department responds (or ensures teaching staff respond) to requests from the EO on information gathering, meets the internal deadline for the return of information, and informs the EO of any changes to curriculum or courses in a timely manner. Circulates the internal deadlines in the annual exams plan and directs teaching staff to meet these.

Access arrangements (SENCO)

- SENCO assesses candidates and works closely with the appropriately qualified assessor to identify access arrangements (AA) requirements. Gathers evidence to support the need for access arrangements for a candidate. Liaises with teaching staff to gather evidence of the normal way of working for any identified candidate.
- Determines candidate eligibility for arrangements or adjustments that are centre delegated.
- Gathers signed Privacy Notices from candidates where required.
- With the EO, applies for approval through Access Arrangements Online (AAO) via the School Admin Portal (CAP) where required, or directly through the awarding body where qualifications sit outside the scope of AAO.

- Keeps a file for each candidate, containing all the required documentation for JCQ inspection purposes. Liaises with the EO regarding all aspects of arrangements for access arrangement candidates including rooming and the number/type of invigilators needed.
- Ensures that staff appointed to facilitate access arrangements for candidates are appropriately trained and understand the rules of the arrangement(s). 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/what is not permissible in the exam room.
- Provides, and annually reviews procedures to cover the use of word processors in exams and assessments. [\(Word processor procedures are attached to this policy as appendix A4\).](#)
- Ensures criteria for candidates granted separate invigilation within the school is contained within the 'Access Arrangements Policy', meets JCQ regulations and best meets the needs of individual candidates and remaining candidates in main exam rooms.

Internal assessment and endorsements (NEA) - Roles and responsibilities

Head of Centre

- Ensures that all aspects of coursework and NEA are carried out in accordance with the General Regulations for Approved Centres concerning the conduct of external qualifications produced by the Joint Council for Qualifications (JCQ). [\(Procedure for internal appeals are attached to this policy as appendix A10\)](#)
- Ensures that any irregularities relating to the production of work by candidates are investigated and dealt with internally, if discovered prior to a candidate signing the authentication statement (where required); or reported to the awarding body if a candidate has already signed the authentication statement.

Heads of Department and SLT members with line management responsibilities

- Ensure that teaching staff delivering any qualifications which include coursework follow JCQ Instructions for conducting coursework and the specification provided by the awarding body.
- Ensure that teaching staff delivering GCE & GCSE specifications (which include components of non-examination assessment) follow JCQ Instructions for conducting nonexamination assessments and the specification provided by the awarding body.
- For any other qualifications, ensure that teaching staff follow appropriate instructions issued by the awarding body.
- Ensure that teaching staff inform candidates of their school 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 that all aspects of coursework and NEA are carried out in-line with the school's guidelines.
- Ensure that candidates are aware of JCQ and awarding body information for candidates on producing work that is to be internally assessed prior to assessments taking place.

Examinations Officer

- Identifies relevant key dates and administrative processes that must be followed in relation to internal assessment. Signposts teaching staff to relevant JCQ information for candidate's documents.

Entries - Roles and responsibilities

Examinations Officer

- Provides HODs with a list of provisional entries, divided by subject, course and teaching class. This will be circulated in early January and when confirmed (or amended by HODs). Provisional entries will be made by the end of January.
- A second sheet of provisional entries is circulated to HODs in early February, and they are requested to sign a hard copy and confirm such entries as 'final'. Final entries are made in the week before the February half-term.
- For GCSE subjects with tiering the department will suggest a provisional tier for the February final entry.
- HODs will be asked to confirm the final tier of entry in the last week of term before the Easter break.
- At all stages, HODs are to be kept informed of both internal and external deadlines and the processes whereby exam boards can charge fees for amendments, late entry, or very late entry.
- If unavoidable changes are required (e.g., the withdrawal of a candidate, the last-minute addition of a candidate, or it comes to light that the wrong course code has been entered), subsequent to the final round of confirmed entries, it is the responsibility of the HOD to communicate such changes to the EO and to receive written confirmation that these changes have been acted upon.
- At all times, the EO and HODs should work together to ensure that the entries process runs in a timely fashion and that the needs for amendment or late-entry fees are minimised.
- After the completion of final entries, the EO shall issue to all candidates, via their form tutor, a printed statement of entry which lists all exams entered for that season. Candidates should check entries carefully with their form tutors. Form tutors are to notify the EO immediately of any discrepancies or omissions.

Head of Department (HoD)

- Has a basic overview of the entries process, including knowledge of internal and external deadlines and the charging process relating to amendments/withdrawals/late entries.
- Provides information requested by the EO in-line with internal deadlines, including checking lists of both provisional and final entries.
- Informs the EO straight away of any subsequent changes to final entry information.

Entry fees

In general, the school does not charge entry fees to candidates; all exams and assessments relating to a student's timetabled programme of study are paid for in full by the school. This includes post-16 students who are still required to study GCSE English and/or Maths. Where a student voluntarily follows an extra course or a programme of study beyond their regular timetable or where they wish to re-sit a qualification to gain a higher grade, the school reserves the right to charge an amount up to the full cost of the qualification; in such circumstances the fee would always be communicated to parents before the entry is made. In exceptional circumstances the school may host a small number of external candidates; such candidates will be charged the full cost of the entry plus a nominal entry fee to cover the cost of the school's admin and the exam invigilation.

Pre-examination preparations - roles and responsibilities

Access arrangements

SENCO

- Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access to exams/assessments for all candidates that require it. Ensures that all candidates are familiar with their arrangements, understand why they have been given them and how to use them.
- Ensures exam information such as JCQ Information for Candidates' information, individual exam timetable etc. are adapted where required to enable disabled candidate(s) to access it.
- Allocates appropriately trained school staff to facilitate access arrangements for candidates in exams and assessments (ensuring that the appointed facilitator meets JCQ requirements and fully understands the rule of the particular access arrangement).
- Checks individual timetables for candidates with extended time (over 25% ET) or rest breaks, or specific medical needs, and (with the EO) plans where any timetable variations may be required, for example, an earlier start time or an extended break between an AM and a PM exam.

Briefing candidates

SLT member with responsibility for exams

- Organises a briefing session for all candidates before each exam season. This can be for the whole examination's cohort, or it could be broken down into smaller cohorts. e.g., by year group.
- The briefing should include school-specific information for candidates around the following sub-headings:
 - exam timetables/venues/timings
 - exam timetable clashes
 - procedure if arriving late for an exam
 - absence or illness during exams (and procedure for toilet breaks)
 - what equipment is/is not provided by the centre
 - food and drink in exam rooms
 - items prohibited from exam rooms such as phones, wrist watches etc
 - conduct in exam rooms and the role of the invigilator
 - when and how results will be issued and the availability of relevant staff on results day
 - post-results services (EAR – Enquiries About Results, 'appeals') and how the school deals with requests from candidates
 - when and how certificates will be issued
- At the end of the briefing session students will be issued with a hard copy of the relevant JCQ 'information for candidates' document.
- The EO will issue individual exam timetables to candidates via email, and will inform candidates of any contingency day that awarding bodies may have identified for use in the event of national or local disruption to exams

Despatch of exam scripts

Examinations Officer

- Identifies requirements and confirms arrangements with Parcel Force for the daily despatch of candidate exam scripts using the DfE (STA) 'yellow label service'.

Internal assessment and endorsements

Heads of Department, with teaching staff

- Ensure that all required assessments are completed in-line with the published internal and external guidelines; teaching staff assess and authenticate candidates' work to the awarding body requirements.
- Ensure teaching staff provide the EO with marks for internally assessed components and grades for endorsements of qualifications by the internal deadline.
- Ensure teaching staff provide the EO with required samples of work for moderation and sample recordings for monitoring by the internal deadline.
- Provide candidates with their NEA marks with enough time to allow candidates to appeal, if required. The internal deadlines set for marking, internal standardisation arrangements, staffing arrangements and resources will all be influencing factors on when marks are released to candidates. Each Subject Department may be given discretion to apply the requirements in the most practical way, subject to the specification requirements. ([NEA Management Process is attached to this policy as appendix A20](#))

Examinations Officer

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

Candidates

- Authenticate their own work as required by the awarding body

Preparation for invigilation/invigilators

Examinations Officer

- EO will provide an annually updated invigilator handbook to all invigilators, organise appropriate training for new invigilators and update experienced invigilators annually. Arranges for all invigilators to have an annual safeguarding briefing by the school's DSL
- EO deploys invigilators effectively to exam rooms throughout an exam series and in-line with the required ratios, including the provision of an extra separate invigilator to act as a 'door keeper' in the Nye Hall and supervise instances where candidates need to leave the exam hall to use the toilet facilities.
- EO liaises with the SENCO regarding the facilitation and invigilation of access arrangement candidates and organises specific training where necessary.
- SENCO liaises with the EO regarding facilitation and invigilation of access arrangement candidates.
- Invigilators provide information on their availability to invigilate throughout an exam series and make themselves available for any training and Safeguarding briefings they are required to attend. An invigilator will not be able to take any part in exams until they have completed the school's requirements for undertaking invigilator and safeguarding training.

JCQ school inspections

- A visiting inspector will be expected to show suitable ID, sign-in at reception and follow the school's safeguarding procedures throughout his/her visit.
- An inspector will be accompanied by either the EO or a suitable member of SLT for the duration of their visit. The inspector may request to meet with the SENCO during the visit and may request to see documentary evidence regarding access arrangement candidates and ask questions in relation to any aspect of access arrangements.

Seating and identifying candidates in examination rooms

Examinations Officer

- Internal candidates are entered for exams via their details in the school's MIS system; those details are verified by either/both a passport and/or a birth certificate. Candidates are also given a chance to correct any errors via their statement of entry which shows their 'exam name' (the name that is used for seating plans/exam registers/lists of access arrangements) and the name in which their certificates will be issued, which is usually their full legal name.
- All candidates have a personalised index card on their allocated exam desk containing: Name, Centre Number, Candidate Number, and details of any access arrangements. In addition, each exam venue has available a printed index of all candidates in the current cohort which includes photographic ID.
- External candidates must produce formal ID (passport, photo driving license or birth certificate) directly to the EO before they are allowed to enter the exam room.
- The EO provides seating plans for all exam rooms according to JCQ and awarding body requirements and ensures candidates with access arrangements are identified as such on the seating plan.

Invigilators

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

Security of exam materials

Examinations Officer

Organises appropriate arrangements to ensure that confidential materials are only delivered to those authorised by the HOC. In the first instance all confidential exams deliveries should be made to the reception area at Facilities. If that point of contact is not available, they may be delivered to the school reception. In either instance they must be signed for, a record kept, stored securely and transported onwards to the exam's office (or collected by exams office staff) as soon as possible. These are the only two venues authorised to sign for exams materials; in no instance should another individual or department sign for such material. If nobody is available to sign for delivered material the driver should be instructed to retain the item(s) and deal with them in-line with the carrier's own internal procedures.

- The EO keeps records to demonstrate the receipt, secure movement and secure storage of confidential exam materials within the centre, including a log at the initial point of delivery which records that confidential materials have been received and signed for by authorised staff within the centre. Appropriate arrangements are in place for confidential materials to be immediately transferred to the Exams office. They are then put into the main secure storage facility until they can be removed from the despatch packaging and checked in the secure room, before being returned to the main secure storage facility in timetable order.

- The EO ensures the main secure storage facility contains only current and live confidential material.
- The school has the capacity to run a second secure storage facility which is used to store examination stationery, e.g., answer booklets, extension sheets and formula booklets. The school does not use any part of the secure storage room or its facilities for any aspects of mock or other internal exams.

Timetabling and rooming

Examinations Officer

- Produces a master school exam timetable for each exam series, including: Date/time/subject/level/Exam Board/code/length of paper and venue(s)
- Identifies and resolves any issues arising from timetable clashes. The EO is also mindful that overnight supervision is available where all other options have been exhausted. ([Arrangements for Overnight Supervision are attached below as Appendix A6](#))
- Makes appropriate arrangements, in consultation with HOC, SLT, SENCO and Facilities staff for rooming for all exams. Ensures rooms have appropriate facilities and are set up according to JCQ and awarding body requirements, including those rooms used by candidates with access arrangements.
- Allocates invigilators to exam rooms (and to supervising candidates due to an exam timetable clash) according to required ratios

Conduct of examinations

Access arrangements

Examinations Officer

- Provides seating plans that clearly indicate which students have access arrangements, and the requirement they have. Provides invigilators with flash cards stating the candidates' access arrangement(s) which are placed on the appropriate candidates' desks before the exam starts.
- Students' individual index cards also contain details of any access arrangement available.

Candidate absence

Invigilators/Examination Officer

- Before the start of every exam, invigilators should check that all candidates are present. If they are, the exam will commence at the school's timetabled time and the invigilator should complete the register provided to show that all candidates are present at the start of the exam. This procedure is undertaken on a per-room basis - one register should be completed for each individual exam venue.
- If it becomes apparent that any candidates are absent at the scheduled start of an exam then the invigilator shall pause the start of the exam and, if staffing permits, ask an invigilator or other member of staff to scan outside the immediate venue for any missing candidate(s). If the missing candidate(s) are located, they should be seated quickly and the exam started as soon as possible; if the candidate(s) are not immediately located then the exam should be started in their absence and as soon as possible. The register must be completed to show which candidate(s) were missing at the start of the exam.
- If no staff are available to assist and the ratio of invigilators does not permit capacity for an invigilator to leave the exam room, then the exam should be started as soon as possible and without the absent candidate(s); the register should be completed to show this.

- In all circumstances where an exam starts with one or more candidates missing the EO shall be informed as quickly as possible, either by text message or via a messenger. The exams office staff will endeavour to locate the candidate as quickly as possible, usually by a blanket email to all staff and by direct contact with the student Houses.
- When a student is located, they will be directed to go straight to the appropriate exam room, and they will be permitted to sit the exam in-line with the procedures for late arrivals. If a student is found to be ill or otherwise indisposed, they will be referred to the SENCO to see whether emergency access arrangements are required to help the student complete the exam.
- If a student is found to be refusing to attend or choosing not to attend a scheduled exam, they will be referred to an appropriate member of the SLT. Subject to those discussions a student will either return to the venue and sit the exam in-line with the procedures for late arrivals or miss the exam completely and be marked as 'X' absent on the exam register.

Candidate late arrival

- Any candidate that arrives after an exam has commenced will be entirely at the discretion of the school as to whether they are admitted to the exam venue and are able to take the exam. In this school there will always be a presumption that a late candidate can be admitted and can sit their exam; in exceptional circumstances the HOC may declare that a candidate is not to sit an exam, and this will always be communicated to the invigilator in charge of the exam.
- Any candidate arriving late to an exam must be permitted the full published time for the exam, including any extra time or rest breaks to which they are entitled. The invigilator should make a note on the register of the time a late candidate starts an exam and calculate a revised finish time. These revised start and finish times should be recorded in the exam room log and communicated to the candidate, either by an addition to the main exam room whiteboard or by a piece of paper placed on the candidate's desk.
- A candidate will be considered 'very late' if they start any morning exam after 10:00 or any afternoon exam after 14:30, irrespective of the actual starting time at which the school has scheduled that exam.
- In the event of a candidate starting an exam 'very late' the EO should complete the appropriate JCQ form and advise the appropriate awarding body of the circumstances. The script will be despatched in the usual manner and should not be marked in any way to distinguish it from any other script. In such instances it is at the discretion of the awarding body as to whether they choose to accept the candidate's script. The EO should inform any 'very late' candidate that there is a possibility the exam board may not accept their script.

Invigilators

- Invigilators are to be specifically trained in the procedures to be followed in cases candidates are absent at the scheduled start time and where candidates are admitted late, after an exam has started.
- The attention of invigilators is particularly drawn to the need to keep accurate registers. Where late candidates are admitted to an exam room after an exam has started, an accurate note of their revised start and finish times must be made on the invigilator's exam log and communicated to candidates.

Despatch of exam scripts

Examinations Officer

- Despatches scripts as instructed by JCQ and awarding bodies.

- Keeps appropriate records to track despatch. Whenever possible the school endeavours to despatch all scripts on the same day as the exam is taken. If this is not possible, scripts should be stored in the secure storage for processing and despatch the next day.
- If the appointed courier does not arrive for a scheduled collection, contact should be made with the courier company and the nature of the delay ascertained.
- If circumstances arise, either internally or externally, where scripts are not able to be despatched for 48 hours or longer, the appropriate exam board should be informed of the circumstances and further guidance sought. Note: this comment excludes delays from Friday to Monday or those caused by Bank Holiday dates.

Storage and Issuing of Examination Papers and Materials

Examinations Officer

- Organises exam question papers and associated confidential resources in the secure storage facility in date order and attaches any erratum notices received to the relevant exam question paper packets.
- Stores forthcoming attendance registers, despatch labels and examiner details in date order within the secure storage room.
- On the day of the exam, ensures that another member of staff, or an invigilator, checks the day, date, time, subject, unit/component, and tier of entry if appropriate, immediately before a question paper packet is opened. This additional/second check takes place in the secure room and is recorded accordingly.
- Where packets are required to be split in the secure room (to ensure that the correct numbers of papers can be available for each exam room) the ensuing papers are re-packaged securely and sealed, before they are released to travel to the appropriate exam room(s).
- Where allowed by the awarding body the EO will only release exam papers and materials to teaching departments for teaching and learning purposes after the published finishing time of the exam, or after any timetable clash candidates have completed the exam.

Exam room requirements

Head of Centre

- Ensures that appropriate staff are familiar with the regulations around 'designated exam rooms', and that such rooms are used exclusively for the purpose of conducting external exams during the relevant exam period.
- Ensures that only authorised school staff are present in exam rooms.
- Ensures that the centre's policy relating to food and drink in exam rooms is clearly communicated to candidates and that the school's policy on candidates leaving the exam room temporarily is clearly communicated to candidates.

Food and drink in exam rooms:

- The school allows candidates to bring water bottles into all exams. All bottles must be transparent, without labels, and have no printed content written or embossed on them.
- Food is not allowed in an examination room except in pre-arranged circumstances.
- Where students can demonstrate a medical need to take food into an exam room, the school will view such requests favourably. Depending on the type of need, the frequency, and the amount of food to be brought into the hall, the food may be kept by the invigilator in a designated area and supplied on demand, or if space permits, may be stored directly on the candidate's desk. Where appropriate, the school will encourage such candidates to consider having an access arrangement

to permit designated rest-breaks and their food being taken under supervision, outside the exam room.

- In all instances any food brought into the exam room must be either unwrapped or supplied in a transparent wrapper (e.g., a transparent zip-lock freezer bag). No labelling of any description is allowed.

Candidates: leaving the exam room temporarily, leaving an exam room before the scheduled finish time, leaving at the scheduled finish time.

- If candidates require to leave the exam room for any reason, including to use the toilet facilities, they should raise their hand and wait for an invigilator to approach them. They should not call out and should not leave the exam room without permission from an invigilator.
- The school's policy is that a routine toilet break should be taken within the time allocated for the exam and no extra time will be allowed to compensate for this. If a student has a more prolonged absence from the exam room and the absence is for a specific reason, then at the discretion of the invigilator or other member of school staff, the outstanding time may be added at the end of the exam. All circumstances will be treated on their individual merit, but as a guideline invigilators or other members of school staff should investigate the circumstances of any absence over five minutes and decide if the circumstances require the student to have the missed time added to the end of the exam.
- In all instances of a student leaving the exam room the invigilator(s) should log the candidate(s) name (for ease of recording the candidate's seat number will suffice), the time of leaving the exam room and the time that they re-entered the exam room. A note should be made in any instance where the candidate's finish time is extended and the new finish time for that candidate should be recorded in the exam log and communicated to the student.
- The presumption in this school is that all students will remain in the exam hall for the full duration of an exam, however there may be individual circumstances where a student has permission to leave early, or where an invigilator may, in consultation with the EO or other member of staff, decide to let a student leave early, or the student chooses to leave without permission before the published completion time. In all such circumstances the invigilator must ensure that the student leaves their script, question paper and any other exams related material within the exam room. A student who has left the exam room permanently may not be allowed to re-enter the exam room under any circumstance.
- In no circumstances will a student be allowed to leave an exam room in breach of the published JCQ guidelines relating to the earliest time a candidate can leave the room and/or the minimum time a candidate must spend in the exam room. If a student insists on leaving an exam room in breach of those guidelines it will be reported by the EO to the relevant awarding body as a malpractice incident.
- At the conclusion of all exams, students must leave their exam script, question paper and any other exams related material on their desk. All materials will be collected by the invigilators and students should remain seated until the invigilators instruct them to leave. In no circumstances should a student who has left an exam room re-enter or attempt to re-enter the exam room. If it becomes clear a student has left a personal item in the exam room, they should ask an invigilator or other member of staff to retrieve it for them.

Examinations Officer

- Ensures all exam rooms are fully compliant with guidelines, including signage, clocks, desk spacing, white boards and equipment. An exam manual is supplied in every exam room for the use of invigilators and other school staff, which will include copies of this policy, copies of the JCQ ICE

regulations, copies of Evacuation and Lockdown procedures, a guide to the announcement to be made, and blank exam room log sheets.

- Informs invigilators on the exams to be conducted on a session-by-session basis (including the arrangements in place for any external candidates and access arrangement candidates). Ensures that sole invigilators have an appropriate means of summoning assistance; where mobile phones are used, instructs the invigilator that this must be on silent mode.
- Ensures invigilators understand that 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/toilet log. Ensures that invigilators and candidates are aware of the emergency evacuation and lockdown procedures, including any specific arrangements in place for a candidate with a disability who may need assistance if an exam room is evacuated. These procedures are included in the basic training for all invigilators and are an extension of the regular school procedures relating to Evacuation or Lockdown situations for students. Instructions for invigilators or other school staff on the appropriate procedures to follow in the event of an evacuation or a lockdown in an exam room are included in the invigilators' handbooks and are also available in all exam rooms.

Irregularities

Head of Centre

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

Managing behaviour in exam rooms

- The school expects students to show the highest standards of personal conduct in the exam room. They must always follow the instructions given to them by invigilators or other school staff.
- Students should sit in their designated seat and not contact or attempt to contact other students. Students are to remain in silence from the time of entering the exam room until they have left the exam room at the end of an exam. Students are to remain calm and work as unobtrusively as possible.
- Students should avoid any behaviour which may be deemed to be disruptive to other candidates, including, but not limited to, talking, calling out, fidgeting, tapping, coughing, sighing, humming, moving, or scraping furniture, getting out of seat etc. Where an invigilator deems that a candidate's behaviour is likely to disrupt others they should be asked to desist from that behaviour. The invigilator should warn them that if the behaviour continues (or for a further offence), the candidate risks being removed from the exam permanently and the awarding authority may disqualify them.
- If after a suitable warning, the candidate persists in being disruptive, the invigilator should ask them to leave the room. If the candidate refuses to leave the room, immediate assistance should be sought from the Exams office, who will arrange to have the student removed from the room.
- The invigilator should record the timing and nature of any incidents of disruption in the exam log. Depending on the nature and severity of the disruption, the school would consider applying for Special Consideration for any candidate(s) whose exam had been disrupted. ([Procedures for Special Consideration are attached as Appendix A9](#))

Unauthorised materials

Arrangements for any unauthorised materials brought to, or taken into, an exam room:

- Candidates must not bring into the exam room: any type of watches, mobile phone, any other internet enabled devices, any device powered by batteries, any device designed to store or retrieve information, any device that enables communication with others either inside or outside of the exam room, headphones or ear buds (except for approved calculators: candidates can bring a calculator that conforms to the awarding body's specifications to any examination unless the question paper specifically forbids it). A breach of any of these conditions will be deemed malpractice.
- Candidates should only bring into the exam room: the personal stationary equipment required for the exam - which must be either loose or contained in a fully transparent pencil case or container, any items stated on the exam question paper, a transparent water bottle.
- Students must not bring into the exam room: blank paper, notebooks, books, revision guides, printed material, written notes, or cue-cards.
- Unless by prior arrangement, students may not bring food items into an exam room.
- All candidates are regularly reminded of the list of items that may not be brought into the exam room. Arrangements are always made for the secure storage of personal belongings or any unauthorised materials outside the exam room(s). The invigilator should always issue a reminder at the start of each exam and give candidates the opportunity to hand in any unauthorised items they have mistakenly or inadvertently brought into the exam room before the exam starts.
- If a candidate hands over any such item(s) they will be stored securely by the invigilator in a designated area at the front of the exam room and out of sight and reach of any candidates. At the end of the exam all such items are to be returned to the exams office and will be returned to the candidate(s) concerned by appointment with the EO.
- If unauthorised material is discovered during an exam, it should be removed from the candidate if possible, and they should continue their paper to the full completed time. If the candidate refuses to hand over unauthorised material, they should be warned that a report will be submitted to the relevant awarding body and that they risk disqualification. In all instances, the invigilator should make a record in the exam log of any case where unauthorised material is discovered, noting the candidate's name, time, nature of materials, and whether it was handed over; should an invigilator come across any unauthorised material in the exam room and it is not immediately apparent who it belongs to or who has brought it into the exam room, then it should be placed securely in the invigilator's area and a note made in the exam log. Such items should be returned to the Exams office after the completion of the exam.
- The discovery of any unauthorised material in an exam room will be treated as a malpractice incident and the HOC will organise an enquiry to establish the full nature of what has occurred, and which candidate(s) is/are involved; such candidates will be warned that they risk disqualification. The EO will complete JCQ form MP1 for any such incident. Scripts from a candidate(s) involved in an unauthorised materials situation should be submitted as normal with no additional marking or annotations.

Invigilators

- Invigilator training covers all aspects of unauthorised material. Invigilators are aware of which items are permitted and which items are banned in an exam room. They are aware that the announcement at the start of each exam session should mention the possession of unauthorised material and that they should give candidates the opportunity to declare and hand over any unauthorised material before the exam starts. They know that they are to store such items securely and return them to the EO at the end of the exam. They are aware of the procedures of

what to do if they discover unauthorised materials in an exam, and they are aware that they must complete the exam room log in all such instances.

Emergency evacuation/Lockdown of an exam room

Invigilators/EO

- Invigilator training covers exactly what is required should an emergency evacuation or room lockdown be necessary during an exam. A copy of these procedures is included in all invigilator training books and in the room folder which remains in the exam room at all times. Exam office staff are fully aware of the procedures and are on hand to assist invigilators if required.
[\(Procedures for emergency evacuation \(exams\) Appendix A7 and Lockdown \(exams\) Appendix A8 are attached below\)](#)

Results and post-results - roles and responsibilities

Accessing results and managing results day(s)

Head of Centre

- Identifies school staff who will be involved in the main summer results day(s) and their role. Ensures appropriate IT support is available on-site, if required, for all aspects of the results process.
- Ensures that candidates are informed of the periods during which school staff will be available to discuss results and make decisions regarding requests for post results services.
- Ensures embargoed results are kept entirely confidential and restricted to key members of staff until the official dates and times of release of results to candidates.
- Ensures that senior members of staff are available by either telephone or email between 08:00 and 16:00 on results day and on the following Friday to deal with any queries or matters arising from candidates' results.

Examinations Officer

- Works with the HOC to ensure that procedures for managing the main summer results day(s) are in place.

Results Day(s) Programme

Embargoed release

Examinations Officer

- The EO will arrange for the exam results to be downloaded in a timely fashion, in the first instance via EDI and the school's MIS system. In the absence of either of these systems, results can be downloaded directly from the various exam boards' secure websites.
- Exams office staff will collate all results and check for gaps or omissions. Any anomalies or missing results will be pursued with the appropriate exam board(s). When results are complete, they are then passed to the HOC.
- Student results are collated, and an individual statement of results is produced for each student, ready to email the next day.

Student results day

- Individual students receive their results statement by email, which is sent directly to the candidate, via their school email address, at the earliest time allowed under JCQ regulations [for Summer 2024 that time was 08:00 UK time].
- Results are published on the school's extranet at the earliest time allowed, for staff to access.

Post result requests

[\(Procedure for Post results services is attached to this policy as appendix 16\)](#)

Head of Centre

- Along with other designated senior leaders will analyse results provided to them by the EO to decide whether any requests are to be made for post-results services.
- Ensures that there is a process in place whereby the school may ask for a clerical re-check, a review of marking, a review of moderation, or an appeal against any result(s) which appears to be lower than that which could reasonably have been expected. This process may be instigated by staff or by students themselves (but not parents or carers).
- Understands that before the school can request a review of marking, the consent of the candidate is required, as grades may be lowered, confirmed, or raised; such consent cannot be presumed, nor can candidates sign a blanket consent in advance of the situation arising.
- Ensures that an internal appeals procedure is available should candidates disagree with any school decision not to support a clerical re-check; or a review of marking, a review of moderation or an appeal. [\(Procedure for internal appeals is attached to this policy as appendix 10\)](#)

Examinations Officer

- Where necessary, provides information to candidates (including external candidates) and staff on the post-results services provided by awarding bodies and the fees charged. Arranges internal deadlines for requesting these services to ensure that the external deadlines can be effectively met.
- Keeps a written record of all claims submitted, candidates' consents, and any fees that may need to be collected.
- Tracks requests to conclusion and informs candidates and relevant school staff of outcomes.
- Updates whole-school results information when grades change.

Despatch of Certificates

At the end of the summer term all exam candidates are asked to provide a secure address to where they wish their exam certificates be posted. For any student giving an overseas destination this address is re-checked before the certificates are despatched.

Certificates are provided to centres by awarding bodies after the results have been confirmed. On receipt of all certificates, they are collated by exams office staff. Students who are still currently attending the school are notified by email that their certificates are ready and asked to collect them from the exam office. All other certificates are suitably packed and despatched via Royal Mail recorded delivery for onward delivery either domestically or internationally.

At the time of despatch, all candidates, both domestic and international, are issued with an email notification to advise that their certificates have been despatched and that they are to inform the exams office if they have not been received within the published time frames for the various

destinations. If students advise that certificates have not been received outside of the time given, they will need to arrange for duplicates at their own cost.

The school will make every endeavour to contact candidates and try to re-deliver any certificates that are returned as 'undelivered'. If certificates do remain undelivered after all avenues have been exhausted, they will be retained securely by the exams office in line with the schedule published in the 'Exams Archiving Policy' and then disposed of securely.

Retention of Records: Roles and Responsibilities

Examinations Officer

- Keeps records as required by JCQ and awarding bodies for the required period.
- Provides an exam archiving schedule that identifies information held, retention period and method of disposal ([Procedures for Exams Data Archiving are attached to this policy as appendix A3](#))

A1 Examinations contingency plan

Purpose of the plan

This plan examines potential risks and issues that could cause disruption to any aspect of the exams process at The Duke of York's School. By outlining actions/procedures to be invoked in case of disruption, it is intended to mitigate the impact that these disruptions could potentially have on our exam process.

Alongside internal processes, this plan is informed by the 'Ofqual Exam system contingency plan' which provides guidance in the publication 'What schools and colleges and other centres should do if exams or other assessments are seriously disrupted' and the JCQ 'Joint Contingency Plan in the event of widespread disruption to the Examination System in England, Wales and Northern Ireland'.

This plan also confirms that the Duke of York's School is compliant with the JCQ regulation which requires centres to have a written examination contingency plan in place that covers all aspects of examination administration. This will allow members of the senior leadership team to act immediately in the event of an emergency or staff absence.

Possible causes of disruption to the exam process

Exam officer extended absence at key points in the exam process (potentially impacting planning, entries, pre-exams, running of exams, results, and post-results).

Centre actions to mitigate the impact of the disruption:

In the absence of the Exams Officer (EO) for any part of the cycle, the school would be able to fall back on various options. In the first instance, the school employs a full-time assistant to the EO who works closely with the EO on all aspects of the exams cycle. They have sufficient knowledge and experience to be able to deputise for the EO for either a shorter or a more extended period of absence. The school also has several members of the SLT who have full knowledge of the exams cycle and would be able to provide advice, support and guidance. The school also has active links with other local schools that could be approached for further guidance or assistance.

SENCO extended absence at key points in the exam cycle (potentially impacting planning, access arrangements, pre-exams and running of exams)

Centre actions to mitigate the impact of the disruption:

As the only member of staff currently qualified to undertake testing for access arrangements, the extended absence of the SENCO would be problematic, however access arrangements are normally applied for on a rolling one-year-ahead basis wherever possible; the vast majority of students have their access arrangements in place 12 months before they are required. If testing was required at short notice and the SENCO was unavailable, then assistance would be sought from a qualified assessor from a neighbouring centre.

Teaching staff extended absence at key points in the exam cycle (potential impact on draft entries, final entries and tiers of entry, NEA tasks, coursework tasks and marking)

Centre actions to mitigate the impact of the disruption:

The EO produces a schedule of tasks required, including deadlines for the tasks to be completed. Deadlines include a built-in safety net to provide time for any remedial action required. There is a clear chain of command for collecting and disseminating information that is based on class teacher/Head of Department/line manager (all subjects are the direct responsibility of a named member of the SLT). The EO and their assistant have an overview of all subjects and deadlines and

that chain can continue to function in the short-term with any one of its parts absent. In cases of longer-term absence, SLT will be responsible for making temporary structural changes to cover e.g., reallocation of line-management subject responsibilities across SLT.

Invigilators - lack of appropriately trained invigilators or invigilator absence

Centre actions to mitigate the impact of the disruption:

The centre strives to maintain a large pool of external invigilators with the capacity to cover unforeseen shortages/absences. In addition, the school also trains a number of in-house staff. As a boarding school we always have trained invigilation cover available on-site if any external invigilators are either prevented from travelling to school or are otherwise indisposed (these staff would not invigilate their own classes, subjects, or students that they have directly taught). The two exam officers and the SENCO are also available to cover if required.

Exam rooms - lack of appropriate rooms, or main venues unavailable at short notice

Centre actions to mitigate the impact of the disruption:

The school is fortunate to have excess capacity and has a number of options when planning exam rooming. The principal exam room is the main school hall (Nye Hall) with the access arrangement students being accommodated in Ramsay House. Alternative venues are available in the sports centre hall and, if necessary, the school gym. In the event of the whole school site being unavailable, it is also unlikely that there will be any students in residence to take exams. In the event of students being available to take exams and no suitable accommodation being available on site, an agreement exists with a designated alternative venue: Astor School, Dover Kent CT17 0AS

Failure of IT systems

Centre actions to mitigate the impact of the disruption:

All internal entry deadlines carry a built-in in buffer of five working days. In the event of long-term outage of either the school's IT systems or a MIS failure, entries can be made online directly into the various Exam Boards' websites. All exam info is extracted 'live' from the MIS etc. and backups are kept in an Excel format in a central 'Exams' location on the school's intranet. In the absence of internal data, a complete record of entries/timings/timetables can be reconstructed by downloading base data from the various exam boards. In the event of a school IT or MIS failure on results day the school can extract results via the various Exam Boards' websites.

Cyber attack

Centre actions to mitigate the impact of the disruption:

Where it is identified that a cyber attack may compromise any aspect of the delivery of the examinations, the EO will work with IT and contact the relevant Awarding Body to seek further guidance. Senior Leaders will monitor the situation and take any action required, as directed by the Awarding Bodies. The school is in the process of finalising a school wide Cyber Incident Recovery Plan which will be available in due course.

Emergency evacuation of the exam room (or centre lock down)

Centre actions to mitigate the impact of the disruption:

In the first instance, all exam staff, including invigilators, will follow the procedures in the Emergency Evacuation (exams) and Lockdown (exams) procedures. Where it is possible to return to the exam room(s) after the incident, the school will allow the students to complete the remaining session of the exam in normal exam conditions. If this is not possible, or in cases where students have suffered

significant disruption such that it is likely that their overall performance has been impaired, the relevant Exam Board(s) will be contacted immediately and given a description of the incident and its overall impact. A full written report of all the circumstances will be given to the appropriate Exam Board(s). Parents and students will be informed of the processes that the school is following to pursue Special Consideration for all students affected.

Disruption of teaching time – centre closed for an extended period

Centre actions to mitigate the impact of the disruption:

The school fully supports the JCQ requirement that ‘where there is disruption to teaching time and students miss teaching and learning, it remains the responsibility of centres to prepare students, as usual, for examinations. As a boarding school, we have opportunities to offer additional support to students where needed. In the case of modular courses, the school may advise candidates to sit examinations in an alternative series. To facilitate extended learning in the case of the school being closed for an extended period, the school would make use of a variety of distance learning methods; all students have their own personal internet enabled devices and these are linked to a cloud-based extranet that contains both teaching resources and the students’ own work. All students are also inter-linked with all staff via email and communications apps, which would be used to set and monitor further study and revision tasks.

Candidates unable to take examinations because of a crisis

Centre actions to mitigate the impact of the disruption:

As a boarding school this situation is unlikely to arise for more than a small minority of students. Students potentially at risk of missing exams are those who are off-site due to illness or injury (at home or with a guardian or hospitalised), or those who have travel issues when returning to school after a holiday period. For students who are absent, through illness or injury, if they are well enough/able to attend a local centre the option to take the exam(s) at another centre would be the first priority. An alternative would be for a trained invigilator and a second member of staff to travel to them (where practicable) and administer the paper either at home or in hospital. For students travelling back to school after a break, the school would always advise parents and students of any exam dates that may be affected, to ensure that their travel arrangements are as watertight as possible. The school will always accommodate any exam students who need to return from a break earlier than scheduled.

Disruption in the distribution of examination papers

Centre actions to mitigate the impact of the disruption:

In the event of non-receipt of exam materials, the school will liaise closely with the relevant exam board(s) and follow their guidance. The likely outcome is that electronic copies would be made available; and the school would then need to arrange for the secure copying and storage of those papers. There are facilities available to do this in secure isolation directly within the vicinity of the Exams office.

Disruption to the transportation of completed examination scripts

Centre actions to mitigate the impact of the disruption:

The school has a daily collection (Parcelforce yellow label service) throughout the exam season. In the case of a delay, the EO will contact the service provider and ascertain whether the delay is temporary or more long-term. In the case of a temporary delay the scripts should be packaged in the normal way and kept in the secure storage facility within the exams area for delayed collection. If the delay exceeds 24 hours, the relevant Exam Board(s) should be contacted, and further advice sought.

Assessment evidence is not available to be marked and/or damage to, or destruction of, completed examination scripts/assessment evidence before it can be marked

Centre actions to mitigate the impact of the disruption:

Heads of Department are responsible for maintaining the security and integrity of all school-based assessment evidence, coursework, and NEA; the Exams office and exams staff are responsible for the security and integrity of all exam scripts. In the event of damage or loss to either students' work or completed exam scripts, advice is to be sought from the appropriate Exam Board(s).

Centre unable to distribute results as normal, or facilitate post-results services (including the centre being unavailable on results day owing to an unforeseen emergency)

Centre actions to mitigate the impact of the disruption:

The receipt and distribution of results could potentially be affected by disruptions to either the school's IT systems or the school's MIS. In either instance, alternative access to the results could be gained via the use of the various Exam Boards' websites, accessed through an alternative IT system. The same procedure holds good for any potential disruption to any aspect of 'post-results services', the use of these services is not dependent on the use of the school MIS system and can be accessed from any location through any internet enabled device.

The responses above are specific to this centre and the circumstances in which it operates. They should be read and acted on in conjunction with the wider aspects of Contingency Planning issued by both JCQ and Ofqual. The following sources may also be used as a reference to support the implementation of any part of this policy.

GOV.UK

Emergency planning and response: Severe weather; Exam disruption

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

Teaching time lost due to severe weather conditions

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

Despatch of exam scripts guide: Ensuring the service runs smoothly; Contingency planning

<https://www.gov.uk/government/publications/dispatch-of-exam-scripts-yellow-label-service>

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

A2 Examinations Disability procedures

Purpose of these procedures

These procedures are an exams-specific supplement to the school's regular Disability Equality Scheme and Access Plan, which details how the centre will: '... recognise its duties towards disabled candidates, including private candidates, ensuring compliance with all aspects of the Equality Act 2010. This must include a duty to explore and provide access to suitable courses, submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates.' [Quote taken directly from section 5.4 of the JCQ publication General Regulations for Approved Centres 2022/2023]

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

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

Identifying the need for access arrangements

Roles and Responsibilities

Head of Centre

- Ensures that an appropriately qualified assessor(s) is appointed, evidence of the assessor's qualification(s) is obtained before he/she assesses candidates, and that evidence of the qualification(s) of the person(s) appointed is held on file
- The HOC or EO, when requested by a JCQ Centre Inspector, presents evidence of the assessor's qualification.

SENCO

- Has access to and is familiar with, the annually updated JCQ requirements.
- Provides a policy on the use of word processors in exams and assessments
- Conducts appropriate assessments and provides appropriate evidence to identify the need(s) of a candidate
- Ensures that all assessments carried out and arrangements put in place comply with JCQ and awarding body regulations and guidance
- Ensures that arrangements put in place for exams/assessments reflect a candidate's normal way of working within the centre
- Completes appropriate documentation as required by the regulations of JCQ and the awarding body
- Works closely with teaching staff and other members of support staff (learning assistants or pastoral staff) to confirm and evidence the need(s) of a candidate

Requesting Access Arrangements

Roles and Responsibilities

SENCO

- Determines if the arrangements identified for a candidate require approval from the awarding body before the arrangements are put in place, or if approval is centre delegated
- Ensures that where form 8 is required to be completed, the form is signed (a handwritten, electronic, or typed signature is acceptable) and dated as required, prior to approval being sought, and that the form is provided for processing and inspection purposes (this may be a hard copy paper version or an electronic version)
- Presents the files/e-folders when requested by a JCQ Centre Inspector and addresses any queries/questions raised. In the event of an IT failure at the time of an inspection, can access the required documentation in an alternative format, e.g., a memory stick or hard copy.

Examinations Officer

- Is familiar with the contents of the annually updated JCQ publication General Regulations and is aware of information relating to Access Arrangements where relevant to the EO role
- Works closely with the SENCO to ensure that appropriate access arrangements are applied for, either through the JCQ's Access Arrangements On-line (AAO) portal, or if this is unavailable, directly to awarding bodies.
- Ensures that necessary evidence is held on file to confirm validation responses in AAO. This includes (where required) the completion of JCQ Form 8 (Application for access arrangements – Profile of learning difficulties), and/or centre based evidence, including concise file note(s) on signed and dated centre-headed paper, and a body of evidence to substantiate the candidate's normal way of working within the centre. Form 8 must only be used for candidates with learning difficulties who are not subject to a current EHCP or Statement of Special Educational Needs, or those requiring a Language Modifier.
- Ensures that where Form 8 is required to be completed, the form is signed (a handwritten, electronic, or typed signature is acceptable) and dated as required, prior to approval being sought, and that the form is provided for processing and inspection purposes (this may be a hard copy paper version or an electronic version)
- Ensures that the names of all other assessors who are assessing students for access arrangements are entered into AAO to confirm their status, including any professionals working outside the centre
- Makes an awarding body referral through AAO when the initial application -may not be approved by AAO, but where it is deemed that the candidate does meet the criteria for the arrangement(s) by the centre.
- Ensures that arrangements, and approval where required, are in place before a candidate takes their first exam or assessment, and maintains a written file for each candidate that will include:
 - completed JCQ/awarding body application forms and evidence forms
 - appropriate evidence to support the need for the arrangement, where required
 - appropriate evidence to support normal way of working within the centre
 - a printout of the AAO approval and a signed candidate personal data consent form (which provides candidate consent to their personal details being shared)

This school currently keeps all such records in a paper and lever-arch file format, stored in the Exams office. It would be permissible to keep all such records electronically and filed in an individual e-

folder for each student. The school may not mix paper and electronic formats but must use one preferred format for all such record keeping.

- The EO is able to present the files on request to a JCQ Centre Inspector and manage any queries/questions raised.

Implementing access arrangements and the conduct of exams

Roles and Responsibilities

Head of Centre

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

SENCO

- Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates within the meaning of the Equality Act (unless a temporary emergency arrangement is required at the time of an exam)
- Ensures that the candidate is involved in any decisions about arrangements, adjustments and/or adaptations that may be put in place for him/her and ensures the candidate understands what will happen at exam time
- Ensures exam information (JCQ information for candidate's documents, individual exam timetable etc.) is adapted for a disabled candidate if required
- Ensures that any arrangements put in place do not unfairly disadvantage or advantage disabled candidates
- Monitors, in internal tests/mock exams, the use of arrangements granted to a candidate. Where a candidate has never made use of the arrangement, consider withdrawing the arrangement, provided the candidate will not be placed at a substantial disadvantage
- Liaises with the EO regarding facilitation and invigilation of access arrangement candidates in exams
- Liaises with other relevant centre staff regarding the provision of appropriate rooming and equipment that may be required to facilitate access to exams for disabled candidates
- Liaises with the EO where a facilitator may be required to support a candidate requiring an emergency (temporary) AA at the time of exams

Examinations Officer

- Ensures that exam information (JCQ information for candidate's documents, individual exam timetable etc.) is adapted where required for a disabled candidate to access it, and liaises with other relevant centre staff regarding the provision of appropriate rooming and equipment to facilitate exam access for disabled candidates.
- Appoints appropriate centre staff as facilitators to support candidates (practical assistant, prompter, Language Modifier, reader, scribe, or Communication Professional) and ensures that any facilitators supporting candidates are appropriately trained and understand the rules of the particular AA(s).
- Ensures that where the candidate's own subject teacher will be used (in exceptional circumstances) as a facilitator that an invigilator will be present at all times. Ensures that where a facilitator is allocated to support a candidate under exam conditions, they will not be a relative, friend, peer or private tutor of the candidate.

- Ensures that invigilators supervising AA candidates are trained in their role and understand the invigilation arrangements required for individual AA candidates. Ensures that invigilators complete any cover sheet or other paperwork required.
- Liaises with the SENCO regarding the facilitation, invigilation and rooming requirements of access arrangement candidates.
- Ensures candidates with access arrangements are identified on exam room seating plans and that invigilators are briefed prior to each exam session of the arrangements in place for a disabled candidate in their exam room.
- Liaises with the SENCO to ensure arrangements are in place to either order a noninteractive electronic (pdf) question paper or to open question paper packets in the secure room within 90 minutes of the published starting time of the exam, where the centre is permitted to modify a timetabled written component exam paper. (Checks in advance of dated exams/ assessments that modified paper orders have arrived and, if not, will contact the awarding body to ensure that papers are available when required).
- Makes any modifications that are permitted by the centre to a question paper (e.g., copied onto coloured paper, A4 to A3 enlarged paper, or a paper printed on single sheets) either by access to a non-interactive electronic (pdf) question paper or by opening the relevant exam question paper packet in the secure room no earlier than 90 minutes prior to the awarding body's published start time of the exam.
- The EO should be mindful at all times that there is the possibility that a student may need emergency (temporary) access arrangements at very short notice; the EO should have an overarching view of all exam room allocations, seating plans and invigilation arrangements, and be able to identify or create spare capacity as and when it is required.
- Liaises with the SENCO where a facilitator may be required at short notice to support a candidate requiring an emergency (temporary) access arrangement at the time of exams.
- Applies for emergency (temporary) access arrangements when required, through AAO or directly through the awarding body where qualifications sit outside the scope of AAO.

Internal Assessments

These are either non-examination assessments (NEA) or coursework which is marked and internally moderated by the centre and externally moderated by the awarding body.

SENCO

- Liaises with teaching staff to implement appropriate access arrangements for candidates
- Ensures that centre-delegated and awarding-body approved arrangements are in place prior to a candidate taking his/her first formal supervised assessment, and ensures that students are aware of the access arrangements in place for their assessments
- Liaises with the teacher if a facilitator is required to support a candidate requiring an emergency (temporary) access arrangement at the time of their internal supervised assessment

Teaching staff

- Support the SENCO in implementing appropriate access arrangements for candidates.
- Provide the SENCO with assessment schedules to ensure that arrangements are put in place regarding any assessment materials that may need to be modified for a candidate when required.

Facilitating Access - examples

The following information confirms the centre's good practice in relation to the Equality Act 2010 and the conduct of examinations. On a candidate-by-candidate basis, consideration is given to: adapting

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

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

Example of candidate need(s)	Arrangements explored	Centre actions
Persistent and significant difficulties in accessing written text	Reader /computer reader 25% Extra time Separate invigilation within the centre	Confirms candidate is disabled within the meaning of the Equality Act 2010. Computer reader sourced for papers (or sections of papers) requiring extended reading. Candidate trained in use of automated reader. A short concise file note produced on centre headed paper, signed, dated and kept on file, confirming the nature of the candidate's impairment and that the use of a computer reader and/or a reader reflects his/her normal and current way of working within the centre (25% Extra time - Form 8 completed as appropriate). Supporting evidence, AAO approval and signed candidate personal data consent form kept on file.
A wheelchair user	Desk / Rooming / Facilities / Seating arrangements / Practical assistant	Student seated in most appropriate exam venue according to needs and ease of access. Ensures there is nearby access to disabled bathroom. Provides height adjustable desk in exam room. Ensures arrangements in place to assist the candidate in case of emergency evacuation in-line with school policy on Fire Evacuation of the exam room and that invigilators are trained in relation to this. Practical assistant provided as required and cover sheet printed from AAO; to be completed by facilitator and inserted inside the candidate's work where this may be applicable to the assessment.

A3 Examinations Data Archiving/Retention schedules

The purpose of these procedures 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

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Access arrangements information	All student access arrangements are to be kept on file in the Exams Office for the duration of all active exam seasons. They may from time to time be temporarily moved to the SENCO's office for admin purposes.	When a student completes their final exam season with access arrangements, their records are removed from the access arrangements files and returned to the SENCO as the records owner.	All obsolete or completed access arrangements records should be attached to the student's school file and retained in line with guidelines for other SEN records
Attendance register/ seating plans / guides for invigilators / invigilation arrangements	Attendance registers, seating plans, and additional material that has been produced for invigilators (e.g. a document 'sign-posting' students with access arrangements). Invigilation rotas/schedules.	All such documents must be signed and dated and kept on file for each complete season 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 disposal
Candidates' scripts	Any copies of exam scripts returned to the centre through the Access to Scripts (ATS) service.	If requested by exams staff/SLT (to support a potential appeal) they are to be kept securely by the exams office and disposed of in-line with the awarding body's earliest date for confidential disposal of unwanted scripts.	Confidential disposal
	Where requested by teachers for teaching and learning purposes, they should be handed directly to the requesting teacher upon receipt. If/when they are no longer required, they must be disposed of confidentially. Teachers to be reminded that they can't dispose of any script(s) earlier than the dates specified by the relevant awarding bodies.		

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Candidates' work	Non-examination assessment work returned to the centre by the awarding body at the end of the moderation period.	To be logged on return to the centre and immediately returned to subject staff as the records owner. Departments should store safely and securely all non-examination assessments, including controlled assessments, 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.	Returned to candidates or safe disposal
Certificates	Candidate certificates issued by awarding bodies.	Where certificates are unable to be delivered or are delivered and returned to the centre such certificates should be retained for 12 months.	Confidential destruction
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	Where certificates are destroyed a full record of student name/date(s) of exams/Board/subject/grade will be retained for four years.	Confidential destruction
Certificate issue information	A record of certificates that have been issued.	When certificates are despatched the Exams office will keep a full record of: student name/address despatched to/date. This information to be kept for three years. [The school office 'post log' is also available to cross reference 'evidence of posting'].	Confidential destruction

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Confidential materials: point of delivery logs, receipt at exams office, secure movement and secure storage logs	Logs recording confidential exam materials received (including encrypted materials received via email or downloaded from an awarding body's secure extranet site), checked and placed in the secure storage facility by the exams officer (or other authorised member of centre staff). Throughout the period the materials are confidential	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
Conflicts of Interest records	Records demonstrating the management of Conflicts of Interest	The records must be retained until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential destruction
Despatch logs	Proof of despatch of exam script packages to awarding body examiners covered by the Parcelforce/ DfE yellow label service	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
Exam question papers	Question papers for timetabled written exams.	Released to teachers not before 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.	(none)
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms for each exam session.	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

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Exam stationery	Awarding body exam stationery provided solely for the purpose of external exams.	Unused stationery to be returned to the secure storage facility until needed for a future examination. Surplus stationery must not be used for internal school tests, mock examinations, and nonexamination assessments. As/when advised by the various exam boards, destroy any out-of-date stationery.	Confidential destruction
Examiner or Moderator reports	Reports received from individual examiners or Exam Boards	Any examiner reports requested by SLT/Heads of Department should be immediately provided to the person making the request as the records owner. To be retained for maximum of three years.	Confidential destruction
Finance information	Copies of invoices for exams related fees.	Not held in the exam office in any form, checked on a rotating basis and returned to the finance department as the records owner on a weekly basis.	As per finance offices procedures
Invigilator and facilitator training records	A record of all invigilator training.	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

Overnight supervision information	Any hard copy created in relation to candidates requiring overnight supervision	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
Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Post-results services: confirmation of candidate consent information	Hard copy or email record of required candidate consent	Consent forms or e-mails from candidates must be retained by the centre and kept for six months following the outcome of the clerical re-check or review of marking or any subsequent appeal.	Confidential destruction
Private candidate information	Any hard copy information relating to private candidates' entries.	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
Resolving timetable clashes information	Any hard copy information relating to the resolution of a candidate's clash of timetabled exam papers	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
Results information	Any electronic or hard copy records relating to all aspects of 'results' including individual student outcomes, subject outcomes, or individual subject marks.	Records for current year plus previous 6 years to be retained.	Confidential destruction
Seating plans	Plans showing the seating arrangements of all candidates for every exam taken.	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

Special consideration information	Any hard copy information relating to a special consideration request and supporting evidence submitted to an awarding body for a candidate.	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
Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Suspected malpractice reports/outcomes	Any hard copy information relating to a suspected or actual malpractice investigation/report submitted to an awarding body and outcome information from the awarding body.	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
Very late arrival reports/outcomes	Any hard copy information relating to a candidate arriving very late to an exam.	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

A4 Word Processor* procedures

The use of a word processor in exams and assessments is an available access arrangement (AA) and one that is granted directly by the school. This policy shows how The Duke of York's school decides which students are eligible to use a word-processor (WP) for exams, and the conditions under which that AA should be used. It is reviewed and updated annually in-line with JCQ regulations and guidance on access arrangements and instructions for conducting exams.

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

- The SENCO is responsible for deciding which students are eligible to use a WP and shall be mindful of the following criteria: use of a WP must be the student's normal way of working and must be appropriate to their needs. Access should be considered on a subject-by subject basis and should only be granted where the use of a WP would enable the student to meet the assessment objective(s).
- Reasons to grant the use of a WP may include some or all the following: a learning difficulty which materially affects the legibility/speed/fluency of a student's handwriting, a medical condition, a physical or sensory impairment, planning and organisational problems when writing by hand, poor or illegible handwriting.
- The SENCO must ensure that the candidate and their teachers are aware of the arrangement and that the WP AA is used wherever appropriate and in particular-during mock and other internal examinations and in any relevant coursework or NEA.
- The SENCO may not grant the use of a WP merely because the student or parent requests it, or it is the student's preferred way of working.

Exceptions

- On occasion, it may be necessary to grant students an emergency AA to cover a short-term need, such as an injury or medical condition which impairs the ability of the student to handwrite and necessitates the use of a WP.

Record Keeping

- In all cases the SENCO should keep written records to evidence the student's need(s) including the dates of when the arrangement applies. A cover page is included for each student within the main school Access Arrangement folders.

Arrangements for the use of a WP in assessments

- Students with a WP AA will take their exams in specialist accommodation with other AA students away from the main body of students. Students are provided with a laptop computer that fully meets the JCQ formatting requirements. The device should be cleared of all other documentation, including older scripts etc. before each exam sitting.
- Each workstation contains a laminated card advising students of the process when using a word processor. At the start of the exam, candidates are reminded to save their work regularly.
- All WP students must be issued with a regular exam question paper and must complete the cover page before the exam starts. This should remain on their desk for the duration of the exam and be collected with the rest of the exam scripts at the completion of the exam.
- Computers should be arranged in the room so that students cannot see other students' screens and so that the invigilator(s) can see the candidates at all times.

Printing the script after the exam is over

- At the completion of an exam the candidates will be required to attend the Exams Office while a member of the exams office accesses the secure folder where the work has been saved and prints the document. Student will be shown their own script, check that the content is their own work and that all pages are complete, and then sign to authenticate their work.
- Students, invigilators, and any other members of staff are not permitted to make any alterations or additions to a script after it has been removed from the WP, nor may they make any hand-written amendments to the final print out.

A5 Access arrangements and reasonable adjustments procedures

Access Arrangements (definition)

Access arrangements are agreed before an assessment. They allow candidates with specific needs, such as special educational needs, disabilities, or temporary injuries, to access the assessment and show what they know and can do without changing the demands of the assessment. The intention behind an access arrangement is to meet the particular needs of an individual candidate without affecting the integrity of the assessment. Access arrangements are the principal way in which awarding bodies comply with the duty under the Equality Act 2010 to make 'reasonable adjustments'. (JCQ)

Reasonable Adjustments (definition)

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

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

An adjustment will not be approved if it:

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

This is because the adjustment is not 'reasonable'. Access arrangements are the principal way in which awarding bodies comply with the duty under the Equality Act 2010 to make 'reasonable adjustments'. (JCQ)

Purpose of these procedures

The purpose of these procedures is to confirm that the school has a written record detailing the Access Arrangements procedures used, ensuring that the school consistently follows the processes laid down by JCQ and the various awarding bodies. The procedures are annually reviewed to ensure compliance with the current edition of the JCQ publication 'Adjustments for candidates with disabilities and learning difficulties: Access Arrangements and Reasonable Adjustments'.

A large part of the access arrangements process is covered in the Exams Disability procedures (appendix A2, above), which covers staff roles and responsibilities in identifying the need for, requesting, and implementing access arrangements and the conduct of exams.

The Assessment Process

The school employs a SENCO who is also qualified as a specialist assessor with appropriate qualifications:

Avril Saunderson: MA English, PGCSE Secondary, CPT3A - Certificate number: 001039 (May 2019)

Proof of the Specialist Assessor's qualifications are held on file in the Exams Office.

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

The process for the assessment of a candidate's learning difficulty by an assessor begins with a referral from one or more teachers outlining the cause for concern. Following discussions between the SENCO, teachers and any support staff, a picture of need is gathered, and Part 1 of the Form 8 is completed. The Specialist Assessor and SENCO will then have further discussions to decide on the nature of testing required and the Specialist Assessor would then arrange for testing to take place.

Assessments are generally undertaken towards the end of Y9 or the beginning of Y10. However, where students join us in-year from another centre and have received access arrangements previously, they would be assessed as close to the point of entry as possible.

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

The SENCO paints a picture of need by collating information from class teachers and any support staff involved. The SENCO completes Part 1 of Form A and then discusses the case with the Specialist Assessor. The SENCO gathers evidence from internal exams/assessments to demonstrate the normal way of working within the centre.

Processing Access Arrangements

Arrangements requiring awarding body approval

Where the SENCO has identified a potential need the Specialist Assessor will test the student and confirm whether they are eligible for some form of Access Arrangement. Access arrangements are applied for online through the AAO online portal; this is done by the Exams Officer with the support of the SENCO and/or the Specialist Assessor.

All candidates have their own individual record and when access arrangements are approved the approval sheet is printed and stored at the front of the candidate's record, which contains all the relevant documents, including the student's signed Data Protection form. The completed files for all year groups are stored in the Exams office.

Centre-Delegated Access Arrangements

For any candidates with centre-delegated access arrangements, a note written by the SENCO, outlining the access in place, is held on file in the Exams Office.

Centre-specific criteria for particular access arrangements

Word processor procedures (see also appendix A4 for more detailed information)

The centre can approve the use of a word processor, but only where this is appropriate to the candidate's needs and not simply because this is the candidate's preferred way of working within the centre.

Separate Invigilation within the Centre

A separate exam room can be granted to an individual according to the needs of the candidate and in line with their normal way of working. This would be awarded in cases where not doing so would place the candidate at a significant disadvantage.

A6 Overnight supervision arrangements

Overnight supervision arrangements should only be applied as a last resort and once all other options have been exhausted...

...candidates may, at the centre's discretion, be allowed to take an examination the following morning, including Saturdays (see paragraph 8.5). Candidates are not allowed to take examinations on an earlier day than that scheduled on the timetable...

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, e.g., telephone (both landline and mobile), e-mail, Internet and social media. It also extends to television and radio, which could report key details of the day's examinations. [JCQ ICE]

The school will only use overnight supervision as a last resort and where all other options have been exhausted. The school has limited discretion to use this type of arrangement, and while it will always consider representations from candidates or parents, the school reserves the right to make the final decision as to when to use this provision, at all times acting within JCQ guidance and being mindful of the most suitable outcome for the candidate(s) concerned. Overnight supervision can only be considered when a student has three (or more) exams scheduled for the same day, and the total exam time, including any approved extra time, exceeds five and a half hours for GCSE examinations and six hours for A-Level examinations. Where an exam is rescheduled to the following day, the school will seal all question papers/students' scripts and any other material relating to the original sitting of the exam in envelopes in the school's secure storage and question papers or other material shall not be distributed to any staff member until after the completion of the rescheduled sitting.

When it becomes clear that an overnight supervision will be required, the candidate and their parents must be informed as soon as possible. The exams office will make the appropriate arrangements with the boarding houses and inform those members of staff who are involved. The exams office staff will complete the appropriate JCQ paperwork before the commencement of the arrangements.

Students who are nominated for overnight supervision should adopt the following procedure:

On the day of seclusion, and before their last scheduled exam that day, students should take their overnight equipment and any books/resources needed for revision to Montgomery House. They should hand their phone to the House staff for safe keeping and should not bring any other electronic or internet enabled devices to Montgomery House.

After their last exam they will be escorted from the exam venue to their boarding house where they will be kept under 1 to 1 supervision until Montgomery House opens for the night. At Montgomery House they will be kept in seclusion for the remainder of the day, overnight, and then escorted to their exam the next morning. On arrival at the exam hall, they must remain with their escort, be escorted inside the hall to their exam place and their arrival notified to the invigilator(s).

Between the last exam of the first day and the first exam of the second day, students will remain in the care of staff in their own boarding house and then Montgomery House. They should have no contact with third parties, either within or outside school and should not attempt to contact such parties. Students will remain in seclusion for mealtimes etc. and they may not have access to phones, internet, TV or radio. They may revise non-electronically, read books or magazines, and listen to music.

A7 Procedures for emergency evacuation (exams)

An emergency evacuation will be required in all circumstances where it is unsafe for candidates to remain in the exam room. This would normally be triggered by the usual school fire alarm sounding. In exceptional situations the emergency evacuation procedure may need to be triggered for a single exam room. This might include situations where there is severe disruption in the exam room, serious illness of a candidate or invigilator, or other similarly serious incident/s necessitating candidates to temporarily leave an exam room.

The school has well established routines for evacuating all buildings in response to any emergency. Students and staff are familiar with the requirements of an evacuation and have rehearsed these scenarios. Appropriate training and guidance are also issued to all invigilators in their annual training session.

Emergency evacuation procedure

Invigilators are trained in this procedure and understand the actions they must take in the event of a fire alarm or other emergency that leads to an evacuation of the exam room. Students are also instructed of the arrangements for evacuation in their exam briefing.

Emergency evacuation procedure (exams)
Actions to be taken by an invigilator(s) in an exam room:
Stop the candidates from writing.
Collect the attendance register (to ensure that all candidates are present at the muster point).
Advise candidates to leave all personal equipment, question papers and scripts in the examination room; candidates must be advised to close their answer booklet.
Evacuate the examination room in line with the normal school evacuation procedure. Candidates should be directed to leave the room in silence and to proceed to the muster area on the school parade ground. Candidates are to group with their invigilator(s) in their own discrete space and well away from other students and staff.
Make sure that the candidates are supervised as closely as possible while they are out of the examination room to ensure there is no discussion about the examination. Students must not communicate with or attempt to communicate with other students or members of staff who are not directly involved with their exam.
Invigilators should establish that the group is complete (by reference to the register) and communicate that information when requested. If it becomes apparent that the group is incomplete the names of missing students should be communicated to the fire officer immediately.
When safe to do so the invigilator should make a written note of the time the interruption started. [The invigilator should also make a written record of the time any exam re-starts following an evacuation situation].

Either the Exams Officer (EO) or their deputy will join the exam students on the parade ground as soon as possible. When appropriate to do so the EO will attempt to establish the nature of the interruption and a possible timeframe as to when the students can return to the original venue.

In certain circumstances it may be possible for the exam to recommence in an alternative venue; in that instance appropriate staff would be designated to collect all scripts etc. from the original venue and securely transport them to the new venue.

In all incidents where an emergency evacuation has been implemented the school will endeavour to ensure that all students are given the chance to continue any interrupted exam and the full amount of time must be allowed for all candidates.

The EO, in conjunction with any invigilator(s), will complete a full report of the incident and of the action taken, and send to the relevant awarding body.

The EO in conjunction with the Head of Centre will decide if the circumstances require an application for Special Consideration for any or all of the candidates affected.

A8 Procedures for lockdown (exams)

The school has well-established routines for a potential lock-down scenario. Students and staff are familiar with the requirements of a lock-down situation and have rehearsed these scenarios.

Appropriate training and guidance are also issued to all invigilators in their annual training session.

With regard to conducting examinations, the focus before, during and after any exam will be on:

- the welfare and safety of exam candidates and centre staff engaged in the conducting of examinations
- maintaining the integrity and security of the examinations/assessments process

Lockdown Procedure

Before an examination

- If a lockdown is required as candidates are entering/waiting to enter the exam room:
- Candidates will be instructed to enter the exam room immediately
- Candidates will be instructed to remain silent, and to take cover in the safest part of the room
- Invigilators should:
- 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
- on the sound of the 'all clear' invigilators and students should follow the normal school procedures and muster at the parade ground.

During an examination

If a lockdown is required during the exam/when candidates are in the exam room invigilators will:

- tell candidates to stop writing immediately and turn their papers over.
- 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 take cover in the safest place
- 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
- on the sound of the 'all clear' invigilators and students should follow the normal school procedures and muster at the parade ground.

After an examination

If a lockdown is required after the exam or as candidates are leaving the exam room invigilators will:

- stop dismissing candidates from the exam room
- where possible and safe to do so instruct candidates who have left the room to re-enter the exam room
- instruct candidates to remain silent and take cover in the safest place
- 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
- on the sound of the 'all clear' invigilators and students should follow the normal school procedures and muster at the parade ground.

At the end of the lockdown

- The Head of Centre, in consultation with other members of SLT and the EO, will decide if it is practicable to return to the interrupted exam(s). In certain instances, it may be possible for all of the cohort to return and continue the exam(s), in other circumstances it may be deemed that the exam(s) aren't able to restart.
- At all times the decision should be made in the best interests of the students and will be directly influenced by the particular circumstances of the lockdown event.
- The school is mindful that there may be situations where some students may wish to continue and complete the exam and others will feel unable to do so. In such an instance the school will facilitate a part cohort to complete the remaining exam(s).
- In instances where an exam is able to restart, invigilators will be instructed to:
 - ask candidates to return to their desks, remind them they are under exam conditions and allow a settling down period
 - recalculate the revised finish time(s) to allow for the full exam time
 - tell the candidates to turn their papers over and re-start their exam
 - amend the revised finish time(s) on display to candidates
 - note how long the lockdown lasted on the exam room incident log
- Immediately after the event the EO will contact the appropriate Exam Board(s) with details of what has happened and ask for their advice as to how to proceed.
- The EO in conjunction with the Head of Centre will provide a full written report to the appropriate Exam Board(s) detailing the circumstances of the incident, including the nature of the incident, timings, effect on the candidates, effect on the overall conduct and completion/non-completion of the affected exam(s).
- Where students have been adversely affected by a lockdown event the EO will be directed by the Head of Centre to pursue claims with the appropriate Exam Board(s) for Special Consideration either on an individual student-by-student basis or for the whole cohort.

A9 Procedures for special consideration

Special consideration is a post-examination adjustment to a candidate's mark or grade to reflect temporary illness, temporary injury or some other event outside of the candidate's control at the time of the assessment, which has had, or is reasonably likely to have had, a material effect on a candidate's ability to take an assessment or demonstrate his or her normal level of attainment in an assessment.

Special consideration can only seek to go some way to assist a candidate affected by a potentially wide range of difficulties, emotional or physical, which may influence performance in examinations. It cannot remove the difficulty faced by the candidate. There will be situations where candidates should not be entered for an examination. Only minor adjustments can be made to the mark awarded because to do more than this would jeopardize the standard of the examination. [JCQ A guide to the special consideration process, section 1]

These procedures outline the way in which the school will identify students who may be eligible for Special Consideration, and the processes that will be followed where the school submits an application for Special Consideration where candidates meet the published criteria.

Eligibility for Special Consideration

The school can ask for any candidate to be considered for Special Consideration where such a candidate has been fully prepared and has covered the whole exam course, but performance in the examination, or in the production of controlled assessment, coursework or non-examination assessment, is materially affected by adverse circumstances beyond their control.

Potential scenarios which could lead to an application for Special Consideration include, but are not limited to, those below:

Where a candidate has suffered some form of trauma prior to the exams (e.g., bereavement, serious personal incident, serious family incident) and that event is continuing to have a direct bearing on the student's performance in the exam.

Where a candidate is too ill to attend part of a scheduled exam; in such instances the candidate would need to provide proof of illness through a relevant medical certificate. NOTE, if a candidate is unable to complete any part of the exam, then they will be awarded a grade of 'X' and no consideration can be given.

Where a candidate arrives for an exam and presents as clearly unwell, is suffering from a pre-existing injury (e.g., broken arm etc), is extremely distressed, or has recently sustained an injury that requires emergency access arrangements to be put in place, then the school will make arrangements for the student to be kept comfortable and under supervision from the required start time while appropriate arrangements are put in place for the candidate to take the exam in the best possible conditions. Subsequently a judgement will be made on how the candidate's situation or disposition has affected his/her performance in the exam and, where appropriate/ eligible, special consideration will be applied for.

Where candidates may be affected by a major disturbance in the exam room (emergency evacuation etc.), special consideration will be applied for on behalf of all candidates affected.

Where a candidate takes multiple exams (three or more exams) timetabled in the same day and the total duration for those papers is more than 6 hours for GCE exams or more than 5 hours 30 minutes for GCSE exams (including any approved extra time but not any time taken for supervised rest breaks), special consideration for an allowance on the last paper taken will be applied for.

NOTE: Where a candidate may be affected by a minor disturbance in the exam room caused by another candidate (momentary bad behaviour by another candidate) special consideration cannot be applied for.

In all instances Special Consideration is awarded at the discretion of the appropriate Exam Board(s) and they will judge each case on its individual merits.

Where other issues or problems could potentially affect an individual candidate or a group of candidates the school will explore the possibility of applying for Special Consideration. These might include, but are not limited to, the following examples:

- a short extension to coursework/non-examination assessment deadlines
- submitting a reduced quantity of coursework/non-examination assessment (coursework or NEA is incomplete/missing/destroyed)
- candidates taking an incorrect or defective question paper
- candidates being given the incorrect time to complete a paper (time allowed was too short)
- an access arrangement is only partially or incorrectly applied
- candidates undertaking the wrong controlled assessment or non-examination assessment assignment

Processing & Submitting applications for special consideration

Where an individual candidate or a group of candidates is/are identified as being eligible for special consideration, applications will be submitted to the relevant Exam Board(s) following the published processes on the Exam Boards' and the JCQ websites.

An application for Special Consideration can be requested directly by a candidate, or their parent or guardian. There is no procedure for candidates or parents to claim directly to an awarding body - all applications must be made through the school. The school will work closely with candidates and parents to facilitate any such request but reserves the right not to pursue claims that do not meet the published criteria or that are considered vexatious.

The school may also initiate claims based on their own observations. Where the school initiates such a claim the candidate and parent must be informed of the procedure and reassured that there is no penalty for any claims that are not upheld.

In all applications for Special Consideration the school will maintain written records. Evidence to support an application may be sought from a range of sources including, but not limited to, the candidate, the candidate's parent or guardian, the SENCO, class teachers, the exams staff and exam invigilators, outside agencies e.g., medical professional etc. Evidence used to support any application will be kept on file until after the publication of results.

A10 Procedures for internal appeals

Purpose of the procedure

This procedure confirms the school's compliance with JCQ's General Regulations for Approved Centres (section 5.3x) that the centre will:

- have in place and available for inspection a written internal appeals procedure, which must cover, at least; appeals regarding internal assessment decisions, post-result services and appeals, and centre decisions relating to access arrangements and special consideration.

This procedure covers appeals relating to:

- Internal assessment decisions (centre-assessed marks)
- Centre decisions not to support a clerical re-check, a review of marking, a review of moderation or an appeal
- Centre decisions relating to access arrangements and special consideration

Internal Assessment (NEA)

Each awarding body publishes its arrangements for appeals against decisions. In addition, an appeal concerning internal assessment can be made to the school.

Vice Principal and Lead Verifier will:

- Ensure that work is marked by staff who have the appropriate knowledge, skills and understanding and who have been trained in this area.
- Ensure that candidates work is authenticated in line with the requirements of the awarding body.

Subject teachers will:

- Ensure that candidates are informed of their centre-assessed marks so that they may request a review of the centre's marking, before marks are submitted to the awarding body.
- Inform candidates that they may request copies of materials to assist them in considering whether to request a review of the centre's marking of the assessment.
- Promptly make copies of materials available to the candidate, having received a request for them.
- Provide candidates with sufficient time to allow them to review copies of materials and reach a decision regarding whether an appeal is necessary.
- Allow sufficient time for any review to be carried out, to make any necessary changes to marks, and to inform the candidate of the outcome, all before the awarding body's deadline.

Process:

- Appeals must be made in writing to the Vice Principal at least two weeks prior to the final submission date, giving clear reasons and evidence as to why the school's NEA policy has not been adhered to.
- Candidates should ensure that reference is made to the relevant section of the policy and are reminded that the outcome of an appeal could be a change in mark, either up or down.
- The Vice Principal will ensure the review of marking is carried out by a reviewer of appropriate competence, who has had no previous direct involvement in the assessment of the candidate, and who has no personal interest in the review.

- The review will confirm if the school's policy has been adhered to and whether the candidate's mark is fair and consistent with the standard set by the centre.
- The Vice Principal will inform the candidate and their parents of the outcome of the review of marking and will alert the Head of Centre, keeping a written record available to the awarding body on request.
- Should the review of the centre's marking bring any irregularity to light, the awarding body will be informed immediately.

Each Awarding Body specifies detailed criteria for the internal assessment of work. In addition, the awarding body must moderate the assessment, and the final judgement on marks awarded is that of the awarding body. Appeals against matters outside the school's control will not be considered in the school's Appeals Procedure.

Post-results services and appeals

The process for handling post services and appeals is detailed in [A16 Procedures for Post result services requests](#).

Should the school feel unable to support the student/parents request for a clerical re-check, a review of marking, a review of moderation or an appeal, they should follow the instructions outlined in [A11 Exams Complaints Procedures](#).

Access arrangements and special considerations

Access arrangements are awarded as per the procedure described in [A5 Access arrangements and reasonable adjustments procedures](#). If parents/carers are not happy with the decision made by the SENCO, they should:

- Contact the SENCO for further clarification as to why the access arrangement has not been awarded
- If still unhappy with the decision, parents/carers should follow instructions detailed in the school's general complaints procedure as outlined on the school [website](#).

The process for applying for Special consideration is described in [A9 Procedures for Special Consideration](#).

Should the school feel unable to support the student/parents request for special consideration, they should follow the instructions outlined in [the A11 Exams Complaints Procedures](#).

A11 Exams complaints procedures

General conduct of exams

- If any student or other relevant party wishes to complain or appeal against any aspect relating to the administration, conduct, or organisation of any aspects of the school's examination process they should, in the first instance, raise any concerns with the Examinations Officer. If the Examinations Officer is unable to resolve the complaint, they will forward it to an appropriate member of the senior leadership team who will attempt further to resolve the issue.
- If a complaint cannot be resolved at this level, then the complainant will be advised to follow the school's general complaints procedure as outlined on the school [website](#).

School not pursuing enquiries about results appeals

- There may be instances where a candidate wishes to pursue an appeal against an exam result (EAR), but the school does not support the appeal; in such instances the candidate will be advised that the school will not be pursuing that particular appeal.
- If the candidate is unsatisfied with this response, they should contact the Examinations Officer asking for a written review of the decision. The Examinations Officer should obtain the reason(s) why the school does not support further EAR actions and communicate this in writing to the candidate within seven days.
- If the candidate is not satisfied with the written response, they should follow the school's general complaints procedure as outlined on the school [website](#).

A12 Child protection/safeguarding procedures in relation to examinations

The Duke of York's school is fully committed to all aspects of Safeguarding and Welfare and all teaching and support staff, including exams office staff and invigilators, work in-line with the most up-to-date guidance, which is documented in the school's 'Safeguarding and Child Protection policy', publicly available at www.doyrms.com.

Recruitment of invigilators is carried out formally by the school's HR office following the school's safer recruitment procedures, which include formal identity checks, taking references and ensuring that all prospective invigilators have appropriate DBS clearance.

All invigilators receive safeguarding training every year from an appropriately trained member of the Safeguarding Team. No invigilator will be allowed to start work until they have received either a full briefing for new members of staff, or an annual refresher briefing for previous employees.

The EO will work with the school safeguarding team to monitor any instances where a change to the school's procedures would necessitate all invigilators requiring a further full briefing, or circumstances where existing staff would need to re-take the full briefing rather than an annual refresher.

The school's full Safeguarding and Child Protection Policy is available on the [website](#).

A13 Data Protection procedures in relation to examinations

All exams-related processes which involve any aspects of data collection, data processing, data storage and data sharing, are undertaken in-line with the requirements of JCO, the various awarding bodies and the whole-school 'Data Protection Policy' which is available to view at www.doyrms.com. The school also has separate 'Exams archiving procedures' which are attached [\[as appendix A3\]](#) and which detail the retention and disposal schedules for all exams-related documentation.

Students and parents are informed prior to each exam season that the final results achieved are the property of the student and that the school will only release results directly to students. The school is unable to release results directly to parents. Results will always be released via a student's school email account. The school should also obtain a student's consent before issuing their name or results into the public domain, either via a press release or in an online format.

The school's full Data Protection Policy is available on the [website](#).

A14 Whistleblowing procedures in relation to examinations and assessments

Examinations and Assessments

Whistleblowing at The Duke of York's Royal Military School (DOYRMS) is encouraged, not penalised, and staff are made aware that they have a duty to report any concerns they have about the conduct of examinations.

The Principal and the Board of Trustees at DOYRMS aim to create and maintain an approach to examinations that reflects an ethical culture and encourages staff and students to be aware of and report practices that could compromise the integrity and security of examinations.

In compliance with section 5.11 of the JCQ's **General Regulations for Approved Centres**¹, DOYRMS will:

- take all reasonable steps to prevent the occurrence of any malpractice (which includes maladministration) before, during and after assessments have taken place.
- inform the awarding body **immediately** of any alleged, suspected or actual incidents of malpractice or maladministration involving a candidate or a member of staff, by completing the appropriate documentation.
- as required by an awarding body, gather evidence of any instances of alleged or suspected malpractice (which includes maladministration) in accordance with the JCQ publication **Suspected Malpractice: Policies and Procedures**² and provide such information and advice as the awarding body may reasonably require.

This policy requirement has been added within **General Regulations for Approved Centres** in response to the recommendations within the report of the *Independent Commission on Examination Malpractice*³.

This policy sets out the whistleblowing procedures at DOYRMS. It has been produced by the Vice Principal (Curriculum & Learning) who is also a member of the senior leadership team and responsible for handling any cases of whistleblowing. They are fully aware of the contents of this policy and will escalate any instances of malpractice to the relevant awarding body/bodies.

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

Purpose of the policy

This policy:

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

¹ Reference www.jcq.org.uk/exams-office/general-regulations/

² Reference www.jcq.org.uk/exams-office/malpractice/

³ Reference www.jcq.org.uk/examination-system/imc-home/

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

The Whistle-blower

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

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

Reporting

If a member of DOYRMS staff involved in the management, administration and/or conducting of examinations (such as exams officer, exams assistant or invigilator), a student, or a member of the public (such as a parent/carer) has a concern or reason to believe that malpractice has or will occur in an examination or assessment, concerns should normally be raised initially with the Vice Principal (Compliance & Policy) and the member of the senior leadership team with an overview of examination administration.

However, there may be times when it may be more appropriate to refer the issue direct to the Board of Trustees, most often when the allegation is against the Principal.

Examples of malpractice

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

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

Whistleblowing procedure

If the individual does not feel safe raising the issue/reporting malpractice within the school, or they have done so and are concerned that no action has been taken, that individual could consider making their disclosure⁴ to a malpractice expert at the awarding body for the qualification where malpractice is suspected.

For members of DOYRMS staff, it is likely that the Public Interest Disclosure Act (PIDA)⁵ offers you legal protection from being dismissed or penalised for raising certain serious concerns ('blowing the whistle'). Whistleblowing rights under PIDA are day one rights⁶. This means that the worker does not need the same two years' service that is needed for other employment rights.

⁴ Reference www.jcq.org.uk/exams-office/malpractice/public-interest-disclosure-act/

⁵ Reference **Public Interest Disclosure Act 1998** www.legislation.gov.uk/ukpga/1998/23/contents

⁶ Reference <https://protect-advice.org.uk/pida/>

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

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

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

Alternatively, a worker could consider making a disclosure to Ofqual⁸ as a prescribed body for whistleblowing, to raise a concern about wrongdoing, risk or malpractice.

Anonymity

In some circumstances, the whistle-blower might find it difficult to raise concerns with the nominated member of the senior leadership team. If a concern is raised anonymously, the issue may not be able to be taken further if insufficient information has been provided. In such instances, and if appropriate, the allegation may be disclosed to a union representative, who could then be required to report the concern without disclosing its source. Alternatively, whistle-blowers or others with concerns about potential malpractice can report the matter direct to Ofqual, who is identified as a 'prescribed body'⁹. Awarding organisations are not prescribed bodies under whistleblowing legislation; however, awarding organisation investigation teams do give those reporting concerns the opportunity for anonymity.

A whistle-blower can give his/her name, but may also request confidentiality; the person receiving the information should make every effort to protect the identity of the whistle-blower.

Students

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

⁷ Reference www.ocr.org.uk/administration/general-qualifications/assessment/malpractice/whistleblowing/

⁸ Reference www.gov.uk/guidance/ofquals-whistleblowing-policy

⁹ Reference www.gov.uk/government/publications/blowing-the-whistle-list-of-prescribed-people-and-bodies--2/whistleblowing-list-of-prescribed-people-and-bodies--2

A15 Escalation Process

Purpose of the process

To confirm the main duties and responsibilities to be escalated, should the Head of Centre, or a member of the senior leadership team with overview of examination administration, be absent.

In the event of the absence of the Head of Centre or the member of senior leadership with an overview of examination administration, responsibility for implementing JCQ regulations and requirements relating examinations will be escalated to the Assistant Principal.

Before examinations (Planning)

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

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

Main duties and responsibilities relate to:

- Third party arrangements
- Centre status
- Confidentiality
- Communication
- Recruitment, selection and training of staff
- Internal governance arrangements
- Delivery of qualifications
- Public liability
- Conflicts of interest
- Controlled assessments, coursework and non-examination assessments
- Security of assessment materials
- National Centre Number Register
- Centre inspections - Additional JCQ publication for reference:
 - JCQ Centre Inspection Service Changes
- Policies available for inspection - Specific JCQ publications for reference:
 - General Regulations for Approved Centres (section 5)
 - Instructions for conducting examinations (section 25)
 - Access Arrangements and Reasonable Adjustments (section 5)
- Personal data, freedom of information and copyright - Additional JCQ publication for reference:
 - Information for candidates – Privacy Notice

Before examinations (Entries and Pre-exams)

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

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

Main duties and responsibilities relate to:

- Access arrangements and reasonable adjustments
- Entries - Additional JCQ publications for reference:
 - Key dates in the examination cycle
 - Guidance Notes for Transferred Candidates
 - Alternative Site guidance notes
 - Guidance notes for overnight supervision of candidates with a timetable variation
- Centre assessed work - Additional JCQ publication for reference:
 - Guidance Notes – Centre Consortium Arrangements
- Candidate information - Additional JCQ publications for reference:
 - Information for Candidates documents
 - Exam Room Posters

During examinations (Exam time)

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

- General Regulations for Approved Centres (sections 3, 5)
- Instructions for conducting examinations (sections 16-31)
- Access Arrangements and Reasonable Adjustments (section 8)
- A guide to the special consideration process (sections 2-7)

Main duties and responsibilities relate to:

- Conducting examinations and assessments - Additional JCQ publication for reference:
 - Guidance Notes – Very Late Arrival
- Malpractice
- Retention of candidates' work

After examinations (Results and Post-Results)

In the event of the absence of the Head of Centre or the member of senior leadership with an overview of examination administration, responsibility for implementing JCQ regulations and requirements relating to after examinations will be escalated to Vice Principal (Curriculum & Learning).

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

- General Regulations for Approved Centres (section 5)

Main duties and responsibilities relate to:

- Results - Additional JCQ publication for reference:
 - Release of Results notice
- Post-results services and appeals - Additional JCQ publications for reference:
 - Post-Results Services (Information and guidance to centres)
 - JCQ Appeals Booklet (A guide to the awarding bodies' appeals processes)
- Certificates

A16 Procedures for post result services requests

Information regarding post results services is emailed by the EO to students via their school email address prior to results day. This includes information on what services are available, deadlines and associated fees.

Requests for post results services are received in one of two ways:

1. The HOC/Senior leaders identify students whose marks are lower than expected and/or are close to the grade boundary. This may result in a request to access a script or request a review of marking.
2. Students or parents/carers contact the school directly to request post result services. Parents/carers are informed that any request must come from the student themselves.

In all cases where post results services are required for an individual student, email (or telephone) contact is made with the affected candidate and their permission sought for the school to pursue that procedure.

Access to Scripts

Action	Request from HOC/Senior Leader	Request from Student
Student is contacted by email or telephone and their permission sought to pursue the application	A verbal agreement on the telephone or an email from the student is sufficient	A form is emailed confirming the deadline & the cost involved, asking them to complete and return it giving their permission. Email is copied in to their parent/guardian as they are responsible for the fee.
EO downloads the scripts from various exam boards	Script is emailed to relevant HOD/Senior Leader	Script is emailed to student via their school email account
Fee is dealt with	No charge is made as actioned at school's request	Fee is passed on to accounts to be added to Parent/carers next bill

The Exam Office keeps a detailed log of all requests, how the request was made and delivered, the associated fee and whether it should be billed to the parent or not

Review of Marking

Action	Request from HOC/Senior Leader	Request from Student
Marks are analysed against grade boundaries	HOC/Senior Leader will identify students whose grades they want to check	Student may ask for confirmation of grade boundaries or request a review of marking

Student is contacted by email or telephone and their permission sought to pursue the application	A form is emailed confirming the deadline & the cost involved, asking them to complete and return it giving their permission. This form clearly states that they understand that the outcome of any appeal may result in a lower grade being issued.	
EO makes application to various exam boards	The request is made by the EO via the various exam board websites. The EO will check emails/websites periodically to ascertain the outcome of any ROM requests made	
EO advises outcome	Student and Parent/carer are emailed with the outcome of the ROM and any associated fees confirmed. Relevant members of staff are informed, and MIS and any other records updated.	
Fee is dealt with	Regardless of the outcome, no charge is issued as actioned at school's request	If the outcome of the ROM has resulted in a change of grade, no charge is issued. If the grade remains the same, the fee is passed on to accounts to be added to Parents/carers next bill

Review of Moderation

A request for a review of moderation would only be instigated by the HOC/Senior Leaders/HODs.

The exam boards make detailed result reports and moderator reports available to download from their website and these are reviewed by the various HOD's and any issue with moderation identified. If requested by the HOC, the EO will make an application for a review of moderation following the associated exam board's process.

Should a student or parent/carer request a review of moderation for a subject that has not been identified in the above process, the HOD would make contact via email explaining why the school is unable to support the request.

Students or parents/carers who are not satisfied with the outcome of any appeal should refer to [Appendix 10 Procedures for Internal Appeals](#)

A17 Procedures for conflict of interest

A conflict of interest is defined as one of the following:

- Those that require the Centre to inform the awarding body and keep detailed records
 - any members of centre staff who are taking qualifications at their own centre which include internally assessed components/units;
 - any members of centre staff who are teaching and preparing members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) for qualifications which include internally assessed components/units;
- Those that do not require the Centre to inform the awarding body but do require detailed records to be kept
 - Exams office staff have members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) being entered for examinations and assessments either at the centre itself or other centres;
 - centre staff who are taking qualifications at their own centre which do not include internally assessed components/units;
 - centre staff who are taking qualifications at other centres.

The following process is in place to identify and record all incidences of COI.

- At the beginning of the academic year all staff are emailed asking them to declare any COI
- Once identified, staff are emailed a form (see example 1 below) to complete and return and this is kept on file.
- The relevant awarding body is informed by email by the published deadline for entries for each examinations series.
- A Conflict of Interest log is completed (see example 2 below) detailing steps taken to mitigate any potential risk to the integrity of the qualifications affected.
- These records are retained until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.

Example 1

DECLARATION OF INTEREST FORM 2022/23

To comply with the regulations, the centre is required to manage conflicts of interest and inform the relevant awarding body/bodies (before the published deadline for entries for each examination series) of:

- any members of centre staff who are taking qualifications at their own centre which include internally assessed components/units
- any members of centre staff who are teaching and preparing members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) for qualifications which include internally assessed components/units, and

maintains clear records of all instances where:

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

To ensure compliance, you must declare (by ticking) any of the statements that apply to you and complete the required information in the white boxes.

Your name		Your job title(s)/role(s)
Subject(s) you teach (if applicable to your role)		

Please tick any statement/statements that applies/apply to you and complete the required information (or will apply to you during the 2022/23 academic year)

I am taking a qualification(s) at this centre which includes an internally assessed component/unit

Qualification(s) I am taking	Awarding body	Qualification type	Specification (Subject)
Steps I have taken to seek an alternative centre at which to take the qualification(s)			

I am teaching and preparing a member of my family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) for a qualification(s) which includes an internally assessed component/unit
(Where more than one related person, please complete a separate form)

Name of related person (the candidate)		Relationship to me
Candidate number		
Qualification(s) being taught and prepared for	Awarding body	Qualification type Specification (Subject)

DECLARATION OF INTEREST FORM 2022/23

I am a member of exams office staff and have a member of my family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) being entered for examinations and assessments at this centre or another centre
(Where more than one related person, please complete a separate form)

Name of related person (the candidate)		Relationship to me
Where the candidate is being entered	<input type="checkbox"/> This centre	<input type="checkbox"/> Another entering centre (tick box as applies)
Candidate number (if this centre)		
Entering centre name (if not this centre)		Entering centre number (if known)

I am taking a qualification at this centre which does not include internally assessed components/units

I am taking a qualification at another centre

Qualification(s) I am taking	Awarding body	Qualification type	Specification (Subject)	Exam series
Entering centre name				

I have none of the above statements to declare

Date declaration(s) made: _____ Signature to confirm declaration(s): _____

This completed form (including date and signature) must be returned to [insert] by [insert]

The declaration(s) you have provided will be used to inform the relevant awarding body/bodies (where required) and to record details of the measures taken to mitigate any potential risk to the integrity of the qualifications affected. You will be informed if/where any measures or protocols put in place directly affect you.

FOR HEAD OF CENTRE/EXAMS OFFICER USE ONLY

Date	Action
	Completed Declaration form received
	Declaration(s) recorded on Conflicts of Interest (COI) log
	Awarding body/bodies informed of specific COI (where applicable)
	Staff member informed of measures/protocols in place to manage the risk represented by the COI

Example 2

CONFLICTS OF INTEREST LOG 2022/23

Date recorded	Staff name & job title(s)/role(s)	Conflict of interest (COI)	Measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected
16/04/23	Teacher of Engineering	(As a last resort where unable to find another centre) Taking a qualification(s) at this centre which includes an internally assessed component/ <u>unit</u> <input type="checkbox"/> COI declared to relevant awarding body before the published deadline for entries (for each affected examination series)	To: <ul style="list-style-type: none"> prevent the member of centre staff having access to confidential examination/assessment materials prior to exam(s)/assessment(s) brief other relevant centre staff on maintaining the integrity and confidentiality of exam/assessment <u>materials</u> ensure the member of centre staff is treated in the same way as any other candidate entered for that qualification, does not have access to examination materials and does not receive any preferential <u>treatment</u> The arrangements below are in place: <ul style="list-style-type: none"> Examination/assessment materials are logged on receipt, immediately delivered to the exam office and stored straight away in the locked cabinet in the secure room. Simon <u>Tsa</u> has no access to the secure room at any <u>time</u> HOC has spoken to the Head of English Dept and Exams Officer re-iterating the importance of maintaining integrity of exam/assessment <u>materials</u> Head of English has confirmed that she will conduct the Speaking endorsement, and this will be moderated and signed off by 2 other English teachers to ensure no preferential treatment is given. Simon <u>Tsa</u> will sit the written exams in the same room as our students and this will be invigilated by a fully trained, impartial invigilator who is not known to Simon.
16/04/23	Sports Graduate	(As a last resort where unable to find another centre) Taking a qualification(s) at this centre which includes an internally assessed component/ <u>unit</u> <input type="checkbox"/> COI declared to relevant awarding body before the published deadline for entries (for each affected examination series)	To: <ul style="list-style-type: none"> prevent the member of centre staff having access to confidential examination/assessment materials prior to exam(s)/assessment(s) brief other relevant centre staff on maintaining the integrity and confidentiality of exam/assessment <u>materials</u> ensure the member of centre staff is treated in the same way as any other candidate entered for that qualification, does not have access to examination materials and does not receive any preferential <u>treatment</u> The arrangements below are in place: <ul style="list-style-type: none"> Examination/assessment materials are logged on receipt, immediately delivered to the exam office and stored straight away in the locked cabinet in the secure room. Simon <u>Tsa</u> has no access to the secure room at any <u>time</u> HOC has spoken to the Head of English Dept and Exams Officer re-iterating the importance of maintaining integrity of exam/assessment <u>materials</u> Head of English has confirmed that she will conduct the Speaking endorsement, and this will be moderated and signed off by 2 other English teachers to ensure no preferential treatment is given. Simon <u>Tsa</u> will sit the written exams in the same room as our students and this will be invigilated by a fully trained, impartial invigilator who is not known to Simon.

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.

A18 Procedures for use of AI in coursework & NEA

AI use refers to the use of AI tools to obtain information and content, which might be used in work produced for assessments which lead towards qualifications. The misuse of AI tools in relation to qualification assessments at any time constitutes malpractice.

Students must submit work for assessments which is their own. This means both ensuring that the final product is in their own words and isn't copied or paraphrased from another source such as an AI tool, and that the content reflects their own independent work.

AI tools must only be used when the conditions of the assessment permit the use of the internet and where the student is able to demonstrate that the final submission is the product of their own independent work and independent thinking.

Examples of AI misuse include, but are not limited to, the following:

- Copying or paraphrasing sections of AI-generated content so that the work is no longer the student's own
- Copying or paraphrasing whole responses of AI-generated content
- Using AI to complete parts of the assessment so that the work does not reflect the student's own work, analysis, evaluation or calculations
- Failing to acknowledge use of AI tools when they have been used as a source of information
- Incomplete or poor acknowledgement of AI tools
- Submitting work with intentionally incomplete or misleading references or bibliographies

How to use and reference AI Tools in line with the regulations

It is essential that sources which are used are referenced when producing work for an assessment. Appropriate referencing is a means of demonstrating academic integrity and is key to maintaining the integrity of assessments.

If a student uses an AI tool which provides details of the sources it has used in generating content, these sources must be verified by the student and referenced in their work in the normal way. Where an AI tool does not provide such details, students should ensure that they independently verify the AI-generated content – and then reference the sources they have used. In addition, the AI used must also be acknowledged and students must show clearly how they have used it.

Where AI tools have been used as a source of information, a student's acknowledgement must show the name of the AI source used and should show the date the content was generated. For example: ChatGPT 3.5 (<https://openai.com/blog/chatgpt/>), 25/01/2023.

The student must retain a copy of the question(s) and computer-generated content for reference and authentication purposes, in a non-editable format (such as a screenshot) and provide a brief explanation of how it has been used.

A19 Procedures for prevention and management of malpractice

Introduction

What is malpractice and maladministration?

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

- a breach of the Regulations
- a breach of awarding body requirements regarding how a qualification should be delivered
- a failure to follow established procedures in relation to a qualification

which:

- gives rise to prejudice to candidates
- compromises public confidence in qualifications
- compromises, attempts to compromise or may compromise the process of assessment, the integrity of any qualification or the validity of a result or certificate
- damages the authority, reputation or credibility of any awarding body or centre, or any officer, employee or agent of any awarding body or centre (SMPP 1)

Candidate malpractice

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

Centre staff malpractice

'Centre staff malpractice' means malpractice committed by:

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

Suspected malpractice

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

Purpose of the policy

To confirm, The Duke of York's School:

- has in place a written malpractice policy which covers all qualifications delivered by the centre and details how candidates are informed and advised to avoid committing malpractice

in examinations/assessments, how suspected malpractice issues should be escalated within the centre and how they should be reported to the relevant awarding body (GR 5.3)

General principles

In accordance with the regulations The Duke of York's School will:

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

Preventing malpractice

The Duke of York's School has in place:

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

Informing and advising candidates & staff

Candidates:

- Candidates receive 2 briefings from the Vice Principal (Curriculum and Learning) during Year 11 as follows:
 - September/October - NEA briefing which covers Plagiarism in Assessments/Coursework, the use of AI ([see Appendix A19 Procedures for use of AI in coursework & NEA](#)) and the internal appeals process ([see Appendix A10 Procedure for internal appeals](#)).
 - March/April - Exam briefing which covers all aspects of sitting examinations including details of what is considered malpractice, examples, and the possible repercussions.
 - March - Candidates are emailed with their exam timetable and a document which combines the "Information for Candidate" documents as published by JCQ

Teachers/HODs:

- HODs ensure that Dept teachers are made aware of the policy regarding AI & Plagiarism and are aware of the internal appeals process.
- Sept/Oct – All Staff are emailed asking them to declare any possible conflict of interest and this is acted on accordingly ([see Appendix A17 Procedures for Conflict of Interest](#)).

Identification and reporting of malpractice

Escalating suspected malpractice issues

- Once suspected malpractice is identified, any member of staff at the centre can report it using the appropriate channels (SMPP 4.3)
- All suspected malpractice must be reported to the Examinations Officer who will inform the Principal/Head of Centre.
- In the event that the suspected malpractice involves the Examinations Officer, centre staff should report their concerns to the Vice Principal.
- In the event that the suspected malpractice involves the Principal/HOC, centre staff should report their concerns to The Chairman of the Trustees.

Reporting suspected malpractice to the awarding body

- The Head of Centre will immediately notify the appropriate awarding body of all alleged, suspected or actual incidents of malpractice, using the appropriate forms, and will conduct any investigation and gathering of information in accordance with the requirements of the JCQ publication **Suspected Malpractice: Policies and Procedures** (SMPP 4.1.3)
- The Head of Centre will ensure that where a candidate who is a child/vulnerable adult is the subject of a malpractice investigation, the candidate's parent/carer/ appropriate adult is kept informed of the progress of the investigation (SMPP 4.1.3)
- Form JCQ/M1 will be used to notify an awarding body of an incident of candidate malpractice. Form JCQ/M2 will be used to notify an awarding body of an incident of suspected staff malpractice/maladministration (SMPP 4.4, 4.6)
- Malpractice by a candidate discovered in a controlled assessment, coursework or non-examination assessment component prior to the candidate signing the declaration of authentication need not be reported to the awarding body but the following process will be followed:
 - The candidate will be informed and the allegations will be explained
 - The candidate will have the opportunity to give a statement before any final decision is made
 - If the candidate accepts that malpractice has occurred, they will be given the opportunity to repeat the assessment
 - If found guilty of malpractice following an investigation, Centre Staff may decide to remark previous assignments, and these could also be rejected if similar concerns are identified
 - If malpractice is discovered after a candidate has signed a declaration, this will be reported to the Awarding Body

The only exception to this is where the awarding body's confidential assessment material has potentially been breached. The breach will be reported to the awarding body immediately (SMPP 4.5)

- If, in the view of the investigator, there is sufficient evidence to implicate an individual in malpractice, that individual (a candidate or a member of staff) will be informed of the rights of accused individuals (SMPP 5.33)
- Once the information gathering has concluded, the Head of Centre (or other appointed information-gatherer) will submit a written report summarising the information obtained and actions taken to the relevant awarding body, accompanied by the information obtained during the course of their enquiries (5.35)
- Form JCQ/M1 will be used when reporting candidate cases; for centre staff, form JCQ/M3 will be used (SMPP 5.37)
- The awarding body will decide, on the basis of the report, and any supporting documentation, whether there is evidence of malpractice and if any further investigation is required. The Head of Centre will be informed accordingly (SMPP 5.40)

Communicating malpractice decisions

Once a decision has been made, it will be communicated in writing to the Head of Centre as soon as possible. The Head of Centre will communicate the decision to the individuals concerned and pass on details of any sanctions and action in cases where this is indicated. The Head of Centre will also inform the individuals if they have the right to appeal. (SMPP 11.1)

Appeals against decisions made in cases of malpractice

The Duke of York's School will:

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

A20 NEA Management process

Introduction

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

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

- task setting
- task taking
- task marking

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

Purchase of the policy

The purpose of this policy is to confirm that The Duke of York's Royal Military School adheres to JCQ regulations relating to non-examination assessments by:

- covering procedures for planning and managing non-examination assessments
- defining staff roles and responsibilities with respect to non-examination assessments
- managing risks associated with non-examination assessments

This policy covers all types of non-examination assessment.

Procedures for planning and managing non-examination assessments identifying staff roles and responsibilities

1. The basic principles

Head of Centre role and responsibilities:

- Returns a declaration (managed as part of the National Centre Number Register annual update) to confirm awareness of, and that relevant centre staff are adhering to, the latest version of **Instructions for conducting non-examination assessments**, confirming:
- Confirms that all reasonable steps have been, or will be taken to ensure that all candidates at the centre have had, or will have, the opportunity to undertake the (GCSE English Language) Spoken Language endorsement
- Confirms that (where relevant to the centre) all reasonable steps have been, or will be taken to ensure that all candidates at the centre have had, or will have, the opportunity to undertake the (A Level Sciences) prescribed practical activities
- Ensures that the centre's **Non-examination Assessment Policy** is fit for purpose and covers all types of nonexamination assessment
- Ensures that the centre's **internal appeals procedure** clearly details the process to be followed by candidates (or their parents/carers) appealing against internal assessment decisions (centre assessed marks) and requesting a review of the centre's marking

Senior Leadership Team role and responsibilities:

- Ensure the correct conduct of non-examination assessments (including endorsements) which comply with the JCQ publication **Instructions for conducting non-examination assessments** and awarding body subject-specific instructions
- Ensure the centre-wide calendar records assessment schedules by the start of the academic year

Vice Principal/Lead Internal Verifier role and responsibilities:

- Confirms with subject heads that appropriate awarding body forms and templates for non-examination assessments (including endorsements) are used by teachers and candidates
- Ensures that appropriate procedures are in place to internally standardise/verify the marks awarded by subject teachers, in line with awarding body criteria

Subject Lead role and responsibilities:

- Ensures that subject teachers understand their role and responsibilities within the non-examination assessment process
- Ensures that the JCQ publication **Instructions for conducting non-examination assessments** and relevant awarding body subject specific instructions are followed in relation to the conduct of non-examination assessments (including endorsements)
- Works with the Vice Principal/Lead Internal Verifier to ensure that appropriate procedures are followed to internally standardise/verify the marks awarded by subject teachers.

Subject Teacher role and responsibilities:

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

Exams office/Officer role and responsibilities:

- Signposts the annually updated JCQ publication **Instructions for conducting non-examination assessments** to relevant centre staff
- Carries out tasks where these may be applicable to the role in supporting the administration/management of non-examination assessment

2. Task setting

Subject Teacher role and responsibilities:

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

Issuing of tasks

Subject Teacher role and responsibilities:

- Determines when set tasks are issued by the awarding body

- Identifies date(s) when tasks should be taken by candidates
- Accesses set tasks in sufficient time to allow planning, resourcing and teaching and ensures that materials are stored securely at all times

3. Task taking

Supervision

Subject Teacher role and responsibilities:

- Checks the awarding body's subject-specific requirements, ensuring that candidates take tasks under the required conditions and supervision arrangements
- Ensures that there is sufficient supervision to enable the work of a candidate to be authenticated
- Ensures that there is sufficient supervision to ensure that the work a candidate submits is their own
- Ensures that where work may be completed outside of the centre without direct supervision, the work produced is the candidate's own
- Where candidates may work in groups, keeps a record of each candidate's contribution, ensuring that it is possible to attribute assessable outcomes to individual candidates
- Ensures that candidates:
 - are aware of the current JCQ documents: Information for Candidates - Nonexamination Assessments and Information for Candidates - Social Media
 - understand and comply with the regulations in relevant JCQ Information for Candidates documents
 - understand that information from all sources must be referenced
 - receive guidance on setting out references
 - are aware that they must not plagiarise other material

Advice and feedback

Subject Teacher role and responsibilities:

- As relevant to the subject/component, advises candidates on relevant aspects before candidates begin working on a task
- Will not provide candidates with model answers or writing frames specific to the task
- When reviewing candidates' work, unless prohibited by the specification, provides oral and written advice at a general level to candidates
- Allows candidates to revise and re-draft work after advice has been given at a general level
- Records any assistance given beyond general advice, factoring this in when marking, or submitting it to the external examiner
- Ensures that candidates cannot amend work after it has been assessed

Resources

Subject Teacher role and responsibilities:

- Refers to the awarding body's specification and/or associated documentation to determine if candidates have restricted/unrestricted access to resources when planning and researching their tasks
- Refers to the JCQ document AI Use in Assessments: Protecting the Integrity of Qualifications (www.jcq.org.uk/exams-office/malpractice) as well as the awarding body's specification and/or associated documentation published by the awarding bodies and the regulator
- By referencing this document, makes candidates aware of the appropriate and inappropriate use of AI, the risks of using AI, and the possible consequences of using AI inappropriately in a qualification assessment
- Ensures that conditions for any formally supervised sessions are known and put in place

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

Word and time limits

Subject Teacher role and responsibilities:

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

Collaboration and group work

Subject Teacher role and responsibilities:

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

Authentication procedures

Subject Teacher role and responsibilities:

Where required by the awarding body's specification:

- Ensures that candidates sign a declaration confirming that the work they submit for final assessment is their own unaided work
- Signs the teacher declaration of authentication confirming the requirements have been met
- Keeps signed candidate declarations on file until the deadline for requesting reviews of results has passed, or until any appeal, malpractice or other results enquiry has been completed, whichever is later
- Provides signed candidate declarations where these may be requested by a JCQ Centre Inspector (Electronic signatures are acceptable)
- Where there may be doubt about the authenticity of the work of a candidate, or if malpractice is suspected, follows the authentication procedures and malpractice information in the JCQ publications **Instructions for conducting non-examination assessments** and informs a member of the Senior Leadership team
- Understands that if, during the external moderation process, it is found that the work has not been properly authenticated, the awarding body will set the mark(s) awarded by the centre to zero

Presentation of work

Subject Teacher role and responsibilities:

- Instructs candidates to present work, as detailed in the JCQ publication **Instructions for conducting nonexamination assessments**, unless the awarding body's specification gives different subject-specific instructions
- Instructs candidates to add their candidate number, centre number and the component code of the assessment as a header/footer on each page of their work

- Ensures that if candidates' work is to be submitted electronically, it meets the awarding body's specified requirements

Keeping materials secure

Subject Teacher role and responsibilities:

- When work is being undertaken by candidates under formal supervision, ensures that work is securely stored between sessions (if more than one session)
- When work is submitted by candidates for final assessment, ensures that work is securely stored
- Follows secure storage instructions as defined in the JCQ publication **Instructions for conducting nonexamination assessments**
- Takes sensible precautions when work is taken home for marking
- Stores internally assessed work securely, including the sample returned after awarding body moderation, until all possible post-results services have been exhausted
- If post-results services have not been requested, returns internally assessed work to candidates (if requested by a candidate) after the deadline for requesting a review of results for the relevant series
- If post-results services have been requested, returns internally assessed work to candidates (if requested by a candidate) once the review of results and any subsequent appeal has been completed
- Reminds candidates of the need to keep their own work secure at all times and not share completed or partially completed work on-line, on social media or through any other means (Reminds candidates of the contents of the JCQ document **Information for candidates - Social Media**)
- Where work is stored electronically, liaises with IT to ensure the protection and back-up of candidates' work and that appropriate arrangements are in place to restrict access to it between sessions
- Understands that during the period from the submission of work for formal assessment until the deadline for requesting a review of results, copies of work may be used for other purposes, provided that the originals are stored securely as required

IT role and responsibilities:

- Ensures appropriate arrangements are in place to restrict access to candidates' work between formal supervised sessions, where work is stored electronically
- Restricts access to this material and utilises appropriate security safeguards such as firewall protection and virus scanning software
- Employs an effective back-up strategy so that an up-to-date archive of candidates' evidence is maintained
- Considers encrypting any sensitive digital media to ensure the security of the data stored within it, and refers to awarding body guidance to ensure that the method of encryption is suitable

4. Task marking - externally assessed components

Conduct of externally assessed work

Subject Teacher role and responsibilities:

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

Exams office/Officer role and responsibilities:

- Arranges timetabling, rooming and invigilation if applicable to any externally assessed non-examination component of a specification
- Conducts the externally assessed component within the window specified by the awarding body and, where applicable, according to JCQ publication **Instructions for conducting examinations**

Submission of work

Subject Teacher role and responsibilities:

- Pays close attention to the completion of the attendance register, if applicable

Exams office/Officer role and responsibilities:

- Provides the attendance register to the subject teachers where applicable
- Ensures that the awarding body's attendance register for any externally assessed component is completed correctly
- Where candidates' work must be despatched to an awarding body's examiner or uploaded electronically, ensures that this is completed by the date specified by the awarding body
- Keeps a copy of the attendance register until after the deadline for reviews of results for the exam series
- Packages the work as required by the awarding body and attaches the examiner address label
- Ensures that the package in which the work is despatched is robust and securely fastened
- Despatches the work to by the required deadline, as per the awarding body's instructions

5. Task marking - internally assessed components

Marking and annotation

Head of Centre role and responsibilities:

- Makes every effort to avoid situations where a candidate is assessed by a person who has a close personal relationship with them, for example, a members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter)
- Where this cannot be avoided, ensures that the possible conflict of interest is declared to the relevant awarding body and the marked work is submitted for moderation regardless of whether it is part of the moderation sample

Subject Lead role and responsibilities:

- Sets timescales for teachers to inform candidates of their centre-assessed marks, that allows sufficient time for a candidate to appeal an internal assessment decision/request a review of the centre's marking, prior to the marks being submitted to the awarding body's external deadline

Subject Teacher role and responsibilities:

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

Internal standardisation

Vice Principal and Lead Internal Verifier role and responsibilities:

- Ensure that internal standardisation of marks across assessors and teaching groups takes place as required and to sequence
- Support staff not familiar with the mark scheme (e.g. ECTs, supply staff etc.) Ensure accurate internal standardisation - for example by:
 - obtaining reference materials at an early stage in the course
 - holding a preliminary trial marking session prior to marking
 - carrying out further trial marking at appropriate points during the marking period
 - after most marking has been completed, holds a further meeting to make final adjustments
 - making final adjustments to marks prior to submission, retaining work and evidence of standardisation
- Retain evidence that internal standardisation has been carried out

Subject Teacher role and responsibilities:

- Indicates the date of marking on work (or cover sheet)
- Marks to common standards
- Keeps candidates' work secure until after the closing date for review of results for the series concerned, or until any appeal, malpractice or other results enquiry has been completed, whichever is later

Submission of marks and work for moderation

Subject Teacher role and responsibilities:

- Inputs and submits marks online via the awarding body secure extranet site by the external deadline or provides marks to the Exams Officer to input by the internal deadline, keeping a record of the marks awarded
- Where responsible for marks input, ensures that marks for any additional candidates are submitted, and ensures that mark input is checked before submission, to avoid transcription errors
- Submits the requested samples of candidates' work to the awarding body moderator by the external deadline, keeping a record of the work submitted/Provides the moderation sample to the Exams Officer to the internal deadline
- Ensures that where a candidate's work has been facilitated by a scribe or practical assistant, the relevant completed cover sheet is securely attached to the front of the work and sent to the moderator in addition to the sample requested
- Ensures that the moderator is provided with authentication of candidates' work (confirming that internal standardisation has been undertaken) and any other subject-specific information required
- Submits any supporting documentation required by the awarding body/Provides the Exams Officer with any supporting documentation required by the awarding body

Exams office/Officer role and responsibilities:

- Inputs and submits marks online to the external deadline via the awarding body secure extranet site, keeping a record of the marks submitted /Confirms with subject teachers that marks have been submitted to the awarding body deadline
- Where responsible for marks input, ensures that marks for any additional candidates are submitted and ensures that marks input are checked before submission to avoid transcription errors

- Submits the requested samples of candidates' work to the moderator by the awarding body deadline, keeping a record of the work submitted/Confirms with the subject teacher that the moderation sample has been submitted to the awarding body deadline
- Ensures that for postal moderation:
 - work is dispatched in packaging provided by the awarding body
 - moderator label(s) provided by the awarding body are affixed to the packaging
 - proof of dispatch is obtained and kept on file until the successful issue of final results
- Through the subject teacher, ensures that the moderator is provided with authentication of candidates' work, (confirming that internal standardisation has been undertaken) and any other subject-specific information required
- Through the subject teacher, submits any supporting documentation required by the awarding body.

Storage and retention of work after submission of marks

Subject Teacher role and responsibilities:

- Keeps a record of names and candidate numbers for candidates whose work was included in the moderation sample
- Retains all marked candidates' work (including any sample returned after moderation) under secure conditions for the required retention period

IT Department role and responsibilities:

- Takes steps to protect any work stored electronically from corruption and has a back-up procedure in place
- If retention is a problem because of the nature of the work, retains some form of evidence, such as photos, audio or media recordings

Exams office/Officer role and responsibilities:

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

External moderation - the process

Subject Teacher role and responsibilities:

- Ensures that the awarding body, or its moderator, receives the correct samples of candidates' work
- Where relevant, liaises with the awarding body/moderator where the moderator visits the centre to mark the sample of work
- Complies with any request from the moderator for remaining work or further evidence of the centre's marking.

External moderation - feedback

Subject Lead role and responsibilities:

- Checks the final moderated marks when the results are published
- Checks moderator reports and ensures that any remedial action-is undertaken before the next exam series, if necessary.

Additional responsibilities:

Exams office/Officer role and responsibilities:

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

6. Access arrangements and reasonable adjustments

Subject Teacher role and responsibilities:

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

ALS Lead/SENCo role and responsibilities:

- Follow the regulations and guidance in the JCQ publication **Access Arrangements and Reasonable Adjustments** in relation to non-examination assessments
- Where arrangements do not undermine the integrity of the qualification and is the candidate's normal way of working, ensure access arrangements are in place and awarding body approval, has been obtained prior to assessments taking place, where required.
- Make subject teachers aware of any access arrangements for eligible candidates which need to be applied to assessments
- Work with subject teachers to ensure that requirements are met for access arrangement candidates requiring the support of a facilitator in assessments
- Ensure that staff acting as access arrangement facilitators are fully trained in their role

7. Special consideration and loss of work

Subject Teacher role and responsibilities:

- Understands that a candidate may be eligible for special consideration in assessments in certain situations where a candidate is absent and/or produces a reduced quantity of work
- Liaises with the Exams Officer when special consideration may need to be applied for a candidate taking assessments
- Liaises with the Exams Officer to report loss of work to the awarding body

Exams office/Officer role and responsibilities:

- Refers to/directs relevant staff to the JCQ publication **A guide to the special consideration process**
- Where a candidate is eligible, submits an application for special consideration via the awarding body's secure extranet site to the prescribed timescale
- Where application for special consideration via the awarding body's secure extranet site is not applicable, submits the required form to the awarding body to the prescribed timescale
- Keeps required evidence on file to support the application
- Refers to/directs relevant staff, where applicable, to **Form 15 - JCQ/LCW** (lost work) and, where applicable, submits to the relevant awarding body.

8. Malpractice

Head of Centre role and responsibilities:

- Understands the responsibility to-report any alleged, suspected or actual incidents of malpractice involving candidates or centre staff to the relevant awarding body immediately.
- Ensures that any irregularity identified by the centre before the candidate has signed the authentication statement (where required) is dealt with under its own internal procedures, with no requirement to report the irregularity to the awarding body (Except in a breach of the awarding body's confidential assessment materials where this must be report to the awarding body)
- Is familiar with the JCQ publication Suspected Malpractice: Policies and Procedures
- Ensures that those members of teaching staff that are involved in the direct supervision of candidates producing non-examination assessment are aware of the potential for malpractice.

- Ensures that teaching staff are reminded that failure to report allegations of malpractice or suspected malpractice constitutes malpractice in itself

Subject Teacher role and responsibilities:

- Is aware of the JCQ **Notice to Centre - Sharing NEA material and candidates' work**
- Ensures that candidates understand what constitutes malpractice in non-examination assessments
- Ensures that candidates understand the JCQ document **Information for candidates - non-examination assessments**
- Ensures that candidates understand the JCQ document **Information for candidates - Social Media**
- Escalates and reports to the Head of Centre any alleged, suspected, or actual incidents of malpractice involving candidates

Exams office/Officer role and responsibilities:

- Signposts the JCQ publication **Suspected Malpractice: Policies and Procedures** to the Head of Centre
- Signposts the JCQ **Notice to Centres - Sharing NEA material and candidates' work**
- Signposts candidates to the relevant JCQ **information for candidates** documents
- Where required, supports the Head of Centre in investigating and reporting incidents of alleged, suspected, or actual malpractice

9. Post results services

Head of Centre role and responsibilities:

- Is familiar with the JCQ publication **Post-Results Services**
- Ensures that the centre's **internal appeals procedure** clearly details the process to be followed by candidates (or their parents/carers) in appealing against a centre decision not to support an application for a review of results or an appeal

Subject Lead role and responsibilities:

- Provides relevant support to subject teachers in making decisions about reviews of results

Subject Teacher role and responsibilities:

- Provides advice and guidance to candidates on their results and the post-results services available
- Provides the Exams Officer with the original sample, or relevant sample of candidates' work, that may be required for a review of moderation to the internal deadline

Exams office/Officer role and responsibilities:

- Is aware of the individual post-results services available for externally assessed and internally assessed components of non-examination assessments, as detailed in the JCQ publication **Post-Results Services (Information and guidance to centres...)**
- Provides/signposts relevant centre staff and candidates to post-results services information
- Ensures that any requests for post-results services for non-examination assessments are submitted online via the awarding body secure extranet site to deadline

10. Spoken Language Endorsement for GCSE English Language specifications designed for use in England

Head of Centre:

- Returns an online 'Head of Centre declaration' at the time of the National Centre Number Register annual update, confirming that all reasonable steps have been, or will be, taken to ensure that all candidates at the centre have had, or will have, the opportunity to undertake the Spoken Language endorsement

Vice Principal/Lead internal verifier:

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

Subject Head/Lead:

- Confirms understanding of the Spoken Language Endorsement for GCSE English Language specifications designed for use in England and ensures any relevant JCQ/awarding body instructions are followed
- Ensures that the required task-setting and task-taking instructions are followed by subject teachers
- Ensures that subject teachers assess candidates, either live or from recordings, using the common assessment criteria
- Ensures that for monitoring purposes, a sample of audio-visual recordings of the candidates' presentations are provided

Subject Teacher:

- Ensures that all ~~the~~ requirements are known and understood in relation to the endorsement
- Follows the required task-setting and task-taking instructions
- Assesses candidates, either live or from recordings, using the common assessment criteria
- Provides audio-visual recordings for a sample of candidates' presentations for monitoring purposes
- Follows the awarding body's instructions for the submission of grades (Pass, Merit, Distinction or Not Classified) and the storage and submission of recordings

Exams Officer:

- Follows the awarding body's instructions for the submission of grades and recordings