BOOTHAM SCHOOL

EXAMS POLICY

2025/2026

Key staff involved in the Exams Policy

Role	Name(s)
Head of centre	**Deneal Smith**
Exams Officer Line Manager (Senior Leader)	**Madeleine Bowley**
Exams Officer	**Caroline du Plessis**
Head of Learning Support	**Jess White**
Senior Management	**James Ratcliffe**
Escalation Line Manager #1	**Helen Sharp**
Escalation Line Manager #2	**Gavin Blackstone**
Escalation E.O. #1	**Claire Halstead**
Escalation E.O. #2	**Adele Keepfer**

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Purpose of the policy

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

This exam policy will ensure that:

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

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

This policy will be communicated to all relevant centre staff.

For staff, this policy will be made available via the documents area of the Staff Portal.

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 those published JCQ regulations and awarding body requirements. Heads of centre must ensure that senior leadership teams and exam office personnel familiarise themselves with the entire contents of JCQ *General Regulations for Approved Centres* booklet. In particular, heads of centre must familiarise themselves with sections 5.1, 5.3 and 5.4.

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. (GR, section 1)

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 headteacher/Principal on site (the head of centre) cannot also be the examinations officer. A head of centre and an exams officer are two distinct and separate roles.

The head of centre and/or exams officer may operate across more than one centre. In such cases the head of centre must ensure there is suitable senior leadership team and examinations officer 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 requests and/or 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.

The **head of centre** is the individual who is accountable to the awarding bodies for ensuring that the centre is always compliant with the published JCQ regulations and awarding body requirements to ensure the security and integrity of the examinations/assessments. **It is the responsibility of the head of centre to ensure that all staff comply with the instructions in the** (*Instructions for conducting examinations*) **booklet**. Failure to do so may constitute malpractice as defined in the JCQ publication *Suspected Malpractice: Policies and Procedures, 1 September 2025 to 31 August 2026:* https://www.jcq.org.uk/exams-office/malpractice (ICE Introduction)

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. registrations, entries, learner claims, centre-assessed marks or modified papers.
- 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 document including:
    - *A guide to the special consideration process* (SC)
    - *Access Arrangements and Reasonable Adjustments* (AARA)
    - *AI Use in Assessments: Your role in protecting the integrity of qualifications*
    - *Guidance for centres on cyber security*
    - *Instructions for conducting coursework* (ICC)
    - *Instructions for conducting examinations* (ICE)
    - *Instructions for conducting non-examination assessments (GCE and GCSE specifications)* (NEA)
    - *Instructions for conducting non-examination assessments (Vocational and Technical Qualifications)* (NEA VTQs)
    - *Notice to Centres – Informing candidates of their centre-assessed marks*
    - *Plagiarism in Assessments – Guidance for Teachers/Assessors*
    - *Suspected Malpractice – Policies and Procedures* (SMPP)

- Ensures the centre has appropriate accommodation at the registered address to support the size of the cohorts being taught, including appropriate accommodation for candidates requiring access arrangements for exams and assessments and/or practical assessments
- Where/if using a third party to deliver any part of a qualification (including the assessments or the administration) at the centre:
    - maintains oversight of, and responsibility for, the delivery and administration of the qualification in accordance with JCQ regulations and awarding body requirements
    - has in place a robust written agreement with the third party (unless exclusions apply) that includes provisions which ensure that qualifications are delivered in a way that complies with their agreement with the awarding body, 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
    - monitors delivery by the third party to maintain compliance with the published JCQ regulations and awarding body requirements, ensuring the security and integrity of examinations and assessments
    - ensures sufficient managerial and other resources are in place to resolve any issues

- Ensures that relevant members of staff respond promptly to requests and/or actions raised by the JCQ Centre Inspection Service, understanding that failure to do so could result in (see **National Centre Number Register and other information requirements** section)

- Ensures that relevant members of staff respond promptly to requests for information from awarding bodies relating to the administration and conducting of examinations/assessments

- 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 and/or awarding body guidance on ensuring resilience in the qualifications system. Centres

should consider putting in place a process for gathering and securely retaining evidence of candidate performance in line with the published guidance.

- In the unlikely event that the government determines that examinations cannot go ahead, the centre will need evidence of candidate assessment performance, such as mock examinations, to enable alternative methods of awarding grades.

- **Process for gathering evidence of candidate assessment performance**

> Centres in England should refer to the document published by Ofqual:
>
> Guidance on collecting evidence of student performance to ensure resilience in the qualifications system - GOV.UK (www.gov.uk)

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

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

The plan must cover the following scenarios:

- the head of centre, relevant senior leader(s) with oversight of examination and assessment administration, SENCo/(or equivalent role), 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 its contingency plan the centre must identify an alternative site or alternative sites which can be used 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 where candidates' work is produced electronically it is backed-up and should consider the contingency of candidates' work being backed-up on two separate devices, including one via the Cloud. The Centre 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
- ensuring that all members of centre staff who access awarding bodies' online systems undertake annual cyber security training

The training must include:

- the importance of creating strong, unique passwords for all accounts
- keeping all account details strictly confidential
- the critical role of Multi-Factor Authentication (MFA) in protecting against unauthorised access
- how to properly set up and use MFA for both centre and awarding bodies' systems
- an awareness of all types of social engineering/phishing attempts
- the importance of staff quickly reporting any suspicious activity, events, incidents and encouraging a safe and supportive reporting culture.

Certificates of completed staff cyber training must be downloaded and held on file for inspection. The NCSC training resource provides a certificate of completion of cyber training.

- developing and maintaining a comprehensive cyber security policy for the centre. The National Cyber Security Centre (NCSC) provides resources to assist centres in creating such policies
- implementing and enforcing robust security measures, including:
  - mandatory MFA for all accounts and systems containing exam-related information, including those that interface between awarding body and centre systems, to enhance security and protect sensitive data
  - regularly reviewing and updating security settings to align with current best practices
- 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

Cyber security policy

Appendix 16

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 appropriate resources, to undertake the delivery and administration 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
- The centre's contingency planning must include succession arrangements for members of staff involved in examination and assessment administration.
- Provides fully qualified teachers/assessors for the verification and marking 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), teachers the examinations officer (EO) and the ALS lead/SENCo to receive appropriate training and support to facilitate the effective delivery of examinations and assessments within the centre, and ensure compliance with the published JCQ and awarding body regulations
- Ensures the SENCo (or equivalent role), the centre's appointed access arrangements assessor and the examinations officer undertake regular CPD, such as attending an annual update course
- 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 has sufficient time to perform their role and familiarise him/herself with relevant awarding body and JCQ documentation
- Ensures that the exams officer is line managed and actively supported by a member of the senior leadership team who has a good working knowledge of the examination system
- 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

Escalation Process

See Appendix 4 Complaints and Appeals Procedure (Exams) **See Appendix 13 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 and support and supervision of the exams 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 exams officer
- Can confirm to an awarding body the external governance arrangements so that the awarding body has confidence in the integrity of centre activities such as the delivery of qualifications and the conducting of examinations and assessments

Delivery of qualifications

- Delivers qualifications, as required by the awarding body, in accordance with relevant equality legislation. This includes but is not limited to ensuring that qualifications are made available to all candidates capable of undertaking them and seeking reasonable adjustments for disabled candidates

- Enables candidates to receive sufficient and up to date laboratory experience, or relevant training where required by the subject

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

(GR 5.3)

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

Security of assessment materials

- Takes all reasonable steps to maintain the integrity of the examinations/assessments, including the security of all assessment materials, by ensuring:
    - 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*
- 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.

-
- (the exams officer must be one of the keyholders); 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. Facilities staff may have access to the secure room when accompanied by a key holder and other staff approved by the head of centre are accompanied by a keyholder at all times.
- Digital access is also checked and is restricted to the named keyholders

- Guidance and Procedures have been issued and explained to the Estates and IT Teams so that no access is given unless accompanies by a keyholder. This training will be repeated annually.
- appropriate arrangements are in place to ensure that confidential examination materials are only handed over to authorised members of centre staff
  appropriate arrangements are in place for handling secure electronic materials
- the relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk
- that when it is permitted to remove question paper packets from secure storage, and to avoid potential breaches of security, arrangements are in place to carefully check and record that the correct question paper packets are opened
  (If it is ever subsequently identified following this check that the wrong question paper packet has been opened, it will be resealed and the incident reported to the relevant awarding body's Malpractice Investigation Team immediately)
  The named keyholders for the Summer 2026 series are:
  - Caroline du Plessis - Exams Officer
  - Madeleine Bowley - Deputy Head (Academic)
  - Vicki Pope – Deputy Exams Officer

- In agreement with CAIE, the keys to the secure room are stored in a key code safe and only named key holders know the key code. In the event that non of the above named key holders are available, James Ratcliffe Deputy Head Operations may contact the named key holders to request they key code and access the secure room
- .
- For JCQ, James Ratcliffe is the fourth keyholder and is aware of all of his responsibilities in this regard
- Question papers must always be kept in their sealed packets until signed out for the appropriate exam session

Malpractice Policy

See Appendix 14

The centre will:

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

be shared with other awarding bodies, the qualifications regulator or professional bodies in accordance with the JCQ document *Suspected Malpractice – Policies and Procedures*

Personal data

- (GR 6.6, 6.8)
- It is the responsibility of centres to inform candidates of the processing that the centre undertakes. For example, that the centre will provide relevant personal data including name, date of birth, gender to the awarding bodies for the purpose of examining and awarding qualifications.
- Materials which are submitted by candidates for assessment may include any form of written work, audio and visual materials, computer programmes and data ("Student Materials"). Awarding bodies may use the Student Materials to evaluate candidates' performance in the relevant assessment. They may also use the Student Materials for other purposes as outlined in their privacy policies and in accordance with their terms. Candidates should be directed to the relevant awarding body's privacy notice if they require further information about how their Student Materials may be used by the awarding body.
- Where a centre or third party is in possession of any Student Materials for the purposes of candidate assessment, the Student Materials will be held on behalf of the awarding body.

Policies and Procedures

National Centre Number Register and other information requirements

Appendix 1 Copy of National Centre Number Register

- 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)
- Completes to the National Centre Number Register annual update by the end of October every year even if there are no changes to centre details
  - 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
- completes the National Centre Number Register Head of Centre Declaration by the end of October every year confirming they are aware of and adhering to the latest versions of the JCQ regulations.
- responds to any other reasonable requests made by the National Centre Number Register Team

- (GR 1.9) Understands the 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 the head of centre's declaration and/or requests or actions raised by the JCQ Centre Inspection Service, will result in:
  - the centre status being suspended
  - the centre not being able to submit examination entries
  - the centre not receiving or being able to access question papers

  and ultimately, awarding bodies could withdraw their approval of the centre

Centre inspections

(GR 5.3)

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

Policies available for inspection

(GR 5.3)

- Has in place the following written policies for inspection that must be reviewed and updated annually by a member of the senior leadership team and communicated within the centre:
  - A child protection/safeguarding policy including Disclosure and Barring Service (DBS) clearance, which satisfies current legislative requirements

Exam contingency plan

See Appendix 2 Exam Contingency Plan

- Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place (that allow the senior leadership team to act immediately in the event of an emergency or where the head of centre, the examinations officer or SENCo is absent at a critical stage of the examination cycle)

The examination contingency plan should reinforce procedures in the event of the centre being unavailable for examinations owing to an unforeseen emergency.

All relevant centre staff must be familiar with the examination contingency plan. Consideration should be given as to how these arrangements will be communicated to candidates, parents and staff should disruption to examinations occur.

Internal appeals procedures

See Appendix 3 Internal appeals Policy

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

Complaints Policy (Exams)

See Appendix 4 Complaints and Appeals Procedure (Exams)

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

Whistleblowing Policy (Exams)

See Appendix 5 Whistleblowing Policy (Exams)

- Ensures the centre has a whistleblowing policy in place

Equalities policy

The Equality Policy and policy targets are available on the Staff Portal. See also **Appendix 6 Access Arrangements Policy**

- Ensures the centre's equalities policy demonstrating the centre's compliance with relevant legislation is in place and details the processes followed in respect of identifying the need for, requesting and implementing access arrangements
-
    - a policy regarding the management of non-examination assessments including controlled assessments and coursework, which includes details on how candidates' work will be authenticated (For CCEA GCSE centres this would be a written controlled assessments policy)

- Exam Access Arrangements Policy

See Appendix 6 Exam Access Arrangements Policy

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

The head of centre/senior leadership team will:

- appoint a SENCo, or an equivalent member of staff, to 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 and 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, to submit applications for reasonable adjustments through the access arrangements process and to make reasonable adjustments to the services the centre provides to disabled candidates. Where the centre is under a duty to make a reasonable adjustment, the centre must not charge a disabled candidate any additional fee in relation to the adjustment or aid)
  †or any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect
- ensure that the SENCo undertakes the necessary and appropriate steps to gather a picture of need and demonstrate normal way of working for a private candidate, such as a distance learner or a home 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 must be held on file for inspection)
- have a written process in place to check the qualification(s) of their assessor(s) and 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.

    - a policy on the use of word processors in examinations

Word Processor Policy (Exams)

Appendix 7 AARA (5.8)

Non-examination Assessment (including controlled assessments and coursework) **Policy**

Appendix 8 GR (5.7) **Centre-assessed work,** NEA (1)

JCQ document **AI Use in Assessments: Protecting the Integrity of Qualifications** (www.jcq.org.uk/exams-office/malpractice)

- Child protection/safeguarding policy

The 'Safeguarding and Child Protection Policy and Procedures' document can be found on the Staff Portal in the 'Safeguarding Policies' folder.

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

Data protection policy

The 'Data Protection Policy' can be found on the Staff Portal in the 'Data Protection & Records Retention Procedure' folder.

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

Procedure to verify identity of candidates

Appendix 9

Special consideration policy and overnight supervision arrangements

Appendix 10

Emergency Evacuation Policy

Appendix 11

Exams Archiving Policy

Appendix 12

Escalation Process

Appendix 13

Conflicts of Interest Policy

See Appendix 14

- Ensures the relevant awarding bodies are informed of any **Conflict of Interest**
- Maintains records (located at Z:\External exams\Exams 2023/24/Conflict of Interest) that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected by the above

Malpractice Policy

Appendix 15

Cyber Security Policy

Appendix 16

Malpractice

(GR 5.11)

The centre will:

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

Personal data

(GR 6.6, 6.8)

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

Materials which are submitted by candidates for assessment may include any form of written work, audio and visual materials, computer programs 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

- Understands the contents of annually updated JCQ documents including:
    - A guide to the special consideration process

- General Regulations for Approved Centres
- Instructions for conducting examinations
- Post-Results Services (PRS)
- Suspected Malpractice - Policies and Procedures

- Completes/submits the National Centre Number Register annual update (administered on behalf of the JCQ member awarding bodies by Cambridge OCR https://ocr.org.uk/administration/ncn-annual-update/) by the end of October every year even if there are no changes to centre details, 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 (SLT)

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

- *A guide to the special consideration process*
- *Access Arrangements and Reasonable Adjustments*
- *AI Use in Assessments: Your role in protecting the integrity of qualifications*
- *Guidance for centres on cyber security*
- *Instructions for conducting coursework*
- *Instructions for conducting examinations*
- *Instructions for conducting non-examination assessments (GCE and GCSE specifications)*
- *Instructions for conducting non-examination assessments (Vocational and Technical Qualifications)*
- *Notice to Centres – Informing candidates of their centre-assessed marks*
- *Plagiarism in Assessments – Guidance for Teachers/Assessors*
- *Post-Results Services*
- *Suspected Malpractice – Policies and Procedures*

Ensure teaching staff undertake key tasks, as detailed in this policy, within the exams process (exam cycle) and meet internal deadlines set by the EO and ALS lead/SENCo

Ensure teaching staff keep themselves updated with awarding body subject and teacher-specific information to confirm effective delivery of qualifications

Ensure teaching staff attend relevant awarding body training and update events

Special educational needs co-ordinator (Head of Learning Support)

- Understands the contents, refers to and directs relevant centre staff to current JCQ publications including:
  - Access Arrangements and Reasonable Adjustments
- Leads on the access arrangements and reasonable adjustments process (referred to in this policy as 'access arrangements')
- If not the qualified access arrangements assessor, works with the person appointed, on all matters relating to assessing candidates and ensures the correct procedures are followed
- Presents when requested by a JCQ Centre Inspector, evidence of the assessor's qualification (if Head of Learning Support is not on site during the inspection a Senior Leader will present 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) and supporting evidence of need (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 Head of Learning Support
- 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

Estates Team and Reception staff

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

Estates Team

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

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

The exam cycle

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

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

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

Planning: roles and responsibilities

Information sharing

Head of centre

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

(ICE 3.1)

The secure room and the secure storage facility
Question papers and pre-release materials issued by the awarding bodies must always be stored at the centre's registered address in a secure room with a secure storage facility, e.g. safe or security cabinet.

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 between two and 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 room **must** be accessible throughout an examination series for the storage of question papers and be available for inspection.

The secure storage facility
Access to the secure storage facility **must** be restricted to between two and 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 publications including GR, ICE, AA, SMEA, NEA (and the instructions for conducting coursework) and SC

Exams officer

- Signposts relevant centre staff to JCQ publications and awarding body documentation relating to the exams process that have been updated
- Signposts relevant centre staff to JCQ information that should be provided to candidates
- As the centre administrator, approves relevant access rights for centre staff to 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: the annual exams plan located at Z:\External exams\Exams 2024/25
- Researches awarding body guidance to identify administrative processes, key tasks, key dates and deadlines for all relevant qualifications
- Produces an annual exam plan of key tasks and key dates to ensure all external deadlines can be effectively met; informs key centre staff of internal deadlines
- (where applicable to the role) Collects information on internal exams/assessments to enable preparation for and conduct of (insert the titles these internal exams/assessments are referred to in the centre)

Head of department

- Responds (or ensures teaching staff respond) to requests from the EO on information gathering
- Meets the internal deadline for the return of information
- Informs 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
- Notes the internal deadlines in the annual exams plan and directs teaching staff to meet these

Access arrangements

Head of centre

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

Head of Learning Support

- Assesses candidates (or works with the appropriately qualified assessor as appointed by the head of centre) to identify access arrangements requirements
- Gathers **evidence** to support the need for access arrangements for a candidate
- Liaises with teaching staff to gather evidence of **normal way of working** of an affected candidate
- Determines candidate eligibility for arrangements or adjustments that are centre-delegated
- Applies for approval using AAO via the Centre Admin Portal (CAP), where required or through the awarding body where any qualifications sit outside the scope of AAO.
- Keeps a file for each candidate for JCQ inspection purposes containing all the required documentation (if any documentation is kept 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

Alternative Rooming Arrangements Policy (Exams)

See Appendix 6 Access Arrangements Policy

- 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. A candidate may only take their examinations in a smaller environment away from the main examination room where he/she has an established difficulty. Students may also be given alternative rooming if the Exams Officer or Deputy Head of Academic determines that they disturb others in the main exam room. The final decision rests with the Deputy Head (Academic)

Senior Leaders, Heads of department, Teaching staff

- Support the Head of Learning Support in determining and implementing appropriate access arrangements
- Produce a word processor policy, specific to the centre, which details the criteria the centre uses to award and allocate word processors for examinations

<u>Internal assessment and endorsements</u>

Head of centre

Controlled assessments, coursework and non-examination assessments

Non-examination assessment policy

See Appendix 8 Non-Examination Assessment Policy

- 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, which includes details on how candidates' work will be authenticated, is in place.
- Ensures that where 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 GCE & GCSE specifications (which include components of non-examination assessment) follow JCQ Instructions for conducting non-examination assessments and the specification provided by the awarding body
- 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

- 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

Head of department

- Ensures teaching staff delivering GCE & GCSE specifications (which include components of non-examination assessment) follow JCQ Instructions for conducting non-examination assessments and the specification provided by the awarding body
- For other qualifications, ensures teaching staff follow appropriate instructions issued by the awarding body
- Ensures 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 the following individuals are not assigned as invigilators during an examination: a teacher, teaching assistant, tutor or senior member of centre staff who teaches the subject being examined or a Learning Support Assistant who has supported one or more candidates.

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 that 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 and registrations: roles and responsibilities

Estimated entries

Head of centre

- Ensures the centre's obligations as detailed in the regulations are met. (With reference to GR 5.6 **Entries and registrations**)

Exams officer

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

Head of department

- Provides entry information requested by the EO to the internal deadline
- Informs 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. registrations, entries, learner claims

Exams officer

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

Final entries collection and submission procedure

The procedure is for the EO to make entries on the basis of class lists well ahead of the initial entry deadlines. This means that senior staff and HoDs are able to review and refine entries during the period of 'changes without cost' in the light of further evidence relating to candidate performance.

Head of department

- Provides information requested by the EO to the internal deadline
- Informs 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
- Checks final entry submission information provided by the EO and confirms information is correct

Entry fees

Entry fees are charged to families by the Finance Team. The EO produces a fees report from Exams Manager to inform this process when requested by the Finance Team.

Late entries

Exams officer

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

Head of department

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

Re-sit entries

Bootham makes resits available as follows:

November Series – English IGCSE, Maths IGCSE

The EO will contact the Heads of English and Maths in September to see if there are any candidates for a resit. Entry fees are invoiced to families by the Finance Team.

Private candidates

Bootham accepts exam entries for returning candidates only.

Candidate statements of entry

Exams officer

- Provides candidates with statements of entry/timetable for checking

Teaching staff

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

Pre-exams: roles and responsibilities

Head of centre

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

Access arrangements

Head of Learning Support

- Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access to exams/assessments for candidates with learning difficulties or disabilities, those for whom English is an additional language and those with a temporary illness or injury.
- Ensures a candidate is involved in any decisions about arrangements, adjustments and /or adaptations that may be put in place for them.
- Ensures exam information (JCQ information for candidates, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it
- Allocates appropriately trained centre staff to facilitate access arrangements for candidates in exams and assessments (ensuring that the facilitator appointed meets JCQ requirements and fully understands the rule of the particular access arrangement)
- Where relevant, ensures the necessary and appropriate steps are undertaken to gather an appropriate picture of need and demonstrate normal way of working for a private candidate (such as 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 contingency sessions awarding bodies may identify in the event of national or 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
    - wrist watches in exam rooms
    - when and how results will be issued and the staff that will be available

- the post-results services information and how the centre will deal with requests from candidates
- when and how certificates will be issued

Access to scripts, reviews of results and appeals procedures

Reviews of Results (RoRs) All RoRs are dealt with by the Exams Officer. RoRs may be requested by candidates (after consultation with teaching staff if necessary) in writing if there are reasonable grounds for believing there has been an error in marking. Further details are given to candidates at exam time (information regarding all RoRs, how to request a RoR, costs involved, appeals). ATS Centre staff may request scripts for investigation or for teaching purposes. For the latter, the consent of candidates must be obtained.

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

Head of department

- Ensures 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

Head of Learning Support

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

Teaching staff

- Support the Head of Learning Support 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

Head of department

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

Exams officer

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

Candidates

- Authenticate their work as required by the awarding body

Invigilation arrangements

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 regulations 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 one-to-one basis to enter the room at regular intervals in order to observe the conducting of the exam, ensuring all relevant rules are being adhered to and supporting the practical assistant/reader and/or scribe in maintaining the integrity of the exam)
- Allocates invigilators to exam rooms (or where supervising candidates due to a timetable clash) according to the required ratios
- Liaises with the Head of Learning Support regarding the facilitation and invigilation of access arrangement candidates

Head of Learning Support

- 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

Head of Learning Support or relevant **Senior leader** (in the absence of the Head of Learning Support)

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

Seating and identifying candidates in exam rooms

Exams officer

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

  Verifying candidate identity procedure

See Appendix 9 Procedure to Verify Identity of Candidates

- 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 provided by the EO which details how the identity of all candidates sitting exams will be confirmed.
- 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 exam materials are only delivered to authorised members of staff.
- Ensures access to the secure room is restricted and staff approved by the head of centre are accompanied by a keyholder at all times. There must be between two and six keyholders only, (the exams officer must be one of the keyholders), each keyholder must fully understand their responsibilities as a key holder to the secure storage facility.
- Key must either be kept on the keyholders person or in a coded key safe, securely attached to the wall, which is only accessible to the designated keyholders.
- 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 packaging and keeps a log of the check
- Ensures the secure storage facility contains only current and live confidential material (ensuring that past examination question papers, internal tests and mock examinations are not kept in the centre's secure storage facility)
- Ensures that examination stationery, e.g. answer booklets and formula booklets are stored in the secure room (attempting to store this material in the secure storage facility, when sufficient space allows)
- Ensures the integrity and security of any electronic question paper is maintained during the downloading, printing and collating process (ensuring printing is carried out in in a secure environment to prevent unauthorised personnel accessing live assessment materials and ensuring only authorised members of centre staff have access to electronic question papers)

  A minimum of two and a maximum of 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.
- Ensures that the question paper is printed correctly, is of good quality and is collated in the right order

Estates Team

- 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

Overnight supervision arrangements policy

See Appendix 10 Overnight Supervision Arrangements Policy

- 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 Estates Team to ensure exam rooms are set up according to JCQ and awarding body requirements
- Liaises with the Head of Learning Support regarding rooming of access arrangement candidates

Head of Learning Support

- 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

Estates Team

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

Alternative site arrangements

Exams officer

- Ensures question papers will only be taken to an alternative site where the published criteria for an alternative site arrangement has been met
- Will inform the JCQ Centre Inspection Service to timescale by submitting a JCQ *Alternative Site arrangement* notification through 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

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

Internal exams

Exams officer/Assistant Exams Officer

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

ALS lead/SENCo

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

Teaching staff

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

Exam time: roles and responsibilities

Head of centre

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

Access arrangements

Exams officer

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

Candidate absence

Candidate absence policy

The Invigilator Handbook states that, at the beginning of the exam:

The invigilator must:

• accurately complete the attendance register during the examination, in line with the awarding body's instructions, clearly indicating those candidates who are either present or absent. You must inform the EO about any absent candidates as soon as possible. The attendance register ***must*** *have been completed before the end of the examination. This will allow for the identification of absent candidates who can be contacted as to their whereabouts. Having an accurate and completed attendance register will enable a check to be made that all scripts have been collected when the examination has finished.*

The Candidate Handbook states:

If you are unwell and unable to attend the exam you must let us know as soon as possible. We may be able to support an application for special consideration and an adjustment may be made to your grade. This can happen provided you have completed at least 25% of the total assessment for the qualification affected. The awarding body may require a medical certificate in support of your application.

The Candidate Handbook further states that:

If you have an unauthorised absence on the day of the examination you will still be liable for the entry fee. Should you choose to sit the exam in a subsequent series you will have to pay for that entry.

Invigilators

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

Candidates

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

Candidate behaviour

See *Irregularities* below.

Candidate belongings

See *Unauthorised materials* 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* through CAP to timescale
- Warns candidates that their script may not be accepted by the awarding body
  Checks that changes to school transport arrangements will not require changes to start times and informs their Line Manager of any concerns

Invigilators

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

Candidate late arrival policy

The Candidate Handbook section on 'What to do if you arrive late for an exam' states:

A candidate who arrives after the start of the examination will be allowed the full time for the examination.

*A candidate will be considered **very late** if they arrive more than one hour after the published starting time for an examination which lasts one hour or more, i.e. after 10.00am for a morning examination or after 2.30pm for an afternoon examination.*

If you are very late to an examination, we will need to provide a report to the awarding body. This will help the awarding body to assess the extent to which examination security may have been broken. The awarding body is unlikely to be able to accept the work of very late candidates unless they have been supervised.

If you know, for some reason, that you are likely to be very late for an examination your case can only be supported if you are kept under supervision by a parent/carer who then gives a signed statement to confirm the supervision arrangements which were put in place.

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 exam 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 prior to question paper packets being opened that another member of staff or an invigilator checks the day, date, time, subject, unit/component and tier of entry if appropriate, immediately before a question paper packet is opened
- Ensures this second pair of eyes check, (which takes place in the secure room) is recorded.
- Ensures question papers are always be kept in their sealed packets until the second pair of eyes check and log have been completed
- Ensures the second pair of eyes check takes place immediately before each question paper packet is opened in the designated examination room
- If the question paper packet needs to be split for different rooms on one or more sites or for an access arrangement, ensures the check takes place in the secure room
- Ensures unused question papers are not released to any individual until 24 hours after the awarding body's published finishing time for the examination (Where a candidate is sitting an examination scheduled for the afternoon session on the following morning under an overnight supervision arrangement, unused question papers for that examination must not be released to any individual until the candidate has completed that examination)

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 authorised centre staff are present in exam rooms
- Ensures the centre's policy relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates

- Ensures the centre's policy on candidates leaving the exam room temporarily is clearly communicated to candidates

Food and drink in exam rooms policy

Any food or drink brought into the examination room whether by the candidate (or provided by the school) must be free from packaging and all labels are removed from drink containers.

Policy on candidates leaving the exam room temporarily

Candidates who are allowed to leave the examination room temporarily must be accompanied by a member of centre staff: this includes requests to use the bathroom. Those candidates will be allowed extra time to compensate for their temporary absence. When a candidate asks for a bathroom break alert the roving invigilator. They will accompany the candidate so that the required supervision ratio remains in place. Make a note of the length of time required upon their return. Candidates who are allowed to leave the examination room temporarily must be accompanied by a member of centre staff: this includes requests to use the bathroom. Those candidates will be allowed extra time to compensate for their temporary absence. When a candidate asks for a bathroom break alert the roving invigilator. They will accompany the candidate so that the required supervision ratio remains in place. Make a note of the length of time required upon their return.

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 invacuation (lockdown)

Emergency evacuation policy

See Appendix 11 Emergency Evacuation Policy

Estates Team

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

Invigilators

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

Candidates

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

Irregularities

Head of centre

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

Managing behaviour in exam rooms procedure

Candidates are under formal exam conditions from the moment they enter they exam room. Candidates must not talk to, attempt to communicate with or disturb other candidates. If they do they this must be reported to the relevant awarding body. Candidates must not open the question paper until the exam begins. If they do they this must be reported to the relevant awarding body. Where a candidate is being disruptive, the invigilator must warn the candidate that he/she may be removed from the examination room. The candidate must also be warned that the awarding body will be informed and may decide to penalise them, which could include disqualification.

The invigilator must record what has happened.

Wherever possible, the invigilator should remove and keep any unauthorised material that a candidate may have in the examination. If necessary, the invigilator should summon assistance.

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 and

See Appendix15 Malpractice Policy

Special consideration

Senior leaders

- Support eligible applications for special consideration by authorising appropriate evidence.

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

Special consideration policy

Should a candidate be too ill to sit an exam, suffer bereavement or other trauma or be taken ill during the exam itself, it is the candidate's responsibility to alert the centre, or the exam invigilator, to that effect.

Any special consideration claim must be supported by appropriate evidence within five days of the exam, for example a letter from the candidate's doctor.

The Exams Officer will then apply for special consideration electronically via AAO (Access Arrangements Online) within seven days of the last written exam for that subject, or by the board's deadline, whichever is sooner.

See Appendix 10 Special Consideration Policy

Candidates

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

Unauthorised items

Arrangements for unauthorised materials taken into the exam room

While candidates are briefed to not bring unauthorised materials into the exam room, final checks are conducted before the start of every exam. If a candidate does have such material it is handed to the invigilator and stored at the front of the exam room until the end of the exam. This includes: Airpods, earphones/earbuds, ipods, mobile phones, MP3/4 players or similar devices, watches, smart glasses or any other smart devices. Failure to do so must be reported to relevant awarding body.

Invigilators

- Are informed of the arrangements through training

Internal exams

Exams officer/Assistant Exams Officer

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

Invigilators

- Conduct internal exams as briefed by the EO

Results and post-results: roles and responsibilities

Head of centre

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

Internal assessment

Head of department

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

Managing results day(s)

Senior leaders

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

Exams officer

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

Results day programme

This is confirmed nearer to the time of results and communicated to candidates, families and staff.

Estates Team

- 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
- 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 (including private candidates) and staff on the services provided by awarding bodies and the fees charged (see also above *Briefing candidates* and *Access to scripts, enquiries about 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

Curriculum Logistics and Data and Curriculum Assistant

- Provides analysis of results to appropriate centre staff
- Provides results information to external organisations where required

Certificates

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

Issue of certificates procedure

Certificates are issued once all post-results services have been concluded. At this point, results move from being provisional to being actual. There is no single date for the publication of certificates from the summer series but the awarding bodies produce them by early November. They will be issued to candidates in school once they have all been received and collated. If candidates are unable to collect them, they can be collected on their behalf (and signed for) or sent by secure post to them. The centre will obtain and maintain accurate candidate contact information to ensure the correct and secure despatch of certificates.

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

Retention of certificates policy

Unclaimed or uncollected certificates will be kept by the Exams Officer and further efforts will be made to contact the candidate.

Exams review: roles and responsibilities

Exams officer

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

Senior leaders

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

Retention of records: roles and responsibilities

Exams officer

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

Exams archiving policy

See Appendix 12 Exams Archiving Policy

Appendix 1 – National Centre Number Head of Centre Declaration

Appendix 2 - Exam Contingency Plan

Appendix 3 – Internal Appeals Policy

Appendix 4 - Complaints Policy (Exams)

Appendix 5 – Whistleblowing Policy (Exams)

Appendix 6 – Exam Access Arrangements Policy

Appendix 7 – Word Processor Policy (Exams)

Appendix 8 – Non-Examination Assessment Policy

Appendix 9 – Procedure to Verify Identity of Candidates

Appendix 10 – Special Considerations Policy and Overnight Supervision Arrangements Policy

Appendix 11 – Emergency Evacuation Policy

Appendix 12 - Exams Archiving Policy

Appendix 13 – Escalation Process

Appendix 14 – Conflicts of Interest Policy

Appendix 15 – Malpractice Policy

Appendix 16 Cyber Security Policy

Appendix 2

BOOTHAM SCHOOL
AGES 3-18

Exam Contingency Plan

2025/26

Key staff involved in contingency planning.

Role	**Name(s)**
Head of centre	**Deneal Smith**
Exams officer line manager (Senior leader)	**Madeleine Bowley**
Exams officer	**Caroline du Plessis**
Head of Learning Support	**Jess White**
Senior leader(s)	**James Ratcliffe**

Purpose of the plan

This plan examines potential risks and issues that could cause disruption to the examination and assessment process at Bootham School. By outlining actions/procedures to be invoked in case of disruption it is intended to mitigate the impact these disruptions have on our processes.

Alongside internal processes, this plan is informed by the Ofqual **Exam system contingency plan: England, Wales and Northern Ireland** which provides guidance in the document *What schools and colleges and other centres should do if exams or other assessments are seriously disrupted* and the **JCQ Joint Contingency Plan** for the Examination System in England, Wales and Northern Ireland and the JCQ document **Preparing for disruption to examinations**

This plan also confirms Bootham's compliance with JCQ's **General Regulations for Approved Centres** (5.3) that the centre has in place for inspection that must be reviewed and updated annually by a member of the senior leadership team and communicated within the centre:

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

Contingency arrangements

In accordance with the regulations (GR 3.17-19), Bootham School **must** have an up to date written contingency plan.

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

The plan must cover the following scenarios:

- the head of centre, relevant senior leader(s) with oversight of examination and assessment administration, SENCo (or equivalent role), 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 the contingency plan the centre **must** identify an alternative site or alternatives sites which can be used 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.

Bootham School **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.

Bootham School **must** ensure where candidates' work is produced electronically 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 via the Cloud.

Appropriate security arrangements must be implemented which protect candidates' work in the event of IT system corruption and cyber-attacks.

National Centre Number Register and other information requirements

In accordance with the regulations (GR 5.3), the head of centre will ensure that Bootham School completes the National Centre Number Register annual update by the end of October every year (even it there are no changes to centre details) which includes providing senior designated contact details (this might include a personal mobile number and/or email address). These will 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.

Bootham School refers to https://www.gov.uk/government/publications/exam-system-contingency-plan-england-wales-and-northern-ireland and Preparing for disruption to examinations – JCQ

- Bootham School provides at least one senior designated contact who is available to manage emergency requests from awarding bodies during the summer holidays.
- Bootham School ensures that candidate's work is back up.

Reslience

- Bootham School knows that it must ensure that it is familiar with the regulators guidance on ensuring resilience in the qualification system.
- Bootham School refers to the document published by Ofqual: Guidance on collecting evidence of student performance to ensure resilience in the qualification system

1. Head of centre absence at a critical stage of the exam cycle

Where the head of centre may be absent at a critical stage of the examination cycle, main duties and responsibilities will be escalated in accordance with the centre's written escalation process

Possible causes of disruption to the exam process

1. Exam officer or Deputy Exam Officer extended absence at a critical stage exam cycle

Criteria for implementation of the plan *Key tasks required in the management and administration of the exam cycle not undertaken including:* *Planning* • *annual data collection exercise not undertaken to collate information on qualifications and awarding body specifications being delivered*

- *annual exams plan not produced identifying essential key tasks, key dates and deadlines*
- *sufficient invigilators not recruited*

Entries

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

Pre-exams

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

Exam time

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

Results and post-results

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

Centre actions to mitigate the impact of the disruption

- Exams Officer to produce an annual Exams Plan to be checked in case of absence
- Deputy Exam Officer to run exams in case of exams officer absence.
- Exam Officer to run exams with support for her teaching in case of Deputy Exams Officer absence.
- Exams Officer to produce guidance/notes on key tasks in case of absence
- Head of Centre and Senior Leaders to manage/delegate in case of Exams Officer absence, initially to Senior Leaders
- Senior Leaders and Exam Officer to meet fortnightly to monitor progress through each element of the Exams Plan

2. Head of Learning Support extended absence at a critical stage in the exam cycle

Criteria for implementation of the plan

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

Planning

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

Pre-exams

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

Exam time

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

Centre actions to mitigate the impact of the disruption

- Senior Leader to manage/delegate in case of Jess White's absence
- Monitor the work of the Head of Learning Support throughout the year to be appraised of progress and ensure that tasks are carried out
- Senior Leader to present evidence as requested by the inspector (DH Academic or other nominated Senior Leader

3. Teaching staff (or other key staff essential to the examination process) extended absence at a critical stage in the exam cycle

Criteria for implementation of the plan

Key tasks not undertaken including:

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

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

Non-examination assessment (including controlled assessments and coursework) tasks not set/issued/taken by candidates as scheduled

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

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

Centre actions to mitigate the impact of the disruption

- Senior Leader to manage/delegate in case of Head of Department absence
- Consult the annual exams plan for key dates and deadlines
- Other members of the relevant teaching department to deputise as directed

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

Criteria for implementation of the plan

Failure to recruit and train sufficient invigilators to conduct exams

Invigilator shortage on peak exam days

Invigilator absence on the day of an exam

Centre actions to mitigate the impact of the disruption

- Exams Officer to work with HR to recruit and maintain a cohort of invigilators
- Exams Officer gives regular updates regarding recruitment and training of sufficient invigilators
- Exams Officer to maintain link with invigilators throughout exam season to make sure reserves are available in case of invigilator absence.
- Members of support staff invited to train as invigilators to step in in the event of an unforeseen invigilator absence.

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

Criteria for implementation of the plan

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

Insufficient rooms available on peak exam days

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

Centre actions to mitigate the impact of the disruption

- Exams Officer to map rooming requirements in plenty of time.
- Other rooms to be identified as suitable by Exams Officer/LM/Estates in case the use of main exams room becomes unusable during the exam session.
- Parents and students texted via Operoo to inform them in the event of a move to the Junior School.
- Consider moving classes to make larger suitable classrooms available to be used in an emergency

6. The Secure room and Secure storage facility can not be accessed

- The centre must contact the JCQ Centre Inspection Service immediately
- If this happens when candidates are due to sit an exam, the candidates will be held under strict invigilation until the facility can be accessed or the boards advise otherwise.
-

7. **Cyber-attack**

Criteria for implementation of the plan

Where a cyber attack may compromise any aspect of delivery such as a cyber-attack

Centre actions to mitigate the impact of the disruption

- (This will include the required arrangements for cyber security)

  (GR 3.21) Ensure there are procedures in place to maintain the security of user accounts by:

a) ensuring that all members of centre staff who access awarding bodies' online systems undertake annual cyber security training...

   ... The training must include:

   - the importance of creating strong, unique passwords for all accounts;
   - keeping all account details strictly confidential;
   - the critical role of Multi-Factor Authentication (MFA) in protecting against unauthorised access;
   - how to properly set up and use MFA for both centre and awarding bodies' systems;
   - an awareness of all types of social engineering/phishing attempts;...
   - the importance of staff quickly reporting any suspicious activity, events, incidents and encouraging a safe and supportive reporting culture.

   Certificates of completed staff cyber training must be downloaded and held on file for inspection. The NCSC training resource provides a certificate of completion of cyber training.

b) developing and maintaining a comprehensive cyber security policy for the centre. The National Cyber Security Centre (NCSC) provides resources to assist centres in creating such policies;
c) implementing and enforcing robust security measures, including:
   - mandatory MFA for all accounts and systems containing exam-related information, including those that interface between awarding body and centre systems, to enhance security and protect sensitive data;
   - regularly reviewing and updating security settings to align with current best practices;
d) updating any passwords that may have been exposed
e) setting up secure account recovery options
f) reviewing and managing connected applications
g) monitoring accounts and regularly reviewing account access, including removing access when no longer required
h) 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' MFA requirements.
i) reporting any actual or suspected compromise of an awarding body's online systems immediately to the relevant awarding body

1. Failure of IT systems

Criteria for implementation of the plan

IT system corruption affecting candidates' work

MIS system failure at final entry deadline

MIS system failure during exams preparation

MIS system failure at results release time

Centre actions to mitigate the impact of the disruption

- (This will include the security arrangements put in place which protect candidates' work)

(GR 3.19) Ensure where candidates' work is produced electronically that it is backed-up and should consider the contingency of candidates' work being backed-up on two separate devices, including one off-site back-up via the Cloud... Implement appropriate security arrangements which protect candidates' work in the event of IT system corruption and cyber-attacks.

- Exams Officer to make all entries via awarding body extranets rather than iSAMS
- Exams Officer can use a home computer in case of school network failure
- Exams Officer to contact awarding bodies for advice if general network failure
- Results to be accessed via awarding body extranets rather than iSAMS
- Exams Officer to work with Assistant Head (Curriculum Logistics) and Data Manager if iSAMS exam manager is not available
  Exams Officer to contact awarding bodies for advice and information in the case of a cyber attack

2. Emergency evacuation of the exam room (or centre lockdown)

Criteria for implementation of the plan

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

Centre actions to mitigate the impact of the disruption

- See separate policies for emergency evacuation

3. Disruption of teaching time in the weeks before an exam – centre closed for an extended period

Criteria for implementation of the plan

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

Centre actions to mitigate the impact of the disruption

- Established contingency plans for teaching and learning to be enacted which mean moving to remote learning as used during the pandemic

4. Candidates may not be able to take examinations – centre remains open

Criteria for implementation of the plan
Candidates may not be able to attend the examination centre to take examinations as normal because of a crisis
Centre actions to mitigate the impact of the disruption
• (Centres' contingency plans should focus on options that enable candidates to take their examinations) □ Consider moving the starting time of the examination for all candidates (see section 6.2 of the JCQ document *Instructions for conducting examinations*) □ Be aware of the rules for very late arrivals (see section 21 of the JCQ document *Instructions for conducting examinations*) □ Wherever possible, it is always in the best interest for candidates to sit the examination. However, special consideration is an option where a candidate is unable to sit the examination (see Chapter 4 of the JCQ document *A guide to the special consideration process*) □ The relevant awarding body should be contacted if additional support or guidance in the event of disruption to examinations is required

5. **Centre may not be able to open for examinations**
(including in the event of the centre being unavailable for examinations owing to an unforeseen emergency)

Criteria for implementation of the plan
Centre may not be able to open as normal for scheduled examinations
Centre actions to mitigate the impact of the disruption
• If the head of Centre decides the centre cannot be opened for schedules examinations centre's contingency plan must be invoked (as below)and relevant awarding bodies will be informed as soon as possible. • Exams will be conducted at Bootham Junior School which is on a separate site. Students and parents will be informed by a text message sent by the school system

6. Disruption in the distribution of examination papers

Criteria for implementation of the plan
Disruption to the distribution of examination papers to the centre in advance of examinations
Centre actions to mitigate the impact of the disruption
• Exams Officer to access electronic copies of examination papers via awarding body secure sites • Exams Officer to print and securely store required copies

Delay in collection arrangments for completed examination scripts

Criteria for implementation of the plan

Delay in normal collection arrangements for completed examination scripts/assessment evidence
Centre actions to mitigate the impact of the disruption • Exams Officer to liaise with the exam boards for advice and instructions if Parcelforce/designated courier are unable to collect scripts • Exams Officer to take the completed scripts to the local Parcelforce/designated courier depot if necessary

7. 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* *Completed examination scripts/assessment evidence does not reach awarding organisations*
Centre actions to mitigate the impact of the disruption • Exams Officer ensures that scripts are stored securely and safely if not immediately collected. • Heads of Department to keep assessment materials safe and secure • Heads of Department to retain other evidence of attainment throughout the course • Exams Officer to contact awarding bodies for advice

8. **Centre unable to distribute results as normal or facilitate post results services** (including in the event of the centre being unavailable on results day owing to an unforeseen emergency)

Criteria for implementation of the plan *Centre is unable to access or manage the distribution of results to candidates, or to facilitate post-results services*
Centre actions to mitigate the impact of the disruption • Exams Officer and the exam results day staff to access results at an alternative site including home addresses in agreement with awarding bodies • access to post results services from an alternative site and/or home address • Bootham to share facilities with other centres if this is possible, in agreement with the awarding bodies

9. Cyber-attacks involving ransomware infections

Criteria for implementation of the plan A ransomware attack renders the entire school IT network inaccessible thus blocking access to the complete evidence base for teacher assessed grades.
Centre actions to mitigate the impact of the disruption • Enact our incident management plan • Contact the NCSC: https://report.ncsc.gov.uk/

- Contact your local law enforcement and Action Fraud: https://www.actionfraud.police.uk/

Inform the Department for Education by emailing: sector.securityenquiries@education.gov.uk

10. A further national lockdown due to Covid-19 or similar

Criteria for implementation of the plan

The Government orders a national lockdown that closes the school and necessitates staff working from home

Centre actions to mitigate the impact of the disruption

- The school would immediately move into 'remote learning' mode. This is a well-established process and has proven itself to be able to deliver remote learning to all students whether in the UK or abroad.

Further guidance to inform procedures and implement contingency planning

DfE

Meeting digital and technology standards in schools and colleges

Cyber Security Standards for schools and colleges
Cyber crime and cyber security: a guide for education providers
DfE Cyber Security Guidance – March 2023

Ofqual

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

This document was updated in October 2023 to include Ofqual's final decisions on long-term resilience arrangements, and the Department for Education (DfE)'s guidance for education settings with confirmed reinforced autoclaved aerated concrete (RAAC),

In addition to this guidance, the Head of Centre will make themselves aware of specific responsibilities for local and national school preparations and contingencies. They will also follow advice from relevant public health bodies.

1. Contingency planning

Awarding organisations are required to establish, maintain and comply with an up-to-date detailed written contingency plan, to mitigate any incident they have identified may occur. This includes having communication plans for external parties (Ofqual General condition of Recognition A6). Schools and colleges should also be prepared for possible disruption to exams and assessments and make sure staff are aware of these plans.

1.2 General contingency guidance

- Emergency planning and response from the Department for Education in England
- Opening and closing local-authority-maintained schools from the Department for Education in England
- Exceptional closure days from the Department of Education in Northern Ireland
- Checklist - exceptional closure of schools from the Department of Education in Northern Ireland
- School closures from NI Direct
- Opening schools in extremely bad weather - guidance for schools from the Welsh Government

2. Disruption to assessments or exams

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

You should discuss alternative arrangements with your awarding organisation if:

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

You may also wish to see the JCQ's notice to centres on exam contingency plans and JCQ's notice on preparing for disruption to examinations in England, Wales and Northern Ireland for qualifications within its scope.

3. Steps you should take

3.1 Exam planning

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

Schools, colleges and other exam centres must speak to the relevant awarding organisations as soon as possible if they are expecting any disruption that might affect the sitting of exams and assessments.

3.2 In the event of disruption

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

3.3 After the exam

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

4. Steps the awarding organisation should take

4.1 Exam planning

1. Establish and maintain, and at all times comply with, an up-to-date, written contingency plan.
2. Ensure that the arrangements in place with centres and other third parties enable them to deliver and award qualifications in accordance with their conditions of recognition.

4.2 In the event of disruption

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

4.3 After the exam

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

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

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

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

See also:

- JCQ's guidance on special consideration

6. Wider communications

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

The DfE in England, the DfE in Northern Ireland and the Welsh Government will inform the relevant government ministers as soon as it becomes apparent that there will be significant local or national disruption; and ensure that they are kept updated until the matter is resolved.

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

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

7. Widespread national disruption to the taking of examinations / assessments

As education is devolved, in the event of any widespread sustained national disruption to examinations or assessments, national government departments will communicate with regulators, awarding organisations and centres prior to a public announcement. Regulators will provide advice to government departments on implications for examinations and assessments, including exam timetables.

In September 2023, Ofqual and the DfE published joint consultation decisions on long-term resilience arrangements. As in 2023, Ofqual has provided guidance on collecting evidence of student performance to ensure resilience in the qualifications system for students entering GCSEs, AS and A levels, the Advanced Extension Award and Project qualifications. For VTQs and other qualifications used alongside or instead of GCSEs, AS and A levels, awarding organisations will provide guidance where needed and will contact schools and colleges with more information.

In December 2022, Qualifications Wales published guidance for contingency assessment arrangements for GCSEs, AS and A levels and Skills Challenge Certificates in the event that a national decision is made to cancel exams. This guidance is still relevant for the current academic year.

The DfE has updated its guidance on handling strike action in schools in England in light of the industrial action in 2023. The guidance recommends schools should prioritise the running of examinations and assessments on any strike days and should review their contingency plans to make this happen. Schools, colleges and other exam centres must speak to the relevant awarding organisations if they are expecting any disruption that might affect the sitting of exams and assessments.

The DfE has also issued guidance for education settings with confirmed reinforced autoclaved aerated concrete (RAAC) in their buildings. It includes the need for contingencies for possible disruption to examinations and links to the existing emergency planning guidance.

General contingency guidance

- emergency planning and response for education, childcare and children's social care settings from the DfE in England
- handling strike action in schools from the DfE in England
- school organisation: local-authority-maintained schools from the DfE in England
- reinforced autoclaved aerated concrete: guidance for education settings with confirmed RAAC from the DfE in England
- police guidance from National Counter Terrorism Security Office and partners on preparing for threats
- cyber security guidance for schools and colleges from the National Cyber Security Centre

(Ofqual guidance extract above taken directly from the Exam system contingency plan: England, Wales and Northern Ireland - **What schools and colleges and other centres should do if exams or other assessments are seriously disrupted** (last updated 7 May

2024) https://www.gov.uk/government/publications/exam-system-contingency-plan-england-wales-and-northern-ireland/what-schools-and-colleges-should-do-if-exams-or-other-assessments-are-seriously-disrupted)

JCQ

15.1 CONTINGENCY PLANNING

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

Further information may be found at: https://www.gov.uk/government/publications/exam-system-contingency-plan-england-wales-and-northern-ireland

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

15.3 All centres must have a written examination contingency plan which covers all aspects of examination administration. This will allow members of the senior leadership team to act immediately in the event of an emergency or where the head of centre, examinations officer or SENCo is absent at a critical stage of the examination cycle. The examination contingency plan should reinforce procedures in the event of the centre being unavailable for examinations owing to an unforeseen emergency.

All relevant centre staff must be familiar with the examination contingency plan. Consideration should be given as to how these arrangements will be communicated to candidates, parents and staff should disruption to examinations occur.

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

15.5 The awarding bodies will designate 'contingency sessions' for examinations, summer 2025. This is consistent with the qualification regulators' document *Exam system contingency plan: England, Wales and Northern Ireland*: https://www.gov.uk/government/publications/exam-system-contingency-plan-england-wales-and-northern-ireland

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

15.7 In the event of national disruption to a day of examinations in summer 2026, the awarding bodies will liaise with the qualification regulators and government departments to agree the most appropriate option for managing the impact. As a last resort the affected examinations will be rescheduled. Although every effort would be taken to keep the impact to a minimum, it is possible that there could be more than one timetable date affected following the disruption, up to and including the last contingency day. Centres will be alerted if it is agreed to reschedule the examinations and the affected candidates will be expected to make themselves available in such circumstances. The decision regarding the rescheduling of examinations will always rest with the awarding body. The centre must conduct the examination on the scheduled date unless instructed to do otherwise by the awarding body.

Where candidates choose not to be available for the rescheduled examination(s) for reasons other than those traditionally covered by special consideration, they will not be eligible for enhanced grading. Centres must, therefore, ensure candidates and parents are aware of the contingency arrangements so that they may take them into account when making their plans for the summer.

(JCQ guidance above taken directly from **Instructions for Conducting Examination**s 2025-2026 http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations, section 15, Contingency planning)

JCQ Preparing for disruption to examinations www.jcq.org.uk/exams-office/general-regulations/

JCQ Joint Contingency Plan www.jcq.org.uk/exams-office/other-documents

General Regulations for Approved Centres www.jcq.org.uk/exams-office/general-regulations

Guidance notes on alternative site arrangements www.jcq.org.uk/exams-office/online-forms

Guidance notes for transferred candidates www.jcq.org.uk/exams-office/online-forms

Instructions for conducting examinations www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations

A guide to the special consideration process www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance

Guidance for centres on cyber security (Effective from November 2023) Revised July 2025 www.jcq.org.uk/exams-office/general-regulations/

5 tips to get exam ready and stay cyber safe! www.jcq.org.uk/exams-office/blogs/

GOV.UK

Emergency planning and response: Exam and assessment disruption; www.gov.uk/government/publications/emergency-planning-and-response-for-education-childcare-and-childrens-social-care-settings

Dispatch of exam scripts guide: Contingency planning https://www.gov.uk/government/publications/dispatch-of-exam-scripts-yellow-label-service

Wales

School closures: examinations gov.wales/school-closures-examinations

Opening schools as well as childcare and play settings in extremely bad weather and extreme hot weather: www.gov.wales/opening-schools-well-childcare-and-play-settings-extreme-bad-weather-and-extreme-hot-weather

Northern Ireland

Exceptional closure days – Northern Ireland www.education-ni.gov.uk/articles/exceptional-closure-days

Checklist for Principals when considering Opening or Closure of School www.education-ni.gov.uk/publications/checklist-exceptional-closure-schools

National Cyber Security Centre

Cyber Security for Schools https://www.ncsc.gov.uk/section/education-skills/cyber-security-schools

Cyber security training for school staff https://www.ncsc.gov.uk/information/cyber-security-training-schools

This plan is reviewed annually to ensure compliance with current regulations

Reviewed by Deputy Head (Academic)	
Approved By - LM	
Date of next review	November 2026

Appendix 3

BOOTHAM SCHOOL
AGES 3-18

INTERNAL APPEALS PROCEDURE

2025/26

Key staff involved in Internal Appeals Procedure

Role	Name(s)
Head of centre	**Deneal Smith**
Exams officer line manager (Senior leader)	**Madeleine Bowley**
Exams officer	**Caroline du Plessis**
Head of Learning Support	**Jess White**
Senior leader(s)	**James Ratcliffe**

Purpose of the procedure

This procedure confirms Bootham School's compliance with JCQ's **General Regulations for Approved Centres** (section 5.3z, 5,8) that the centre will:

- have in place for inspection that must be reviewed and updated annually by a member of the senior leadership team and communicated within the centre, an 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
- draw to the attention of candidates and their parents/carers their written internal appeals procedure

This procedure covers appeals relating to:

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

Appeals relating to internal assessment decisions (centre assessed marks)

Certain qualifications contain components or units of non-examination assessment, controlled assessment and/or coursework which are internally assessed (marked) by Bootham School and internally standardised. The marks awarded (the internal assessment decisions) which contribute to the final grade of the qualification are then submitted by the deadline set by the awarding body for external moderation.

The qualifications delivered at Bootham School containing internally assessed components/units are GCSE and GCEs.

This procedure confirms Bootham School's compliance with JCQ's **General Regulations for Approved Centres** (section 5.7) that the centre will:

- have in place for inspection that must be reviewed and updated annually, a written internal appeals procedure relating to internal assessment decisions and to ensure that details of this procedure are communicated, made widely available and accessible to all candidates
- before submitting marks to the awarding body inform candidates of their centre assessed marks and allow a candidate to request a review of the centre's marking

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

Bootham School ensures that all centre staff follow a robust policy regarding the management of non-examination assessments including controlled assessments and coursework. This policy details the procedures relating to GCSE, GCE including the marking and quality assurance/internal standardisation processes which relevant teaching staff are required to follow.

Candidates' work will be marked by staff who have appropriate knowledge, understanding and skill, who have been trained in this activity and do not have any potential conflicts of interest. If AI tools have been used to assist in the marking of candidates' work, they will not be the sole marker. Bootham School is committed to ensuring that work produced by

candidates is authenticated in line with the requirements of the awarding body. Where more than one subject teacher/tutor is involved in marking candidates' work, internal moderation and standardisation will ensure consistency of marking.

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

Bootham School will:

1. ensure that candidates are informed of their centre-assessed marks so that they may request a review of the centre's marking before marks are submitted to the awarding body

2. inform candidates that they will need to explain on what grounds they wish to request a review of an internally assessed mark as a review will only focus on the quality of work submitted.

3. inform candidates that they may request copies of materials (as a minimum, a copy of the marked assessment material (work) and the mark scheme or assessment criteria plus additional materials which may vary from subject to subject) to assist them in considering whether to request a review of the centre's marking of the assessment

4. having received a request for copies of materials, promptly make them available to the candidate within 2 working days. (this will either be the originals viewed under supervised conditions, or copies)

5. inform candidates they will not be allowed access to original assessment material, including artefacts, unless supervised

6. provide candidates with sufficient time, normally 5 working days to allow them to review copies of materials and reach a decision

7. provide a clear deadline for candidates to submit a request for a review of the centre's marking. Requests will not be accepted after this deadline. Requests must be made in writing within 5 working days of receiving copies of the requested materials by completing the **internal appeals form** and candidates must explain on what grounds they wish to request a review.

8. Allow 10 working days for the review to be carried out, to make any necessary changes to marks and to inform the candidate of the outcome, all before the awarding body's deadline for the submission of marks

9. ensure that the review of marking is conducted by an assessor who has appropriate competence, has had no previous involvement in the assessment of that candidate for the component in question and has no personal interest in the outcome of the review

10. instruct the reviewer to ensure that the candidate's mark is consistent with the standard set by the centre

11. inform the candidate in writing of the outcome of the review of the centre's marking

The outcome of the review of the centre's marking will be made known to the head of centre who will have the final decision if there is any disagreement on the mark to be submitted to the awarding body. A written record of the review will be kept and made available to the awarding body upon request.

The awarding body will be informed if the centre does not accept the outcome of a review.

The moderation process carried out by the awarding body may result in a mark change, either upwards or downwards, even after an internal review. The internal review process is in place to ensure consistency of marking within the centre, whereas moderation by the awarding body ensures that centre's marking is in line with national standards. The mark submitted to the awarding body is subject to change and should, therefore, be considered provisional.

Appeals against decisions to reject a candidate's work on the grounds of malpractice

The JCQ Information for candidates documents (Coursework, Non-examination assessments, Social media) which are distributed to all candidates prior to relevant assessments taking place, inform candidates of the things they must and must not do when they are completing their work.

The JCQ *Information for candidates - AI (Artificial Intelligence and assessments)* or similar centre document is issued to candidates prior to assessments taking place (and prior to a candidate signing the declaration of authentication which relates to their work).

Bootham School ensures that staff delivering/assessing coursework, internal assessments and/or non-examination assessments are aware of centre procedures relating to the authentication of learner work and have robust processes in place for identifying and reporting plagiarism (including AI misuse) and other potential candidate malpractice.

Candidate malpractice offences relating to the content of work (i.e. inappropriate/offensive content, copying/collusion, plagiarism (including AI misuse) and/or false declaration of authentication) which are discovered in a controlled assessment, coursework or non-examination assessment component prior to the candidate signing the declaration of authentication do not need to be reported to the awarding body but will be dealt with in accordance with the centre's internal procedures.

Malpractice by a candidate discovered in a controlled assessment, coursework or non-examination assessment where the offence does not relate to the content of candidates' work (e.g. possession of unauthorised materials, breach of assessment conditions) or where a candidate has signed the declaration of authentication, must be reported to the awarding body.

If there are doubts about the authenticity of the work of a candidate or irregularities are identified in a candidate's work before the candidate has signed the declaration of authentication/authentication statement (where required) and malpractice is suspected, Bootham School will:

- follow the authentication procedures and/or malpractice instructions in the relevant JCQ document (*Instructions for conducting non-examination assessments*/*Instructions for conducting coursework*) and any supplementary guidance that may be provided by the awarding body. Where this may lead to the decision to **not** accept the candidate's work for assessment or to reject a candidate's coursework on the grounds of malpractice, the affected candidate will be informed of the decision.

If a candidate who is the subject of the decision disagrees with the decision:

- a written request, setting out as clearly and concisely as possible the grounds for the appeal including any further evidence relevant to supporting the appeal, should be submitted
- an **internal appeals form** should be completed and submitted (insert when – for example) within X calendar/working days of the decision being made know to the appellant

The appellant will be informed of the outcome of the appeal within 5 working days.

This procedure is informed by the JCQ documents Instructions for conducting non-examination assessments (4.6, 6.1, 9), Instructions for conducting coursework (6, 7, 13.5), Review of marking (centre assessed marks) suggested template for centres, Notice to Centres - Informing candidates of their centre assessed marks and Suspected Malpractice: Policies and Procedures (4.5)

Appeals relating to centre decisions not to support an application for a clerical re-check, a review of marking, a review of moderation or an appeal

This procedure confirms Bootham School's compliance with JCQ's **General Regulations for Approved Centres** (section 5.13) that the centre will:

- have available for inspection purposes and draw to the attention of candidates and their parents/carers, a written internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support an application for a clerical re-check, a review of marking, a review of moderation or an appeal

Following the issue of results, awarding bodies make post-results services available. Full details of these services, internal deadlines for requesting a service and fees charged are provided by the exams officer.

Candidates are also made aware of the arrangements for post-results services prior to the issue of results. Candidates are also informed of the periods during which senior members of centre staff will be available immediately after the publication of results so that results may be discussed, and decisions made on the submission of reviews of marking. Candidates are made aware/informed by the Deputy Head Academic.

If the centre or a candidate (or their parent/carer) has a concern and believes a result may not be accurate, post-results services may be considered.

The JCQ post-results services currently available are detailed below.

Reviews of Results (RoRs):

- Service 1 (Clerical re-check)
  This is the only service that can be requested for objective tests (multiple choice tests)
- Service 2 (Review of marking)
- Priority Service 2 (Review of marking)
  This service is available for externally assessed components of both unitised and linear GCE A-level specifications. It is also available for level 3 Vocational and Technical qualifications.
  Service 3 (Review of moderation)
  This service is not available to an individual candidate

Access to Scripts (ATS):

- Copies of scripts to support reviews of marking
- Copies of scripts to support teaching and learning

Where a concern is expressed that a particular result may not be accurate, the centre will look at the marks awarded for each component part of the qualification alongside any mark schemes, relevant result reports, grade boundary information etc. when made available by the awarding body to determine if the centre supports any concerns.

For written components that contributed to the final result, the centre will:

1. Where a place a university or college is at risk, consider supporting a request for a Priority Service 2 review of marking (where the qualification concerned is eligible for this service)
2. In all other instances, consider accessing the script by:
   a) (where the service is made available by the awarding body) requesting a priority copy of the candidate's script to support a review of marking by the awarding body deadline, or

b) (where the option is made available by the awarding body) viewing the candidate's marked script online to consider if requesting a review of marking is appropriate

3. Collect informed written consent/permission from the candidate to access their script
4. On access to the script, consider if it is felt that the agreed mark scheme has been applied correctly in the original marking and if the centre considers there are any errors in the marking
5. Support a request for the appropriate RoR service (clerical re-check or review of marking) if any error is identified
6. Collect informed written consent from the candidate to request the RoR service before the request is submitted
7. Where relevant, advise an affected candidate to inform any third party (such as a university or college) that a review of marking has been submitted to an awarding body]

Written candidate consent (informed consent via candidate email is acceptable) is required in all cases before a request for a RoR service 1 or 2 (including priority service 2) is submitted to the awarding body. Consent is required 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. Candidate consent must only be collected after the publication of results.

For any moderated components that contributed to the final result, the centre will:

- Confirm that a review of moderation cannot be undertaken on the work of an individual candidate or the work of candidates not in the original sample submitted for moderation
- Consult any moderator's report/feedback to identify any issues raised
- Determine if the centre's internally assessed marks have been accepted without change by the awarding body – if this is the case, a RoR service 3 (Review of moderation) will not be available
- Determine if there are any grounds to submit a request for a review of moderation for the work of all candidates in the original sample]

Where a candidate disagrees with a centre decision not to support a clerical re-check, a review of marking or a review of moderation, the centre will:

- For a review of marking (RoR priority service 2), advise the candidate he/she may request the review by providing informed written consent (and the required administration fee) for this service to the centre by the deadline set by the centre
- For a review of marking (RoR service 1 or 2), first advise the candidate to access a copy of his/her script to support a review of marking by providing written permission for the centre to access the script (and any required fee for this service) for the centre to submit this request
- After accessing the script to consider the marking, inform the candidate that if a request for a review of marking (RoR service 1 or 2) is required, this must be submitted by the deadline set by the centre by providing informed written consent (and the required fee for this service) for the centre to submit this request
- Inform the candidate that a review of moderation (RoR service 3) cannot be requested for the work of an individual candidate or the work of a candidate not in the original sample]

If the candidate (or their parent/carer) believes there are grounds to appeal against the centre's decision not to support a review of results, an internal appeal can be submitted to the centre by completing the **internal appeals form** 5 working days prior to the internal deadline for submitting a request for a review of results.

The appellant will be informed of the outcome of the appeal before the internal deadline for submitting a RoR.

Following the RoR outcome, an external appeals process is available if the head of centre remains dissatisfied with the outcome and believes there are grounds for appeal. The JCQ publications **Post-Results Services** and **JCQ Appeals Booklet** (A guide to the awarding bodies' appeals processes) will be consulted to determine the acceptable grounds for a preliminary appeal.

Where the head of centre is satisfied after receiving the RoR outcome, but the candidate (or their parent/carer) believes there are grounds for a preliminary appeal to the awarding body, a further internal appeal may be made to the head of centre. Following this, the head of centre's decision as to whether to proceed with a preliminary appeal will be based upon the acceptable grounds as detailed in the **JCQ Appeals Booklet**. Candidates or 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 5 working days of the notification of the outcome of the RoR. Subject to the head of centre's decision, this will allow the centre to process the preliminary appeal and submit to the awarding body within the required **30 calendar days** of the awarding body issuing the outcome of the review of results process. Awarding body fees which may be charged for the preliminary appeal must be paid to the centre by the appellant before the preliminary appeal is submitted to the awarding body (fees are available from the exams officer). 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.]

Appeals regarding centre decisions relating to access arrangements and special consideration

This procedure confirms Bootham School's compliance with JCQ's **General Regulations for Approved Centres** (section 5.3z) that the centre will:

- have in place for inspection that must be reviewed and updated annually by a member of the senior leadership team and communicated within the centre, an internal appeals procedure which must cover at least appeals regarding... centre decisions relating to access arrangements and special consideration

Bootham School will:

- comply with the principles and regulations governing access arrangements and special consideration as set out in the JCQ documents **Access Arrangements and Reasonable Adjustments** and **A guide to the special consideration process**
- ensure that all staff who manage and implement access arrangements and special consideration are aware of the requirements and are appropriately supported and resourced

Access arrangements and reasonable adjustments

In accordance with the regulations, Bootham School:

- recognises its duty to explore and provide access to suitable courses, submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates.
- complies with its responsibilities in identifying, determining and implementing appropriate access arrangements and reasonable adjustments

Failure to comply with the regulations have the potential to constitute malpractice which may impact on a candidate's result(s).

Examples of failure to comply include:

- putting in place access arrangements/adjustments that are not approved
- failing to consider putting in place access arrangements (which may be a failure to comply with the duty to make reasonable adjustments)
- permitting access arrangements/adjustments within the centre which are not supported by appropriate evidence
- charging a fee for providing reasonable adjustments to disabled candidates

Special consideration

Where Bootham School has appropriate evidence authorised by a member of the senior leadership team to support an application, it will apply for special consideration at the time of the assessment for a candidate who is affected by adverse circumstances beyond their control when the issue or event has had, or is reasonably likely to have had, a material effect on the candidate's ability to take an assessment or demonstrate their normal level of attainment in an assessment.

Centre decisions relating to access arrangements, reasonable adjustments and special consideration

This may include Bootham School's decision not to make/apply for a specific reasonable adjustment or to apply for special consideration, in circumstances where a candidate does not meet the criteria for, or there is no evidence/insufficient evidence to support the implementation of an access arrangement/reasonable adjustment or the application of special consideration.

Where Bootham School makes a decision in relation to the access arrangement(s), reasonable adjustment(s) or special consideration that apply for a candidate or candidates:

- If a candidate who is the subject of the relevant decision (or the candidate's parent/carer) disagrees with the decision made and reasonably believes that the centre has not complied with its responsibilities or followed due procedures, a written request setting out the grounds for appeal should be submitted
- An **internal appeals form** should be completed and submitted within 5 working days of the decision being made known to the appellant)].

To determine the outcome of the appeal, the head of centre will consult the respective JCQ publication to confirm the centre has complied with the principles and regulations governing access arrangements and/or special consideration and followed due procedures.

The appellant will be informed of the outcome of the appeal : within 5 working days of the appeal being received and logged by the centre].

If the appeal is upheld, Bootham School will proceed to implement the necessary arrangements/submit the necessary application.

Appeals regarding centre decisions relating to other administrative issues

Circumstances may arise that cause Bootham School to make decisions on administrative issues that may affect a candidate's examinations/assessments.

Where Bootham School may make a decision that affects a candidate or candidates:

- If a candidate who is the subject of the relevant decision (or the candidate's parent/carer) disagrees with the decision made and reasonably believes that the centre has not complied the regulations or followed due process, a written request setting out the grounds for appeal should be submitted
- An **internal appeals form** should be completed and submitted within 5 working days of the decision being made known to the appellant.

The appellant will be informed of the outcome of the appeal within 5 working days of the appeal being received and logged by the centre.

Internal Appeals form	FOR CENTRE USE ONLY	
	Date received	
Please tick box to indicate the nature of your appeal and complete all white boxes* on the form below	Reference No.	

- ☐ Appeal against an internal assessment decision and/or request for a review of marking
- ☐ Appeal against the centre's decision not to support a clerical re-check, a review of marking, a review of moderation or an appeal
- ☐ Appeal against the centre's decision relating to access arrangements or special consideration
- ☐ Appeal against the centre's decision relating to an administrative issue

*Where the nature of the appeal does not relate directly to an awarding body's specific qualification, indicate N/A in awarding body specific detail boxes

Name of appellant		Candidate name (if different to appellant)	
Awarding body		Exam paper code	
Qualification type Subject		Exam paper title	

Please state the grounds for your appeal below:

(If applicable, tick below)

☐ Where my appeal is against an internal assessment decision, I wish to request a review of the centre's marking

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

Appellant signature: Date of signature:

This form must be signed, dated and returned to the exams officer on behalf of the head of centre within 5 working days of the decision being communicated to the appellant

Complaints and Appeals log

On receipt, all complaints/appeals are assigned a reference number and logged. Outcome and outcome date is also recorded.

The outcome of any review of the centre's marking will be made known to the head of centre. A written record of the review will be kept and logged as an appeal, so information can be easily made available to an awarding body upon request. The awarding body will be informed if the centre does not accept the outcome of a review – this will be noted on this log.

Ref No.	Date received	Complaint or Appeal	Outcome	Outcome date

Further guidance to inform and implement appeals procedures

JCQ publications

- General Regulations for Approved Centres

https://www.jcq.org.uk/exams-office/general-regulations
- Post-Results Services
https://www.jcq.org.uk/exams-office/post-results-services
- JCQ Appeals Booklet (A guide to the awarding bodies' appeals processes)
https://www.jcq.org.uk/exams-office/appeals
- Notice to Centres – Informing candidates of their centre assessed marks
https://www.jcq.org.uk/exams-office/non-examination-assessments
- Suspected Malpractice: Policies and Procedures https://www.jcq.org.uk/exams-office/malpractice/
- Access Arrangements and Reasonable Adjustments https://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance/
- A guide to the special consideration process https://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance/

Ofqual publications

- GCSE (9 to 1) qualification-level conditions and requirements
https://www.gov.uk/government/publications/gcse-9-to-1-qualification-level-conditions
- GCE qualification-level conditions and requirements
https://www.gov.uk/government/publications/gce-qualification-level-conditions-and-requirements

This policy is reviewed annually to ensure compliance with current regulations

reviewed by Deputy Head (Academic)	
Approved by - LM	
Date of next review	November 2026

Appendix 4

BOOTHAM SCHOOL
AGES 3-18

COMPLAINTS POLICY (EXAMS) 2025/26

Key staff involved in the Complaints and Appeals Procedure (Exams):

Role	Name(s)
Head of centre	**Deneal Smith**
Exams officer line manager (Senior leader)	**Madeleine Bowley**
Exams officer	**Caroline du Plessis**

PURPOSE OF THE POLICY

This procedure confirms Bootham School's compliance with JCQ's General Regulations for Approved Centres, section 5.3, 5.8) in drawing to attention of candidates and their parents/carers our written complaints policy which will covers general complaints regarding the centre's delivery or administration of a qualification and our internal appeals procedure.

GROUNDS FOR COMPLAINT

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

Teaching and learning:

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

Access arrangements and special consideration:

- Candidate not assessed by the centre's appointed assessor further to Upper Schoolroom screening tests
- Candidate not involved in decisions made regarding their access arrangements
- Candidate was not informed that an application for access arrangements was to be processed using *Access arrangements online*, complying with the UK GDPR and the Data Protection Act 2018
- Candidate not informed/adequately informed of the arrangements in place and the subjects or components of subjects where the arrangements would not apply
- Exam information not appropriately adapted for a disabled candidate to access it
- Adapted equipment/assistive technology put in place failed during exam/assessment
- Approved access arrangement(s) not put in place at the time of an exam/assessment
- Appropriate arrangements not put in place at the time of an exam/assessment as a consequence of a temporary injury or impairment
- Candidate unhappy with centre decision relating to access arrangements or special consideration (complainant to refer via the Exams Officer to the centre's internal appeals procedure)

Entries:

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

Conducting examinations:

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

Results and Post-results:

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

RAISING A CONCERN/COMPLAINT

If a candidate (or their parent/carer) has a general concern or complaint about the centre's delivery or administration of a qualification they is following, Bootham School will encourage the candidate to try to resolve this informally in the first instance. A concern or complaint should be made in person, by telephone or in writing to the Examinations Officer.

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

How to make a formal complaint:

- A complaint should be submitted by completing a complaints form
- Forms are available from the Examinations Officer
- Completed forms should be returned to the Examinations Officer, unless the complaint is about the Examinations Officer, in which case the completed form should be returned to the Deputy Head (Academic)
- Forms received will be logged by the centre and acknowledged within three working days.

How a formal complaint is investigated:

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

Internal appeals procedure:

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

- Any appeal must be submitted by following the centre's internal appeals policy and completing an internal appeals form.
- Forms received will be logged by the centre and acknowledged within three working days
- The appeal will be referred to the Head of Centre
- The Head of Centre will inform the appellant of the final conclusion in due course.

Complaints form

FOR CENTRE USE ONLY	
Date received	
Reference No.	

Please tick box to indicate the nature of your complaint

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

Name of complainant/appellant	
Candidate name if different to complainant/appellant	

Please state the grounds for your complaint below

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

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

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

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

Complainant/appellant signature: Date of signature:

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

Complaints and appeals log

On receipt, all complaints/appeals are assigned a reference number and logged. Outcome and outcome date is also recorded.

Ref No.	Date received	Complaint	Outcome	Outcome date

This policy is reviewed annually to ensure compliance with current regulations:

Reviewed by Deputy Head (Academic)	
Approved by - LM	
Date of next review	November 2026

Appendix 5

WHISTLEBLOWING POLICY (EXAMS) 2025/26

Key staff involved in the Whistleblowing Policy (Exams):

Role	Name(s)
Head of Centre	**Deneal Smith**
Exams Officer line manager (Senior leader)	**Madeleine Bowley**
Exams Officer	**Caroline du Plessis**

Introduction

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

The head of centre and governing body at Bootham School aim to create and maintain an approach to examinations and assessments that reflects an ethical culture, and encourages staff and students to be aware of and report practices that could compromise the integrity and security of examinations and assessments.

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

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

[1] Reference www.jcq.org.uk/exams-office/general-regulations/
[2] Reference www.jcq.org.uk/exams-office/malpractice/

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

This policy sets out the whistleblowing procedures at Bootham School. It has been produced (and reviewed) by the Deputy Head (Academic), responsible for handling any cases of whistleblowing in relation to exams. This individual is fully aware of the contents of this policy and will escalate any instances of malpractice through the head of centre to the relevant awarding body/bodies.

This policy also sets out the principles which allow members of centre staff and students to feel confident in reporting instances of actual, alleged or suspected malpractice to relevant members of senior leadership, and the steps which should be taken if suspected malpractice is not reported in line with JCQ requirements.

Purpose of the policy

This policy:

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

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

The Whistleblower

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

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

Reporting

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

However, there may be times when it may be more appropriate to refer the issue direct to the governing body, most often when the allegation is against the head of centre.

Examples of malpractice

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

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

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

Whistleblowing procedure

If the individual does not feel safe raising the issue/reporting malpractice within the centre, or they have done so and are concerned that no action has been taken, that individual could consider making their disclosure[4] to a malpractice expert at the awarding body for the qualification where malpractice is suspected.

For members of centre staff, it is likely that the Public Interest Disclosure Act (PIDA)[5] offers you legal protection from being dismissed or penalised for raising certain serious concerns ('blowing the whistle'). Whistleblowing rights under PIDA are day one rights[6]. This means that the worker does not need the same two years' service that is needed for other employment rights.

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

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

Members of the public are not protected by PIDA, but the awarding body will make every effort to protect their identity if that is what they wish, unless the awarding body is legally obliged to release it[7].

Alternatively, a disclosure may be made to Ofqual[8] as a prescribed body for whistleblowing to raise a concern about wrongdoing, risk or malpractice.

Exams Officer Professional Standards

If an exams officer is completing the *Exams Officer Professional Standards* (see the National Association of Examinations Officers website for more information) as part of their

[4] Reference www.jcq.org.uk/exams-office/malpractice/public-interest-disclosure-act/
[5] Reference **Public Interest Disclosure Act 1998** www.legislation.gov.uk/ukpga/1998/23/contents
[6] Reference https://protect-advice.org.uk/pida/
[7] Reference www.ocr.org.uk/administration/general-qualifications/assessment/malpractice/whistleblowing/
[8] Reference www.gov.uk/guidance/ofquals-whistleblowing-policy

annual professional development, they and their line manager will be required to sign a *Values and Attributes statement*.

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

Anonymity

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

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

Students

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

This policy is reviewed annually to ensure compliance with current regulations

Reviewed by Deputy Head (Academic)	
Approved by - LM	
Date of next review	November 2026

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

Appendix 6

BOOTHAM SCHOOL
AGES 3-18

EXAM ACCESS ARRANGEMENTS POLICY 2025/2026

Key staff involved in the policy

Role	Name(s)
ALS lead/SENCo	**Jess White**
ALS lead/SENCo line manager (Senior leader)	**Madeleine Bowley**
Head of centre	**Deneal Smith**
Exam Officer	**Caroline du Plessis**

Access Arrangements at Bootham School

Bootham School will provide exam access arrangements in line with the JCQ regulations to support students with a variety of needs.

An Exam Access Arrangement (EAA) is an additional arrangement made for students with a specific, persistent and significant level of need that means that without the arrangement, they will be at an *unfair disadvantage to their peers.*

An additional arrangement is usually determined by the end of Upper Schoolroom (Year 9) or at the beginning of Year 12 (College 1) following a substantial amount of evidence and a clear history of need.

What are Exam Access Arrangements and reasonable adjustments?

Access arrangements

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

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

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

An adjustment will not be approved if it:

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

This is because the adjustment is not 'reasonable'.

Taken from JCQ online, Exam Access Arrangements and Reasonable Adjustments 2025/26.

The centre must ensure that approved adjustments can be delivered to the candidates (AARA[1], Definitions)

*References to legislation are to the Equality Act 2010. Separate legislation is in place for Northern Ireland (see AARA 1.8). The definitions and procedures in AARA relating to access arrangements and reasonable adjustments will also apply in Northern Ireland.

Purpose of the policy

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

(JCQ's **General Regulations for Approved Centres**, 5.4)
This publication is further referred to in this policy as GR

This policy is maintained and held by SENCo (or equivalent role) alongside the individual files/e-folders of each access arrangements candidate. Each file/e-folder contains detailed records of all the essential information that is required to be held according to the regulations.

> Where the SENCo (or equivalent role) is storing documentation electronically they **mus**t create an e-folder for each individual candidate. The candidate's e-folder **must** hold each of the required documents for inspection. ([1]AARA 4.2)

The policy is annually reviewed to ensure that processes are carried out in accordance with the current JCQ document 'Adjustments t for candidates with disabilities and learning difficulties - **Access Arrangements and Reasonable Adjustments**'.

General principles

The head of centre/senior leadership team will appoint a SENCo, or an equivalent member of staff, to coordinate the access arrangements process within the centre and determine appropriate arrangements for candidates with learning difficulties and disabilities, those for whom English is an additional language, and those with a temporary illness or temporary injury. (GR 5.4)

The principles for the centre to consider are detailed in AARA (4.2). These include:

> The purpose of an access arrangement/reasonable adjustment is to ensure, where possible, that barriers to assessment are removed for a disabled candidate, preventing them from being placed at a substantial disadvantage due to persistent and significant difficulties. The integrity of the assessment is maintained, whilst at the same time providing access to assessments for a disabled candidate.
>
> The SENCo, or an equivalent member of staff, **must** ensure that the proposed access arrangement/reasonable adjustment does not unfairly disadvantage or advantage the candidate.
>
> A centre **must** make decisions on appropriate access arrangements for their candidates. Although professionals from other organisations may give advice, they **cannot** make the decision for the centre. They will not have a working knowledge of an individual candidate's needs and how their difficulties impact in the classroom and/or in timed assessments. It is the responsibility of the SENCo to make appropriate and informed decisions based on the JCQ regulations.
>
> Applications should be processed at the **start** of or during the first year of a two-year course having firmly established a picture of need and normal way or working.
>
> Arrangements **must** always be approved **before** an examination or assessment.
>
> The arrangement(s) put in place **must** reflect the support given to the candidate in the centre...
>
> The candidate **must** have had appropriate opportunities to practise using the access arrangement(s)/reasonable adjustment(s) before their first examination.

Equalities Policy (Exams)

A large part of the access arrangements/reasonable adjustments process is covered in the Equalities Policy (Exams) which covers staff roles and responsibilities in identifying the need for, requesting and implementing access arrangements and the conduct of exams.

This policy further covers the assessment process and related issues in more detail.

The assessment process

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

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

Karen Hutchinson holds SpLD Assessment Practising Certificate (APC) by the British Dyslexia Association.

Appointment of assessors

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

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

The head of centre/senior leadership team check the qualification(s) of their assessor(s) and check that the correct procedures are followed as in Chapter 7 of the JCQ document *Access Arrangements and Reasonable Adjustments*… (GR 5.4)
The head of centre **must** ensure that evidence of the assessor's qualification(s) is obtained at the point of engagement/employment and prior to the assessor undertaking any assessment of a candidate.
Evidence of the assessor's qualification(s) must be held on file for inspection purposes and be presented to the JCQ Centre Inspector by the SENCo. (AARA 7.3)

Reporting the appointment of assessors

Evidence is held by the SENCo (or equivalent role) on behalf of the head of centre. Bootham School follows the guidelines set out in 7.4 of the JCQ AARA document.

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

The correct procedures are followed as in 7.5 of the JCQ document *Access Arrangements and Reasonable Adjustments* (GR 7.5).

Picture of need/normal way of working

Before the candidate's assessment, the SENCo **must** provide the assessor with background information, i.e. a picture of need has been painted as required in Part 1 of Form 8. The SENCo and the assessor **must** work together to ensure a joined-up and consistent process... (AARA 7.5)

Processing access arrangements and adjustments

Arrangements/adjustments requiring awarding body approval

Access arrangements online (AAO) is a tool provided by JCQ member awarding bodies for centres to apply for required access arrangement approval for the qualifications covered by the tool. This tool also provides the facility to order modified papers for those qualifications included. (Refer to AARA 8 (Processing applications for access arrangements and adjustments) and 6 (Modified papers).

AAO is accessed within the JCQ Centre Admin Portal (CAP) using any of the awarding body secure extranet sites. A single application for approval is required for each candidate regardless of the awarding body used.

Online applications **must** only be processed where they are supported by the centre and the candidate meets the published criteria for the arrangement(s) with the full supporting evidence in place. (AARA 8 Summary)

The SENCo and Exams Officer jointly submit applications using AAO in a timely fashion to ensure that all applications are done before the relevant deadlines. The SENCo retains copies of all applications in the Learning Support Office with student files that contain the required and appropriate evidence and JCQ documentation. The Exams Officer prints out any required exam cover sheets that illustrate the AAO application to comply with JCQ and Awarding body requirements.

Candidates **must** be informed that an application for access arrangements will be processed using *Access arrangements online*, complying with the UK GDPR and the Data Protection Act 2018.

The SENCo **must** keep detailed records for inspection purposes, whether electronically or in hard copy paper format, of all the essential information on file. This includes:

- a copy of the candidate's approved application;
- appropriate evidence of need (where required);
- evidence of the assessor's qualification (where required). (AARA 8.6)

Centre-delegated arrangements/adjustments

The SENCo complies with all JCQ and other Awarding Body regulations and assesses all relevant students for the right to have centre delegated access arrangements.

Centre-specific criteria for particular arrangements/adjustments

Word Processor Policy (Exams)

An exam candidate may be approved the use of a word processor where this is appropriate to the candidate's needs and not simply because the candidate now wants to type rather than write in exams or can work faster on a keyboard, or because they use a laptop at home. The use of a word processor must reflect the candidate's normal way of working within the centre.

Appendix 7

Alternative Rooming Arrangements Policy

A decision where an exam candidate may be approved alternative rooming arrangements, e.g. a low density room, will be made by the SENCo (or equivalent role).

The decision will be based on:

- whether the candidate has a substantial and long-term impairment which has an adverse effect **and**
- the candidate's normal way of working within the centre (AARA 5.16)

Alternative rooming arrangements **must** reflect the candidate's normal and current way of working in internal school tests and mock examinations.

Nervousness, low level anxiety or being worried about examinations **is not** sufficient grounds for separate invigilation within the centre.

1:1 invigilation and the use of an alternative room with one-to-one invigilation must only apply where the candidate has a serious medical condition such as frequent seizures, Tourette's or significant behavioural issues which would disturb other candidates in the examination room. (AARA 5.16)

Staff who coordinate Exam Access Arrangements:

Deputy Head (Academic): Madeleine Bowley

Head of Learning Support: Jess White

Head of Centre: Deneal Smith

Examinations Officer: Caroline du Plessis

External Reports and Recommendations:

Although professionals may give advice about potential access arrangements for students, they cannot make the decision for the centre.

In line with JCQ regulations, it is the responsibility of the SENCo to make appropriate and informed decisions about students' access arrangement, based on evidence of need in lesson, timed tests and internal exams.

Learning Difficulty Assessments:

For students in Lower, Middle and Upper Schoolroom who have an access arrangement of extra time in class tests and internal exams based on them having a diagnosed or undiagnosed SpLD (specific learning difficulty), a specialist assessment for speed of working must be undertaken in Upper Schoolroom, in line with JCQ regulations.

Please note that even if a specialist assessment for learning difficulties has occurred prior to this and extra time has informally granted in Lower, Middle and Upper Schoolroom, another assessment must be undertaken in Upper Schoolroom with Bootham's appointed specialist assessor. The SENCo will then determine if the student remains eligible for extra time in their GCSE examinations and will continue to gather evidence of need.

New Students:

If a student joins Bootham from another school and they have informally had an access arrangement, the SENCo will gather evidence of need from teachers about if this arrangement is needed and if it will be formally applied for ahead of public exams.

If a student joins Bootham with an access arrangement that has already been formally applied for on AAO at their previous setting, parents/guardians must provide a copy of following documents:

-Learning difficulty - Form 8 and proof of assessor qualification (e.g., APC or Level 7 assessor certificate)

-Medical condition (e.g., ASC or ADHD) - Form 9 and the proof of medical diagnosis

Please note that even if an access arrangement has been formally applied for and granted on AAO previously at another setting, Bootham will still need to gather evidence of need from lessons and internal exams. The decision to grant the arrangement to the student remains with the Bootham SENCo.

Class Tests and Internal exams (Schoolrooms, Lower Senior and College One):

Bootham will make every effort to provide students with their access arrangements for assessments/internal exams as much as is practicably possible.

Evidence for 25-50% extra time:

For students who are eligible for extra time due to a Learning Difficulty (e.g. dyslexia) or Medical condition (ASC or ADHD), JCQ inspectors require all schools to have:

- Evidence that the difficulty/medical condition has a substantial and long-term effect on the candidate's learning and progression.
- Evidence that these difficulties are persistent.
- Evidence that these students will be at a substantial disadvantage without additional time when undertaking an assessment.

Please note that for students that have a medical condition such as ASC or ADHD, in line with JCQ regulations, supervised rest-breaks must have been tried before considering the use of extra time in exams.

Reviewed by Deputy Head (Academic)	
Approved by - LM	
Date of next review	November 2026

Appendix 7

BOOTHAM SCHOOL
AGES 3-18

WORD PROCESSOR POLICY (EXAMS) 2025/2026

Key staff involved in the policy

Role	Name(s)
ALS lead/SENCo	**Jess White**
ALS lead/SENCo line manager (Senior leader)	**Madeleine Bowley**
Head of centre	**Deneal Smith**
Exam Officer	**Caroline du Plessis**

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

References in this policy to AA and ICE relate to/are directly taken from the Access Arrangements and Reasonable Adjustments 2025-2026 and Instructions for conducting examinations 2025-2026 Instructions for conducting examinations 2025-2026

INTRODUCTION

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

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

(AA 4.2.1)
The purpose of an access arrangement/reasonable adjustment is to ensure, where possible, that barriers to assessment are removed for a disabled candidate preventing them from being placed at a substantial disadvantage due to persistent and significant difficulties. The integrity of the assessment is maintained, whilst at the same time providing access to assessments for a disabled candidate.

A centre **must** make decisions on appropriate access arrangements for their candidates. Although professionals from other organisations may give advice, they **cannot** make the decision for the centre. They will not have a working knowledge of an individual candidate's needs and how their difficulties impact in the classroom and/or in timed assessments. It is the responsibility of the SENCo to make appropriate and informed decisions based on the JCQ regulations.

(AA 4.2.2)
Although access arrangements/adjustments are intended to allow access to assessments, they cannot be granted where they will compromise the assessment objectives of the specification in question.

(AA 4.2.3)
Candidates may not require the same access arrangements/reasonable adjustments in each specification. Subjects and their methods of assessments may vary, leading to different demands of the candidate. SENCos (or equivalent role) **must** consider the need for access arrangements/reasonable adjustments on a subject-by-subject basis.

(AA 4.2.1)
The SENCo, or equivalent role **must** ensure that the proposed access arrangement/reasonable adjustment does not unfairly disadvantage or advantage the candidate.

(AA 4.2.7)
The candidate **must** have had appropriate opportunities to practice using the access arrangement(s)/reasonable adjustment(s) before their first examination.

PURPOSE OF THE POLICY

This policy details how Bootham School complies with AARA chapter 4 (Managing the needs of candidates-principles for centres), 5.8 (Word processor) and ICE (14.20-27) when awarding and allocating a candidate the use of word processor in examinations.
The term 'word processor' is used to describe for example, the use of a computer, laptop or tablet.

The criteria Bootham School uses to be aware of and allocate word processors for examinations and assessments

The 'normal way of working' for exam candidates, as directed by the head of centre, is that candidates handwrite their exams unless there are exceptions. The SENCo makes the final decision on whether a word processor can be used as an exam access arrangement.

Exceptions

A candidate may be awarded the use of a word processor in examinations where:

- The candidate may have an approved access arrangement in place, for example the use of a scribe (laptop with SPaG enabled)/speech recognition technology
- The candidate has a firmly established need, it reflects the candidate's normal way of working and by not being awarded a word processor, the candidate would be at a substantial disadvantage to other candidates

The centre will:

- allocate the use of a word processor to a candidate with the spelling and grammar check facility/predictive text (switched off) where it is their normal way of working within the centre (AA 5.8.1)
- award the use of a word processor to a candidate if it is appropriate to their needs Needs may include:
    - a learning difficulty which has a substantial and long-term adverse effect on his/her ability to write legibly
    - a medical condition
    - a physical disability
    - a sensory impairment;
    - planning and organisational problems when writing by hand
    - poor handwriting (AA 5.8.4)

- only permit the use of a word processor where the integrity of the assessment can be maintained (AA 4.2.1)
- not grant the use of a word processor where it will compromise the assessment objectives of the specification in question (AA 4.2.2)
- consider on a subject-by-subject basis if the candidate will need to use a word processor in each specification (AA 4.2.3)
- consider the needs of the candidate at the start of the candidate's course leading to a qualification based on evidence gathered that firmly establishes the candidates's needs and 'normal way of working' in the classroom, internal tests/exams, mock exams etc. and confirm arrangements in place before the candidate takes an exam or assessment (AA 4.2.4)
- provide access to word processors to candidates in non-examination assessment components as standard practice unless prohibited by the specification (AA 5.8.2)

The centre will not:

- simply grant the use of a word processor to a candidate because they now want type rather than write in examinations or can work faster on a keyboard, or because they use a laptop at home (AA 5.8.4)

Additionally the use of a word processor would be considered for a candidate:

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

ARRANGEMENTS AT THE TIME OF THE ASSESSMENT FOR THE USE OF A WORD PROCESSOR

A candidate using a word processor is accommodated in a different room with others on word processors unless the access arrangement requires the student to be on their own.

In compliance with the regulations the centre:

- provides a word processor, with the spelling and grammar check and predictive text switched off to a candidate where it is their normal way of working within the centre, unless an awarding body' specification says otherwise (ICE 14.20)
- (where a candidate is to be seated with the main cohort without the use of a power point) checks the battery capacity of a laptop or tablet before the candidate's exam(s) to ensure that the battery is sufficiently charged to last for the entire duration of the exam (ICE 14.21)
- ensures the candidate is reminded to ensure that their centre number, candidate number and the unit or component code appear on each page as a header or footer e.g. 12345/8001 – 6391/01 (ICE 14.22)
- If a candidate is using the software application Notepad or Wordpad these do not allow for the insertion of a header or footer. In these instances once the candidate has completed the examination and printed off their typed script, they are instructed to handwrite their details as a header or footer. The candidate is supervised throughout this process to ensure that they are solely performing this task and not re-reading their answers or amending their work in any way
- ensures the candidate understands that each page of the typed script must be numbered, e.g. page 1 of 6 (ICE 14.23)
- ensures the candidate is reminded to regularly save their work at the start of the exam (or where possible, an IT technician will set up 'autosave' on each laptop or tablet to ensure that if there is a complication or technical issue, the candidate's work is not lost) (ICE 14.24)
- instructs the candidate to use a minimum of 12pt font and double spacing to make marking easier for examiners (ICE 14.24)

(ICE 14.25)

The centre will ensure the word processor:

- is only used in a way that ensures a candidate's script is produced under secure conditions
- is not used to perform skills which are being assessed
- is in good working order at the time of the exam
- is replaced reasonably regularly as far as financially possible, even when they have passed regular tests
- is accommodated in such a way that other candidates are not disturbed and cannot read the screen
- is used as a typewriter, not as a database, although standard formatting software is acceptable
- is cleared of any previously stored data
- does not give the candidate access to other applications such as a calculator (where prohibited in the examination), e-mail, the Internet, social media sites or spreadsheets
- does not include graphic packages or computer aided design software unless permission has been given to use these
- does not have any predictive text software or an automatic spelling and grammar check enabled unless the candidate has been permitted a scribe (a scribe cover sheet must be completed), or the awarding body's specification permits the use of automatic spell checking
- does not include computer reading (text to speech) software unless the candidate has permission to use a computer reader
- does not include speech recognition technology unless the candidate has permission to use a scribe (a scribe cover sheet must be completed)
- does not include AI tools
- is not used on the candidate's behalf by a third party unless the candidate has permission to use a scribe (a scribe cover sheet must be completed)

PORTABLE STORAGE MEDIUM
(ICE 14.25)
The centre will ensure that any portable storage medium (e.g. a memory stick) used:

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

PRINTING THE SCRIPT AFTER THE EXAM HAS ENDED
(ICE 14.25)
The centre will ensure:

- the word processor is either connected to a printer so that a script can be printed off, or have the facility to print from a portable storage medium
- the candidate is present to verify that the work printed is their own
- a word-processed script is attached to any answer booklet which contains some of the answers
- if a candidate omits to insert the required header or footer, they are instructed to handwrite the details as a header or footer; the candidate is supervised throughout this process to ensure that they are solely performing this task and not re-reading their answers or amending their work in any way (ICE 14.22)

The centre will also ensure that where an awarding body may require a word processor cover sheet, this is included with the candidate's typed script (and according to the relevant awarding body's instructions). (ICE 14.26)

The centre may retain electronic copies of word-processed scripts as the electronic copy of a word-processed script may be accepted by an awarding body where the printed copy has been lost. However, the centre would need to demonstrate to the awarding body that the electronic file has been kept securely. The head of centre would be required to confirm this in writing to the awarding body. (ICE 14.27)

This policy is reviewed annually to ensure compliance with current regulations

Reviewed by Deputy Head (Academic)	
Approved by - LM	
Date of next review	November 2026

Appendix 8

NON-EXAMINATION ASSESSMENT POLICY 2025/2026

This policy relates to the Senior School only; it is not relevant to Bootham Junior School.

Key staff involved in the Non-examination assessment policy:

Role	Name(s)
Head of centre	**Deneal Smith**
Exams officer line manager (Senior leader)	**Madeleine Bowley**
Exams officer	**Caroline du Plessis**

What does this policy affect?

This policy affects the delivery of subjects of specifications with one or more non-examination component, controlled assessments (where applicable) and coursework.

The regulators' definition of an examination is very narrow. In effect, a non-examination assessment (NEA) is classified as any type of assessment that is not:

- set by an awarding body
- designed to be taken simultaneously by all relevant candidates at a time determined by the awarding body, and
- taken under conditions specified by the awarding body (including conditions relating to the supervision of candidates during the assessment and the duration of the assessment)

'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'. (JCQ's **Instructions for conducting non-examination assessments**, (GCE & GCSE)

This document is further referred to in this policy as NEA

The Joint Council for Qualifications has written these instructions for the setting, supervision, authentication, marking, internal standardisation and external moderation of non-examination assessments (Vocational and Technical Qualifications) in examination centres.

These instructions are for use in... (JCQ's **Instructions for conducting non-examination assessments (VTQs)**, Introduction)

(This document is further referred to in this policy as NEA VTQs)

These instructions are for use in CCEA GCE unitised AS and A-level qualifications, ELC and Project qualifications. (JCQ's **Instructions for conducting coursework,** Introduction)

(This document is further referred to in this policy as ICC)

Purpose of the policy

This policy confirms the JCQ requirement that Bootham School has in place for inspection that must be reviewed and updated annually, a written policy regarding the management of non-examination assessments including controlled assessments and coursework, which includes details on how candidates' work will be authenticated.

Awarding bodies require each centre to have a non-examination assessment policy in place to:

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

A JCQ Centre Inspector may ask the examinations officer to confirm that a policy is in place. Guidance provided in this document will help the head of centre to ensure that the centre's policy is robust and fit for purpose. (NEA 1)

What are non-examination assessments?

(GCE & GCSE) 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, section 1)

What is coursework?

Coursework components assess candidates' knowledge, understanding and skills that may not readily be assessed by timed written papers. Coursework will take many different forms. (ICC 1)

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

Where reference is made in these procedures to non-examination assessment, this is intended to include all non-examination assessments, controlled assessment (where applicable) and coursework.

The basic principles

Head of centre

- Returns a declaration (managed as part of the National Centre Number Register annual update) to confirm awareness of, and that relevant centre staff are adhering to, the latest version of NEA and ICC
- Ensures the centre's policy is robust and fit for purpose and covers all types of non-examination assessment
- Ensures the centre's internal appeals procedures clearly details the procedure to be followed by candidates (or their parents/carers) appealing against internal assessment decisions (centre-assessed marks) and requesting a review of the centre's marking

Deputy Head Academic

- Ensure the correct conduct of non-examination assessments (including endorsements) which comply with NEA and ICC 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 (or equivalent role)

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

Head of Department

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

Subject teacher

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

Exams officer

- Signposts the annually updated JCQ NEA and ICC documents to relevant centre staff
- Carries out tasks where these may be applicable to the role in supporting the administration/management of non-examination assessment

Task setting

Subject teacher

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

Issuing of tasks

Subject teacher

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

Task taking

Supervision

Subject teacher

- Checks the awarding body's subject-specific requirements ensuring candidates take tasks under the required conditions and supervision arrangements
- Ensures there is sufficient supervision to enable the work of a candidate to be authenticated

- Ensures there is sufficient supervision to ensure the work a candidate submits is their own
- Is confident where work may be completed outside of the centre without direct supervision, that the work produced is the candidate's own
- Where candidates may work in groups, keeps a record of each candidate's contribution and it must be possible to attribute assessable outcomes to individual candidates
- Ensures candidates are aware of the current JCQ documents Information for candidates - non-examination assessments and Information for candidates - Social Media
- Ensures candidates understand and comply with the regulations in relevant JCQ *Information for candidates' documents*
- Ensures candidates understand and comply with the regulations in relevant JCQ: A1 In assessment

Advice and feedback

Subject teacher

- As relevant to the subject/component, advises candidates on relevant aspects before candidates begin working on a task
- Will not provide candidates with model answers or writing frames specific to the task
- When reviewing candidates' work, unless prohibited by the specification, provides oral and written advice at a general level to candidates
- Allows candidates to revise and re-draft work after advice has been given at a general level
- Records any assistance given beyond general advice 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
- Refers to the JCQ document *AI Use in Assessments: Protecting the Integrity of Qualifications* (http://www.jcq.org.uk/exams-office/malpractice) as well as the awarding body's specification and/or associated documentation published by the awarding bodies and the regulator
    - By referencing this document and the centre's malpractice policy, makes candidates aware of the appropriate and inappropriate use of AI, the risks of using AI, and the possible consequences of using AI inappropriately in a qualification assessment

- Ensures conditions for any formally supervised sessions are known and put in place
- Ensures appropriate arrangements are in place to keep the work to be assessed, and any preparatory work, secure between any formally supervised sessions, including work that is stored electronically
- Ensures conditions for any formally supervised sessions are understood and followed by candidates
- Ensures candidates understand that they are not allowed to introduce augmented 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.
- Ensures candidates understand how all sources included in work that is submitted for assessment must be acknowledged

Word and time limits

Subject teacher

- Refers to the awarding body's specification to determine whether there are minimum and/or maximum time and work limits

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 – how candidates' work is authenticated

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 and ensures that this takes placed as soon as the candidate has completed the assessment
    - signs the teacher declaration of authentication confirming the requirements have been met
- Keeps signed candidate declarations on file until the deadline for requesting a review of results has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later
- Provides signed candidate declarations where these may be requested by a JCQ Centre Inspector (Electronic signatures are acceptable)
- Where there may be doubt about the authenticity of the work of a candidate or if malpractice is suspected, follows the authentication procedures and malpractice information in NEA and ICC and informs a member of the senior leadership team
- Understands that if, during the external moderation process, it is found that the work has not been properly authenticated, the awarding body will set the mark(s) awarded by the centre to zero

Presentation of work

Subject teacher

- Obtains informed consent at the beginning of the course from parents or carers if videos, or photographs or images of candidates will be included as evidence of participation or contribution
- Instructs candidates to present work as detailed in NEA and ICC unless the awarding body's specification gives different subject-specific instructions
- Instructs candidates to add their candidate number, centre number and the component code of the assessment as a header/footer on each page of their work
- Ensures if candidates' work is to be submitted electronically, that it meets the awarding body's specified requirements

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 all possible post-results services have been exhausted
- If post-results services have not been requested, returns internally assessed work to candidates (if requested by a candidate) after the deadline for requesting a review of results for the relevant series
- If post-results services have been requested, returns internally assessed work to candidates (if requested by a candidate) once the review of results and any subsequent appeal has been completed
- Reminds candidates of the need to keep their own work secure at all times and not share completed or partially completed work on-line on social media or through any other means (Reminds candidates of the contents of the JCQ document *Information for candidates – Social Media)*
- Where work is stored electronically, liaises with the IT Manager to ensure the protection and back-up of candidates' work and that appropriate arrangements are in place to restrict access to it between sessions
- Understands that during the period from the submission of work for formal assessment until the deadline for requesting a review of results, copies of work may be used for other purposes, provided that the originals are stored securely as required

IT Manager

- Ensures appropriate arrangements are in place to restrict access between sessions to candidates' work where work is stored electronically
- Restricts access to this material and utilises appropriate security safeguards such as firewall protection and virus scanning software
- Employs an effective back-up strategy so that an up-to-date archive of candidates' evidence is maintained
- Considers the contingency of candidates' work being backed-up on two separate devices, including one off-site back-up and implementing appropriate security arrangements which protect candidates' work in the event of IT system corruption and cyber-attacks
- Considers encrypting any sensitive digital media to ensure the security of the data stored within it and refers to awarding body guidance to ensure that the method of encryption is suitable

Task marking – externally assessed components

Conduct of externally assessed work

Subject teacher

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

Exams officer

- Arranges timetabling, rooming and invigilation where and if 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 and where applicable, according to JCQ *Instructions for conducting examinations*

Submission of work

Subject teacher

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

Exams officer

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

Task marking – internally assessed components

Marking and annotation

Head of centre

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

Head of Department

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

Subject teacher

- Accesses awarding body training/updates as required to ensure familiarity with the mark scheme/marking process
- Marks candidates' work in accordance with the marking criteria provided by the awarding body
- Does not use artificial intelligence as the sole means of marking candidates' work
- 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 of the timescale set by the subject lead or as indicated in the centre's *internal appeals procedure* to enable an internal appeal/request for a review of marking to be submitted by a candidate and the outcome known before final marks are submitted to the awarding body

Internal standardisation

Quality assurance (QA) lead/Lead internal verifier (or equivalent role)

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

Subject teacher

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

Consortium arrangements for centre assessed NEA components

Subject head/lead

- Ensures a consortium co-ordinator is nominated (where this may be required as the consortium lead)
- If the consortium lead, liaises with the exams officer to ensure the relevant awarding body is informed that the centre is part of a consortium by submitting Form JCQ/CCA *Centre consortium arrangements for centre-assessed work* for each exam series affected
- Ensures procedures for internal standardisation as a consortium are followed

Subject teacher

- Provides marks to the exams officer to the internal deadline
- Provides the moderation sample to the exams officer to the internal deadline
- Retains all candidates' work in the consortium until after the deadline for reviews of results for the exam series concerned or until any appeal, malpractice or other results enquiry has been completed, whichever is later

Exams officer

- Where the centre is the consortium lead:
    - submits an online notification of *Centre consortium arrangements for centre-assessed work* to the relevant awarding body through the Centre Admin Portal (CAP) by no later than the published deadline for each exam series affected
    - submits marks for home centre candidates to the awarding body deadline
    - where relevant, liaises with the other exams officers in the consortium to arrange despatch of a single moderation sample to the awarding body deadline
    - (where not the consortium lead centre) Submits marks for the home centre candidates to the awarding body deadline.

Submission of marks and work for moderation

Heads of Department

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

Exams officer

- Inputs and submits marks online, via the awarding body secure extranet site, keeping a record of the marks submitted, to the external deadline/Confirms with Heads of Department that marks have been submitted to the awarding body deadline
- Where responsible for marks input, ensures checks are made that marks for any additional candidates are submitted and ensures mark input is checked before submission to avoid transcription errors
- Submits the requested samples of candidates' work to the moderator by the awarding body deadline, keeping a record of the work submitted/Confirms with Subject teacher that the moderation sample has been submitted to the awarding body deadline
- Ensures that for postal moderation:
    - work is dispatched in packaging provided by the awarding body
    - moderator label(s) provided by the awarding body are affixed to the packaging
    - proof of dispatch is obtained and kept on file until the successful issue of final results
- Through the subject teacher, ensures 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
- Through the subject teacher, submits any supporting documentation required by the awarding body

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 for the required retention period
- In liaison with the IT Manager, takes steps to protect any work stored electronically from corruption and has a back-up procedure in place
- If retention is a problem because of the nature of the work, retains some form of evidence such as photos, audio or media recordings

Exams officer

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

External moderation – the process

Subject teacher

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

External moderation – feedback

Subject head/lead

- Checks the final moderated marks when issued to the centre when the results are published
- Checks any moderator reports/feedback forms and ensures that any remedial action, if necessary, is undertaken before the next exam series

Exams officer

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

Access arrangements and reasonable adjustments

Subject teacher

- Works with the ALS lead/SENCo or equivalent role to ensure any access arrangements for eligible candidates are applied to assessments

Special educational needs coordinator (SENCo) or equivalent role

- Follows the regulations and guidance in the JCQ document Access Arrangements and Reasonable Adjustments in relation to non-examination assessments including Reasonable Adjustments for GCE A-level sciences – Endorsement of practical skills
- 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

Special consideration and loss of work

Subject teacher

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

Exams 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
- Refers to/directs relevant staff where applicable to Form 15 – JCQ/LCW and where applicable submits to the relevant awarding body

Malpractice

Head of centre

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

Subject teacher

- Is aware of the JCQ Notice to Centres - Sharing NEA material and candidates' work to mitigate against candidate and centre malpractice
- Ensures candidates understand what constitutes malpractice in non-examination assessments
- Ensures candidates understand the JCQ document Information for candidates - non-examination assessments
- Ensures candidates understand the JCQ document Information for candidates - Social Media
- Escalates and reports any alleged, suspected or actual incidents of malpractice involving candidates to the head of centre

Exams officer

- Signposts the JCQ publication Suspected Malpractice: Policies and Procedures to the head of centre
- Signposts the JCQ Notice to Centres - Sharing NEA material and candidates' work 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 alleged, suspected or actual malpractice

Post-results services

Head of centre

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

Head of Department

- Provides relevant support to subject teachers making decisions about reviews of results
- Informed candidates that they may access Student Materials including exam scripts through the access to scripts arrangements

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 a review of moderation to the internal deadline

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 to 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

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

Head of centre

- Returns the 'Head of Centre declaration' at the time of the National Centre Number Register annual update confirming that all reasonable steps have been or will be taken to ensure that all candidates at the centre have had, or will have, the opportunity to undertake the prescribed practical activities
- Ensures new lead teachers undertake the required training provided by the awarding body on the implementation of the practical endorsement
- Ensures relevant centre staff liaise with all relevant parties in relation to arrangements for and conduct of the monitoring visit

Quality assurance (QA) lead/Lead internal verifier (or equivalent role)

- Ensures arrangements are in place for implementing the requirements of the practical endorsement appropriately and applying the standards appropriately

Head of Department

- Confirms understanding of the *Practical Skills Endorsement for the A Level Sciences designed for use in England* and ensures any relevant JCQ/awarding body instructions are followed
- Ensures where the centre intends to enter candidates for the first time for one or more of the A level subjects, the relevant awarding body will be contacted at the beginning of the course
- Undertakes any 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 a monitoring visit

Subject teacher

- Ensures all the JCQ/awarding body requirements/instructions in relation to the endorsement are known, understood and followed
- 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/provides assessment outcomes to the exams officer to the internal deadline

Exams officer

- Accepts contact with the monitor and passes information to the subject lead for a visit to be arranged with at least two weeks notice
- Confirms with the subject teacher that assessment outcomes have been submitted to the awarding body to the external deadline/Follows the awarding body's instructions for the submission of candidates *Pass* or *Not Classified* assessment outcome

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

Head of centre

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

Quality assurance (QA) lead/Lead internal verifier (or equivalent role)

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

Head of Department

- Confirms understanding of the *Spoken Language Endorsement for GCSE English Language specifications designed for use in England* and ensures any relevant JCQ/awarding body instructions are followed
- Ensures 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 recordings

Private candidates

Subject head/lead

- According to centre policy, confirms if private candidates (including distance learners and home educated candidates) are accepted by the centre for entry for subjects containing components of non-examination assessment (where the specification may be made available to private candidates by the awarding body)
- Ensures relevant staff in the centre administer all aspects of the non-examination assessment process for a private candidate, according to the awarding body's specification

Qualification/Subject specific additional information

This section provides additional information/procedures for planning and managing non-examination assessments in specific subjects of qualifications.

Projects

- For candidates embarking on Project qualifications, it must be made clear what is involved: a free choice of topic, flexible choice of output and the opportunity to show evidence of a wide range of capabilities. However, projects must be chosen by candidates in discussion with their supervisor and verified as appropriate by the centre following procedures specified by the awarding body.

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

Reference to non-examination assessment is intended to include any specifications with one or more non-examination assessment component or unit, controlled assessment (where applicable) and coursework.

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
Centre staff malpractice	*Records confirm that relevant centre staff are familiar with* *and follow:* • *the current JCQ documents Instructions for conducting non-examination assessments and (where applicable) Instructions for conducting coursework* • • *the JCQ document Notice to Centres - Sharing NEA material and candidates' work - www.jcq.org.uk/exams-office/non-examination-assessments*	
Candidate malpractice	*Records confirm that candidates are informed and understand they must not:* • *submit work which is not their own* • *make available their work to other candidates through any medium* • *allow other candidates to have access to their own independently sourced material* • *assist other candidates to produce work* • *use books, the internet or other sources without acknowledgement or attribution* • *submit work that has been word processed by a third party without acknowledgement* • *include inappropriate, offensive or obscene material* *Records confirm that candidates have been made aware of the JCQ documents Information for candidates - non-examination assessments, , (where applicable) Information for candidates – coursework assessments and Information for candidates – Social Media - www.jcq.org.uk/exams-office/information-for-candidates-documents and understand they must not post their work on social media*	
Task setting		
Awarding body set task: IT failure/corruption of task details where set task	*Awarding body key date for accessing/downloading set task noted prior to start of course* *IT systems checked prior to key date*	

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
details accessed from the awarding body online	*Alternative IT system used to gain access* *Awarding body contacted to request direct email of task details*	
Centre set task: Subject teacher fails to meet the assessment criteria as detailed in the specification	*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*	
Candidates do not understand the marking criteria and what they need to do to gain credit	*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*	
Subject teacher long term absence during the task setting stage	*See centre's Contingency Plan (Teaching staff extended absence at key points in the exam cycle)*	
Issuing of tasks		
Awarding body set task not issued to candidates on time	*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*	
The wrong task is given to candidates	*Ensures course planning and information taken from the awarding body's specification confirms the correct task will be issued to candidates* *Awarding body guidance sought where this issue remains unresolved*	
Subject teacher long term absence during the issuing of tasks stage	*See centre's Exam Contingency Plan (Teaching staff extended absence at key points in the exam cycle)*	
A candidate (or parent/carer) expresses concern about safeguarding, confidentiality or faith in undertaking a task such as a presentation that may be recorded	*Ensures the candidate's presentation does not form part of the sample which will be recorded* *Contacts the awarding body at the earliest opportunity where unable to record the required number of candidates for the monitoring sample*	

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
Task taking		
Supervision		
Planned assessments clash with other centre or candidate activities	*Assessment plan identified for the start of the course* *Assessment dates/periods included in centre wide calendar*	
Rooms or facilities inadequate for candidates to take tasks under appropriate supervision	*Timetabling organised to allocate appropriate rooms and IT facilities for the start of the course* *Staggered sessions arranged where IT facilities insufficient for number of candidates* *Whole cohort to undertake written task in large exam venue at the same time (exam conditions do not apply)*	
Insufficient supervision of candidates to enable work to be authenticated	*Confirm subject teachers are aware of and follow the current JCQ document 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* *Confirm subject teachers understand their role and responsibilities as detailed in the centre's non-examination assessment policy*	
A candidate is suspected of malpractice prior to submitting their work for assessment	*Instructions and processes in the current JCQ documents Instructions for conducting non-examination assessments (section 9 Malpractice) and (where applicable) Instructions for conducting coursework (6. Malpractice in coursework) are followed* *An internal investigation and where appropriate internal disciplinary procedures are followed*	
Access arrangements were not put in place for an assessment where a candidate is approved for arrangements	*Relevant staff are signposted to the JCQ document A guide to the special consideration process (section 2), to determine the process to be followed to apply for special consideration for the candidate*	
Advice and feedback		
Candidate claims appropriate advice and feedback not given by subject teacher prior to starting on their work	*Ensures 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* *Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity* *Full records kept detailing all information and advice given to candidates prior to starting on their work as appropriate to the subject and component* *Candidate confirms/records advice and feedback given prior to starting on their work*	

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
Candidate claims no advice and feedback given by subject teacher during the task-taking stage	*Ensures 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* *Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity* *Full records kept detailing all advice and feedback given to candidates during the task-taking stage as appropriate to the subject and component* *Candidate confirms/records advice and feedback given during the task-taking stage*	
A third party claims that assistance was given to candidates by the subject teacher over and above that allowed in the regulations and specification	*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*	
Candidate does not reference information from published source	*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 and (where applicable) Information for candidates – coursework assessments* *Candidate made aware of contents of JCQ: AI use in assessment* *Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion*	
Candidate does not set out references as required	*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 (where applicable) Information for candidates – coursework assessments* *Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion*	
Candidate joins the course late after formally supervised task taking has started	*A separate supervised session(s) is arranged for the candidate to catch up*	

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
Candidate moves to another centre during the course	*Awarding body guidance is sought to determine what can be done depending on the stage at which the move takes place*	
An excluded pupil wants to complete a non-examination assessment(s)	*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*	
Resources		
A candidate augments notes and resources between formally supervised sessions	*Preparatory notes and the work to be assessed are collected in and kept secure between formally supervised sessions* *Where memory sticks are used by candidates, 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*	
A candidate fails to acknowledge sources on work that is submitted for assessment	*Candidate's detailed record of his/her own research, planning, resources etc. is checked to confirm all the sources used, including books, AI 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*	
Word and time limits		
A candidate is penalised by the awarding body for exceeding word or time limits	*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*	
Collaboration and group work		
Candidates have worked in groups where the awarding body specification states this is not permitted	*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*	
Authentication procedures		

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
A teacher has doubts about the authenticity of the work submitted by a candidate for internal assessment Candidate plagiarises other material	*Records confirm subject staff have been made aware of the JCQ document Notice to Centres - Sharing NEA 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 and (where applicable) Information for candidates: coursework assessments* *The candidate's work is not accepted for assessment* *A mark of zero is recorded and submitted to the awarding body*	
Candidate does not sign their authentication statement/declaration	*Records confirm that candidates have been issued with the current JCQ document Information for candidates: non-examination assessments and (where applicable) Information for candidates – coursework 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 (where applicable) Information for candidates – coursework assessments* *Declaration is checked for signature before accepting the work of a candidate for formal assessment*	
Subject teacher not available to sign authentication forms	*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*	
Presentation of work		
Candidate does not fully complete the awarding body's cover sheet that is attached to their worked submitted for formal assessment	*Cover sheet is checked to ensure it is fully completed before accepting the work of a candidate for formal assessment*	
Keeping materials secure		
Candidates work between formal supervised sessions is not securely stored	*Records confirm subject teachers are aware of and follow current JCQ document Instructions for conducting non-examination assessments* *Regular monitoring/internal audit ensures subject teacher use of appropriate secure storage*	

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
Adequate secure storage not available to subject teacher	*Records confirm adequate/sufficient secure storage is available to subject teacher prior to the start of the course* *Alternative secure storage sourced where required*	
Candidates work produced electronically is not securely stored	*Records confirm subject teachers are aware of and follow current JCQ publication Instructions for conducting non-examination assessments* *Internal processes and regular monitoring/internal audit by IT Manager ensures:* • *access to this material is restricted (insert how)* • *appropriate security safeguards are in place (insert names/types of protection)* • *an effective back-up strategy is employed so that an up to date archive of candidates' evidence is maintained (insert details of how work is backed up)* • *any sensitive digital media is encrypted (according to awarding body guidance to ensure that the method of encryption is suitable) to ensure the security of the data stored within it (insert relevant details of how)*	
Task marking – externally assessed components		
A candidate is absent on the day of the examiner visit for an acceptable reason	*Awarding body guidance is sought to determine if alternative assessment arrangements can be made for the candidate* *If not, eligibility for special consideration is explored and a request submitted to the awarding body where appropriate*	
A candidate is absent on the day of the examiner visit for an unacceptable reason	*The candidate is marked absent on the attendance register*	
Task marking – internally assessed components		
A candidate submits little or no work	*Where a candidate submits no work, the candidate is recorded as absent when marks are submitted to the awarding body* *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*	
A candidate is unable to finish their work for unforeseen reason	*Relevant staff are signposted to the JCQ document A guide to the special consideration process (section 5), to determine eligibility and the process to be followed for shortfall in work*	

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
The work of a candidate is lost or damaged	*Relevant staff are signposted to the JCQ documents Instructions for conducting non-examination assessments and (8) and (where applicable) Instructions for conducting coursework (16),, to determine eligibility and the process to be followed for lost or damaged work*	
Candidate malpractice is discovered	*Instructions and processes in the current JCQ documents Instructions for conducting non-examination assessments and (where applicable) Instructions for conducting coursework (6. Malpractice in coursework) are followed* *Investigation and reporting procedures in the current JCQ document Suspected Malpractice: Policies and Procedures are followed* *Appropriate internal disciplinary procedures are also followed*	
A teacher assesses the work of a candidate with whom they have a close personal relationship e.g. members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter)	*A possible conflict of interest is declared by informing the awarding body before the published deadline for entries for each examination series* *Marked work of said candidate is submitted for moderation whether part of the sample requested or not*	
An extension to the deadline for submission of marks is required for a legitimate reason	*Awarding body is contacted to determine if an extension can be granted* *Relevant staff are signposted to the JCQ document A guide to the special consideration process (section 5), to determine eligibility and the process to be followed for an extension*	
After submission of marks, it is discovered that the wrong task was given to candidates	*Awarding body is contacted for guidance* *Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 2), to determine eligibility and the process to be followed to apply for special consideration for candidates*	
A candidate wishes to appeal/request a review of the marks awarded for their work by their teacher	*Candidates are informed of the marks they have been awarded for their work prior to the marks being submitted to the awarding body* *Records confirm candidates have been informed of their marks*	

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
	Candidates are informed that these marks are subject to change through the awarding body's moderation process *Candidates are informed of their marks to the timescale identified in the centre's internal appeals procedure and prior to the internal deadline set by the exams officer for the submission of marks* *Through the candidate exam handbook, candidates are made aware of the centre's internal appeals procedures and timescale for submitting an appeal/request for a review of the centre's marking prior to the submission of marks to the awarding body*	
Deadline for submitting work for formal assessment not met by candidate	*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*	
Deadline for submitting marks and samples of candidates work ignored by subject teacher	*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*	
Subject teacher long term absence during the marking period	*See centre's Contingency Plan (Teaching staff extended absence at key points in the exam cycle)*	

This policy is reviewed annually to ensure compliance with current regulations

Reviewed by Deputy Head (Academic)	
Approved by - LM	
Date of next review	November 2026

Appendix 9



PROCEDURE TO VERIFY THE IDENTITY OF ALL EXAM CANDIDATES 2025/2026

Key staff involved in the Verify The Identity Of All Exam Candidates policy:

Role	Name(s)
Head of centre	**Deneal Smith**
Exams officer line manager (Senior leader)	**Madeleine Bowley**
Exams officer	**Caroline du Plessis**

All candidates sitting their examinations at Bootham School will have their identity confirmed.

Internal candidates

A member of LM will also be on hand to act to resolve any uncertainty or disputes about the identidy of all internal candidates entering the exam venue.

The exams office will ensure that there is a print out of all internal candidates' names and photos available for the invigilators to refer to prior to the start of the exam.

Candidates name, centre number and candidate number cards also have their photographs printed on them

For private, external and transferred candidates

A private, external or transferred candidate who is not known to Bootham School must show photographic documentary evidence to prove that they are the same person who entered/registered for the examination/assessment, e.g. passport or photographic driving licence.

In cases where it is impossible to identify a candidate due to the wearing of religious clothing, such as a veil, the candidate will be approached by a member of staff of the same gender and taken to a private room where they will be politely asked to remove the religious clothing for identification purposes. Bootham School will inform candidates in advance of this procedure and well before their first examination.

This policy is reviewed annually to ensure compliance with current regulations

Reviewed by Deputy Head (Academic)	
Approved by - LM	
Date of next review	November 2026

Appendix 10

SPECIAL CONSIDERATION POLICY 2025/2026

including

OVERNIGHT SUPERVISION ARRANGEMENTS POLICY 2025/2026

Key staff involved in the Special Consideration policy:

Role	**Name(s)**
Head of centre	**Deneal Smith**
Exams officer line manager (Senior leader)	**Madeleine Bowley**
Exams officer	**Caroline du Plessis**

What defines special consideration?

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

A centre must decide whether the candidate meets the published criteria for special consideration. An awarding body cannot determine the candidate's eligibility and make the decision for the centre.

Applications must only be processed where they are supported by the centre and the candidate meets the published criteria for special consideration with evidence in place.

If the centre does not support an online application for special consideration, then it must not be submitted to the relevant awarding body or bodies. Speculative applications for special consideration cannot be accepted.

Where a candidate does not meet the published criteria for special consideration, the awarding body will reject the application and provide clear reasons for doing so.

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

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

This document is further referred to in this policy as SC

Purpose of the policy

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

Eligibility for special consideration

Roles and responsibilities

Head of centre

- Is familiar with the contents, refers to and directs relevant centre staff to the annually updated JCQ publication A Guide to the Special Considerations Process
- Ensures that, where relevant and in eligible situations, applications for special consideration will be submitted to awarding bodies by the exams officer

Exams officer

- Understands the criteria as detailed in A guide to the special consideration process to determine where candidates will/will not be eligible for special consideration
- Ensures that, where relevant and in eligible situations, applications for special consideration will be submitted to awarding bodies

Teaching staff and/or SENCo (or equivalent role)

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

Candidates (or parents/carers)

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

Applying for special consideration

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

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

1. Where a candidate may arrive for an exam and is clearly unwell, extremely distressed and/or may have sustained an injury that requires emergency access arrangements to be put in place:
2. the candidate will be kept comfortable and under centre supervision from the required time while appropriate arrangements are put in place for the candidate to take the exam in the best possible conditions
3. a judgement will be made on how the candidate's situation or disposition affected performance in the exam
4. where appropriate and where eligible, special consideration will be applied for

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

6. Special consideration will be applied for an allowance on the last paper taken in a day when a candidate has been entered for three or more exams **timetabled for the same day** and the total duration of those papers is more than 5 hours 30 minutes (GCSE, Level 1 and Level 2 examinations) or more than 6 hours (GCE and Level 3 examinations). (Where extra time has been used following formal approval, this will be included in the calculation. Supervised rest breaks **will not** be included in the total duration of the papers when applying for special consideration.)

7. Where a candidate may be affected a minor disturbance in the exam room caused by another candidate such as momentary bad behaviour, mobile phone ringing or a momentary fire alarm, the candidate would not be eligible for special consideration.

The centre **must not** submit applications for special consideration for trivial cases.

Examples of trivial cases which **would not** warrant special consideration include, but are not limited to:

8. A bird tweeting outside the examination room
9. A lorry reversing
10. A toilet being flushed

11. Doors in a corridor adjacent to the examination room opening and closing
12. Very short, momentary noise from, for example, aeroplanes, helicopters, lawn mowers (SC 1)

8. Where a candidate takes multiple exams (three or more exams) timetabled for the same day and the total duration for those papers is more than 6 hours (GCE and Level 3 exams) or more than 5 hours 30 minutes (GCSE, Level 1 and Level 2 exams) including any approved extra time but not any time taken for supervised rest breaks, special consideration for an allowance on the last paper taken will be applied for.

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

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

- other certification
- shortfall in work (coursework/non-examination assessment)
- lost or damaged work (non-examination assessment components)
- candidates issued with an incorrect or incomplete question paper, set the wrong coursework or non-examination assessment task or taught the wrong set text.

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

Processing applications for special consideration

Roles and responsibilities

Head of centre

- Ensures, before any applications are processed, that the centre is satisfied that the candidates' circumstances warrant special consideration, as set out within the JCQ document *A guide to the special consideration process*
- Ensures that any applications for special consideration where candidates meet the published criteria and are sufficiently evidenced will be submitted to the relevant awarding body

Senior leadership team

- Authorises appropriate evidence in support of all eligible applications
- Ensures that if the centre does not support an application for special consideration, it will not be submitted to the relevant awarding body

Exams officer

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

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

Teaching staff and/or SENCo

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

Candidates (or parents/carers)

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

Submitting applications for special consideration

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

In cases of online applications for special consideration, the candidate/candidates will be informed when an application for special consideration is submitted to the awarding body (to ensure compliance with the UK GDPR/Data Protection Act 2018).
Evidence to support all applications will be retained on file until after the publication of results.

Timetabled written exams

- Applications for individual candidates will be submitted online (where the awarding body's secure system accepts these) by logging into the relevant awarding body secure extranet site and following the links to special consideration
- The processes for submitting a single application to cover all exams affected where a candidate is present but disadvantaged and a separate application for each day on which exams are missed where a candidate is absent from an examination for an acceptable reason, detailed in SC 6 will be followed

- Form 14 **Self certification form** (Self certification for candidates who have missed an examination) will only be completed by a candidate/parent/carer where circumstances warrant this and will not be used where the centre knows the candidate was ill

Internally assessed work

- Where appropriate, applications will be made online where the awarding body's secure system accepts them or form 10 Application for special consideration will be completed and submitted to the awarding body
- Where an application relates to a shortfall in work for an individual candidate, this will be submitted by completing form 10, attached to a breakdown of marks across the assessment objectives.

Private candidates

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

Applications post-publication of the results

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

The application must be submitted before the deadline for reviews of results for the respective exam series.

Overnight Supervision Arrangements Policy

If the total duration of three or more examinations to be taken in one day is **more than 5 hours 30 minutes** for GCSE examinations or **more than 6 hours** for GCE examinations (AS, A2, A-level), Bootham School may wish to arrange overnight supervision.

- Candidates should be offered the opportunity to sit all the examinations on the scheduled day.

- The Exams Officer should submit a request for special consideration to the relevant awarding body for the final paper which has been taken.

Where Bootham School allows the candidate to take an examination scheduled for the afternoon session the following morning, Botham School **must always:**

- appoint a member of Bootham School staff or an invigilator to supervise the candidate while he/she/they is on the premises sitting examinations.

- The candidate **must** be under centre supervision from **30 minutes after the awarding body's published starting time for the delayed examination**.
- Bootham School **must** ensure there is no contact with other candidates.

If an examination from Friday afternoon is deferred, it must be taken the following morning, i.e. Saturday morning.

The supervision of a candidate on journeys to and from Bootham School and overnight may be undertaken by the candidate's parent/carer or centre staff. Bootham School **must** determine a method of supervision which ensures the candidate's wellbeing.

The supervisor **must** supervise the candidate from the time when he/she/they leaves the supervision of the centre until supervision of the candidate is transferred back again to the appointed person at the centre.

The overnight supervision arrangements **must** ensure that the candidate **does not** have advance warning of the content of the examination deferred until the

following morning. This means the candidate **must not** meet or communicate with anyone who may have knowledge of the content. This includes any form of electronic communication/storage device, e.g. email, internet, online streaming services, social media including messaging apps and telephone. It also includes printed media, radio and television which could report key details of the day's examinations.

The *Overnight Supervision Declaration* form **must** be completed **no later than 24 hours prior to the overnight supervision commencing** so that those involved fully understand their responsibilities.
A copy of the form **must** be retained by Bootham School and the supervisor.

Overnight Supervision Declaration forms **must not** be enclosed with the scripts. The scripts **must** be sent to the awarding body/examiner in the normal way.

All completed *Overnight Supervision Declaration* forms **must** be kept on file at Bootham School for inspection. Forms may be stored electronically or in hard copy paper format. They **must** be retained on file until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later. Forms **must not** be sent to an awarding body, unless specifically requested.

Head of Centre

The head of centre **must** be satisfied that the arrangements meet the awarding body's requirements.

- The awarding body **must** be informed **immediately** of any known or suspected contravention of these conditions.
- The awarding body may use appropriate means to check that these conditions have been adhered to and will act if there is evidence of any contravention. This could lead to the disqualification of the candidate(s) involved and could affect whether the awarding body would allow such arrangements to be made in the future.

This policy is reviewed annually to ensure compliance with current regulations

Reviewed by Deputy Head (Academic)	
Approved by - LM	
Date of next review	November 2026

Appendix 11

BOOTHAM SCHOOL
AGES 3-18

EMERGENCY EVACUATION POLICY 2025/2026

Key staff involved in the Emergency evacuation policy:

Role	Name(s)
Head of centre	**Deneal Smith**
Exams officer line manager (Senior leader)	**Madeleine Bowley**
Exams officer	**Caroline du Plessis**

Purpose of the policy

This policy details how Bootham School deals with an emergency evacuation of the exam room(s) by defining staff roles and responsibilities and confirming the emergency evacuation procedure.

When is an emergency evacuation required?

An emergency evacuation is required where it is unsafe for candidates to remain in the exam room. This might include a fire in the exam room, the fire alarm sounding to warn of fire, bomb alert or other serious threat.

In exceptional situations, where candidates might be severely disadvantaged or distressed by remaining in the exam room, the emergency evacuation procedure may also need to be followed. This might include situations where there is severe disruption in the exam room, serious illness of a candidate or invigilator or similarly serious incidents.

As each incident may be different, advice will be sought from the relevant awarding body as soon as it is safe to do so, (ICE 25.6)

Where candidates are unable to return to the building to complete the examination, the relevant awarding body will be contacted immediately for advice. The awarding bodies have procedures in place to ensure that candidates are not disadvantaged where they are unable to complete the examination due to circumstances beyond their control.

Emergency evacuation of an exam room

Roles and responsibilities

Head of centre

- Ensures the emergency evacuation policy for exams is fit for purpose and complies with relevant health and safety regulation
- Ensures any instructions from relevant local or national agencies are referenced and followed where applicable
- Where safe to do so, ensures candidates are given the opportunity to sit exams for their published duration
- A full report of the incident must be produced and retained on file if required by an awarding body.
- Any breach of question paper security must be reported to the awarding body immediately.
- An online application for special consideration must be submitted to the relevant awarding body where candidates have been disadvantaged.

Senior leaders

- Where responsible for the centre-wide emergency evacuation procedure, ensure all staff and appointed fire marshals are aware of the policy and procedures to be followed when an emergency evacuation of an exam room is required

Special educational needs coordinator (SENC0) or equivalent role

- Ensures appropriate arrangements are in place for the emergency evacuation of a disabled candidate from an exam room where different procedures or assistance may need to be provided for the candidate
- Ensures the candidate is informed prior to taking their exams of what will happen in the event of an emergency evacuation

Exams officer

- Ensures invigilators are trained in emergency evacuation procedures and how an incident and actions taken must be recorded
- Ensures candidates are briefed through Candidate Exam Handbook, prior to exams taking place, on what will happen in the event of an emergency in the exam room
- Provides invigilators with a copy of the emergency evacuation procedure for every exam room
- Provides a standard invigilator announcement for each exam room which includes appropriate instructions for candidates about emergency procedures and what will happen if the fire alarm sounds
- Provides an exam room incident log in each exam room
- Liaises with the SENCo or equivalent role and other relevant staff prior to each exam where different procedures or assistance may need to be provided for a disabled candidate
- Briefs invigilators prior to each exam where different procedures or assistance may need to be provided for a disabled candidate
- Ensures appropriate follow-up is undertaken after an emergency evacuation, reporting the incident to the awarding body and the actions taken through application of the special consideration process where applicable (in cases where a group of candidates have been disadvantaged by a particular event)

Invigilators

- By attending training and/or update sessions, ensure they understand what to do in the event of an emergency in the exam room
- Follow the actions required in the emergency evacuation procedure issued to them for every exam room
- Confirm with the exams officer, where different procedures or assistance may need to be provided for a disabled candidate they are invigilating
- Record details on the exam room incident log to support follow-up reporting to the awarding body by the exams officer (see below)

Other relevant centre staff

- Support the senior leader, SENCo (or equivalent role), exams officer and invigilators in ensuring the safe emergency evacuation of exam rooms

Recording details

As soon as practically possible and safe to do so, details should be recorded. Details must include:

- the actual time of the start of the interruption
- the actions taken
- the actual time the exam(s) resumed
- the actual finishing time(s) of the resumed exam(s)

Further details could include:

- report on candidate behaviour throughout the interruption/evacuation
- a judgement on the impact on candidates after the interruption/evacuation

EMERGENCY EVACUATION PROCEDURE DURING EXAMS

On the sound of the fire alarm in the Main School:

Students must follow the instructions given by the exam invigilator(s):

Invigilator instructions:

- Stop the exam noting the time on the Fire Evacuation Sheet
- Advise the candidates to stop writing, put their pens down and turn over their exam paper and close their answer booklet.
- Advise the candidates to stay calm and that the exam room will be evacuated.
- **Remind the candidates that they are still under exam conditions and that talking or gesturing to the other candidates is not allowed.**
- Students must leave the exam papers and scripts on the desk along with their equipment. They will not be allowed to collect their belongings.
- Evacuate the students in the exam room and accompany them**. Attendance registers must be taken to the assembly point.** Lock the door as you leave if you can. Ensure the candidates leave the room in silence.
- **Students will be directed to the appropriate assembly point as follows - If exams are in 61 Gym, this will be in the Fox Quad near Fox House - if necessary, students will be taken out onto Bootham and come into school via Photographic Lane, assembly point will be on the tennis courts. If wet, students should be taken to the foyer of the Arts Building if that has been given the all clear. Students should remain in silence and do as instructed by members of staff.**
- The Exams Officer and other members of staff will meet at the assembly point to provide assistance with the supervision of candidates. The candidates must be supervised as closely as possible so that there is no discussion about the examination.
- The roll call will then be completed in accordance with the candidate entry list and seating plan.
- The Exams Officer will liaise with a member of Senior Leadership to ascertain the status of the fire evacuation. If the fire evacuation is a false alarm the candidates will be escorted back to the examination room for the exam to be re-started in accordance with the JCQ regulations.
- If there are only a few candidates, consider the possibility of taking them to another place to finish the examination.

RESTARTING THE EXAMS

- Ask the candidates to rule off their answer paper/answer book at the point reached when the examination was halted.
- Allow the candidates the remainder of the working time set for the examination once it resumes
- Inform the students of the new finish time both verbally and by adjusting the start/finish times on the whiteboards.
- Note how long the interruption lasted.
- At the end of the exam reassure the students that the incident will be reported to the examination board and a request will be made for special consideration, to take into account of the disturbance caused to them.
- Make a full report of the incident and of the action taken (to be retained on file if required by an awarding body)

This policy is reviewed annually to ensure compliance with current regulations

Reviewed by Deputy Head (Academic)	
Approved by - LM	
Date of next review	November 2026

Appendix 12

BOOTHAM SCHOOL
AGES 3-18

EXAMS ARCHIVING POLICY

2025/26

Key staff involved in the Emergency evacuation policy:

Role	Name(s)
Head of centre	**Deneal Smith**
Exams officer line manager (Senior leader)	**Madeleine Bowley**
Exams officer	**Caroline du Plessis**
SENCo	**Jess White**
IT Manager	**Scott Jones**
Finance Manager	**Gary Neary**

Purpose of the policy

The purpose of this policy is to:

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

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Access arrangements information	Any hard copy information kept by the EO relating to an access arrangement candidate.	To be returned to SENCo as records owner at end of the candidate's final exam series.	**Handled by SENCo**
Alternative site arrangements	Any hard copy information generated on an alternative site arrangement. Notifications submitted online via CAP.	*. You must keep them until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later...*	Confidential waste/shredding
Attendance register copies		*…keep signed records of the seating plan, the invigilation arrangements and the centre's copies of the attendance registers for each examination. The awarding bodies may need to refer to them. You must keep them until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later...* [Reference ICE 12, 22]	Confidential waste/shredding
Awarding body exams administration information	Any hard copy publications provided by awarding bodies.	To be retained until the current academic year update is provided.	
Candidates' scripts	Any unwanted copies of scripts returned to the centre through the Access to Scripts (ATS) service.	To be retained securely until the awarding body's earliest date for confidential disposal of unwanted scripts. *Where teachers have used copies of candidates' scripts for teaching and learning purposes but no longer wish to retain them, they must ensure that the scripts are*	Confidential disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		disposed of in a confidential manner. [Reference PRS 6] (Reference GR 3.15: … ensure that when scripts that have been accessed using the awarding body's access to scripts service are no longer required, they are disposed of in a confidential manner)]	
Candidates' work	Non-examination assessment work returned to the centre by the awarding body at the end of the moderation period.	To be logged on return to the centre and immediately returned to subject staff as records owner. To be stored safely and securely along with work that did not form part of the moderation sample (including materials stored electronically) *…store safely and securely all non-examination assessments, including controlled assessments, coursework or portfolios, retained in, or returned to, the centre until the deadline for a review of moderation has passed or until a review of moderation, an appeal or a malpractice investigation has been completed, whichever is later. This includes materials stored electronically. See paragraph 4.8 of the JCQ publication Instructions for conducting non - examination assessments https://www.jcq.org.uk/exams-office/non-*	Returned to candidates or safe disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		examination-assessments [Reference GR 3]	
Certificates	Candidate certificates issued by awarding bodies.	*…retain securely all unclaimed certificates under secure conditions for a minimum of 12 months from the date of issue* [Reference GR 5]	Confidential destruction
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	*… destroy any unclaimed certificates after retaining them for a minimum of 12 months. They must be destroyed in a confidential manner. Centres that do not have a means of destroying certificates confidentially may return them to the respective awarding body. A record of certificates that have been destroyed should be retained for four years from their date of destruction. This record should list the candidate number, the awarding body, the qualification(s) and the examination series.* (Reference GR 5.14: …obtain and maintain accurate candidate contact information to ensure the correct and secure despatch of certificates... distribute certificates to **all** candidates without delay and regardless of any disputes (such as non-payment of fees). Certificates must not be withheld without prior permission from an awarding body which will only be given in very exceptional circumstances. A record should be kept of the certificates that are issued…) *Candidates should be informed that some*	Confidential destruction

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		awarding bodies do not offer a replacement certificate service. In such circumstances the awarding body will issue a Certifying Statement of Results… (Where an awarding body issues a replacement certificate, or a Certifying Statement of Results, this will provide an accurate and complete record of results for all qualifications covered by the original certificate… return any certificates requested by the awarding bodies. Certificates remain the property of the awarding bodies at all times. [Reference GR 5]	
Certificate issue information	A record of certificates that have been issued.	(Reference GR 5.14: …obtain and maintain accurate candidate contact information to ensure the correct and secure despatch of certificates... distribute certificates to **all** candidates without delay and regardless of any disputes (such as non-payment of fees). Certificates must not be withheld without prior permission from an awarding body which will only be given in very exceptional circumstances. A record should be kept of the certificates that are issued…) …	**Record archived in Exams Office for five years.**
Confidential materials: initial point of delivery logs	Logs recording awarding body confidential exam materials received by an authorised member of staff at the initial point of delivery and the secure movement of packages by an	*until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later...*	**Normal waste disposal**

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
	authorised member of staff to the secure room for transferal to the centre's secure storage facility.		
Confidential materials: receipt, secure movement, checking and secure storage logs	Logs recording confidential exam materials received (including encrypted materials received via email or downloaded from an awarding body's secure extranet site), checked and placed in the secure storage facility by the exams officer (or other authorised member of centre staff) throughout the period the materials are confidential. (Including for example the handling of confidential MFL listening materials)	*until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later...*	Normal waste disposal
Conflicts of Interest records	Records demonstrating the management of Conflicts of Interest	*…The records may be inspected by a JCQ Centre Inspector and/or awarding body staff. They might be requested in the event of concerns being reported to an awarding body. The records must be retained until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.* [Reference GR 5]	Confidential waste/shredding
Dispatch logs	Proof of dispatch of exam script packages to awarding body examiners covered by the DfE (Standards & Testing Agency) yellow label service	*until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later...*	Normal waste disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Entry information	Any hard copy information relating to candidates' entries.	*until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later...*	Confidential waste/shredding
Exam question papers	Question papers for timetabled written exams.	(Reference ICE 31: Unused question papers must not be released to any individual until 24 hours after the awarding body's published finishing time for the examination. Where a candidate is sitting an examination scheduled for the afternoon session on the following morning under an overnight supervision arrangement, unused question papers for that examination must not be released to any individual until the candidate has completed that examination.) (Reference GR 6.13: …For confidentiality purposes, unused question papers must not be released to any individual for use in accordance with paragraph 6.12 until 24 hours after the awarding body's published finishing time for the examination. Where a candidate is sitting an examination scheduled for the afternoon session on the following morning with an overnight supervision arrangement, unused question papers for that examination must not be released to any individual until the candidate has completed that examination.	Issued to subject staff

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		This does not restrict access to question papers by authorised centre personnel for the purpose of conducting examinations… [Reference GR 6]	
Exam room checklists	Checklists confirming exam room conditions and invigilation arrangements for each exam session.	*until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later...*	Confidential waste/shredding
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms for each exam session.	*until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later...*	Confidential waste/shredding
Exam stationery	Awarding body exam stationery provided solely for the purpose of external exams.	*…return unused stationery to the secure storage facility or secure room until needed for a future examination. Surplus stationery must not be used for internal school tests, mock examinations and non-examination assessments… confidentially destroy any out-of-date stationery.* [Reference ICE 30]	Confidential destruction
Examiner Reports		(Where/if provided) To be immediately provided to head of department as records owner.	
Finance information	Copy invoices for exams-related fees.	To be returned to Finance department as records owner at the end of the academic year.	

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Invigilation arrangements	See *Exam room checklists*	*until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later...*	Confidential waste/shredding
Invigilator and facilitator training records		*A record of the content of the training given to invigilators must be available for inspection and retained on file until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.* *A record of the content of the training given to invigilators and those facilitating an access arrangement for a candidate under examination conditions must be available for inspection and retained on file until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.* [Reference ICE 12, 13]	Confidential waste/shredding
Moderator reports		(Where printed from electronic copy) To be immediately provided to head of department as records owner.	
Moderation returns logs	Logs recording the return of candidates' work to the centre by the awarding body at the end of the moderation period	Until completion of series.	Confidential waste/shredding

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Overnight supervision information	JCQ form *Timetable variation and confidentiality declaration for overnight supervision* for any candidate eligible for these arrangements.	*…keep all completed forms available in your centre for inspection until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later. Forms may be stored electronically or in hard copy paper format and must not be sent to an awarding body, unless specifically requested…* [Reference ICE 8]	Confidential waste/shredding
Post-results services: confirmation of candidate consent information	Hard copy or email record of required candidate consent	(Reference PRS 4.2, plus appendix A and B: Consent forms or e-mails from candidates **must** be retained by the centre and kept for at least six months following the outcome of the clerical re-check or review of marking or any subsequent appeal. The awarding bodies reserve the right to inspect such documentation.)	Confidential waste/shredding
Post-results services: requests/outcome information	Any hard copy information relating to a post-results service request (RoRs, appeals, ATS) submitted to an awarding body for a candidate and outcome information from the awarding body.	**Six months following the end of the series.**	Confidential waste/shredding
Post-results services: tracking logs	Logs tracking to resolution all post-results service requests submitted to awarding bodies.	**Six months following the end of the series.**	**Deletion of electronic records.**

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Private candidate information	Any hard copy information relating to private candidates' entries.	**Six months following the end of the series.**	Confidential waste/shredding
Proof of postage – candidates' work	Proof of postage of sample of candidates' work submitted to awarding body moderators. (Proof of postage of candidates' scripts to awarding body examiners/markers)	*Centres not involved in the secure despatch of the exam scripts service… must obtain proof of postage or despatch for each packet of scripts, which must be retained on the centre's files until the results are published, in case of loss or damage. (Proof of postage will provide evidence that the candidates' scripts have left the centre. This is taken to indicate that the scripts were written at the appointed time and that, should the scripts not be received by the awarding body or examiner, then special consideration may be possible.)…* [Reference ICE 29]	Normal waste disposal
Resilience arrangements: Evidence of candidate performance	The collection of evidence of student performance to ensure resilience in the qualifications system	(Reference Ofqual Guidance on collecting evidence of student performance to ensure resilience in the qualifications system: **Retention of the work** Student work, either the original or a copy, must always be retained by the centre. Student work can be retained digitally or physically. Students may be given copies, or the original work, where this would support their study.)	

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Resolving timetable clashes information	Any hard copy information relating to the resolution of a candidate's clash of timetabled exam papers	*until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later...*	Confidential waste/shredding
Results information	Broadsheets of results summarising candidate final grades by subject by exam series.	Records for current year plus previous 6 years to be retained as a minimum.	Secure disposal
Seating plans	Plans showing the seating arrangements of all candidates for every exam taken.	*…keep signed records of the seating plan, the invigilation arrangements and the centre's copies of the attendance registers for each examination. The awarding bodies may need to refer to these records. You must keep them until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.* [Reference ICE 12]	Confidential waste/shredding
Special consideration information	Any hard copy information relating to a special consideration request and supporting evidence submitted to an awarding body for a candidate.	*Where a candidate is present but disadvantaged for a timetabled written examination a proportion of cases will be sampled by an awarding body for quality assurance purposes. A centre may be asked by an awarding body to provide signed evidence, produced by a member of the senior leadership team, in support of an application. The centre must retain evidence supporting an on-line special*	Confidential waste/shredding

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		consideration application until after the publication of results. *Where a candidate is absent from an examination for an acceptable reason a proportion of cases will be sampled by an awarding body for quality assurance purposes. A centre may be asked by an awarding body to provide signed evidence, produced by a member of the senior leadership team, in support of an application. The centre must retain evidence supporting a candidate's absence from an examination until after the publication of results.* [Reference SC 6]	
Suspected malpractice reports/outcomes	Any hard copy information relating to a suspected or actual malpractice investigation/report submitted to an awarding body and outcome information from the awarding body.	(Reference Suspected Malpractice: Policies and Procedures 7: The awarding bodies will... A permanent record will be kept of the impact of any sanctions on an individual candidate's results... All other information relating to specific instances of malpractice or irregularities will be destroyed, following the expiry of the awarding body's data retention period.)	Confidential waste/shredding
Transferred candidate arrangements	Any hard copy information relating to a transferred candidate arrangement. Applications submitted online via CAP.	*until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later...*	Confidential waste/shredding

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Very late arrival reports/outcomes	Any hard copy information relating to a candidate arriving very late to an exam. Reports submitted online via CAP.	*until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later...*	Confidential waste/shredding
Second pair of eyes check	Records of the check that must take place by a second person (additional to the person removing question paper packets from secure storage) immediately before a question paper packet is opn	(Reference ICE 5, 18: In order to avoid potential breaches of security, care must be taken to ensure that the correct question paper packets are opened. In addition to the person removing the question paper packets from secure storage (e.g. an invigilator), another member of centre staff must check the day, date, time, subject, unit or component and tier of entry (if applicable) immediately before a question paper packet is opened. This second pair of eyes check must be recorded.)	

This policy is reviewed annually to ensure compliance with current regulations

Reviewed by Deputy Head (Academic)	
Approved By - LM	
Date of next review	November 2026

Appendix 13

BOOTHAM SCHOOL
AGES 3-18

ESCALATION PROCESS

2025/2026

Key staff involved in the Escalation policy:

Role	**Name(s)**
Head of centre	**Deneal Smith**
Exams officer line manager (Senior leader)	**Madeleine Bowley**
Exams officer	**Caroline du Plessis**

Purpose of the process

To confirm the main duties and responsibilities to be escalated should the head of centre, or a member of the senior leadership team with oversight of examination and assessment administration Deputy Head (Academic), be absent.

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 Assistant Head for Curriculum Logistics.

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

- A guide to the special consideration process
- Access Arrangements and Reasonable Adjustments
- AI Use in Assessments: Your role in protecting the integrity of qualifications
- Guidance for centres on cyber security
- Instructions for conducting coursework
- Instructions for conducting examinations
- Instructions for conducting non-examination assessments (GCE and GCSE specifications)
- Instructions for conducting non-examination assessments (Vocational and Technical Qualifications)
- Notice to Centres – Informing candidates of their centre-assessed marks
- Plagiarism in Assessments – Guidance for Teachers/Assessors
- Suspected Malpractice – Policies and Procedures
- Cambridge Handbook

Main duties and responsibilities relate to:

- Third party arrangements
- Centre status
- Confidentiality
- Communication
- Resilience and contingency arrangements
- Cyber security
- Centre management
- Recruitment, selection and training of staff
- Internal governance arrangements
- Delivery of qualifications
- Public liability
- Conflicts of interest
- Controlled assessments, coursework and non-examination assessments

- Security of assessment materials
- National Centre Number Register and other information requirements
- Centre inspections

  Additional JCQ document for reference:
  - JCQ Centre Inspection Service Changes
- Policies available for inspection

  Specific JCQ documents for reference:
  - General Regulations for Approved Centres (section 5)
  - Instructions for conducting examinations (section 25)
  - Access Arrangements and Reasonable Adjustments (section 5)
- Personal data, freedom of information and copyright

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 and assessment administration, responsibility for implementing JCQ regulations and requirements relating to entries and exam preparation will be escalated to Assistant Head Curriculum Logistics

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

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

Main duties and responsibilities relate to:

- Access arrangements and reasonable adjustments
- Entries

  Additional JCQ documents for reference:
  - Key Dates
  - Guidance Notes for Transferred Candidates
  - Alternative Site guidance notes
  - Guidance notes for overnight supervision of candidates with a timetable variation
- Cambridge Guide to Making Entries
- 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 document for reference:
  - Guidance Notes – Centre Consortium Arrangements

- Candidate information

  Additional JCQ publications for reference:
  - Information for candidates documents
  - Exam Room Posters
  - Update of policies (with Exams Officer)

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 and assessment administration, responsibility for implementing JCQ regulations and requirements relating to during exam time will be escalated to Assistant Head Curriculum Logistics

The centre also has in place 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 documents will be specifically referenced including:

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

Main duties and responsibilities relate to:

- Conducting examinations and assessments

  Additional JCQ document 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 Assistant Head Curriculum Logistics

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

- General Regulations for Approved Centres (section 5)

Main duties and responsibilities relate to:

- Results

  Additional JCQ publication for reference:
  - Release of Results notice

- Post-results services and appeals

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

- Certificates

This process is reviewed annually to ensure compliance with current regulations

Reviewed by Deputy Head (Academic)	
Approved by - LM	
Date of next review	November 2026

Appendix 13

BOOTHAM SCHOOL
AGES 3-18

CONFLICTS OF INTEREST POLICY

2025/2026

Key staff involved in the Conflicts of interest policy:

Role	Name(s)
Head of centre	**Deneal Smith**
Exams officer line manager (Senior leader)	**Madeleine Bowley**
Exams officer	**Caroline du Plessis**

Introduction

Bootham School manages conflicts of interest in accordance with the JCQ General Regulations for Approved Centres (section 5.3). Roles and responsibilities for normal delivery arrangements are detailed in Bootham's general Exams Policy to ensure that awarding bodies are informed (where required) of any relevant conflict declared by members of centre staff and records are maintained 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.

General principles

A process is in place to collect any declaration of personal interest from all staff involved in the arrangements for Summer 2026 and to manage any potential conflicts of interest.

Where reference is made to candidates, this includes any private candidates accepted by Bootham School

Declaration process

- A *Declaration of Personal Interest form* for Summer 2026
- Staff involved in the exams process will be required to
    - (where applicable) declare a personal interest in a candidate and identify their role(s) in the arrangements
    - return the completed declaration to the Exams Officer or Deputy Head Academic

Managing conflicts of interest

- A *Conflicts of Interest log* for Summer 2026 will be maintained to record any potential conflicts of interest declared by Bootham School staff
- The log will record the nature of potential conflict and a decision by the Deputy Head (Academic) or if the Deputy Head (Academic) has a conflict of interest, the Head of Centre, if this is deemed a potential risk to the integrity of the centre's assessments
- The log will record appropriate additional controls put in place to mitigate any potential risk to the integrity of Bootham School's assessments and to ensure fairness in later process reviews and appeals, carefully considering the need if to separate duties and personnel

CONFLICTS OF INTEREST LOG 2025/26

Date recorded	Staff name & job title(s)/role(s)	Conflict of interest (COI)	Measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected

(*General Regulations for Approved Centres*, 5.3j) The head of centre **must** retain records of all conflicts of interest, including details of the measures taken to mitigate any potential risk to the integrity of the qualifications affected. The records may be inspected by a JCQ Centre Inspector and/or awarding body staff. They might be requested in the event of concerns being reported to an awarding body. The records **must** be retained until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.

Conflict of interest (COI)	Measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected
(As a last resort where the member of centre staff is unable to find another centre) Member of staff is taking a qualification(s) at this centre which includes internally assessed components/units ☐ COI declared to relevant awarding body before the published deadline for entries (for each affected examination series)	To: • prevent the member of centre staff having access to examination materials prior to the examination • brief other relevant centre staff on maintaining the integrity and confidentiality of examination materials • ensure the member of centre staff is treated in the same way as any other candidate entered for that examination, does not have access to examination materials and does not receive any preferential treatment
Member of staff is teaching and preparing members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) for qualifications which include internally assessed components/units ☐ COI declared to relevant awarding body before the published deadline for entries (for each affected examination series)	To: • make every effort to avoid situations where a candidate is assessed by a person who has a close personal relationship with the candidate • ensure the member of centre staff is not solely involved in making assessment decisions for the affected candidate for any internally assessed component/unit • ensure the marked work will be submitted for moderation whether or not it is part of the moderation sample

Member of exams office staff has a member of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) being entered for examinations and assessments either at this centre itself or other centres (This would also include the head of centre and member(s) of the senior leadership team who are responsible for examination administration)	To: • ensure that the member of exams office staff does not have unaccompanied access to examination materials (for example, question papers, pre-release materials, answer scripts, etc) • ensure that another person is present for particular administrative arrangements relating to the candidate's exams/assessments • The Deputy Exams officer or lead invigilator would need to be present if the Exams Officer has a conflict of interest to ensure that they are accompanied at all times in the secure room and do not have access to examination materials.
Member of staff is taking a qualification(s) at this centre which does not include internally assessed components/units	To: • prevent the member of centre staff having access to examination materials prior to the examination • brief other relevant centre staff on maintaining the integrity and confidentiality of examination materials • ensure the member of centre staff is treated in the same way as any other candidate entered for that examination, does not have access to examination materials and does not receive any preferential treatment
Taking a qualification(s) at another centre	To ensure the member of centre staff does not have access to examination materials for the same awarding body qualification if this is delivered in the centre.

This process is reviewed annually to ensure compliance with current regulations

Reviewed by Deputy Head (Academic)	
Approved by - LM	
Date of next review	November 2026

Appendix 14



MALPRACTICE POLICY

2025/2026

Key staff involved in the Malpractice policy:

Role	**Name(s)**
Head of centre	**Deneal Smith**
Exams officer line manager (Senior leader)	**Madeleine Bowley**
Exams officer	**Caroline du Plessis**

Introduction

Bootham School manages malpractice, in accordance with the JCQ General Regulations for Approved Centres (section 5.11). Under normal delivery arrangements we take all reasonable steps to prevent the occurrence of any malpractice (which includes maladministration) before, during and after examinations and report and investigate as detailed in Bootham's general Exams policy according to the requirements.

Purpose of the policy

This policy addresses malpractice in line with JCQ guidance

All staff involved have been made aware of this policy.

General principles

In accordance with the regulations Bootham will:

- take all reasonable steps to prevent the occurrence of any malpractice (which includes maladministration) before, during and after the determination of grades process
- 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, including:
    - the JCQ M1 form in a case of suspected candidate malpractice
    - the JCQ M2 form in a case of suspected malpractice/maladministration involving a member of centre staff
- as required by an awarding body, investigate any instances of alleged or suspected malpractice (which includes maladministration) in accordance with the JCQ publication JCQ Suspected Malpractice: Policies and Procedures and provide such information and advice as the awarding body may reasonably require
- Where misconduct is suspected, disciplinary procedures will be followed
- Ensure that staff understand key dates and deadlines, and that there are procedures in place to ensure that they are met.
- If the use of AI is suspected, we reserve the right to investigate.

Where reference is made to candidates, this includes any private candidates accepted by the centre

Reporting malpractice

Candidates are informed and advised to avoid committing malpractice in examinations through briefing sessions and the candidate handbook. They are informed and advised of how to avoid committing malpractice in assessments by their teachers, who guide them through the NEA Information for Candidates and AI use in assessments

Candidates (or an individual acting on their behalf)

In accordance with JCQ Guidance on the determination of grades for A/AS Levels and GCSEs for Summer 2026 each candidate will be made aware of the evidence that is going to be used and understand that the range of evidence used to determine a grade is not negotiable.

Where a candidate might attempt to gain an unfair advantage during the centre's process on the determination of grades by, for example, submitting fabricated evidence or plagiarised work, or any other act deemed as malpractice in the JCQ Suspected Malpractice: Policies and Procedures 2025-2026, Bootham will submit a report of suspected candidate malpractice to the relevant awarding body.

Where a candidate, or an individual acting their behalf such as a parent/carer, might try to influence grade decisions by applying pressure to the centre or any of its staff, Bootham will keep and retain clear and reliable records of the circumstances and the steps taken, and make the candidate aware of the outcome. This will include a record that confirms the candidate had been made aware of the evidence that was going to be used and understand that the range of evidence used to determine a grade was not negotiable.

However, if a candidate or an individual acting on their behalf continues to inappropriately attempt to pressure centre staff, a report of suspected candidate malpractice will be submitted to the relevant awarding body.

A report will be submitted by completing the appropriate documentation as guided by the individual awarding body concerned, including the form JCQ M1 Report of suspected candidate malpractice.

- This form must be used by the head of the centre to notify the appropriate awarding body of an instance of suspected candidate malpractice in the conduct of examinations or assessments
- It can also be used to provide a report on investigations into instances of suspected malpractice
- In order to prevent the issue of erroneous results and certificates, it is essential that the awarding body concerned is notified immediately of instances of suspected candidate malpractice

Centre staff

Bootham School will report any instances of potential malpractice (which includes maladministration) where any centre staff fail to follow the published requirements for determining grades. The Head of Centre will ensure that an appropriate adult (eg parent) is informed when a child/vulnerable adult is the suspect of malpractice investigation

Examples of potential malpractice taken from the JCQ Guidance on the determination of grades for A/AS Levels and GCSEs for Summer 2026 includes but is not limited to:

- Exam entries are created for students who had not studied the course of entry or had not intended to enter for June 2026
- Grades created for students who have not been taught sufficient content to provide the basis for that grade
- A teacher deliberately and inappropriately disregarding the centre's published policy when determining grades
- A teacher fabricating evidence of candidate performance to support an inflated grade
- A teacher deliberately providing inappropriate levels of support before or during an assessment, including deliberate disclosure of mark schemes and assessment materials, to support an inflated grade
- A teacher intentionally submitting inflated grades

- A failure to retain evidence used in the determination of grades in accordance with the JCQ Grading guidance
- A systemic failure to follow the centre's policy in relation to the application of Access Arrangements or Special Consideration arrangements for students in relation to assessments used to determine grades
- A failure to take reasonable steps to authenticate student work
  A failure to appropriately manage Conflicts of Interest (COIs) within a centre
- A Head of Centre's failure to submit the required declaration when submitting their grades
- Grades being released to students (or their parents/carers) before the issue of results
- Failure to cooperate with an awarding body's quality assurance, appeal or investigation processes
- Failure to conduct a centre review or submit an appeal when requested to do so by a student

A report will be submitted by completing the appropriate documentation as guided by the individual awarding body concerned, including the form JCQ M2 Notification of suspected malpractice / maladministration involving centre staff.

- This form must be completed by the head of centre before an investigation commences to notify an awarding body of an instance of alleged, suspected or actual malpractice or maladministration
- The form must be completed and submitted to the appropriate awarding body immediately a suspicion is raised or an allegation received
- The statements gathered must answer all of the questions raised by the investigating body.
- The line manager for exams must not investigate the alleged malpractice or maladministration
- All those interviewed or making a statement should be made aware that awarding bodies may share information with others
- Where appropriate, centres should retain originals of unauthorised material found in the exam room

This process is reviewed annually to ensure compliance with current regulations

Reviewed by Deputy Head (Academic)	
Approved by - LM	
Date of next review	November 2026

Appendix 15

CYBER SECURITY POLICY (Centre-wide & Exams)

2025/26

Key staff involved in the policy

Role	Name(s)
Governor(s)	Marcus Elmhirst
Head of centre	Deneal Smith
Senior leader(s) i/c exams	Madeleine Bowley
Exams officer	Caroline du Plessis
Other staff	James Ratcliffe

Purpose of the policy

At Bootham School, the confidentiality, integrity, and availability of our information assets, IT systems, and the personal data of students, staff, and stakeholders are of paramount importance.

This policy establishes our comprehensive cyber security framework, delineates the duties and accountabilities of all relevant parties, and ensures strict adherence to JCQ regulations, the Data Protection Act 2018, the UK General Data Protection Regulation, and the statutory guidance detailed in *Keeping Children Safe in Education*.

This Cyber Security Policy details the measures taken at Bootham School to mitigate the risk of cyber threats under the following sections:

1. Roles and responsibilities
2. Complying with JCQ regulations
3. Cyber security best practice
4. Account management best practice
5. Training

The senior leadership team recognises the need for staff involved in the management, administration and conducting of examinations to play a critical role in maintaining and improving cyber security at Bootham School. This includes ensuring that all members of centre staff who access awarding bodies' online systems undertake annual cyber security training.

In addition to adhering to industry best practices, the following areas are addressed in this policy to ensure that members of the exams team protect their individual digital assets:

- Cyber Security Awareness and Training
- Device Security and Asset Register
- Creating strong, unique passwords
- Keeping all account details secret
- 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
- Staying alert for all types of social engineering/phishing attempts
- Monitoring accounts and reviewing account access regularly

Scope

This policy applies to all staff who have access to Bootham's IT systems and data, with particular focus placed upon those members of staff who are involved in the management, administration and conducting of examinations and assessments.

Review

A designated member of the Senior Leadership Team will carry out annual evaluation of this policy, incorporating updates as required to remain abreast of new technologies, threat developments, and industry best practices.

Upon completion of the review and any revisions, the policy will receive formal approval from [insert names of staff members].

1. Roles and responsibilities

Governors

- To oversee and review cyber security arrangements and policy compliance

Head of centre/Senior leadership team

- To provide overall responsibility for policy implementation and cyber security strategy

- To ensure that an up-to-date device security and asset register is maintained which details all computers, devices, and user accounts used for examinations and assessment administration. This ensures that all technology used is regularly reviewed, patched, and secured, thus reducing the risk of overlooked vulnerabilities being exploited
- To ensure that all devices are secured with up-to-date anti-malware and software updates
- To ensure that members of the exams team, supported/led by the IT team, adhere to best practice(s) in relation to:
    - the management of individual/personal data/accounts
    - centre wide cyber security including:
        - Establishing a robust password policy
        - Enabling multi-factor authentication (MFA)
        - Keeping software and systems up to date
        - Implementing network security measures
        - Conducting regular data backups
        - Educating employees on security awareness
        - Developing and testing an incident response plan
        - Regularly assessing and auditing security controls
        - Managing and reporting a cyber-attack which impacts any learner data, assessment records or learner work

IT Manager/Team

- To implement technical controls, monitor systems, respond to incidents, manage access and updates

Data Protection Officer

- To ensure compliance with data protection law, advise on data handling, and oversee data breaches

All staff

- To follow this policy, complete annual training, report incidents or concerns promptly within the centre

Exams officer/Exams assistant

- To ensure that they follow best practice in relation to the management of individual/personal data/accounts
- To provide evidence of an awareness of best practice in relation to cyber security as defined by JCQ regulations/guidance, including the completion of certificated, annual, up-to-date cyber security awareness training
- To undertake training on:
    - the importance of creating strong, unique passwords
    - keeping all account details secret
    - enabling additional security settings wherever possible
    - updating any passwords which may have been exposed
    - setting up/an awareness of secure account recovery options
    - reviewing and managing connected applications
    - awareness of all types of social engineering/phishing attempts
    - reviewing and monitoring account access on a regular basis

Students/users

- To follow this policy, complete annual training, report incidents or concerns promptly within the centre

2. Complying with JCQ regulations

The head of centre/senior leadership team at Bootham School ensure that there are procedures in place to maintain the security of user accounts in line with JCQ regulations (sections 3.20 and 3.21 of the *General Regulations for Approved Centres* document) by:

- Developing and maintaining this cyber security policy
- Ensuring that all members of centre staff who access awarding bodies' online systems undertake annual, certificated cyber security training which includes:
    - the importance of creating strong, unique passwords
    - keeping all account details strictly confidential
    - the critical role of Multi-Factor Authentication (MFA) in protecting against unauthorised access
    - how to properly set up and use MFA for both centre and awarding bodies' systems
    - an awareness of all types of social engineering/phishing attempts
    - the importance of staff quickly reporting suspicious activity, events and incidents
- Downloading and retaining certificates of completed staff cyber training on file
- Implementing and enforcing robust security measures, including:
    - mandatory Multi-Factor Authentication (MFA) for all accounts and systems containing exam-related information, including those that interface between awarding body and centre systems, to enhance security and protect sensitive data
    - regularly reviewing and updating security settings to align with current best practices
- 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* (www.jcq.org.uk/exams-office/general-regulations), and that where necessary, they have access 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

3. Cyber security best practice

The head of centre/senior leadership team at Bootham School ensure that:

- Security measures are in place including:
    - Firewalls and network security controls
    - Anti-virus and anti-malware software on all devices
    - Regular software updates and patch management
    - Secure data backup and tested recovery procedures
    - Encryption for sensitive and personal data
    - Multi-factor authentication (MFA) for critical systems and remote access
    - Secure configuration and monitoring of cloud services (e.g., Office 365, Google Workspace).
    - Prompt removal of access for leavers
- They and all staff involved in the management, administration and conducting of examinations/assessments stay informed about the latest security threats and trends in account security.

- Staff within the exams team are educated on how to identify phishing attempts, use secure devices and how to protect systems and data through INSET training days.

Best practice, advice and guidance from Bootham School is observed for all IT systems, particularly those where learner information, learner work or assessment records are held.

National Cyber Security Centre (NCSC) training and guidance is followed at [insert centre name] which includes:

- Establishing a robust password policy
- Enabling multi-factor authentication (MFA)
- Keeping software and systems up to date
- Implementing network security measures
- Conducting regular data backups
- Educating employees on security awareness
- Developing and testing an incident response plan
- Regularly assessing and auditing security controls

The Exams Office training and guidance is followed at Bootham School which includes:

- Good practice in creating strong and unique passwords
- Account security: Keeping account details secret (including sharing passwords, remembering passwords and monitoring account access)
- Additional security settings (including, multi-factor/two-step/two-factor authentication, the security of confidential examination materials)
- Updating expired or exposed passwords
- Account recovery (including recovery options)
- Reviewing and managing connected applications (including reviewing and removing access, using a third-party or a cloud service, granting permissions, saving passwords, saving details on local web browsers, using a shared browser)
- Social engineering/phishing attempts (including suspicious emails and phone calls, sharing information, QR codes, phishing attempts, recovery plan)
- Monitoring and reviewing access (including suspicious, unusual or unauthorised activity, departing staff, levels of access, reviewing user accounts)

Exam specific guidance is also provided on each of the areas listed above

By adopting industry standard cyber security best practices, the head of centre/senior leadership team are significantly reducing the risk of cyber-attacks and protecting valuable data and assets within the centre.

If a cyber-attack which impacts any learner data, assessment records or learner work is experienced, the senior leadership team/exams officer will contact the relevant awarding body/bodies immediately for advice and support.

4. Account management best practice

Creating strong unique passwords

- *Password governance follows National Cyber Security Centre guidance*
- *Exams office staff are informed that password length is a more valuable defence than complexity and instructed to use a password creation approach such as three random words to generate suitably secure passwords*
- *Exams office staff will not use easily guessable information such as birthdays, singular names or common words for a password*
- *For every account, users are instructed to use a strong unique password and that the same password is not used across any other account(s)*

Keeping all account details secret

- *Exams office staff are instructed never to share login/password details or additional factor/authentication codes with anyone else*
- *Staff who require access to a system will request their own user account and never share an account assigned for their use with anyone else. Staff are reminded that anything done with an account assigned to someone will be attributed to that person in the first instance*

Enabling additional security settings wherever possible

Examples

- *All staff will follow awarding body two-step verification (2SV)/two-factor verification (2FA) or multi-factor authentication (MFA) wherever available/requested. Staff are made aware of the purpose of 2SV/2FA /MFA, which includes:*
  - *adding a layer of account security*
  - *helps to protect users if the extra steps/factors are protected*

Updating any passwords that may have been exposed

- *If it is believed that a password may have been exposed/become known to others, staff will inform their senior leader/line manager immediately*
- *Any exposed passwords will be changed as soon as possible, and the new passwords should not be shared with anyone except their senior leader/line manager*
- *Staff are instructed to use strong unique passwords (e.g. three random words) when changing passwords and that old passwords should not be reused nor should cycling through a small set of passwords across multiple accounts be used*

Setting up secure account recovery options

- *Staff are instructed to follow centre account recovery options which include: ensuring recovery processes are initiated from secure, trusted devices, and using verified phone numbers for SMS based recovery.*

Reviewing and managing connected applications

- *Staff within the exams team will regularly review and remove access for third-party applications or services that no longer require access to accounts*
- *Staff will be informed that access should only be provided to trusted services*
- *Staff will be asked to be particularly cautious when interacting with content and services (e.g. quizzes, prize draws, surveys etc.)*
- *Staff will only grant permissions to required applications or the necessary access to allow them to function*
- *Staff will only download and install applications with established reputations from trusted sources*
- *Staff will not save passwords to local web browsers unless a secure password manager extension is used in a browser that requires unlocking (e.g. with another password) before the saved account details can be retrieved, however care will be taken to ensure that this is locked/signed out of after use*
- *When using a shared browser, staff will clear browser history and caches after use*

Staying alert for all types of social engineering/phishing attempts

- *Staff must take care if unsolicited or unexpected emails, instant messages, or phone calls are received asking for account credentials or personal or confidential information. Passwords and 2FA/MFA authentication codes should not be given out to anyone*
- *Staff are instructed that they should have a wariness of anyone or anything that seems to want to gain their trust, rush them into doing something or that just seems off, they should hang up/not reply and not click on links or take any action and check with a trusted party via a secure channel (i.e. call awarding body customer services via a known support number)*
- *Staff will never approve or authenticate a login request that they did not initiate*
- *Staff will not share codes/approve logins. Requests to share codes/approve logins should be treated with a high degree of suspicion*
- *Staff will not click on suspicious links, download attachments or scan QR codes from unknown sources*
- *The centre will provide exams team staff with a secure QR code scanner with a good reputation to help gauge whether a QR code is suspicious or malicious*
- *Staff will verify the authenticity of any communication by contacting the organisation directly through official known channels*
- *Staff will report any phishing attempts which reference awarding bodies/their systems to the awarding body concerned immediately*

Monitoring accounts and reviewing account access

- *Centre staff accounts will be routinely reviewed for any suspicious, unusual or unauthorised activity*
- *If any suspicious, unusual or potentially unauthorised activity on awarding body systems is observed this will be immediately reported to the relevant awarding body, particularly if it is believed that user account security may have been compromised*
- *Access control and permissions are based on job roles and reviewed regularly*
- *Levels of access for all exams team staff are reviewed regularly to ensure accounts have the minimum level of access required for their current role*
- *Accounts are promptly disabled when users leave*
- *Account activity is monitored and audited*

5. Training

The head of centre/senior leadership team ensure that there are procedures in place to maintain the security of user accounts by ensuring that all staff who have responsibility for the administration or delivery of examinations complete annual cyber security training and annual refresher training with practical advice on protecting assessment systems and recognising attacks such as phishing or social engineering.

Records of cyber training are retained for all staff and are available for inspection

- Annual Training for all staff as part of INSET
- Exam training twice a year via exam office

This policy is reviewed annually to ensure compliance with current regulations

Reviewed by Deputy Head (Academic)	
Approved by - LM	
Date of next review	November 2026