



Broadway Academy Trust Policies

Our Children. Our Community. Believe it can be done!

Examinations Policy

Approved by: Deep Academics Committee

Date approved: May 2025

Next review date: April 2026



Key staff involved in the policy

Role	Name(s)
Head of centre	R. Skelton
Senior leader(s)	S Carroll, G Stewart
Exams officer	D. Masterson
SENCo (or equivalent role)	R Ali, N Bailey

Contents

Key staff involved in the policy.....	1
Purpose of the policy	4
Roles and responsibilities overview.....	4
Resilience and contingency arrangements	5
Cyber security	6
Recruitment, selection, training and support	6
External and internal governance arrangements	7
Escalation Process	7
Delivery of qualifications	7
Public liability.....	7
Controlled assessments, coursework and non-examination assessments	7
Security of assessment materials	8
National Centre Number Register and other information requirements	8
Centre inspections	9
Policies available for inspection.....	9
Access arrangements and reasonable adjustments.....	10
Malpractice	10
Personal data	11
The exam cycle.....	13
Planning: roles and responsibilities.....	13
Secure materials	13
The secure room and the secure storage facility.....	13
Information sharing	13
Information gathering	14
Access arrangements	14
Internal assessment and endorsements.....	15
Invigilation.....	16

Entries: roles and responsibilities	17
Estimated entries.....	17
Final entries	17
Private candidates	18
Candidate statements of entry	18
Pre-exams: roles and responsibilities	18
Access arrangements and reasonable adjustments	18
Briefing candidates	18
Dispatch of exam scripts	19
Estimated grades.....	19
Internal assessment and endorsements.....	19
Invigilation.....	20
JCQ Centre Inspections	20
Seating and identifying candidates in exam rooms.....	20
Candidate Identification Procedure.....	20
Security of exam materials	21
Timetabling and rooming	21
Alternative site arrangements	22
Transferred candidate arrangements.....	22
Internal exams/assessments.....	22
Exam time: roles and responsibilities	22
Access arrangements	22
Candidate absence.....	23
Candidate behaviour.....	23
Candidate belongings	23
Candidate late arrival	23
Conducting exams	23
Dispatch of exam scripts	23
Exam papers and materials	23
Exam rooms.....	24
Emergency Evacuation Policy (Exams).....	24
Irregularities	25
Malpractice	25
Special consideration.....	25
Unauthorised items.....	26
Internal exams/assessments.....	26
Results and post-results: roles and responsibilities	26
Internal assessment.....	26
Managing results day(s)	26
Accessing results.....	26

Post-results services.....	27
Analysis of results.....	27
Certificates.....	27
Exams review: roles and responsibilities	28
Retention of records: roles and responsibilities	28
Appendices	29
Appendix 1 Post Results Procedures	29
Appendix 2 PROCEDURES TO IDENTIFY CANDIDATES SITTING EXAMS AT BROADWAY ACADEMY	30
Appendix 3 Emergency evacuation procedure for examinations	31
Appendix 4 BROADWAY ACADEMY - LOCKDOWN POLICY AND PROCEDURE (Exams)	32
Appendix 4A Lockdown Template.....	36
Appendix 5 BROADWAY ACADEMY – EXAM CONTINGENCY PLAN.....	39
Appendix 5A: Further guidance to inform and implement contingency planning.....	44
Appendix 6 BROADWAY ACADEMY – ESCALATION PROCESS.....	45
Appendix 7 BROADWAY ACADEMY – NON-EXAMINATIONS ASSESSMENT POLICY	48
Appendix 8 BROADWAY ACADEMY – Conflict of Interest Policy (Exams)	63
APPENDIX 8A BROADWAY ACADEMY TEACHING STAFF EXAMS CONFLICT OF INTEREST DECLARATION FORM 2024/2025	64
APPENDIX 9 INTERNAL APPEALS PROCEDURE AGAINST INTERNAL ASSESSMENT DECISIONS.....	66
APPENDIX 9A BROADWAY ACADEMY INTERNAL APPEALS FORM	68
APPENDIX 10 BROADWAY ACADEMY – MALPRACTICE POLICY	70

Purpose of the policy

Broadway Academy ('the centre') operates as an exam centre. This policy sets out the way in which we fulfil our centre obligations.

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

This policy will ensure that:

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

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

This policy will be communicated to all relevant centre staff.

Roles and responsibilities overview

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

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

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

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

Head of centre responsibilities

Heads of centre must ensure that senior leadership teams and exam office personnel familiarise themselves with the entire contents of the current [General Regulations for Approved Centres](#) (GR) booklet. In particular, heads of centre must familiarise themselves with paragraphs 5.1, 5.3 and 5.4.

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

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

It is the responsibility of the head of centre to ensure that all staff comply with the instructions in the [Instructions for conducting examinations](#) document. Failure to do so may constitute malpractice as defined in the JCQ document [Suspected Malpractice: Policies and Procedures](#), 1 September 2024 to 31 August 2025.

The head of centre must ensure:

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

Head of centre

- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ documents including:
 - [General Regulations for Approved Centres](#) (GR)
 - [Instructions for conducting examinations](#) (ICE)
 - [Access Arrangements and Reasonable Adjustments](#) (AARA)
 - [Suspected Malpractice - Policies and Procedures](#) (SMPP)
 - [Instructions for conducting coursework](#) (ICC)
 - [Instructions for conducting non-examination assessments](#) (NEA)
 - [A guide to the special consideration process](#) (SC)
- Ensures the centre has appropriate accommodation to support the size of the cohorts being taught including appropriate accommodation for candidates requiring access arrangements and/or practical assessments
- Where/if using a third party to deliver any part of a qualification (including its assessments) at the centre:
 - maintains oversight of, and responsibility for, the delivery of the qualification in accordance with JCQ regulations and awarding body requirements
 - has in place a written agreement with the third party (unless exclusions apply) to ensure there is a shared understanding of the arrangement and will manage the risk of failure by the third party to deliver the expected service
 - ensures that a copy of the written agreement is available for inspection if requested by the awarding body
- Ensures that relevant members of staff respond promptly to actions raised by the JCQ Centre Inspection Service, understanding that failure to do so could result in penalties (see **National Centre Number Register and other information requirements** section)
- Ensures that the centre promptly reports any incidents to the relevant awarding body/bodies which might compromise any aspect of assessment delivery, such as a cyber-attack
- Ensures members of centre staff do not forward emails and letters from awarding body or JCQ personnel without prior consent to third parties or upload such correspondence onto social media sites and applications (including third party applications)
- Ensures members of centre staff do not advise parents/candidates to contact awarding bodies/JCQ directly nor provide them with the names, addresses and contact details (including email addresses) of examiners, moderators, external verifiers and any other awarding body examining/assessment personnel/JCQ personnel

Resilience and contingency arrangements

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

The centre must have an up to date written contingency plan (see Appendix 5)

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

The plan must cover the following scenarios:

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

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

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

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

Cyber security

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

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

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

Recruitment, selection, training and support

- Retains a workforce of an appropriate size and competence, including sufficient managerial and other resource, to undertake the delivery of the qualification as required by an awarding body. This includes taking reasonable steps to ensure occupational competence where this is required for the assessment of specific qualifications
- Provides fully qualified teachers to mark non-examination assessments, and/or fully qualified assessors for the verification of centre-assessed components

- Ensures that teaching staff do not use artificial intelligence (AI) as the sole means of marking candidates' work
- Enables the relevant senior leader(s), the examinations officer (EO) and the SENCo (or equivalent role) to receive appropriate training and support in order to facilitate the effective delivery of examinations and assessments within the centre, and ensure compliance with the published JCQ and awarding body regulations
- Ensures that the SENCo (or equivalent role) understands the JCQ document [Access Arrangements and Reasonable Adjustments](#) and is given sufficient time to manage the access arrangements process within the centre
- Ensures that the examinations officer understands relevant awarding body and JCQ documentation and has sufficient time to perform their role
- Ensures that any member(s) of the senior leadership team who are responsible for examination administration familiarise themselves with relevant awarding body and JCQ documentation (This will ensure the examinations officer and the SENCo are supported as well as ensuring effective centre decision making in line with the published regulations)
- Ensures that teachers understand the relevant awarding body and JCQ documentation for the qualifications they are delivering to ensure they are delivered in line with the relevant regulations

External and internal governance arrangements

- Has in place a written escalation process should the head of centre, or a member of the senior leadership team with oversight of examination and assessment administration, be absent (see Appendix 6)

Escalation Process

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

Delivery of qualifications

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

Public liability

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

Controlled assessments, coursework and non-examination assessments

- Has in place arrangements to co-ordinate and standardise all marking of centre-assessed components and to ensure that candidates' centre-assessed work is produced, authenticated and marked, or assessed and quality assured in accordance with the awarding bodies' instructions (This applies to both internal and private candidates) (see Appendix 7)

- Submits in accordance with awarding bodies' instructions, information they may reasonably require in relation to their examinations and assessments, returning all subject-specific forms by the required date

Security of assessment materials

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

National Centre Number Register and other information requirements

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

- responds, by completing the Head of Centre Declaration, to the National Centre Number Register request for confirmation that they are aware of and adhering to the latest versions of the JCQ regulations, and does so no later than the end of October every year
- responds to any other reasonable requests made by the National Centre Number Register Team
- Understands that this responsibility for completing the Head of Centre declaration survey cannot be delegated to a member of the senior leadership team or the examinations officer, and acknowledges that failure to respond to the NCNR annual update, and/or the head of centre's declaration, will result in:
 - the centre status being suspended
 - the centre not being able to submit examination entries
 - the centre not receiving or being able to access question papers
 and ultimately, awarding bodies could withdraw their approval of the centre

Centre inspections

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

Policies available for inspection

- Policies can be viewed publicly on the website at [Policies | Broadway Academy](#) or by staff in in the folder [Policies](#) . The following policies should be available for inspection and must be reviewed and updated annually:
 - a written [child protection/safeguarding policy](#), including [Disclosure and Barring Service \(DBS\) clearance](#), which satisfies current legislative requirements
 - a written [complaints policy](#)
 - a written conflicts of interest policy (see Appendix 8)
 - a written [data protection policy](#)
 - a written [equalities policy](#)
 - a written contingency plan which covers all aspects of examination/ assessment administration and delivery (see Appendix 5)
 - a written internal appeals procedure which must cover at least appeals regarding internal assessment decisions, access to post-result services and appeals, and centre decisions relating to access arrangements and special consideration (see Appendix 9)
 - a written malpractice policy which covers all qualifications delivered by the centre. (see Appendix 10)The policy must detail how candidates are informed and advised to avoid committing malpractice in examinations/assessments, how suspected malpractice issues should be escalated within the centre and reported to the relevant awarding body. It must also acknowledge the use of AI (e.g. what AI is, when it may be used and how it should be acknowledged, the risks of using AI, what AI misuse is and how this will be treated as malpractice).
 - a written policy regarding the management of non-examination assessments including controlled assessments and coursework. (see Appendix 7) (For CCEA GCSE centres this would be a written controlled assessments policy)

- a written [whistleblowing policy](#)
- a written policy on the use of word processors in examinations ([within Access Arrangements policy](#))

Access arrangements and reasonable adjustments

The head of centre/senior leadership team will:

- appoint a SENCo, or an equivalent member of staff, who will coordinate the access arrangements process within the centre and determine appropriate arrangements for candidates with learning difficulties and disabilities, candidates for whom English is an additional language, as well as those with a temporary illness or temporary injury
- ensure that learners have the correct information and advice on their selected qualification(s) in an accessible format and that the qualification(s) meet their needs (The recruitment process must include the centre assessing each potential learner and making justifiable and professional judgements about the learner's potential to complete the examinations/assessments successfully and achieve the qualification(s). The centre's assessment must identify, where appropriate, the support that will be made available to the learner to facilitate access to examinations/assessments)
- recognise its duties towards disabled candidates, including private candidates, ensuring compliance with all aspects of the Equality Act 2010†, particularly Section 20 (7) (This must include a duty to explore and provide access to suitable courses, through the access arrangements process submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates. Where the centre is under a duty to make a reasonable adjustment, the centre must not charge a disabled candidate any additional fee in relation to the adjustment or aid)
†for any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect
- ensure that the SENCo undertakes the necessary and appropriate steps to gather a picture of need and demonstrate normal way of working for a private candidate such as a distance learner or a home educated student (The centre, where required, must lead on the assessment process. The candidate must be assessed by the centre's appointed assessor. In some instances, depending on their needs, the candidate may have to be assessed away from the centre, for example at home. The centre must comply with the obligation to identify the need for, request and implement access arrangements)
- ensure that where a candidate with a learning difficulty requires an assessment of their needs, they are assessed by an appropriately qualified assessor as appointed by the head of centre (Evidence of the assessor's qualification(s) must be obtained before they assess candidates and held on file for inspection)
- have a written process in place to not only check the qualification(s) of their assessor(s) but that the correct procedures are followed as in Chapter 7 of the JCQ document *Access Arrangements and Reasonable Adjustments*
- assist the awarding bodies in the discharge of their duty to make reasonable adjustments by requesting access arrangements, where required, and fully support the SENCo in effectively implementing those arrangements once approved

Malpractice

The centre will:

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

- (GR 6.2) Ensures any person involved in administering, teaching or completing examinations/assessments is advised that where malpractice is suspected, or alleged, personal data about them will be provided to the awarding body (or bodies) whose examinations/assessments are involved. Personal data about them may also be shared with other awarding bodies, the qualifications regulator or professional bodies in accordance with the JCQ document *Suspected Malpractice – Policies and Procedures* (see Appendix 10 for centre malpractice policy)

Personal data

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

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

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

Exams officer (EO)

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

Senior leaders

- Are familiar with the contents, refer to and direct relevant centre staff to annually updated JCQ documents including:

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

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

- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ documents including:
 - [Access Arrangements and Reasonable Adjustments](#)
- Leads on the access arrangements and reasonable adjustments process (referred to in this policy as 'access arrangements')
- If not the qualified access arrangements assessor, works with the person appointed, on all matters relating to assessing candidates and ensures the correct procedures are followed
- Presents when requested by a JCQ Centre Inspector, evidence of the assessor's qualification
- Ensures any applications for access arrangements or reasonable adjustments are submitted by the published deadline (The SENCo will hold on file appropriate documentary evidence to substantiate such an arrangement, which is open to inspection. For those qualifications covered by Access Arrangements Online, a JCQ Centre Inspector will sample a centre's applications)
- Ensures a file is presented which must contain for each online application the downloaded approval for the respective arrangement(s), supporting evidence of need and a signed candidate data personal consent form (This information must be readily available for inspection at the venue where the candidate is taking the examination(s))
- Ensures requests for modified papers are submitted by the published deadline
- Ensures there are appropriate resources in place at the time of examinations/assessments to meet candidates' needs, e.g. sufficient readers and scribes

Teaching staff

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

Invigilators

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

Reception staff

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

Site staff

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

Candidates

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

The exam cycle

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

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

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

Planning: roles and responsibilities

Secure materials

Head of centre

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

The secure room and the secure storage facility

The secure room

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

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

The secure storage facility

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

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

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

Information sharing

Head of centre

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

Exams officer

- Signposts relevant centre staff to JCQ documents and awarding body documentation relating to the examination/assessment process that have been updated
- Signposts relevant centre staff to JCQ information that must be provided to candidates

- As the centre administrator, approves relevant access rights for centre staff to access awarding body secure extranet sites

Information gathering

Exams officer

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

Senior leaders

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

Access arrangements

Head of centre

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

SEnCo (or equivalent role)

- Assesses candidates (or works with the appropriately qualified assessor as appointed by the head of centre) to identify access arrangements/reasonable adjustments requirements
- Gathers evidence to support the need for access arrangements for a candidate
- Liaises with teaching staff to gather evidence of normal way of working for a candidate
- Determines candidate eligibility for arrangements or adjustments that are centre delegated
- Gathers signed *Personal data consent* forms from candidates where required and ensures *Data protection confirmation(s) by the examinations officer or SENCo* are completed
- Applies for approval using *Access arrangements online* (AAO) via the Centre Admin Portal (CAP), where required or through the awarding body where qualifications sit outside the scope of AAO
- Keeps a file for each candidate for JCQ inspection purposes containing all the required documentation (if documentation is stored electronically, an e-folder must be created for each individual candidate. The candidate's e-folder must hold each of the required documents for inspection)
- Employs good practice in relation to the Equality Act 2010
- Liaises with the EO regarding exam time arrangements for access arrangement candidates
- Ensures staff appointed to facilitate access arrangements for candidates are thoroughly trained and understand the rules of the particular arrangement(s) and keeps a record of the content of training provided to facilitators for the required period

- Works with the EO to ensure invigilators and those acting as a facilitator fully understand the respective role and what is and what is not permissible in the exam room
- Liaises with the relevant member of the senior leadership team on the centre's policy on the use of word processors in examinations
- Ensures criteria for candidates granted alternative rooming arrangements is clear, meets JCQ regulations and best meets the needs of individual candidates and remaining candidates in main exam rooms

Senior leaders, Teaching staff

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

Internal assessment and endorsements

Head of centre

Controlled assessments, coursework and non-examination assessments

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

Senior leaders

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

- Ensure teaching staff delivering GCE and GCSE specifications (which include components of non-examination assessment) follow JCQ [Instructions for conducting non-examination assessments](#) and the specification provided by the awarding body
- Ensure teaching staff delivering qualifications which include (wholly or in part) units of coursework follow JCQ [Instructions for conducting coursework](#) and the specification provided by the awarding body
- For VTQs qualifications, ensure teaching staff follow appropriate instructions issued by the relevant awarding body
- Ensure teaching staff inform candidates of their centre assessed marks as a candidate may request a review of the centre's marking before marks are submitted to the awarding body

Teaching staff

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

Exams officer

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

Invigilation

Head of centre

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

Exams officer

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

Entries: roles and responsibilities

Head of centre

- Ensures the centre's obligations as detailed in the regulations are met.

Estimated entries

Exams officer

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

Senior leaders

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

Final entries

Head of centre

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

Exams officer

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

Senior leaders

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

Exams officer

- Has clear entry procedures in place to minimise the risk of late entries

Senior leaders

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

Private candidates

Permission must be given by the Head of Centre for private candidates to be entered for examinations at this centre.

Candidate statements of entry

Exams officer

- Provides candidates with statements of entry for checking

Teaching staff

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

Candidates

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

Pre-exams: roles and responsibilities

Head of centre

- Ensures the centre's obligations as detailed in the regulations are met

Access arrangements and reasonable adjustments

SENCo (or equivalent role)

- Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access to exams/assessments for candidates where they are disabled within the meaning of the Equality Act (unless a temporary emergency arrangement is required at the time of an exam)
- Ensures a candidate is involved in any decisions about arrangements, adjustments and /or adaptations that may be put in place for him/her
- Ensures exam information (JCQ information for candidates' documents, individual exam timetable, etc.) is adapted where this may be required for a candidate to access it
- Allocates appropriately trained centre staff to facilitate access arrangements for candidates in exams and assessments (ensuring that the facilitator appointed meets JCQ requirements and fully understands the rule of the access arrangement)
- Ensures the person appointed to facilitate an access arrangement must not normally be the candidate's own subject teacher, Learning Support Assistant or teaching assistant (Where the candidate's own subject teacher, Learning Support Assistant or teaching assistant is used, a separate invigilator must always be present)
- Where relevant, ensures the necessary and appropriate steps are undertaken to gather an appropriate picture of need and demonstrate normal way of working for a private candidate (including distance learners and home educated candidates) and that the candidate is assessed by the centre's appointed assessor

Briefing candidates

Exams officer

- Issues individual exam timetable information to candidates and informs candidates of any designated contingency sessions awarding bodies may identify in the event of national or significant local disruption to exams
- Prior to exams issues relevant JCQ Information for candidates' documents (coursework, non- examination assessments, on-screen tests, social media and written examinations) and awarding body privacy notices
- Where relevant, issues relevant awarding body information to candidates
- Issues centre exam information to candidates including information on:
 - exam timetable clashes
 - arriving late for an exam
 - absence or illness during exams

- what equipment is/is not provided by the centre
- food and drink in exam rooms
- unauthorised items in exam rooms
- when and how results will be issued and the staff that will be available
- post-results services information and how the centre will deal with requests from candidates
- when and how certificates will be issued

Dispatch of exam scripts

Exams officer

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

Estimated grades

Senior leaders

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

Exams officer

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

Internal assessment and endorsements

Head of centre

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

SENCo (or equivalent role)

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

Teaching staff

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

Senior leaders

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

Exams officer

- Submits marks, endorsement grades and samples to awarding bodies/moderators/monitors to meet the external deadline (or delegates this task to relevant teaching staff)
- Keeps a record to track what has been sent
- Logs moderated samples returned to the centre

- Ensures teaching staff are aware of the requirements in terms of retention and subsequent disposal of candidates' work

Candidates

- Authenticate their work as required by the awarding body

Invigilation

Exams officer

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

SEnCo (or equivalent role)

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

Invigilators

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

JCQ Centre Inspections

Exams officer or Senior leader

- Will accompany the Inspector throughout a visit

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

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

Seating and identifying candidates in exam rooms

Exams officer

- Ensures a procedure is in place to verify the identity of all candidates (see Appendix 2)

Candidate Identification Procedure

Please see Appendix 2

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

Invigilators

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

Security of exam materials

Exams officer

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

At least two and no more than six members of centre staff should be authorised to handle secure electronic materials, one of whom must be the exams officer. Other members of centre staff may assist with printing and collation provided they are under supervision.

Reception staff

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

Teaching staff

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

Timetabling and rooming

Exams officer

- Produces a master centre exam timetable for each exam series
- Identifies and resolves candidate exam timetable clashes according to the regulations (only applying overnight supervision arrangements as a last resort, once all other options have been exhausted and according to the centre's policy)
- Identifies exam rooms and specialist equipment requirements
- Allocates invigilators to exam rooms (or where supervising candidates due to an exam timetable clash) according to required ratios
- Liaises with site staff to ensure exam rooms are set up according to JCQ and awarding body requirements
- Liaises with the SENCo (or equivalent role) regarding rooming of access arrangement candidates

SEnCo (or equivalent role)

- Liaises with the EO regarding rooming of access arrangement candidates

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

Site staff

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

Alternative site arrangements

Exams officer

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

Transferred candidate arrangements

Exams officer

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

Internal exams/assessments

Exams officer

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

SENCo (or equivalent role)

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

Teaching staff

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

Exam time: roles and responsibilities

Head of centre

- Ensures the centre's obligations as detailed in the regulations are met.

Access arrangements

Exams officer

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

Candidate absence

A check for absence is made at the start of an exam/assessment. The list of absentees is passed on to the attendance team who will attempt to contact the absent students and try to get them into school as soon as possible.

Invigilators

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

Candidates

Candidate behaviour

See *Irregularities* below.

Candidate belongings

See *Unauthorised items* below.

Candidate late arrival

Exams officer

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

Invigilators

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

Conducting exams

Head of centre

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

Exams officer

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

Dispatch of exam scripts

Exams officer

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

Exam papers and materials

Exams officer

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

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

Exam rooms

Head of centre

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

Exams officer

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

Senior leaders

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

Emergency Evacuation Policy (Exams)

(see Appendix 3)

Lockdown Policy (Exams)

(see Appendix 4)

Site staff

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

Invigilators

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

Candidates

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

Irregularities

Head of centre

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

Senior leaders

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

Exams officer

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

Invigilators

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

Malpractice

See *Irregularities* above.

Special consideration

Senior leaders

- Support eligible applications for special consideration by signing appropriate evidence

Exams officer

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

Candidates

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

Unauthorised items

Students should store unauthorised items in their school bags at the back of the exam room. If they have items on them when they are seated, they should place them in the plastic wallet on their desk. The plastic wallets are collected at the start of each exam and returned to the students at the end of the exam.

Invigilators

- Are informed of the arrangements through training

Internal exams/assessments

Exams officer

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

Invigilators

- Conduct internal exams as briefed by the EO

Results and post-results: roles and responsibilities

Head of centre

- Ensures the centre's obligations as detailed in the regulations are met.

Internal assessment

Senior leaders

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

Managing results day(s)

Senior leaders

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

Exams officer

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

Site staff

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

Accessing results

Head of centre

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

Exams officer

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

Post-results services

Head of centre

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

Exams officer

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

Teaching staff

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

Candidates

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

Analysis of results

Data Manager

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

Certificates

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

When all certificates have been received, a letter is sent to all students who have recently left the school asking them to contact school to arrange to pick up their certificates. In the letter, they are told that their certificates will be held by the school for 12 months. Students who contact the school will have their certificates left on the front Reception from where they can be signed for and collected.

Candidates

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

Exams review: roles and responsibilities

Exams officer

- Provides SLT with a report of any procedures that could be developed/improved in terms of exams management and administrative processes within the stages of the exam cycle
- Collects and evaluates feedback from staff, candidates and invigilators to inform an exams review

Senior leaders

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

Retention of records: roles and responsibilities

Exams officer

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

Appendices

Appendix 1 Post Results Procedures

Dealing with requests

All post-results service requests from internal candidates must be made through the centre

At Broadway Academy the process to request a service is by arranging an appointment with the exams officer who will discuss the matter and provide the necessary paperwork for completion.

Candidate consent

Candidates must provide their written consent for clerical re-checks, reviews of marking and access to scripts services offered by the awarding bodies after the publication of examination results

Broadway Academy will:

- Acquire written candidate consent (accepting informed consent via candidate email) in all cases before a request for a clerical recheck, a review of marking or an access to scripts service is submitted to the awarding body
- Acquire informed candidate consent to confirm the candidate understands that the final subject grade and/or mark awarded following a clerical re-check or a review of marking, and any subsequent appeal, may be lower than, higher than, or the same as the result which was originally awarded
- Only collect candidate consent after the publication of results
- Retain consent forms or e-mails from candidates for at least six months following the outcome of a clerical re-check or review of marking or any subsequent appeal
- Retain consent/permission forms or e-mails from candidates to request and use their scripts for at least six months

Submitting requests

Broadway Academy will:

- Submit requests electronically for clerical re-checks, reviews of marking, reviews of moderation and access to scripts by the published deadline(s) in accordance with the JCQ publication Post-results services
- Submit requests for appeals in accordance with the JCQ publication A guide to the awarding bodies' appeals processes
- Confirm the awarding body's acknowledgement of receipt of a review of results request prior to the deadline for submission of post-results services and regularly check the progress of the request online

Dealing with outcomes

Broadway Academy will:

- Ensure outcomes of clerical re-checks, reviews of marking, reviews of moderation and appeals are made known to candidates as soon as possible
- Candidates who have left school will be emailed a copy of the awarding bodies outcome letter and candidates who still attend school will be provided with a paper copy in person.

Managing disputes

At Broadway Academy any dispute/disagreement will be managed in accordance with school policy. It may be worth re-iterating here that in theory there should be no disputes/disagreements as all requests by students are processed.

Appendix 2 PROCEDURES TO IDENTIFY CANDIDATES SITTING EXAMS AT BROADWAY ACADEMY

PROCEDURE TO IDENTIFY CANDIDATES

Broadway Academy is committed to ensuring that the identity of all candidates can be verified at the time of the examination or assessment.

Internal candidates are those students currently on roll at Broadway Academy present at the beginning of each written exam. All candidates are known to Broadway Staff which enables them to act as the first point of the identification process.

A member of Broadway staff will be present at the start of the exam who can identify candidates. Candidates have a candidate slip, produced by the school, which includes a photograph. Candidate slips are placed on the desk by the invigilators before every examination.

ROLES AND RESPONSIBILITIES

The Exam Officer ensures that:

- Invigilators are aware of the candidate slips containing the photographs
- Invigilators check candidates and their candidate slips when completing the attendance register at the beginning of the examination
- A seating plan is provided for each exam room according to JCQ and awarding body requirements.

Invigilators must:

- Follow the procedure for verifying candidate identity provided by the Examination Officer
- If unsure as to the identity of a student, call a member of the pastoral team or SLT to assist with the identification of the student. In cases where it is impossible to identify a student due to the wearing of religious clothing, such as a veil, the student should be approached by a member of staff of the same sex and taken to a private room where they should be politely asked to remove the religious clothing for identification purposes. The candidate should replace e.g. the veil and proceed as normal to sit the examination once identification has been established. Broadway must inform students affected by this in advance of this procedure, and well before their first examination.
- Seat candidates in the exam room as instructed by the Exams Officer and on the seating plan; this allows the invigilators to correctly verify who is who on each day.

Appendix 3 Emergency evacuation procedure for examinations

When dealing with emergencies you **must** be aware of any instructions from relevant local or national agencies.

Reference should also be made to the following document -

<https://www.gov.uk/government/publications/bomb-threats-guidance/procedures-for-handling-bomb-threats>

The invigilator **must** take the following action in an emergency such as a fire alarm or a bomb alert.

- Stop the candidates from writing.
- Collect the attendance register (**in order to ensure all candidates are present**).
- Evacuate the examination room in line with the instructions given by the appropriate authority.
- Advise candidates to leave all question papers and scripts in the examination room.
- Candidates should leave the room in silence.
- Make sure that the candidates are supervised as closely as possible while they are out of the examination room to make sure there is no discussion about the examination.
- Make a note of the time of the interruption and how long it lasted.
- Allow the candidates the full working time set for the examination.
- If there are only a few candidates, consider the possibility of taking the candidates (with question papers and scripts) to another place to finish the examination.
- Make a full report of the incident and of the action taken and send to the relevant awarding body.

Appendix 4 BROADWAY ACADEMY - LOCKDOWN POLICY AND PROCEDURE (Exams)

PURPOSE OF THE PROCEDURE

This procedure details the measures taken at Broadway Academy in the event of a centre lockdown during the conducting of examinations.

In addition to this policy, a summary will be given to all centre staff of the information relating to a lockdown during the examination period by completing and sharing the Department for Education's [Lockdown Template](#) (see Appendix 4A).

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

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

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

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

Broadway Academy has devised lockdown procedures during the conducting of examinations after consulting [ProtectUK](#) and the Department for Education's [School and college security](#) guidance.

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

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

ROLES AND RESPONSIBILITIES

Head of centre

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

Senior leadership team (SLT)

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

Exams officer

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

Invigilators

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

LOCKDOWN PROCEDURE

Before an examination

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

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

During an examination

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

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

After an examination

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

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

Ending a lockdown

- The lockdown will be ended by either:
 - an all clear announcement via the school tannoy system
 - the identification/authorisation of Emergency Service officers/SLT/head of centre entering each exam room
- A specific word or phrase may be used to confirm that the instruction to end the lockdown is genuine
- Invigilators will undertake a head count/register and confirm attendance with the exams officer/SLT
- Where applicable and if advised to do so by SLT/head of centre, and following JCQ guidelines, if there is sufficient time remaining, candidates may restart their examination
- Invigilators will then:
 - ask candidates to return to their desks, remind them they are under formal exam conditions and allow a settling down period
 - allow candidates the full working time remaining to do their examination
 - recalculate the revised finish time(s)
 - tell the candidates to open their answer booklets and re-start their exam
 - amend the revised finish time(s) on display to candidates
 - note how long the lockdown lasted on the exam room incident log (to later inform a report to the awarding body/bodies and where relevant, any centre-wide lockdown recording form/log)
- The exams officer will:
 - safely/securely store all collected exam papers and materials pending awarding body advice/guidanceand where this may be applicable:
 - ensure appropriate follow-up is undertaken after the incident, reporting the incident to the awarding body and the actions taken, where this may be applicable
 - where this may be applicable, ensure a full report of the incident is produced and retained on file if required by an awarding body
 - where this may be applicable, ensure an online application for special consideration is submitted to the relevant awarding body where candidates have been disadvantaged
- At the earliest immediate opportunity the head of centre will ensure that any breach of question paper security or malpractice is reported to the awarding body
- Where applicable/possible/available, SLT/exams officer will:
 - discuss any alternative exam sittings with the awarding body/bodies
 - offer, arrange and provide support services to staff and candidates
- At the earliest opportunity, SLT/head of centre will prepare a communication to parents/carers advising them of events (including relevant actions and outcomes)
- Where possible, exams staff and candidates will be invited to attend an assembly led by the head of centre to discuss the lockdown and offer ongoing support
 - If this is not possible, communications will be provided via a centre text/email/newsletter and information uploaded to the centre website

Appendix 4A Lockdown Template



Department
for Education

There are important differences between the lockdown and shelter arrangements. Lockdown is necessary when children and staff need to be **locked** within buildings for their own safety i.e. in an emergency situation such as a hostile intruder, terrorist attack or other criminal activity.

Signals

Alarm or signal for lockdown shelter	Tannoy announcement & Siren
Signal for stand down / all-clear	Tannoy announcement

Incident Control Officers & Response Team

Role	Name	Emergency Contact Number
Incident Control Officer	Bal Braich	07545 696316
Deputies	Grant Stewart	07545 211296
	Stuart Carroll	07545 211299
Communications Officer	Dave Titchener	07702 904054

It is important to remember that it is very much **the exception** to evacuate a building in the event of a hostile intruder. Unless the location of the intruders is known, a "blind" evacuation may be putting people in more danger (e.g. from an intruder or device at one of the entrances/exits) than if they had remained within the building

Rooms most suitable for lockdown during an examination
1. Classrooms
2. Hall
3. Sports hall
4. Offices

It is important to make sure that items that could be used as weapons (kitchen implements, sports equipment, tools, cleaning products) are securely locked away when not in use

Communication arrangements

Wherever possible use silent communications and keep noise to a minimum especially if the intruders are close by. Make sure any communications devices are secure and cannot be intercepted

Two-way radios

Staffroom telephones

Mobile phones

Instant messaging / email

Other (TV's / Whiteboards / etc)

Alternative place of safety in the event that it is considered necessary to leave site (for example, partner school/college/leisure centre) must be pre-arranged

Name of venue

Type of venue

Contact name

Contact telephone number

Additional information (e.g. distance from school, directions, capacity, opening hours etc.)

Other useful contacts:

Name	Emergency Contact Number

Action Plan (The actions below are provided as an example and should be amended/added as required)	Completed by (sign and time)
Sound Alert - Activate lock-down procedures immediately	Bal Braich
Dial 999	Ronald Skelton Grant Stewart Stuart Carroll
Direct all children and staff and signed in visitors (e.g. JCQ inspector) to the nearest safe place (this may be dependent on what and where the risk is)	Security Staff
Secure rooms and take action to increase protection from attack - Lock and barricade doors and windows	All Staff
Close windows / blinds	All Staff
Turn off the lights, fans or mobile air conditioning units (this will reduce noise and the risk of exposure to any chemical/biological attack)	All Staff
Hide, sit on the floor under desks, and away from windows	Staff, Students & Visitors
Stay as silent as possible - put any mobile devices to silent (consider writing / displaying instructions on the exam board as long as it can't be seen by the intruder)	All Staff
Ensure that students, staff and visitors are aware of an exit point in case the intruder does manage to gain access	Security & Site Staff
If possible, check for missing students and staff (e.g. those who may have temporarily left the exam room)	Security and Site Staff
Keep doors and windows locked shut and remain inside until an all-clear has been given, or unless told to evacuate by the emergency services	All Staff

Appendix 5 BROADWAY ACADEMY – EXAM CONTINGENCY PLAN

CONTENTS

	Section	Page
1	Purpose of the plan	39
2	Causes of potential disruption to the exam process	39
	1. Exam officer extended absence at key points in the exam process (cycle)	39
	2. SENCo extended absence at key points in the exam cycle	40
	3. Teaching staff extended absence at key points in the exam cycle	40
	4. Invigilators - lack of appropriately trained invigilators or invigilator absence	40
	5. Exam rooms - lack of appropriate rooms or main venues unavailable at short notice	40
	6. Failure of IT systems	41
	7. Disruption of teaching time – centre closed for an extended period	41
	8. Candidates unable to take examinations because of a crisis – centre remains open	41
	9. Centre unable to open as normal during the exams period	41
	10. Disruption in the distribution of examination papers	41
	11. Disruption to the transportation of completed examination scripts	42
	12. Assessment evidence is not available to be marked	42
	13. Centre unable to distribute results as normal	43
	Appendix 5A: Further guidance to inform and implement contingency planning	44

1. Purpose of the plan

This plan examines potential risks and issues that could cause disruption to the management and administration of the exam process at Broadway Academy. By outlining actions/procedures to be invoked in case of disruption it is intended to mitigate the impact these disruptions have on our exam process.

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

The plan complies with JCQ general regulations (section 5) in that:

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

2. Causes of potential disruption to the exam process

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

Criteria for implementation of the plan

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

- *Planning*
 - annual data collection exercise not undertaken to collate information on qualifications and awarding body specifications being delivered
 - annual exams plan not produced identifying essential key tasks, key dates and deadlines
 - sufficient invigilators not recruited and trained
- *Entries*
 - awarding bodies not being informed of early/estimated entries, which prompts release of early information required by teaching staff
 - candidates not being entered with awarding bodies for external exams/assessment
 - awarding body entry deadlines missed, or late or other penalty fees being incurred
- *Pre-exams*
 - exam timetabling, rooming allocation; and invigilation schedules not prepared
 - candidates not briefed on exam timetables and awarding body information for candidates
 - exam/assessment materials and candidates' work not stored under required secure conditions
 - internal assessment marks and samples of candidates' work not submitted to awarding bodies/external moderators
- *Exam time*
 - exams/assessments not taken under the conditions prescribed by awarding bodies
 - required reports/requests not submitted to awarding bodies during exam/assessment periods e.g. very late arrival, suspected malpractice, special consideration
 - candidates' scripts not dispatched as required to awarding bodies
- *Results and post-results*
 - access to examination results affecting the distribution of results to candidates
 - the facilitation of the post-results services

Centre actions:

- SLT to nominate a „deputy“ to cover a role/task i.e. Former Exams Officer (retired), senior invigilator, agency Exams Officer
- Source alternative venues/facilities

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

Criteria for implementation of the plan

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

- *Planning*
 - candidates not tested/assessed to identify potential access arrangement requirements
 - evidence of need and evidence to support normal way of working not collated
- *Pre-exams*
 - approval for access arrangements not applied for to the awarding body
 - modified paper requirements not identified in a timely manner to enable ordering to meet external deadline
 - staff providing support to access arrangement candidates not allocated and trained
- *Exam time*
 - access arrangement candidate support not arranged for exam rooms

Centre actions:

- SLT to nominate a „deputy“ to cover a role/task

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

Criteria for implementation of the plan

Key tasks not undertaken including:

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

Centre actions:

- SLT to nominate a „deputy“ to cover a role/task

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

Criteria for implementation of the plan

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

Centre actions:

- Use Agency Invigilators – use Exams Officer to invigilate if absence on the day of an exam

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

Criteria for implementation of the plan

- *Exams officer unable to identify sufficient/appropriate rooms during exams timetable planning*
- *Insufficient rooms available on peak exam days*
- *Main exam venues unavailable due to an unexpected incident at exam time*

Centre actions:

- Source alternative venues/facilities within or outside of Centre

6. Failure of IT Systems

Criteria for implementation of the plan

- MIS system failure at final entry deadline
- MIS system failure during exams preparation
- MIS system failure at results release time

Centre actions:

- SIMS is backed up onsite daily. Access to all IT applications is available remotely to the exams officer if necessary. Technicians available onsite to resolve systems issues.

7. Disruption of teaching time – centre closed for an extended period

Criteria for implementation of the plan

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

Centre actions:

- Centre to communicate with parents, carers and students about the disruption to teaching time and provide appropriate work via the school intranet

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

Criteria for implementation of the plan

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

Centre actions:

- Centre will communicate with relevant awarding organisation to make them aware of the issue.
- Centre will then communicate solutions to parents/carers and candidates

9. Centre unable to open as normal during the exams period

Criteria for implementation of the plan

- Centre unable to open as normal for scheduled examinations

Centre actions:

- Centre to inform awarding organisation of examinations to be affected
- Look where possible to provide alternative provision e.g. local primary schools

10. Disruption in the distribution of examination papers

Criteria for implementation of the plan

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

The centre to communicate with awarding organisations to organise alternative delivery of papers. [JCP scenario 3]

Centre actions:

- Centre to discuss alternative delivery of papers to the centre. Papers available online on day of exam

11. Disruption to the transportation of completed examination scripts

Criteria for implementation of the plan

- Delay in normal collection arrangements for completed examination scripts.

Centre actions:

- Centre will communicate and organise alternative arrangements for delivery of scripts.

12. Assessment evidence is not available to be marked

Criteria for implementation of the plan

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

Centre actions:

- Immediate communication to be made with relevant awarding body
- Students, parents and carers to be informed by letter.

13. Centre unable to distribute results as normal

Criteria for implementation of the plan

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

Centres to contact awarding organisations about alternative options. [JCP scenario 11]

Centre actions:

- Centres to contact awarding bodies and discuss alternative means of distribution

Appendix 5A: Further guidance to inform and implement contingency planning

Ofqual

Joint contingency plan in the event of widespread disruption to the examination system in England, Wales and Northern Ireland

<https://www.gov.uk/government/publications/exam-system-contingency-plan-england-wales-and-northern-ireland/joint-contingency-plan-in-the-event-of-widespread-disruption-to-the-examination-system-in-england-wales-and-northern-ireland>

JCQ

General regulations

<http://www.jcq.org.uk/exams-office/general-regulations>

Guidance

on alternative site arrangements

<http://www.jcq.org.uk/exams-office/forms>

Instructions for conducting examinations

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

A guide to the special consideration process

<http://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance>

GOV.UK

Emergencies and severe weather: schools and early years settings

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

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

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

Appendix 6 BROADWAY ACADEMY – ESCALATION PROCESS

Purpose of the process

In terms of internal governance arrangements, it is the responsibility of the head of centre to ensure that Broadway Academy has in place a written escalation process should the head of centre, or a member of the senior leadership team with oversight of examination administration, be absent.

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

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

Before examinations (Planning)

In the event of the absence of the head of centre or the member of senior leadership with oversight of examination administration, responsibility for implementing JCQ regulations and requirements relating to activity prior to examinations will be escalated to the Deputy Headteachers (Stuart Carroll/ Grant Stewart).

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

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

Main duties and responsibilities relate to:

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

- Instructions for conducting examinations (25)
- Access Arrangements and Reasonable Adjustments (5)
- Personal data, freedom of information and copyright

Centre-specific information for reference

- Exams Policy
- Contingency Policy (See Appendix 5)

Before examinations (Entries and Pre-exams)

In the event of the absence of the head of centre or the member of senior leadership with oversight of examination administration, responsibility for implementing JCQ regulations and requirements relating to entries and exam preparation will be escalated to the Deputy Headteachers (Stuart Carroll/ Grant Stewart).

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

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

Main duties and responsibilities relate to:

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

Additional JCQ publications for reference:

- Key dates
- Guidance Notes for Transferred Candidates
- Alternative Site guidance notes
- Guidance notes for overnight supervision of candidates with a timetable variation
- Centre assessed work (including ensuring that candidates' work is backed-up and considering the contingency of candidates' work being backed-up in the event of IT system corruption and cyber-attacks, and ensuring appropriate controls are in place which allow accurate internally assessed marks to be submitted to the awarding bodies)

Additional JCQ publication for reference:

- Guidance Notes – Centre Consortium Arrangements
- Candidate information

Additional JCQ publications for reference:

- Information for candidates documents
- Exam Room Posters

During examinations (Exam time)

In the event of the absence of the head of centre or the member of senior leadership with oversight of examination administration, responsibility for implementing JCQ regulations and requirements relating to during exam time will be escalated to the Deputy Headteachers (Stuart Carroll/ Grant Stewart).

The centre also has in place a member of the senior leadership team who will provide support and guidance to the examinations officer and ensure that the integrity and security of examinations and assessments is maintained throughout an examination series.

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

- General Regulations for Approved Centres (, 5)
- Instructions for conducting examinations (16-31)
- Access Arrangements and Reasonable Adjustments (8)

- A guide to the special consideration process (2-7)

Main duties and responsibilities relate to:

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

After examinations (Results and Post-Results)

As a contingency, the centre has at least one senior member of staff (senior designated contact) who is available to manage emergency requests from awarding bodies that are results related during the summer holidays. The National Centre Number Register is provided with the senior designated contact details (this might include a personal mobile number and/or email address). These are the contact details of someone who can be reached in an emergency if the centre is closed over the summer and who can mobilise resources to respond to the issue. (GR 3.18, 5.3)

In the event of the absence of the head of centre or the member of senior leadership with oversight of examination administration, responsibility for implementing JCQ regulations and requirements relating to after examinations will be escalated to the Deputy Headteachers (Stuart Carroll/ Grant Stewart).

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

General Regulations for Approved Centres (5)

Main duties and responsibilities relate to:

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

Appendix 7 BROADWAY ACADEMY – NON-EXAMINATIONS ASSESSMENT POLICY

Contents

	Section	Page
1	Introduction	48
2	Purpose of policy	48
3	What are non-examination assessments?	48
4	Procedures for planning and managing non-examination assessments identifying staff roles and responsibilities	48
	4.1 Task setting	49
	4.2 Task taking	49
	4.3 Task marking – externally assessed components	51
	4.4 Task marking – internally assessed components	52
	4.5 Access arrangements	53
	4.6 Special consideration	53
	4.7 Malpractice	54
	4.8 Enquiries about results	54
5	Practical Skills Endorsement for the A Level Sciences designed for use in England	55
6	Spoken Language Endorsement for GCSE English Language specifications	55
7	Management of issues and potential risks associated with non- examination assessments	57

1. Introduction

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

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

[Definition taken from the JCQ publication ‘Instructions for conducting non-examination assessments’, page 3] This publication is further referred to in this policy as NEA.

2. Purpose of the policy

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

- cover procedures for planning and managing non-examination assessments
 - define staff roles and responsibilities with respect to non-examination assessments
 - manage risks associated with non-examination assessments
- [NEA – The basic principles, page 4]

3. What are non-examination assessments?

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

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

- task setting
- task taking
- task marking

[NEA – The basic principles, page 4]

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

Head of centre

- Ensures that the centre’s *non-examination assessment policy* is fit for purpose
- Ensures the centre’s *internal appeals procedures* clearly detail the procedure to be followed by candidates (or their parents/carers) appealing against internally assessed marks

Senior leaders

- Ensure the correct conduct of non-examination assessments which comply with NEA and awarding body subject-specific instructions
- Ensure the centre-wide calendar records assessment schedules by the start of the academic year

Quality assurance (QA) lead/Lead internal verifier

- Confirms with subject heads that appropriate awarding body forms and templates for non-examination assessments are used by teachers and candidates
- Ensures appropriate procedures are in place to internally standardise/verify the marks awarded by subject teachers in line with awarding body criteria
- Ensures appropriate centre-devised templates are provided to capture/record relevant information given to candidates by subject teachers
- Ensures appropriate centre-devised templates are provided to capture/record relevant information is received and understood by candidates

- Where not provided by the awarding body, ensures a centre-devised template is provided for candidates to keep a detailed record of their own research, planning, resources etc.

Subject head/lead

- Ensures subject teachers understand their role and responsibilities within the non-examination assessment process
- Ensures NEA and relevant awarding body subject specific instructions are followed in relation to the conduct of non-examination assessments
- Works with the QA lead/Lead internal verifier to ensure appropriate procedures are followed to standardise internally/verify the marks awarded by subject teachers

Subject teacher

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

Exams officer

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

4.1 Task setting

Subject teacher

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

Issuing of tasks

Subject teacher

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

4.2 Task taking

Supervision

Subject teacher

- Checks the awarding body's subject-specific requirements ensuring candidates take tasks under the required conditions and supervision arrangements
- Ensures there is sufficient supervision to enable the work of a candidate to be authenticated
- Ensures there is sufficient supervision to ensure the work a candidate submits is their own
- Where candidates may work in groups, keeps a record of each candidate's contribution
- Ensures candidates are aware of the JCQ documents *Information for candidates – non examination assessments* and *Information for candidates - Social Media*

- Ensures candidates understand and comply with the regulations in relevant JCQ documents *Information for candidates*

Advice and feedback

Subject teacher

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

Resources

Subject teacher

- Refers to the awarding body's specification and/or associated documentation to determine if candidates have restricted/unrestricted access to resources when planning and researching their tasks
- Ensures conditions for any formally supervised sessions are known and put in place
- Ensures conditions for any formally supervised sessions are understood and followed by candidates
- Ensures candidates understand that they are not allowed to introduce improved notes or new resources between formally supervised sessions
- Ensures that where appropriate to include references, candidates keep a detailed record of their own research, planning, resources etc.

Word and time limits

Subject teacher

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

Collaboration and group work

Subject teacher

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

Authentication procedures

Subject teacher

- Where required by the awarding body's specification
 - ensures candidates sign a declaration confirming the work they submit for final assessment is their own unaided work
 - signs the teacher declaration of authentication confirming the requirements have been met
- Keeps signed candidate declarations on file until the deadline for enquiries about results has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later
- Provides signed candidate declarations where these may be requested by a JCQ Centre Inspector
- Where there may be doubt about the authenticity of the work of a candidate or if malpractice is suspected, follows the authentication procedures and malpractice information in NEA and informs the exams officer

Presentation of work

Subject teacher

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

Keeping materials secure**Subject teacher**

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

IT Manager

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

4.3 Task marking – externally assessed components**Conduct of externally assessed work****Subject teacher**

- Liaises with the exams officer regarding arrangements for the conduct of any externally assessed non-examination component of a specification
- Liaises with the Visiting Examiner where this may be applicable to any externally assessed component

Exams officer

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

Submission of work**Subject teacher**

- Provides the attendance register to a Visiting Examiner
- Where candidates' work must be despatched to an awarding body's examiner, ensures the completed attendance register accompanies the work
- Packages the work as required by the awarding body and attaches the examiner address label
- Gives the package to the exams officer for dispatch to the awarding body

Exams officer

- Provides the attendance register to the subject teacher where a Visiting Examiner may assess the component

- Ensures the awarding body's attendance register for any externally assessed component is completed correctly to show candidates who are present and any who may be absent
- Despatches the work to the awarding body
- Keeps a copy of the attendance register until after the deadline for enquiries about results for the exam series

4.4 Task marking – internally assessed components

Marking and annotation

Subject teacher

- Marks candidates' work in accordance with the marking criteria provided by the awarding body
- Annotates candidates' work as required to facilitate internal standardisation of marking and enable external moderation to check that marking is in line with the assessment criteria
- Informs candidates of their marks which could be subject to change by the awarding body moderation process
- Ensures candidates are informed in a timely manner to enable an internal appeal to be submitted by a candidate and the outcome known before final marks are submitted to the awarding body

Internal standardisation

Quality assurance (QA) lead/Lead internal verifier

- Ensures that internal standardisation of marks across assessors and teaching groups takes place as required and to sequence

Subject teacher

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

Submission of marks and work for moderation

Subject teacher

- Inputs and submits marks online via the awarding body secure extranet site, keeping a record of the marks submitted to the awarding body deadline
- Ensures checks are made that marks for any additional candidates are submitted and ensures mark input is checked carefully before submission
- Ensures the moderator is provided with authentication of candidates' work, confirmation that internal standardisation has been undertaken and any other subject-specific information where this may be required
- Ensures that for postal moderation
 - the requested sample of candidates' work is securely packaged in bags provided by the awarding body
 - moderator label(s) provided by the awarding body are affixed to the package(s)
- Gives the package(s) of candidates' work to the exams officer by the internal deadline

Exams officer

- Submits the requested samples of candidates' work to the awarding body moderator by the external deadline and keeps proof of dispatch on file until the successful issue of final results

Storage and retention of work after submission of marks

Subject teacher

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

- Takes steps to protect any work stored electronically from corruption and has a back-up procedure in place
- Retains evidence of work where retention may be a problem (for example, photos of artefacts etc.)

Exams officer

- Ensures any sample returned after moderation is logged and kept in secure storage for the required retention period

External moderation - feedback

Subject head/lead

- Checks moderator reports and ensures that any remedial action, if necessary, is undertaken before the next examination series

Exams officer

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

4.5 Access arrangements

Subject teacher

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

Special educational needs coordinator (SENCo)

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

4.6 Special consideration

Subject teacher

- Understands that a candidate may be eligible for special consideration in assessments in certain situations where a candidate
 - is absent
 - produces a reduced quantity of work
 - work has been lost
- Liaises with the exams officer when special consideration may need to be applied for a candidate taking assessments

Exams officer

- Refers to/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

4.7 Malpractice

Head of centre

- Understands the responsibility to report to the relevant awarding body any suspected cases of malpractice involving candidates, teachers, invigilators or other administrative staff
- Is familiar with the JCQ publication *Suspected Malpractice in Examinations and Assessments: Policies and Procedures*

Subject teacher

- Is aware of the JCQ *Notice to Centres - Teachers sharing assessment material and candidates' work*
- Ensures candidates understand the JCQ document *Information for candidates – non-examination assessments*
- Ensures candidates understand the JCQ document *Information for candidates - Social Media*

Exams officer

- Signposts the JCQ publication *Suspected Malpractice in Examinations and Assessments: Policies and Procedures* to the head of centre
- Signposts the JCQ *Notice to Centres - Teachers sharing assessment material and candidates' work* to subject heads
- Signposts candidates to the relevant JCQ information for candidates' documents
- Where required, supports the head of centre in investigating and reporting incidents of suspected malpractice

4.8 Enquiries about results

Head of centre

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

Subject head/lead

- Provides relevant support to subject teachers making decisions about enquiries about results

Subject teacher

- Provides advice and guidance to candidates on their results and the post-results services available
- Provides the exams officer with the original sample or relevant sample of candidates' work that may be required for an enquiry about results to the internal deadline
- Supports the exams officer in collecting candidate consent where required

Exams officer

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

5. Practical Skills Endorsement for the A Level Sciences designed for use in England

Head of centre

- Provides a signed declaration as part of the National Centre Number Register Annual Update, that all reasonable steps have been or will be taken to ensure that all candidates at the centre have had, or will have, the opportunity to undertake the prescribed practical activities

Subject head/lead

- Confirms understanding of the *Practical Skills Endorsement for the A Level Sciences designed for use in England*
- Ensures a response is provided to JCQ indicating which awarding body the centre intends to use for its entries in A level Biology, Chemistry and Physics
- Undertakes training provided by the awarding body on the implementation of the practical endorsement
- Disseminates information to subject teachers ensuring the standards can be applied appropriately
- Liaises with all relevant parties in relation to arrangements for and conduct of the monitoring visit

Subject teacher

- Ensures all the requirements in relation to the endorsement are known and understood
- Ensures the required arrangements for practical activities are in place
- Provides all the required centre records
- Ensures candidates provide the required records
- Provides any required information to the subject lead regarding the monitoring visit
- Assesses candidates using Common Practical Assessment Criteria (CPAC)
- Applies for an exemption where a candidate cannot access the practical endorsement due to a substantial impairment
- Follows the awarding body's instructions for the submission of candidates *Pass* or *Not Classified* assessment outcome

Exams officer

- Follows the awarding body's instructions for the submission of candidates *Pass* or *Not Classified* assessment

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

Head of centre

- Provides a signed declaration as part of the National Centre Number Register Annual Update, that all reasonable steps have been or will be taken to ensure that all candidates at the centre have had, or will have, the opportunity to undertake the Spoken Language endorsement

Quality assurance (QA) lead/Lead internal verifier

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

Subject head/lead

- Confirms understanding of the *Spoken Language Endorsement for GCSE English Language specifications designed for use in England*
- Ensures the required task setting and task taking instructions are followed by subject teachers
- Ensures subject teachers assess candidates, either live or from recordings, using the common assessment criteria

- Ensures for monitoring purposes, audio-visual recordings of the presentations of a sample of candidates are provided

Subject teacher

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

Exams officer

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

7. Management of issues and potential risks associated with non-examination assessments

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
Task setting		
Awarding body set task: IT failure/corruption of task details where set task details accessed from the awarding body online	<i>Awarding body key date for accessing/downloading set task noted prior to start of course IT systems checked prior to key date Alternative IT system used to gain access Awarding body contacted to request direct email of task details</i>	Subject Teacher IT Manager Exams Officer
Centre set task: Subject teacher fails to meet the assessment criteria as detailed in the specification	<i>Ensures that subject teachers access awarding body training information, practice materials etc. Records confirmation that subject teachers understand the task setting arrangements as defined in the awarding body's specification Samples assessment criteria in the centre set task</i>	Subject Lead
Candidates do not understand the marking criteria and what they need to do to gain credit	<i>A simplified version of the awarding body's marking criteria described in the specification that is not specific to the work of an individual candidate or group of candidates is produced for candidates Records confirm all candidates understand the marking criteria Candidates confirm/record they understand the marking criteria</i>	Subject Lead
Subject teacher long term absence during the task setting stage	<i>See centre's exam contingency plan - Teaching staff extended absence at key points in the exam cycle</i>	Subject Lead
Issuing of tasks		
Task for legacy specification given to candidates undertaking new specification	<i>Ensures subject teachers take care to distinguish between requirements/tasks for legacy specifications and requirements/tasks for new specifications Awarding body guidance sought where this issue remains unresolved</i>	Subject Lead
Awarding body set task not issued to candidates on time	<i>Awarding body key date for accessing set task as detailed in the specification noted prior to start of course Course information issued to candidates contains details when set task will be issued and needs to be completed by Set task accessed well in advance to allow time for planning, resourcing and teaching</i>	Subject Lead
The wrong task is given to	<i>Ensures course planning and information taken from the</i>	Subject Lead

candidates	<i>awarding body's specification confirms the correct task will be issued to candidates</i> <i>Awarding body guidance sought where this issue remains unresolved</i>	
Subject teacher long term absence during the issuing of tasks stage	<i>See centre's exam contingency plan - Teaching staff extended absence at key points in the exam cycle</i>	Subject Lead

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
Task taking		
Supervision		
Planned assessments clash with another centre or candidate activities	<i>Assessment plan identified for the start of the course</i> <i>Assessment dates/periods included in centre wide calendar</i>	Subject Lead Leadership Group
Rooms or facilities inadequate for candidates to take tasks under appropriate supervision	<i>Timetabling organised to allocate appropriate rooms and IT facilities for the start of the course</i> <i>Staggered sessions arranged where IT facilities insufficient for number of candidates</i> <i>Whole cohort to undertake written task in large exam venue at the same time (exam conditions do not apply)</i>	Subject Lead Leadership Group
Insufficient supervision of candidates to enable work to be authenticated	<i>Confirm subject teachers are aware of and follow the current JCQ publication Instructions for conducting non-examination assessments and any other specific instructions detailed in the awarding body's specification in relation to the supervision of candidates</i> <i>Confirm subject teachers understand their role and responsibilities as detailed in the centre's non-examination assessment policy</i>	Subject Lead
A candidate is suspected of malpractice prior to submitting their work for assessment	<i>Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (chapter 9 Malpractice) are followed</i> <i>An internal investigation and where appropriate internal disciplinary procedures are followed</i>	Subject Teacher Subject Lead Leadership Group
Access arrangements were not put in place for an assessment where a candidate is approved for arrangements	<i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (chapter 2), to determine the process to be followed to apply for special consideration for the candidate</i>	Exams Officer
Advice and feedback		
Candidate claims appropriate advice and feedback not given by subject teacher prior to starting on their work	<i>Ensure a centre-wide process is in place for subject teachers to record all information provided to candidates before work begins as part of the centre's quality assurance procedures</i> <i>Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity</i> <i>Full records kept detailing all information and advice given to candidates prior to starting on their work as appropriate to the subject and component</i> <i>Candidate confirms/records advice and feedback given prior to starting on their work</i>	Subject Lead
Candidate claims no advice and feedback given by subject teacher during the task-taking stage	<i>Ensure a centre-wide process is in place for subject teachers to record all advice and feedback provided to candidates during the task-taking stage as part of the centre's quality assurance procedures</i> <i>Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity</i> <i>Full records kept detailing all advice and feedback given to candidates during the task-taking stage as appropriate to the subject and component</i> <i>Candidate confirms/records advice and feedback given during the task-taking stage</i>	Subject Lead

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
A third-party claim that assistance was given to candidates by the subject teacher over and above that allowed in the regulations and specification	<i>An investigation is conducted; candidates and subject teacher are interviewed and statements recorded where relevant Records as detailed above are provided to confirm all assistance given Where appropriate, a suspected malpractice report is submitted to the awarding body</i>	Subject Lead Exams Officer Head of Centre
Candidate does not reference information from published source	<i>Candidate is advised at a general level to reference information before work is submitted for formal assessment Candidate is again referred to the JCQ document Information for candidates: non-examination assessments Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion</i>	Subject Teacher
Candidate does not set out references as required	<i>Candidate is advised at a general level to review and re-draft the set out of references before work is submitted for formal assessment Candidate is again referred to the JCQ document Information for candidates: non-examination assessments Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion</i>	Subject Teacher
Candidate joins the course late after formally supervised task taking has started	<i>A separate supervised session(s) is arranged for the candidate to catch up</i>	Subject Teacher
Candidate moves to another centre during the course	<i>Awarding body guidance is sought to determine what can be done depending on the stage at which the move takes place</i>	Exams Officer
An excluded pupil wants to complete his/her non-examination assessment(s)	<i>The awarding body specification is checked to determine if the specification is available to a candidate outside mainstream education If so, arrangements for supervision, authentication and marking are made separately for the candidate</i>	Exams Officer
Resources		
A candidate augments notes and resources between formally supervised sessions	<i>Preparatory notes and the work to be assessed are collected in and kept secure between formally supervised sessions Where candidates use memory sticks, these are collected in and kept secure between formally supervised sessions Where work is stored on the centre's network, access for candidates is restricted between formally supervised sessions</i>	Subject Teacher IT Manager
A candidate fails to acknowledge sources on work that is submitted for assessment	<i>Candidate's detailed record of his/her own research, planning, resources etc. is checked to confirm all the sources used, including books, websites and audio/visual resources Awarding body guidance is sought on whether the work of the candidate should be marked where candidate's detailed records acknowledge sources appropriately. Where confirmation is unavailable from candidate's records, awarding body guidance is sought and/or a mark of zero is submitted to the awarding body for the candidate</i>	Subject Teacher

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
Word and time limits		
A candidate is penalised by the awarding body for exceeding word or time limits	<i>Records confirm the awarding body specification has been checked to determine if word or time limits are mandatory Where limits are for guidance only, candidates are discouraged from exceeding them Candidates confirm/record any information provided to them on word or time limits is known and understood</i>	Subject Lead
Collaboration and group work		
Candidates have worked in groups where the awarding body specification states this is not permitted	<i>Records confirm the awarding body specification has been checked to determine if group work is permitted Awarding body guidance sought where this issue remains unresolved</i>	Subject Lead
Authentication procedures		
A teacher has doubts about the authenticity of the work submitted by a candidate for internal assessment Candidate plagiarises other material	<i>Records confirm subject staff have been made aware of the JCQ document Teachers sharing assessment material and candidates' work Records confirm that candidates have been issued with the current JCQ document Information for candidates: non-examination assessments Candidates confirm/record that they understand what they need to do to comply with the regulations for non-examination assessments as outlined in the JCQ document Information for candidates: non-examination assessments The candidate's work is not accepted for assessment A mark of zero is recorded and submitted to the awarding body</i>	Subject Teacher Subject Lead Exams Officer Head of Centre
Candidate does not sign their authentication statement/declaration	<i>Records confirm that candidates have been issued with the current JCQ document Information for candidates: non-examination assessments Candidates confirm/record they understand what they need to do to comply with the regulations as outlined in the JCQ document Information for candidates: non-examination assessments Declaration is checked for signature before accepting the work of a candidate for formal assessment</i>	Subject Teacher Subject Lead
Subject teacher not available to sign authentication forms	<i>Ensures a centre-wide process is in place for subject teachers to sign authentication forms at the point of marking candidates work as part of the centre's quality assurance procedures</i>	Subject Lead
Presentation of work		
Candidate does not fully complete the awarding body's cover sheet that is attached to their work submitted for formal assessment	<i>Cover sheet is checked to ensure it is fully completed before accepting the work of a candidate for formal assessment</i>	Subject Teacher
Keeping materials secure		
Candidates' work between formal supervised sessions is not securely stored	<i>Records confirm subject teachers are aware of and follow current JCQ publication Instructions for conducting non-examination assessments Regular monitoring ensures subject teacher use of appropriate secure storage</i>	Subject Lead
Issue/Risk	Centre actions to manage issue/mitigate risk	Action by

Adequate secure storage not available to subject teacher	<i>Records confirm adequate/sufficient secure storage is available to subject teacher prior to the start of the course</i> <i>Alternative secure storage sourced where required</i>	Subject Lead
Task marking – externally assessed components		
A candidate is absent on the day of the examiner visit for an acceptable reason	<i>Awarding body guidance is sought to determine if alternative assessment arrangements can be made for the candidate</i> <i>If not, eligibility for special consideration is explored and a request submitted to the awarding body where appropriate</i>	Subject Teacher Exams Officer
A candidate is absent on the day of the examiner visit for an unacceptable reason	<i>The candidate is marked absent on the attendance register</i>	Subject Teacher Exams Officer
Task marking – internally assessed components		
A candidate submits little or no work	<i>Where a candidate submits no work, the candidate is recorded as absent when marks are submitted to the awarding body</i> <i>Where a candidate submits little work, the work produced is assessed against the assessment criteria and a mark allocated appropriately; where the work does not meet any of the assessment criteria a mark of zero is submitted to the awarding body</i>	Subject Teacher Subject Lead
A candidate is unable to finish their work for unforeseen reason	<i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (chapter 5), to determine eligibility and the process to be followed for shortfall in work</i>	Subject Teacher Subject Lead Exams Officer
The work of a candidate is lost or damaged	<i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (chapter 5), to determine eligibility and the process to be followed for lost or damaged work</i>	Subject Teacher Subject Lead Exams Officer
Candidate malpractice is discovered	<i>Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (chapter 9 Malpractice) are followed</i> <i>Investigation and reporting procedures in the current JCQ publication Suspected Malpractice in Examinations and Assessments are followed</i> <i>Appropriate internal disciplinary procedures are also followed</i>	Subject Teacher Subject Lead Exams Officer Head of Centre
A teacher marks the work of his/her own child	<i>A conflict of interest is declared by informing the awarding body that a teacher is teaching his/her own child at the start of the course</i> <i>Marked work of said child is submitted for moderation whether part of the sample requested or not</i>	Subject Teacher Subject Lead Exams Officer
An extension to the deadline for submission of marks is required for a legitimate reason	<i>Awarding body is contacted to determine if an extension can be granted</i> <i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (chapter 5), to determine eligibility and the process to be followed for non-examination assessment extension</i>	Subject Teacher Subject Lead Exams Officer
After submission of marks, it is discovered that the wrong task was given to candidates	<i>Awarding body is contacted for guidance</i> <i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (chapter 2), to determine eligibility and the process to be followed to apply for special consideration for candidates</i>	Subject Teacher Subject Lead Exams Officer
A candidate wishes to appeal the marks awarded for their work by their teacher	<i>Candidates are informed of the marks they have been awarded for their work prior to the marks being submitted to the awarding body</i> <i>Records confirm candidates have been informed of their marks</i> <i>Candidates are informed that these marks are subject to change through the awarding body's moderation process</i> <i>Candidates are informed of their marks at least two weeks prior to the internal deadline set by the exams officer for the submission of marks</i>	Subject Teacher Subject Lead Exams Officer

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

Appendix 8 BROADWAY ACADEMY – Conflict of Interest Policy (Exams)

Broadway Academy operates in accordance with JCQ Regulations 2020-21 (General Regulations) as follows:

1. Manages Conflicts of Interest by informing the awarding bodies, before the published deadline for entries, 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 stepfamily, 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 stepfamily, 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 centre which do not include internally assessed components/units;
 - centre staff are taking qualifications at other centres.
2. The head of centre must ensure that the records include details of the measures taken to mitigate any potential risk to the integrity of the qualifications affected.
3. The records may be inspected by a JCQ Centre Inspector and/or awarding body staff (see appendix 8A). They might be requested in the event of concerns being reported to an awarding body.
4. 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.

NB: Any conflict of interest must also be declared to the relevant exam board online in accordance with each board's procedures.

Note:

- a) Heads of centre must note that entering members of centre staff for qualifications at their own centre must be as a last resort in cases where the member of centre staff is unable to find another centre.
- b) The head of centre is responsible for ensuring that proper protocols are in place to prevent the member of centre staff having access to examination materials prior to the examination and that other centre staff are briefed on maintaining the integrity and confidentiality of the examination materials.
- c) The head of centre must ensure that during the examination series the member of centre staff is treated as per any other candidate entered for that examination, does not have access to examination materials and does not receive any preferential treatment.

APPENDIX 8A BROADWAY ACADEMY TEACHING STAFF EXAMS CONFLICT OF INTEREST DECLARATION FORM 2024/2025

Broadway Academy Trust is as an exam centre and subject to exam body regulations which require the Academy to manage any conflicts of interest and inform the relevant awarding 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 stepfamily, 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 to maintain clear records of **all instances** where:

- 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 statements that apply to you (or will apply to you during the 2024/2025 academic year) and complete the required information

- ☐ 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 stepfamily, 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 at Broadway Academy.
(Where more than one related person, please complete a separate form for each)

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

- ☐ 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			Entering centre number (if known)	

☐ 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 David Masterson, Exams Officer by Friday 2nd May 2025.

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

APPENDIX 9 INTERNAL APPEALS PROCEDURE AGAINST INTERNAL ASSESSMENT DECISIONS

1. Broadway Academy is committed to ensuring that internal assessments are marked and administered fairly, consistently and in accordance with the awarding body specifications and subject specific associated documents.

This is ensured by:

- Subject staff having the necessary and appropriate knowledge, understanding, skills, and training in this activity
 - Subject staff authenticating candidates' work according to the requirements of the relevant awarding body
 - A process of internal moderation and standardisation led by Heads of Department/nominated subject staff
2. An appeal against internal assessment decisions can be made, based on the above not being fulfilled.
 3. All appeals must follow the procedure detailed below.
Note - *appeals may only be made against the marking/assessment process not against the mark submitted by the centre for moderation by the awarding body.*

- 1) Appeals should be made as early as possible and **at least two weeks before** the end of the last externally assessed paper in the examination series (e.g. the last GCSE written paper in the summer exam series)
- 2) Appeals should be made using the **internal appeals form** completed by the candidate (or parent/carer)
- 3) The head of centre will appoint a member of the senior leadership team, who is not involved in the assessment process for that subject to conduct the investigation
- 4) The purpose of the appeal will be to decide whether the process used for the internal assessment conformed to the published requirements as detailed in the awarding body specification(s) and/or subject-specific associated documents
- 5) The appellant will be informed in writing of the outcome of the appeal, including any relevant correspondence with the awarding body and any changes made to internal assessment procedures
- 6) The outcome of the appeal will be made known to the head of centre and will be logged as a complaint. A written record will be kept and made available to the awarding body upon request. Should the appeal bring any significant irregularity in procedures to light, the awarding body will be informed

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

Internal assessment includes controlled assessments, coursework and portfolios of evidence
The above template is taken in most part from JCQ [Appeals against internally assessed marks – suggested template for centres](#)

5. Statement for Students

If at any stage during your exam courses you have concerns about procedures used in assessing your internally marked work for public exams (e.g. Internally Assessed Activity/ Controlled

Assessment /Coursework / portfolio / projects) you should see the Examinations Officer as soon as possible.

6. Appeals procedure against centre decisions not to support an enquiry about results

Following the issue of results, the general qualification awarding bodies offer [post-results services](#). Full details of these services, internal deadlines for requesting a service and fees charged will be provided by the exams officer.

The service, *enquiries about results* (EARs), may be requested by centre staff or candidates (or their parents/carers) if there are reasonable grounds for believing there has been an error in marking. If a query is raised about a particular examination result, the exams officer, teaching staff and head of centre will investigate the feasibility of requesting an enquiry at the centre's expense.

When Broadway Academy does not uphold a request from a candidate, the candidate may pay the appropriate fee, and a request will be made to the awarding body on the candidate's behalf.

If the candidate (or their parent/carer) believes there are grounds to appeal against the centre's decision not to support an enquiry, an appeal can be submitted to the centre using the **internal appeals form** (see Appendix 9A) at least **one week prior to** the internal deadline for submitting an EAR.

7. Appeals procedure following the outcome of an enquiry about results

Where the head of centre remains dissatisfied after receiving the outcome of an EARs, an appeal will be made to the awarding body, following the guidance in the JCQ publications *Post-results services* <http://www.jcq.org.uk/exams-office/post-results-services> and *A guide to the awarding bodies' appeals processes* <http://www.jcq.org.uk/exams-office/appeals>

Where the head of centre is satisfied after receiving the outcome of an EAR, but the internal candidates and/or their parents/carers are not satisfied, they may make a further representation to the head of centre.

Following this, the head of centre's decision as to whether to proceed with an appeal will be based upon the centre's internal appeals arrangements. Candidates, parents/carers are not permitted to make direct representations to an awarding body.

The **internal appeals form** should be completed and submitted to the centre within **10 calendar days** of the notification of the outcome of the enquiry. Subject to the head of centre's decision, this will allow the centre to process the appeal and submit to the awarding body within the required 14 calendar days.

Awarding body fees which may be charged for the appeal must be paid by the appellant on submission on the internal appeals form. If the appeal is upheld by the awarding body, this fee will be refunded by the awarding body and repaid to the appellant by the centre.

APPENDIX 9A BROADWAY ACADEMY INTERNAL APPEALS FORM



This form should be completed in all cases to lodge an appeal.

Please tick to indicate what the appeal is against:

- ☐ an internal assessment decision
- ☐ the centre decision not to support an enquiry about results
- ☐ the outcome of an enquiry about results

Name of appellant			
Awarding body		Code	
Subject		Title	
Please state the grounds for your appeal below:			
Appeal against an internal assessment decision Appellant declaration By signing here, I am confirming I understand the purpose of the appeal will be to decide whether the process used for the internal assessment conformed to the published requirements of the awarding body's specification and subject-specific associated documents. I also understand the appeal may only be made against the marking/assessment process not against the mark submitted by the centre for moderation by the awarding body. Signature: _____ Date of signature: _____			
Appeal against the centre decision not to support an enquiry about results Appellant declaration By signing here, I am confirming I feel there are grounds to appeal against the centre's decision. Signature: _____ Date of signature: _____			
Appeal against the outcome of an enquiry about results Appellant declaration By signing here, I am confirming I understand that the grounds for my appeal must relate to the awarding body's procedures or the application of the post-result service procedures. I also understand that appeals do not generally involve further reviews of marking candidates' work. I also confirm that I will pay in advance any fees which may be charged by the awarding body for the appeal. I understand this fee will be refunded if the appeal is upheld. Signature: _____ Date of signature: _____			

The appellant declaration against the relevant appeal must be signed, dated and returned to the EO, on behalf of the head of centre, to the timescale indicated in the internal appeals procedure.

The internal appeals procedures for Broadway Academy have been produced to demonstrate compliance with the following:

JCQ General Regulations for approved centres <http://www.jcq.org.uk/exams-office/general-regulations>

Controlled Assessments, Coursework and Portfolios of Evidence

5.8 The centre agrees to have in place, and be available for inspection purposes, an internal appeals procedure relating to internal assessment decisions and to ensure that details of this procedure are made widely available and accessible to all candidates; (A centre may place its internal appeals procedure on the school/college website or alternatively, the document may be made available to candidates upon request.)

JCQ Post-results services <http://www.jcq.org.uk/exams-office/post-results-services>

6.4.5 Centres must have in place a published formal appeals procedure for use in cases where centres and candidates, or their parents/carers, cannot agree as to whether an enquiry about results should be submitted. The formal appeals procedure must be made widely available. Centres must therefore draw the appeals procedure to the attention of candidates and their parents/carers. In deciding whether to support an enquiry about results, centres should take account of all relevant factors and afford candidates or their parents/carers a reasonable opportunity to express their views. Awarding bodies can only enter into discussions over enquiries about results with centres and private candidates.

JCQ A guide to the awarding bodies' appeals processes <http://www.jcq.org.uk/exams-office/appeals>

12. Please note that internal candidates and/or their parents/carers are not entitled to appeal directly to the awarding body. Representations must be made to the head of centre where the candidate was entered or registered. The head of centre's decision as to whether to proceed with an appeal is subject to the centre's internal appeals arrangements.

Ofqual GCSE, GCE, Principal Learning and Project Code of Practice

http://ofqual.gov.uk/ofdoc_categories/regulations-and-guidance/codes-of-practice-regulations-and-guidance/

9.13 The awarding organisation must require centres offering its examinations to ensure that they have in place:

iii. a formal, codified procedure for handling disputes when a candidate or carer disagrees with a decision by the centre not to support an enquiry.

Centres must be required to ensure that the procedures are published and made widely available and accessible to all candidates and their carers.

9.14 In deciding whether to support an enquiry or appeal, centres should take account of all relevant factors and afford candidates or their carers a reasonable opportunity to express their views.

Appellants should consult the full information in the above publications to be fully informed when stating their grounds for appeal.

Further information can be obtained from:

<http://www.jcq.org.uk/exams-office/controlled-assessments>

<http://www.jcq.org.uk/exams-office/coursework>

<http://ofqual.gov.uk/complaints-and-appeals/exam-results-appeals/>

<http://www.jcq.org.uk/examination-system/the-appeals-process>

APPENDIX 10 BROADWAY ACADEMY – MALPRACTICE POLICY

Contents

	Section	Page
1	What is malpractice and maladministration	70
2	Purpose of policy	70
3	General principles	70
4	Candidate malpractice	70
5	Centre staff malpractice	70
6	Preventing malpractice	71
7	Identification and reporting malpractice	71
8	Communicating malpractice decisions	72
9	Appeals against decisions made in cases of malpractice	72
10	Artificial intelligence	73
11	Misuse of Artificial Intelligence in NEAs	73
12	Monitoring of AI use	73
13	Identifying AI misuse	73
14	Use of AI in exams	73
15	Reporting of Non-Compliance	74

1. 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.

For the purposes of this document, suspected malpractice means all alleged or suspected incidents of malpractice

2. Purpose of the policy

The purpose of this policy is to confirm how Broadway Academy manages malpractice under normal delivery arrangements in accordance with the regulations.

3. General principles

In accordance with the regulations Broadway Academy will:

- Take all reasonable steps to prevent the occurrence of any malpractice (which includes maladministration) before, during and after examinations 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 and provide such information and advice as the awarding body may reasonably require

4. 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

5. 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.

6. Preventing malpractice

Broadway Academy has in place:

- robust processes to prevent and identify malpractice, as outlined in section 3.3 of the JCQ publication Suspected Malpractice: Policies and Procedures
- Students are given an exam pack document outlining rules and regulations before exams take place

7. Identification and reporting of malpractice

- The head of centre will notify the appropriate awarding body immediately of all alleged, suspected or actual incidents of malpractice, using the appropriate forms, and will conduct any investigation and gathering of information in accordance with the requirements of the JCQ publication Suspected Malpractice: Policies and Procedures
- All staff have a responsibility for reporting any potential malpractice that they may identify
- If staff members identify potential malpractice, they should inform the Exams Officer
- 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
- Malpractice by a candidate discovered in a controlled assessment, coursework or non-examination assessment component prior to the candidate signing the declaration of authentication need not be reported to the awarding body but will be dealt with in accordance with the centre's internal procedures. The only exception to this is where the awarding body's confidential assessment material has potentially been breached. The breach will be reported to the awarding body immediately
- All incidents of malpractice identified after the candidate has signed the declaration of authentication will be reported to the Awarding organisation.
- If a teacher believes that the candidate has had improper assistance in a controlled assessment, then the candidate could be given a mark of zero
- 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
- Once the information gathering has concluded, the head of centre (or other appointed information-gatherer) will submit a written report summarising the case to the relevant awarding body, accompanied by the information obtained during the course of their enquiries
- Form JCQ/M1 will be used when reporting candidate cases; for centre staff, form JCQ/M3 will be used
- 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

8. 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

9. Appeals against decisions made in cases of malpractice

Broadway Academy will:

- Provide the individual with information on the process 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.

10. **Artificial Intelligence**

Artificial Intelligence (AI) is a broad field of computer science that focuses on creating systems capable of performing tasks that typically require human intelligence, like learning, problem-solving, and decision-making.

Broadway Academy will:

- Ensure that any use of AI in Non-Examination Assessment (NEA) materials is compliant with the guidance set out by the JCQ: [AI-Use-in-Assessments Feb24_v6.pdf \(jqc.org.uk\)](https://www.jcq.org.uk/resources/ai-use-in-assessments-feb24-v6.pdf)

11. **Misuse of Artificial Intelligence in NEAs**

Students must make sure that work submitted for assessment is demonstrably their own. If sections of their work are reproduced directly from AI generated responses, those elements must be identified by the student and the student must understand that this will not allow them to demonstrate that they have independently met the marking criteria and therefore they will not be rewarded. If teachers have doubts that the authenticity of student work submitted for assessment, and if the use of AI has not been properly acknowledged, they must investigate and take appropriate action.

12. **Monitoring of AI use**

To reduce the risk of plagiarism and inappropriate use of AI the class teacher will:

- Explain the importance to all students of submitting their own independent work for assessments.
- Ensure that students are clear about how to reference the use of technology and websites appropriately.
- Ensure they are familiar with AI tools, their risks and the available AI detection tools.
- Ensure that if necessary, they know how to disable access to AI/internet if they need to.
- Reinforce to students the importance of their declaration when they confirm that the work they submit is their own and the consequences of a false declaration
- Set reasonable deadlines for the submission of work and provide reminders.
- Where appropriate, ensure that a sufficient proportion of the work is completed under direct supervision to allow the teacher to authenticate the student's work with confidence.
- Examine intermediate stages in the production of work to ensure that there is a natural continuation of earlier stages
- Introduce classroom activities that use the level of knowledge/understanding achieved during the course thereby making the teacher confident that the student understands the material.
- It may occasionally be necessary to engage the student in a short verbal discussion about their work to ascertain that they understand it and it reflects their own independent work.
- Not accept, without further investigation, any work that they suspect may have been generated without proper acknowledgement

13. **Identifying misuse**

Teachers and leaders will use a wide range of approaches to review work. These include comparing the assessment material with work previously created by the student. Further examples of what to look for can be found on page 10 of the aforementioned JCQ

guidance. If the teacher suspects malpractice, then the piece of work in question must be submitted to the Exams Officer and they will enlist the use of Automated Detection software to check and verify these concerns.

14. Use of AI in Exams

AI-based assistance or software may only be used if it is authorised by the JCQ and is used in accordance with the regulations.

15. Reporting Non-Compliance

Any staff member who identifies any AI-based activities or software that is or may be in violation of the JCQ regulations must report the activity or software immediately to the Exams Officer. Any students who are found to be in violation of the AI policy will be subject to disciplinary action as per the Malpractice Policy. If AI misuse is identified the consequences may include, but are not limited to:

- Invalidation of the NEA in question
- A failing grade for the NEA or the entire course