Coast and Vale

WHERE LEARNERS AND STAFF THRIVE

Trust Policy

Trust Exams Policy

Approver: Trustees / Educational Effectiveness Committee
Review Cycle: Annual

Revision History			
Date	**Version**	**Short Description of Changes**	**Approved by:**
May 22	V1.0	First trust wide exams policy	Trustees
May 23	V1.1	Staff updated. Policy numbered. Sections 2-3 and 8.8.1 added. Appendix 29 added	EEC

This Policy Applies To:
Secondary Schools Colleges

Document Management Information

Applicable to:	All secondary schools
Development and Consultation:	Template policy from The Exams Office has been used.
Dissemination:	Staff will be notified of the policy by the Staff News. The policy will be made available via the Trust website to the broader school communities.
Implementation:	To be used in the preparation, planning and administration of examinations.
Training:	The Exams Office provides training to Exam Officers and Invigilators. The training covers new starter information as well as policy and guidance updates from the JCQ.
Review Frequency:	Annual
Based on:	v1.0 and JCQ updates
Policy Author:	Trust Data and Assessment Manager
Executive Policy Owner:	Director of Learning
Approval by:	Educational Effectiveness Committee
Version	V1.1
Approval Date:	2 May 2023
Next Review Due:	May 2024

If you require this policy in a more accessible format please contact the Trust Compliance Officer on compliance@coastandvale.academy

Executive summary text for current policy version:

The Trust Exam Policy had been updated to include links to other Trust policies. Section 8.8.1 – Second Pair of Eyes check has been added. Appendix 29 added – the Cyber Response Plan added. Filey School details are now also included in this policy.

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1 Key staff involved in the exams policy

Trust Central Team	
Role	**Name(s)**
Director of Learning	**Michael McCluskie**
Trust Data, Assessment and Exams Manager	**Carl Comery**

Lady Lumley's School	
Role	**Name(s)**
Head of Centre	**Clair Foden**
Exams line manager (Senior Leader)	**Sam Squibb**
Exams Officer	**Janine Turner**
SENCo	**Sue Robinson**
Senior Leader(s)	**Clair Foden, , Alex Carter, Brian Davis, Tanya Elsworth, Sam Squibb**

Scalby School	
Role	**Name(s)**
Head of Centre	**Christopher Robertson**
Exams line manager (Senior Leader)	**Richard Davis**
Exams Manager	**Sarah Clark**
SENCo	**Nicola Davey**
Senior Leader(s)	**Christopher Robertson, Richard Davis, Jordan Philiskirk, Sharon Mallinson, Samantha Twamley, Tina Bielby, Stacey Lewins**

Filey School	
Role	**Name(s)**
Head of Centre	**Michelle Britton**
Exams line manager (Senior Leader)	**Julie Caddell**
Exams Officer	**Jamilla Watkins**
SENCo	**Kate Charters**
Senior Leader(s)	**Michelle Britton, Julie Caddell, Mike Anderson, Kate Charters, Jodie Emmerson, Amanda Pickering, Joanne Rowland, James Gunning, Linda Hinchliffe, James Clappison**

Scarborough University Technical College	
Role	**Name(s)**
Head of Centre	**Helen Dowds**
Exams line manager (Senior leader)	**John Connell**
Exams Officer	**Julianne Haigh**
SENCo	**Hayley Briggs**
Senior Leader(s)	**Helen Dowds, John Connell, Natalie Griffiths, Vanessa Smallwood**

2 Purpose of the policy

2.1 Coast and Vale Learning Trust (the Trust) is committed to ensuring that the exams management and administration process in all our centres is run effectively and efficiently and in compliance with the published JCQ regulations and awarding body requirements.

2.2 This exam policy will ensure that:

- all aspects of the centre's exam process is 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

2.3 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.

2.4 This policy will be communicated to all relevant centre staff.

3 Other Policies / Documents

3.1 No other policy should be used for the running and management of exams in any Trust school. This policy has links to other Trust or local school policies. This list is not exhaustive, but indicative:

- Trust Data Protection Polices
- Trust Whistleblowing Policy
- Trust & School SEN Policy
- School Lockdown Procedures
- Cyber Response Plan

4 External Links

4.1 The following links should be regularly referenced by relevant staff when needed:

- General Regulations for Approved Centres (GR)
- Instructions for Conducting Examinations (ICE)
- Access Arrangements and Reasonable Adjustments (AA)
- Suspected Malpractice - Policies and Procedures (SM)
- Instructions for conducting non-examination assessments (NEA) (and the instructions for conducting coursework)
- A guide to the special consideration process (SC)

5 Roles and Responsibilities

5.1 Overview

5.1.1 **The head of centre** is the individual who is accountable to the awarding bodies for ensuring that the centre is always compliant with the published JCQ regulations and awarding body requirements in order to ensure the security and integrity of the examinations/assessments.

5.1.2 **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.

5.1.3 **The head of centre may not appoint themselves as the Exams Officer.** A head of centre and an Exams Officer are two distinct and separate roles. (GR 2)

5.1.4 Head of centre responsibilities

5.1.4.1 The 'head of centre' is the most senior operational officer in the organisation. This is the Headteacher of the relevant centre. It is the responsibility of the head of centre to ensure that all staff comply with the instructions in this Policy.

5.1.4.2 For details about specific head of centre responsibilities, see sections 1, 8, 11, 12, 13, 16, 24, Appendix 1, section 6 and Appendix 8. (ICE Introduction)

5.1.5 Head of Centre

5.1.5.1 Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:

- General Regulations for Approved Centres (GR)
- Instructions for Conducting Examinations (ICE)
- Access Arrangements and Reasonable Adjustments (AA)
- Suspected Malpractice - Policies and Procedures (SM)
- Instructions for conducting non-examination assessments (NEA) (and the instructions for conducting coursework)
- A guide to the special consideration process (SC)

5.1.5.2 Ensures the centre has appropriate accommodation to support the size of the cohorts being taught including appropriate accommodation for candidates requiring access arrangements for exams and assessments

5.2 National Centre Number Register

5.2.1 Takes responsibility for confirming, on an annual basis, that they are aware of and adhering to the latest version of the JCQ's regulations by responding

to the head of centre's declaration which is managed as part of the National Centre Number Register (NCNR) annual update

5.2.2 Understands that this responsibility cannot be delegated to a member of the senior leadership team or the Exams Officer, and acknowledges that failure to respond to the NCNR annual update, and/or the head of centre's declaration, will result in:

5.2.3 the centre status being suspended

5.2.4 the centre not being able to submit examination entries

5.2.5 the centre not receiving or being able to access question papers

5.3 Recruitment, selection and training of staff

5.3.1 Retains a workforce of an appropriate size and competence, including sufficient managerial and other resource, to undertake the delivery of the qualification as required by an awarding body. This includes taking reasonable steps to ensure occupational competence where this is required for the assessment of specific qualifications

5.3.2 Provides fully qualified teachers to mark non-examination assessments, and/or fully qualified assessors for the verification of centre-assessed components

5.3.3 Enables the relevant senior leader(s), the Exams Manager/Officer (EM/O) and the SENCo to receive appropriate training and support in order to facilitate the effective delivery of examinations and assessments within the centre, and ensure compliance with the published JCQ regulations

5.3.4 Appoints a SENCo who will determine appropriate arrangements for candidates with learning difficulties and disabilities

5.4 Internal governance arrangements

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

5.5 Escalation Process

5.5.1 It is the responsibility of the head of centre to ensure that their centre has in place a written escalation process should the head of centre, or a member of the senior leadership team with oversight of examination administration, be absent (GR 5.3). See Appendix 1.

5.5.2 Has in place a member of the senior leadership team who will provide support and guidance to the Exams Manager/Officer and ensure that the integrity and security of examinations and assessments is maintained throughout an examination series

5.5.3 Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the EM/O

5.5.4 Makes sure that a teacher, a tutor or a senior member of centre staff who teaches the subject being examined, is not an invigilator during an examination

5.6 Delivery of qualifications

5.6.1 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

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

5.7 Public liability

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

5.8 Security of assessment materials

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

- the location of the centre's secure storage facility in a secure room solely assigned to examinations for the purpose of administering secure examination materials
- appropriate arrangements are in place to ensure that confidential materials are only handed over to authorised members of centre staff
- access to the secure room and secure storage facility is restricted to the authorised two to six keyholders (ensuring only persons authorised by the head of centre and the Exams Manager/Officer are allowed access to the centre's secure storage facility as one of the two to six key holders)
- the relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk
- that arrangements are in place to check that the correct question paper packets are opened by authorised members of centre staff

5.8.2 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 publication Instructions for conducting examinations

5.8.3 Makes arrangements to receive and issue material received from the awarding bodies to staff and candidates, and notify them of any advice and instructions relevant to the examinations and assessments

5.8.4 Allows candidates access to relevant pre-release materials on, or as soon as possible after, the date specified by the awarding bodies

5.8.5 Obtains written approval from the relevant awarding body before permitting a third party to deliver any part of a qualification including assessments

5.8.6 Through taking an ethical approach and working proactively to avoid malpractice among students and staff takes all reasonable steps to prevent the occurrence of any malpractice/maladministration before, during the course of and after examinations have taken place

5.8.7 Ensures irregularities are investigated and informs the awarding bodies of any cases of alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, are reported to the awarding body immediately

5.8.8 Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place (that allow the senior leadership team to act immediately in the event of an emergency or staff absence)

5.9 Exam Contingency Plan

5.9.1 Head of centre will initiate the Exam Contingency Plan, see Appendix 2

5.9.2 Ensures required internal appeals procedures are in place and drawn to the attention of candidates and (where relevant) their parents/carers

5.10 Distance / Blended learning Procedures

5.10.1 In case of lockdown the Head of Centre will implement a Distance / Learning approach in line with the procedure and guidance in Appendix 3 and 4.

5.10.2 Head of centre will ensure that there is an Internal Appeal Procedure in line with Appendix 5

5.11 Equalities Guidance [needs input from TBI / HPE]

5.11.1 The Head of Centre will ensure that process are in place in terms of ensuring equality of treatment and access inline with the Equalities guidance in Appendix 6 and the Trust's Equality Policy.

5.11.2 Ensures a complaints and appeals procedure 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 (Appendix 7).

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

5.12 Child Protection/Safeguarding Policy

5.12.1 The Head of Centre will ensure that in relation to examinations the school will follow the Trust's Child Protection/Safeguarding Policy (see Trust website)

5.12.2 Ensures the centre follows Trust Data Protection Policies and that staff are fully trained in their application.

5.12.3 Ensures the centre has documented processes in place relating to access arrangements and reasonable adjustments as detailed in Appendix 8

5.13 Conflicts of interest

5.13.1 Ensures the relevant awarding bodies are informed of any **Conflict of Interest** where

- a member of centre staff is taking a qualification at the centre which includes internally assessed components/units (taking at the centre as a last resort where unable to find an alternative centre)
- a candidate is being taught and prepared for a qualification which includes internally assessed components/units by a member of centre staff with a personal connection to the candidate

5.13.2 Maintains records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected by the above, and where

- a member of exams office staff have a personal connection to a candidate being entered for exams and assessments at the centre or at another centre
- a member of centre staff is taking a qualification at the centre which does not include internally assessed components/units (taking at the centre as a last resort where unable to find an alternative centre)
- a member of centre staff is taking a qualification at another centre

5.13.3 Ensures other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials are briefed on the requirements for maintaining the integrity and confidentiality of the exam materials

5.13.4 Head of Centre will ensure that this is completed in line with appendix 9

5.13.5 Ensures members of centre staff do **not** forward e-mails and letters from awarding body or JCQ personnel without prior consent to third parties or upload such correspondence onto social media sites and applications

5.13.6 Ensures members of centre staff do **not** advise parents/candidates to contact awarding bodies/JCQ directly nor provide them with addresses/email addresses of awarding body examining/assessment or JCQ personnel

6 Centre inspections

6.1 All Centre Staff

6.1.1 Co-operates with the JCQ Centre Inspection Service, an awarding body or a regulatory authority when subject to an inspection, an investigation or an unannounced visit, and takes all reasonable steps to comply with all requests for information or documentation made by an awarding body or regulatory authority as soon as is practical

6.1.2 Allows all venues used for examinations and assessments, paperwork and secure storage facilities to be open to inspection

6.1.3 Understands the JCQ Centre Inspector will identify him/herself with a photo ID card and must be accompanied throughout his/her tour of the premises, including inspection of the centre's secure storage facility

6.2 Exams Manager/Officer

6.2.1 Understands the contents of annually updated JCQ publications including:

- General Regulations for Approved Centres
- Instructions for Conducting Examinations
- Suspected Malpractice - Policies and Procedures
- Post-results services (PRS)
- A guide to the special consideration process

6.2.2 Completes/submits the National Centre Number Register annual update (administered on behalf of the JCQ member awarding bodies by OCR by the end of October each year

6.2.3 Is familiar with the contents of annually updated information from awarding bodies on administrative procedures, key tasks, key dates and deadlines

6.2.4 Ensures key tasks are undertaken and key dates and deadlines met

6.2.5 Recruits, trains and deploys a team of internal/external invigilators; appoints lead invigilators, as required and keeps a record of the content of training provided to invigilators for the required period

6.2.6 Works with the SENCo 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

6.2.7 Supports the head of centre in ensuring that awarding bodies are informed of any Conflict of Interest declared by members of centre staff and in maintaining records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected before the published deadline for entries

6.2.8 Briefs other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials on the requirements for maintaining the integrity and confidentiality of the exam materials

6.3 Senior leaders

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

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

6.4 Special educational needs co-ordinator (SENCo)

6.4.1 Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:

- Access Arrangements and Reasonable Adjustments

6.4.2 Leads on the access arrangements and reasonable adjustments process (referred to in this policy as 'access arrangements')

6.4.3 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

6.4.4 Presents when requested by a JCQ Centre Inspector, evidence of the assessor's qualification

6.5 Middle leaders

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

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

6.5.3 Ensure teaching staff attend relevant awarding body training and update events

6.6 Teaching staff

6.6.1 Undertake key tasks, as detailed in this policy, within the exams process and meet internal deadlines set by the EM/O and SENCo

6.6.2 Keep updated with awarding body subject and teacher-specific information to confirm effective delivery of qualifications

6.6.3 Attend relevant awarding body training and update events

6.7 Invigilators

6.7.1 Attend/undertake training, update, briefing and review sessions as required

6.7.2 Provide information as requested on their availability to invigilate

6.7.3 Sign a confidentiality and security agreement and confirm whether they have any current maladministration/malpractice sanctions applied to them

6.8 Reception staff

6.8.1 Support the EM/O in the receipt and dispatch of confidential exam materials and follow the requirements for maintaining the integrity and confidentiality of the exam materials

6.9 Site staff

6.9.1 Support the EM/O in relevant matters relating to exam rooms and resources

6.10 Candidates

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

7 The Exam Cycle

7.1 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

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

7.2 Planning: roles and responsibilities

7.2.1 Information sharing

7.2.1.1 Head of Centre

7.2.1.1.1 Directs relevant centre staff to annually updated JCQ publications including GR, ICE, AA, SM, NEA (and the instructions for conducting coursework) and SC

7.2.1.2 Exams Manager/Officer

7.2.1.2.1 Signposts relevant centre staff to JCQ publications and awarding body documentation relating to the exams process that have been updated

7.2.1.2.2 Signposts relevant centre staff to JCQ information that should be provided to candidates

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

7.2.2 Information gathering

7.2.2.1 Exams Manager/Officer

7.2.2.1.1 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

7.2.2.1.2 Collates all information gathered into one central point of reference

7.2.2.1.3 Researches awarding body guidance to identify administrative processes, key tasks, key dates and deadlines for all relevant qualifications

7.2.2.1.4 Produces an annual exams plan of key tasks and key dates to ensure all external deadlines can be effectively met; informs key centre staff of internal deadlines

7.2.2.1.5 Collects information on internal exams to enable preparation for and conduct of (insert the titles these internal exams are referred to in the centre)

7.2.2.2 Senior leaders

7.2.2.2.1 Respond (or ensure teaching staff respond) to requests from the EM/O on information gathering

7.2.2.2.2 Meet the internal deadline for the return of information

7.2.2.2.3 Inform the EM/O of any changes to information in a timely manner minimising the risk of late or other penalty fees being incurred by an awarding body

7.2.2.2.4 Note the internal deadlines in the annual exams plan and directs teaching staff to meet these

7.2.3 Access arrangements

7.2.3.1 Head of centre

7.2.3.1.1 Ensures there is appropriate accommodation for candidates requiring access arrangements in the centre for all examinations and assessments

7.2.3.1.2 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 per Chapter 7 of the JCQ publication Access Arrangements and Reasonable Adjustments

7.2.3.1.3 Ensures the SENCo is fully supported in effectively implementing access arrangements and reasonable adjustments once approved

7.2.3.2 SENCo

7.2.3.2.1 Assesses candidates (or works with the appropriately qualified assessor as appointed by the head of centre) to identify access arrangements requirements

7.2.3.2.2 Gathers **evidence** to support the need for access arrangements for a candidate

7.2.3.2.3 Liaises with teaching staff to gather evidence of **normal way of working** of an affected candidate

7.2.3.2.4 Determines candidate eligibility for arrangements or adjustments that are centre-delegated

7.2.3.2.5 Gathers signed **Personal data consent, Privacy Notice (AAO) and Data Protection confirmation** forms (from candidates where required

7.2.3.2.6 Applies for **approval** through **Access arrangements online** (AAO) via the **Centre Admin Portal** (CAP), where required or through the awarding body where qualifications sit outside the scope of AAO

7.2.3.2.7 Keeps a file for each candidate for JCQ inspection purposes containing all the required documentation (if documentation is stored electronically, an e-folder must be created for each individual candidate. The candidate's e-folder must hold each of the required documents for inspection)

7.2.3.2.8 Employs good practice in relation to the Equality Act 2010

7.2.3.2.9 Liaises with the EM/O regarding exam time arrangements for access arrangement candidates

7.2.3.2.10 Ensures staff appointed to facilitate access arrangements for candidates are appropriately 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

7.2.3.2.11 Works with the EM/O 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

7.2.3.2.12 Provides and annually reviews centre guidance on the **use of word processors** in exams and assessments, as per Appendix 10

7.2.3.2.13 Ensures criteria for candidates granted **separate invigilation within the centre** is clear, meets JCQ regulations and best meets the needs of individual candidates and remaining candidates in main exam rooms (see Appendix 11)

7.2.3.3 Senior leaders, Teaching staff

7.2.3.3.1 Support the SENCo in determining and implementing appropriate access arrangements

7.2.3.3.2 Provide a statement for inspection purposes which details the criteria the centre uses to award and allocate word processors for examinations

8 Internal assessment and endorsements

8.1 Controlled assessments, coursework and non-examination assessments

8.1.1 Head of centre

8.1.1.1 Ensures arrangements are in place to co-ordinate and standardise all marking of centre- assessed components and ensures that candidates' centre-assessed work is produced, authenticated and marked, or assessed and quality assured in accordance with the awarding bodies' instructions (including where relevant, private candidates)

8.1.1.2 Ensures that teaching staff, in accordance with awarding bodies' instructions, return all subject-specific forms by the required date

8.1.1.3 Provides fully qualified teachers to mark non-examination assessments

8.1.1.4 Ensures an **internal appeals procedure** relating to internal assessment decisions is in place for a candidate to appeal against and request a review of the centre's marking (see Roles and responsibilities overview)

8.1.1.5 Ensures **non-examination assessment Guidance** is in place for GCE and GCSE qualifications which include components of non-examination assessment *See Appendix 12-14*

8.1.1.6 Ensures any irregularities relating to the production of work by candidates are investigated and dealt with internally if discovered prior to a candidate signing the authentication statement (where required) or reported to the awarding body if a candidate has signed the authentication statement

8.1.2 Senior leaders

8.1.2.1 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)

8.1.2.2 Ensure appropriate internal moderation, standardisation and verification processes are in place

8.1.2.3 Ensure teaching staff delivering AQA Applied General qualifications, OCR Cambridge Nationals, Entry Level Certificate or Project qualifications (and CCEA GCE unitised AS and A-level qualifications WJEC GCE legacy AS and A-level Health & Social Care) follow JCQ Instructions for conducting coursework and the specification provided by the awarding body

8.1.2.4 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

8.1.2.5 For other qualifications, ensure teaching staff follow appropriate instructions issued by the awarding body

8.1.2.6 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

8.1.3 Teaching staff

8.1.3.1 Ensure appropriate instructions for conducting internal assessment are followed

8.1.3.2 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

8.1.3.3 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

8.1.4 Exams Manager/Officer

8.1.4.1 Identifies relevant key dates and administrative processes that need to be followed in relation to internal assessment

8.1.4.2 Signposts teaching staff to relevant JCQ Information for candidates documents that are annually updated

8.2 Invigilation

8.2.1 Head of centre

8.2.1.1 Ensures relevant support is provided to the EM/O in recruiting, training and deploying a team of invigilators

8.2.1.2 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)

8.2.1.3 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

8.2.2 Exams Manager/Officer

8.2.2.1 Recruits additional invigilators where required to effectively cover all exam periods/series' throughout the academic year

8.2.2.2 Collects information on new recruits to identify if they have invigilated previously and if any current maladministration/malpractice sanctions are applied to them

8.2.2.3 Provides training for new invigilators on the instructions for conducting exams and an annual 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

8.2.2.4 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)

8.2.2.5 Ensures invigilators are briefed on the access arrangement candidates in their exam room and made aware of the access arrangement(s) awarded (ensuring these candidates are identified on the seating plan) and confirms invigilators understand what is and what is not permissible

8.2.2.6 Collects evaluation of training to inform future events

8.3 Entries: roles and responsibilities

8.3.1 Estimated entries collection and submission procedure

8.3.1.1 Exams Manager/Officer

8.3.1.1.1 Requests estimated or early entry information, where this may be required by awarding bodies, from Head of Department/Director of Subject in a timely manner to ensure awarding body external deadlines for submission can be met

8.3.1.1.2 Heads of Department provide details of estimated entries via a spreadsheet to the exams office in February/March to enable budgeting to take place. The estimated entries are then checked and confirmed in September/October, prior to submitting the information via Awarding Body extranets. Makes candidates aware of the JCQ Information for candidates – Privacy Notice at the start of a vocational qualification or when entries are being processed for a general qualification

8.3.1.2 Senior leaders

8.3.1.2.1 Provide entry information requested by the EM/O to the internal deadline

8.3.1.2.2 Inform the EM/O immediately of any subsequent changes to entry information

8.3.2 Final entries

8.3.2.1 Exams Manager/Officer

8.3.2.1.1 Requests final entry information from HoDs in a timely manner to ensure awarding body external deadlines for submission can be met

8.3.2.1.2 Informs HoDs of subsequent deadlines for making changes to final entry information without charge

8.3.2.1.3 Confirms with HoDs final entry information that has been submitted to awarding bodies

8.3.2.1.4 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

8.3.2.1.5 Observes each awarding body's terms and conditions for the entry and withdrawal of candidates for their examinations and assessments

8.3.3 Final entries collection and submission procedure

8.3.3.1 Overview

8.3.3.1.1 Heads of Departments are advised once marksheets are available on MIS to make entries direct into MIS. Heads of Department work with their teams to make their final entries by the deadline set by the Exams Team. Once final entries are complete, reports are issued by the Exams Team to Heads of Department for checking that the final entries are correct. Once the Exams Team have received confirmation that final entries are correct. They are submitted to Awarding Bodies via MIS and A2C.

8.3.3.1.2 Entries are made direct into MIS for GCSE summer entries.

8.3.3.1.3 Lists of final entries are sent to HoD for confirmation of correctness or correction, by the Exams Manager

8.3.3.1.4 Once HoD's confirm all entries are correct, by the deadline set by the Exams Manager, the marksheets are locked and entries submitted.

8.3.3.1.5 Vocational Registration Roles and Responsibilities - Head of Department (& where appropriate – delegated teachers)

- Enters registrations
- Checks that no duplicate registration entries are being made for active or previously registered candidates by directly accessing the awarding body intranet (NB extra care is required to avoid double entry at the launch of new specifications)

8.3.3.2 Senior leaders

8.3.3.2.1 Provide information requested by the EM/O to the internal deadline

8.3.3.2.2 Inform the EM/O 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

8.3.3.2.3 Check final entry submission information provided by the EM/O and confirms information is correct

8.3.4 Entry fees

8.3.4.1 Entries are charged to a central exams budget.

8.3.4.2 Late fees are recharged to departmental budgets, where this is due to delays caused by departmental actions.

8.3.4.3 Where amendments are requested after the fees deadline, and these are at the request of family, fees may be charged to students families.

8.3.5 Late entries (Please see appendix 15 for the processing of in-year starters.)

8.3.5.1 Exams Manager/Officer

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

8.3.5.1.2 Charges any late or other penalty fees to relevant budgets

8.3.5.2 Senior leaders

8.3.5.2.1 Minimise the risk of late entries by

- following procedures identified by the EM/O in relation to making final entries on time
- meeting internal deadlines identified by the EM/O for making final entries

8.3.6 Qualification entries:

8.3.6.1 The Exams Manager/Officer runs a periodic report from MIS to produce a list of the latest in-year starters. This enables details of previous academic referencing (e.g. Unique Learner Number, UCI Number) to be obtained from previous schools in order to ensure that the students Personal Learner Record is kept up to date with all academic achievements made during their education.

8.3.7 Re-sit entries

8.3.7.1 Candidate who have not performed to their potential, based on teacher assessment, will be given resit opportunities in consultation with SLT line management.

8.3.8 Private candidates

8.3.8.1 Heads of centres are free to decide if they wish to accept private candidates. Please see appendix 16 for details of the process.

8.3.9 Candidate statements of entry

8.3.9.1 Exams Manager/Officer

8.3.9.1.1 Provides candidates with statements of entry for checking

8.3.9.2 Teaching staff

8.3.9.2.1 Ensure candidates check statements of entry and return any relevant confirmation required to the EM/O

8.3.9.3 Candidates

8.3.9.3.1 Confirm entry information is correct or notify the EM/O of any discrepancies

8.4 Pre-exams: roles and responsibilities

8.4.1 Access arrangements

8.4.1.1 SENCo

8.4.1.1.1 Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access to exams/assessments for candidates where they are disabled within the meaning of the Equality Act (unless a temporary emergency arrangement is required at the time of an exam)

8.4.1.1.2 Ensures a candidate is involved in any decisions about arrangements, adjustments and /or adaptations that may be put in place for him/her

8.4.1.1.3 Ensures exam information (JCQ information for candidates information, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it

8.4.1.1.4 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)

8.4.1.1.5 Where relevant, ensures the necessary and appropriate steps are undertaken to gather an appropriate picture of need and demonstrate normal way of working for a private candidate (including distance learners and home educated candidates) and that the candidate is assessed by the centre's appointed assessor

8.4.1.1.6 The deadline to complete access arrangements and to request modified papers can be found on the Access Arrangements and Reasonable Adjustments guidance on the JCQ website. These dates change yearly for the different examination series. https://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance/

8.4.2 Briefing candidates

8.4.2.1 Exams Manager/Officer

8.4.2.1.1 Issues individual exam timetable information to candidates and informs candidates of any contingency day awarding bodies may identify in the event of national or significant local disruption to exams

8.4.2.1.2 Prior to exams issues relevant JCQ information for candidates documents

8.4.2.1.3 Where relevant, issues relevant awarding body information to candidates

8.4.2.1.4 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 and how the centre deals with requests from candidates
- when and how certificates will be issued

8.5 Access to Scripts, Reviews of Results and Appeals Procedures

8.5.1 Dispatch of exam scripts

8.5.1.1 Head of Centre

8.5.1.1.1 Heads of centres will follow the procedures as laid out in Appendix 17.

8.5.1.2 Exams Manager/Officer

8.5.1.2.1 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

8.5.1.2.2 Completed exam scripts to be kept in secure safe/locker until collection from the relevant delivery company. Under no circumstances can staff look at the completed exam scripts.

8.5.2 Receiving Exam papers

8.5.2.1 General

8.5.2.1.1 When examination papers are delivered to the centre from examination boards, centre staff must ensure they are following the JCQ rules by correctly filling out the Examination Post Log.

8.5.2.1.2 What is an Examination Post Log? The log is used to ensure examination papers are always in the care and responsibility of centre staff. There are two Examination Post Logs. One which must always remain in reception and the other that must always remain the Exams Office.

8.5.2.2 Reception staff

8.5.2.2.1 When exam papers are delivered to the Centre, reception staff will sign in the exam papers via the Examination Post Log and alert the EM/O straight away of their delivery. The exam papers will be supervised by a member of reception staff until collection, where they must then be signed out once the exam papers have left their care.

8.5.2.3 Site Staff

8.5.2.3.1 If a large amount of exam papers are delivered to the centre, site staff might be asked to deliver the exam papers directly to the EM/O. In this instance, site staff must sign the Examination Post Log from reception stating they have collected the papers and then they must sign the papers into the EM/O.

8.5.2.4 Exams Manager/Officer

8.5.2.4.1 Once papers have arrived to the EM/O via reception or the Site Team, the EM/O must sign the Examination Post Log to confirm

receipt of papers and then store the papers in the secured locked safe/cabinet

8.5.3 Estimated grades

8.5.3.1 Senior Leaders

8.5.3.1.1 Ensure teaching staff provide estimated grade information to the EM/O by the internal deadline (where this still may be required by the awarding body)

8.5.3.2 Exams Manager/Officer

8.5.3.2.1 Submits estimated grade information to awarding bodies to meet the external deadline (where this may still be required by the awarding body)

8.5.3.2.2 Keeps a record to track what has been sent

8.5.4 Internal assessment and endorsements

8.5.4.1 Head of centre

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

8.5.4.2 SENCo

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

8.5.4.3 Teaching staff

8.5.4.3.1 Support the SENCo in implementing appropriate access arrangements for candidates undertaking internal assessments and practical endorsements

8.5.4.3.2 Assess and authenticate candidates' work

8.5.4.3.3 Assess endorsed components

8.5.4.3.4 Ensure candidates are informed of centre assessed marks prior to marks being submitted to awarding bodies

8.5.4.4 Senior leaders

8.5.4.4.1 Ensure teaching staff assess and authenticate candidates' work to the awarding body requirements

8.5.4.4.2 Ensure teaching staff assess endorsed components according to awarding body requirements

8.5.4.4.3 Ensure teaching staff provide marks for internally assessed components and grades for endorsements of qualifications to the EM/O to the internal deadline

8.5.4.4.4 Ensure teaching staff provide required samples of work for moderation and sample recordings for monitoring to the EM/O to the internal deadline

8.5.4.5 Exams Manager/Officer

8.5.4.5.1 Submits marks, endorsement grades and samples to awarding bodies/moderators/monitors to meet the external deadline

8.5.4.5.2 Keeps a record to track what has been sent

8.5.4.5.3 Logs moderated samples returned to the centre

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

8.5.4.6 Candidates

8.5.4.6.1 Authenticate their work as required by the awarding body

8.5.5 Invigilation

8.5.5.1 Exams Manager/Officer

8.5.5.1.1 Provides an annually reviewed/updated invigilator handbook to invigilators, trains new invigilators on appointment and updates experienced invigilators on any regulation changes

8.5.5.1.2 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, reader or scribe) are accommodated on a 1:1 basis to enter the room at regular intervals in order to observe the conducting of the exam, ensuring all relevant rules are being adhered to and supporting the practical assistant/reader and/or scribe in maintaining the integrity of the exam)

8.5.5.1.3 Allocates invigilators to exam rooms (or where supervising candidates due to a timetable clash) according to the required ratios

8.5.5.1.4 Liaises with the SENCo regarding the facilitation and invigilation of access arrangement candidates

8.5.5.2 SENCo

8.5.5.2.1 Liaises with the EM/O regarding facilitation and invigilation of access arrangement candidates

8.5.5.3 Invigilators

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

8.5.6 JCQ Centre Inspections

8.5.6.1 Exams Manager/Officer or Senior leader

8.5.6.1.1 Will accompany the **Inspector throughout a visit**

8.5.6.2 SENCo or relevant Senior leader (in the absence of the SENCo)

8.5.6.2.1 Will meet with the inspector when requested to provide documentary evidence regarding access arrangement candidates and address any questions the inspector may raise

8.5.6.2.2 Ensures that information is readily available for inspection at the venue where the candidate is taking the exam(s)

8.5.7 Seating and identifying candidates in exam rooms

8.5.7.1 Exams Manager/Officer

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

8.6 Candidate Identification Procedure

8.6.1 Head of Centre

8.6.1.1 Head of centres will ensure that Candidate Identification Procedures are followed in line with Appendix 18.

8.6.2 Exams Manager/Officer

8.6.2.1 Ensures invigilators are aware of the procedure

8.6.2.2 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)

8.6.3 Invigilators

8.6.3.1 Follow the procedure for verifying candidate identity provided by the EM/O

8.6.3.2 Seat candidates in exam rooms as instructed by the EM/O on the seating plan

8.6.4 Security of exam materials

8.6.4.1 Exams Manager/Officer

8.6.4.1.1 Confirms appropriate arrangements are in place to ensure that confidential materials are only handed over to those authorised by the head of centre

8.6.4.1.2 Ensures only persons authorised by the head of centre and the Exams Manager/Officer are allowed access to the centre's secure storage facility as one of the two to six key holders

8.6.4.1.3 Has a process in place to demonstrate the receipt, secure movement and secure storage of confidential exam materials within the centre

8.6.4.1.4 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

8.6.4.1.5 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)

8.6.4.1.6 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)

8.6.4.1.7 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 an area that can be controlled to prevent unauthorised personnel accessing live assessment materials and ensuring only authorised members of centre staff have access to electronic question papers)

8.6.4.2 Reception staff

8.6.4.2.1 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

8.6.4.3 Teaching staff

8.6.4.3.1 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

8.6.5 Timetabling and rooming

8.6.5.1 Exams Manager/Officer

8.6.5.1.1 Produces a master centre exam timetable for each exam series

8.6.5.1.2 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)

8.7 Overnight Supervision Arrangements Guidance

8.7.1 Head of Centre

8.7.1.1 Head of centre will ensure that guidance in Appendix 19 is followed.

8.7.2 Exams Manager/Officer

8.7.2.1 Identifies exam rooms and specialist equipment requirements

8.7.2.2 Allocates invigilators to exam rooms (or where supervising candidates due to an exam timetable clash) according to required ratios

8.7.2.3 Liaises with site staff to ensure exam rooms are set up according to JCQ and awarding body requirements

8.7.2.4 Liaises with the SENCo regarding rooming of access arrangement candidates

8.7.3 SENCo

8.7.3.1 Liaises with the EM/O regarding rooming of access arrangement candidates

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

8.7.4 Site staff

8.7.4.1 Liaise with the EM/O to ensure exam rooms are set up according to JCQ and awarding body requirements

8.7.5 Alternative site arrangements

8.7.5.1 Exams Manager/Officer

8.7.5.1.1 Ensures question papers will only be taken to an alternative site where the published criteria for an alternative site arrangement has been met

8.7.5.1.2 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

8.7.6 Centre consortium arrangements

8.7.6.1 Exams Manager/Officer

8.7.6.1.1 Processes applications for Centre Consortium arrangements through CAP to the awarding body deadline (or through the awarding body where a qualification may sit outside the scope of CAP)

8.7.6.2 Senior leaders

8.7.6.2.1 Inform the EM/O of any joint teaching arrangements in place and where the centre is acting as the consortium co-ordinator

8.7.7 Transferred candidate arrangements

8.7.7.1 Exams Manager/Officer

8.7.7.1.1 Liaises with the host or entering centre, as required

8.7.7.1.2 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)

8.7.7.1.3 Where relevant (for an internal candidate) informs the candidate of the arrangements that have been made for their transferred candidate arrangements

8.7.8 Internal exams - KS4

8.7.8.1 Exams Manager/Officer

8.7.8.1.1 Prepares for the conduct of internal exams under external conditions

8.7.8.1.2 Provides a centre exam timetable of subjects and rooms

8.7.8.1.3 Provides seating plans for exam rooms

8.7.8.1.4 Requests internal exam papers from teaching staff

8.7.8.1.5 Arranges invigilation

8.7.8.2 SENCo

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

8.7.8.3 Teaching staff

8.7.8.3.1 Provide exam papers and materials to the EM/O

8.7.8.3.2 Support the SENCo in making appropriate arrangements for access arrangement candidates

8.8 Exam time: roles and responsibilities

8.8.1 Second Pair of Eyes Check

8.8.1.1 Exams Manager/Officer

8.8.1.1.1 The Exams Manager/Officer and another member of staff, usually an Invigilator, to undertake and complete JCQ's second pair of eyes check. The second pair of eyes form must also be signed and completed.

8.8.1.1.2 If it is subsequently identified following the second pair of eyes check that the wrong question paper packet has been opened, it must be resealed. The incident must be reported to the relevant awarding body's Malpractice Investigation Team immediately. The Head of Centre, Deputy Head/Vice Principal and Trust Data, Assessment and Exam Manager must also be notified immediately.

8.8.2 Access arrangements

8.8.2.1 Exams Manager/Officer

8.8.2.1.1 Provides cover sheets for access arrangement candidates' scripts where required for particular arrangements

8.8.2.1.2 Has a process in place to deal with emergency access arrangements as they arise at the time of exams

- applies for approval through AAO where required or through the awarding body where qualifications sit outside the scope of AAO

8.9 Candidate Absence Procedure

8.9.1 Candidate absence

8.9.1.1 Head of Centre

8.9.1.1.1 Heads of Centre will ensure that the procedure in Appendix 20 is followed for all instances of candidate absence.

8.9.1.2 Invigilators

8.9.1.2.1 Are informed of the policy/process for dealing with absent candidates through training

8.9.1.2.2 Ensure that confirmed absent candidates are clearly marked as such on the attendance register and seating plan

8.9.1.3 Candidates

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

8.9.2 Candidate behaviour

8.9.2.1 See Irregularities below.

8.9.3 Candidate belongings

8.9.3.1 See Unauthorised items below.

8.9.4 Candidate late arrival

8.9.4.1 Exams Manager/Officer

8.9.4.1.1 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

8.9.4.1.2 Warns candidates that their script may not be accepted by the awarding body

8.9.4.2 Invigilators

8.9.4.2.1 Are informed of the policy/process for dealing with late/very late arrival candidates through training

8.9.4.2.2 Ensure that relevant information is recorded on the exam room incident log

8.10 Candidate Late Arrival Procedure

8.10.1 Head of Centre

8.10.1.1 Where a candidate arrives late for their exam the Head of Centre will ensure the procedure in Appendix 21 is followed.

8.10.2 Conducting exams

8.10.2.1 Head of Centre

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

8.10.2.2 Exams Manager/Officer

8.10.2.2.1 Ensures exams are conducted according to JCQ and awarding body instructions

8.10.2.2.2 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

8.10.3 Dispatch of exam scripts

8.10.3.1 Exams Manager/Officer

8.10.3.1.1 Dispatches scripts as instructed by JCQ and awarding bodies

8.10.3.1.2 Keeps appropriate records to track dispatch

8.10.4 Exam papers and materials

8.10.4.1 Exams Manager/Officer

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

8.10.4.1.2 Attaches erratum notices received to relevant exam question paper packets

8.10.4.1.3 Collates attendance registers and examiner details in date order

8.10.4.1.4 Regularly checks mail or email inbox for updates from awarding bodies

8.10.4.1.5 In order to avoid potential breaches of security, ensures care is taken to ensure the correct question paper packets are opened by ensuring a member of centre staff, additional to the person removing the papers from secure storage, e.g. an invigilator, checks the day, date, time, subject, unit/component and tier of entry, if appropriate, immediately before a question paper packet is opened

8.10.4.1.6 Ensures this additional/second check is recorded

8.10.4.1.7 Where allowed by the awarding body, only releases exam papers and materials to teaching departments for teaching and learning purposes after the published finishing time of the exam, or until any timetable clash candidates have completed the exam

8.10.5 Exam rooms

8.10.5.1 Head of centre

8.10.5.1.1 Ensures that internal tests, mock exams, revision or coaching sessions are conducted in a room ‘designated’ as an exam room

8.10.5.1.2 Ensures that when a room is ‘designated’ as an exam room it is not used for any purpose other than conducting external exams

8.10.5.1.3 Ensures only approved centre staff (who have not taught the subject being examined) are present in exam rooms to perform permitted tasks

8.10.5.1.4 Ensures the centre's policy relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates

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

8.11 Food and Drink Guidance (Exams)

8.11.1 Head of Centre

8.11.1.1 The Head of centre will ensure that food and drink in exams is managed in line with the guidance at Appendix 22.

8.12 Leaving the Examination Room Procedure

8.12.1 Head of Centre

8.12.1.1 The Head of Centre will ensure that candidates leaving the examinations room is managed in line with Appendix 23

8.12.2 Exams Manager/Officer

8.12.2.1 Ensures exam rooms are set up and conducted as required in the regulations

8.12.2.2 Provides invigilators with appropriate resources to effectively conduct exams

8.12.2.3 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)

8.12.2.4 Ensures sole invigilators have an appropriate means of summoning assistance (if this is a mobile phone, instructs the invigilator that this must be on silent mode)

8.12.2.5 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

8.12.2.6 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

8.12.2.7 Provides authorised exam materials which candidates are not expected to provide themselves

8.12.2.8 Ensures invigilators and candidates are aware of the emergency evacuation procedure

8.12.2.9 Ensures invigilators are aware of arrangements in place for a candidate with a disability who may need assistance if an exam room is evacuated

8.12.3 Senior leaders

8.12.3.1 Ensure a documented emergency evacuation procedure for exam rooms is in place

8.12.3.2 Ensure arrangements are in place for a candidate with a disability who may need assistance if an exam room is evacuated

8.13 Emergency Evacuation Procedure

8.13.1 Head of Centre

8.13.1.1 In order to meet JCQ mandatory requirements the Head of Centre must ensure that robust procedures are in place in the event of an Emergency Evacuation being required. Further details are available in Appendix 24 and these MUST be followed.

8.14 Lockdown Policy (Exams)

8.14.1 Head of Centre

8.14.1.1 The Head of Centre will ensure that the Centre follows the procedure as laid out in Appendix 25

8.14.2 Site staff

8.14.2.1 Ensure exam rooms are available and set up as requested by the EM/O

8.14.2.2 Ensure grounds or centre maintenance work does not disturb exam candidates in exam rooms

8.14.2.3 Ensure fire alarm testing does not take place during exam sessions

8.14.3 Invigilators

8.14.3.1 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

8.14.4 Candidates

8.14.4.1 Are required to follow the instructions given to them in exam rooms by authorised centre staff and invigilators

8.14.4.2 Are required to remain in the exam room for the full duration of the exam

8.15 Managing Behaviour Procedure

8.15.1 Irregularities

8.15.1.1 Head of centre

8.15.1.1.1 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

8.15.1.1.2 The Head of Centre will ensure relevant staff are supported and knowledgeable in the Centre's Managing Behaviour Procedure as detailed in Appendix 26

8.15.1.2 Senior leaders

8.15.1.2.1 Ensure support is provided for the EM/O and invigilators when dealing with disruptive candidates in exam rooms

8.15.1.2.2 Ensure that internal disciplinary procedures relating to candidate behaviour are instigated, when appropriate

8.15.1.3 Exams Manager/Officer

8.15.1.3.1 Provides an exam room incident log in all exam rooms for recording any incidents or irregularities

8.15.1.3.2 Actions any required follow-up and reports to awarding bodies as soon as practically possible after the exam has taken place

8.15.1.4 Invigilators

8.15.1.4.1 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)

8.15.2 Malpractice

8.15.2.1 See Irregularities above.

8.15.3 Special Consideration Guidance

8.15.3.1 Senior leaders

8.15.3.1.1 Provide signed evidence to support eligible applications for special consideration

8.15.3.2 Exams Manager/Officer

8.15.3.2.1 Processes eligible applications for special consideration to awarding bodies

8.15.3.2.2 Gathers evidence which may need to be provided by other staff in centre or candidates

8.15.3.2.3 Submits requests to awarding bodies to the external deadline

8.15.3.2.4 In Special circumstances it may be necessary to consider if an adjustment to a grade is appropriate. In these situations Head of Centre will follow the guidance in Appendix 27.

8.15.3.3 Candidates

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

8.16 Arrangements for unauthorised items taken into the exam room

8.16.1 Unauthorised items

8.16.1.1 Briefing candidates

8.16.1.1.1 SLT brief candidates on items forbidden in the exam, before the candidates are sent to stow their possession in the bag room.

8.16.1.1.2 On entering the examination room, invigilators give candidates a further opportunity to divest themselves of their unauthorised items.

8.16.1.1.3 There is a third and final opportunity to hand in items not permitted in the exam during the announcement.

8.16.1.1.4 Any items collected in from candidates are placed in storage wallets and or trays which are locked away in a storage room for the duration of the examination.

8.16.1.1.5 Following the exam, students may reclaim their possessions by returning the ticket number linked to their wallet and placing it back in the wallet in place of the items.

8.16.1.1.6 Candidates who have non-smart watches are reminded that these are classified as unauthorised items at the Trust and therefore are not permitted in the exam room.

8.16.1.2 Invigilators

8.16.1.2.1 Are informed of the arrangements through training

8.16.1.2.2 On entering the examination room, invigilators give candidates a further opportunity to divest themselves of their unauthorised items.

8.16.2 Internal exams

8.16.2.1 Exams Manager/Officer

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

8.16.2.2 Invigilators

8.16.2.3 Conduct internal exams as briefed by the EM/O

8.17 Results and post-results: roles and responsibilities

8.17.1 Internal assessment

8.17.1.1 Senior leaders

8.17.1.1.1 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
8.17.1.1.2 Ensures work is returned to candidates or disposed of according to the requirements

8.17.2 Managing results day(s)

8.17.2.1 Senior leaders

8.17.2.1.1 Identify centre staff who will be involved in the main summer results day(s) and their role
8.17.2.1.2 Ensures senior members of staff are accessible to candidates 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

8.17.2.2 Exams Manager/Officer

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

8.18 Results Day

8.18.1 Programme

8.18.1.1 Pre Results Day

8.18.1.1.1 Results analysis marksheets set up by Data Manager and populated with information from Exams Manager/Officer using BTEC File 15 and Results export (Entries information)

8.18.1.1.2 MIS – Results Day Survival Kit downloaded and checks made for any change in required routines for efficient Results Day processing

8.18.1.1.3 Download updated Basedata and refresh MIS Examinations Organiser with latest version

8.18.1.1.4 QN Codes cloned and updated as appropriate

8.18.1.1.5 External results entered onto MIS via Edit PI route

8.18.1.1.6 Equivalences checked and updated explanation sheet produced.

8.18.1.1.7 Labels produced from MIS and stuck on envelopes along short edge for easier display. PRS postcard, Equivalence sheet and External letters put into envelopes.

8.18.1.1.8 Certificate collection information letter put into envelope.

8.18.1.1.9 Plan of exam rooms and surrounding area layout provided to Site team.

8.18.1.1.10 Prepare additional Results Authority forms for handing out on results day.

8.18.1.2 Restricted-Results Day (KS4 & KS5)

8.18.1.2.1 Results downloaded by Exams team

8.18.1.2.2 Results successful import notified to Data Manager

8.18.1.2.3 Issues with results resolved by Exams Manager/Officer, Data Manager, Deputy Headteacher/Vice Principal

8.18.1.2.4 Results data passed by Data Manager to SLT for production of banner

8.18.1.2.5 Results analysed by Data Manager and Deputy Headteacher/Vice Principal

8.18.1.2.6 ALL SEASONS Statement of Results for all students printed by Exams team and put into labelled envelopes (see next two processes)

8.18.1.2.7 Results Statements printed in candidate name order and laid onto labelled envelopes

8.18.1.2.8 Final check made of statements against envelopes by Exams team and inserted into envelopes

8.18.1.2.9 Results Day letter prepared and printed by Exams Manager/Officer and Headteacher/Principal

8.18.1.2.10 Results Day letter put into Year 11 addressed envelopes by Exams team

8.18.1.2.11 Envelopes transferred to appropriate box for taking to tables in exam room (see plans)

8.18.1.2.12 Set up exam room – set up tables for issue of results alphabetically – see plan

8.18.1.2.13 Results documentation downloaded from AB sites

8.18.1.2.14 Results information split into piles for distribution:

- Statement of provisional results
- Centre broadsheet of results – copies x 2 (original to Exams Manager/Officer)
- Centre results statistics subject specific – copies x 2 (original to Headteacher)
- Centre marks reports subject specific
- Centre cumulative record of unit results subject specific

8.18.1.2.15 Candidates:

- Statement of provisional results

8.18.1.2.16 Head Teacher:

- Centre broadsheet of results
- Centre results statistics subject specific
- Moderator reports

8.18.1.2.17 Head of Year/KS4/KS5:

- Centre broadsheet of results

8.18.1.2.18 Head of Department:

- Centre results statistics subject specific
- Centre marks reports subject specific
- Centre cumulative record of unit results subject specific
- Moderator reports

8.18.1.2.19 Exams Manager/Officer:

- Centre broadsheet of results
- Centre results statistics subject specific

8.18.1.2.20 Prepare additional Results Authority forms for handing out on results day.

8.18.1.3 Results Day (KS4 & KS5)

8.18.1.3.1 Careers and college information services arrive to set up their table (organised and managed by Careers team)

8.18.1.3.2 Brief staff regarding 3rd party collections, contents of envelopes, layout of room, PRS's

8.18.1.3.3 Results for Prospectus

8.18.1.3.4 Results page prepared for prospectus:- information is provided by Data Manager, emailed to Admin Assistant (previously LST) (may be done by PA to Headteacher/Principal)

8.18.1.3.5 AM time to be agreed by Head of Centre - Year 13, 11 & 10 students able to start collecting their results

8.18.1.3.6 Email results to relevant receiving institutions (i.e. Scarborough TEC, S6F) and NYCC using a secure system (i.e. O365 Encryption) giving full consideration to data protection and data integrity.

8.18.1.3.7 Any results not collected to be posted home, where payment has been provided

8.18.1.4 Site staff

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

8.18.2 Accessing results

8.18.2.1 Head of centre

8.18.2.1.1 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

8.18.2.1.2 Understands that it is not permitted to withhold provisional results from candidates under any circumstances

8.18.2.2 Exams Manager/Officer

8.18.2.2.1 Informs candidates in advance of when and how results will be released to them for each exam series

8.18.2.2.2 Accesses results from awarding bodies under restricted release of results, where this is provided by the awarding body

8.18.2.2.3 Resolves any missing or incomplete results with awarding bodies

8.18.2.2.4 Issues statements of results to candidates on issue of results date

8.18.2.2.5 Provides summaries of results for relevant centre staff on issue of results date

8.18.3 Post-results services

8.18.3.1 Head of centre

8.18.3.1.1 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

8.18.3.1.2 Ensures that senior members of centre staff are available immediately after the publication of results

8.18.3.1.3 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)

8.18.3.2 Exams Manager/Officer

8.18.3.2.1 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, Reviews of Results and Appeals Procedures**)

8.18.3.2.2 Publishes internal deadlines for requesting the services to ensure the external deadlines can be effectively met

8.18.3.2.3 Provides a process to record requests for services and to collect candidate informed consent (**after** the publication of results) and fees where relevant

8.18.3.2.4 Submits requests to awarding bodies to meet the external deadline for the particular service

8.18.3.2.5 Tracks requests to conclusion and informs candidates and relevant centre staff of outcomes

8.18.3.2.6 Updates centre results information, where applicable

8.18.3.3 Teaching staff

8.18.3.3.1 Meet internal deadlines to request the services and gain relevant candidate informed consent

8.18.3.3.2 Identify the budget to which fees should be charged

8.18.3.4 Candidates

8.18.3.4.1 Meet internal deadlines to request the services

8.18.3.4.2 Provide informed consent and fees, where relevant

8.18.4 Analysis of results

8.18.4.1 Data Officer

8.18.4.1.1 Provides analysis of results to appropriate centre staff

8.18.4.1.2 Provides results information to external organisations where required

8.18.4.1.3 Undertakes the secondary school and college (key stage 4/16-18) performance tables *June and September checking exercise* (where applicable)

8.18.5 Certificates

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

8.19 Certificate Issue & Retention Procedure

8.19.1 Head of Centre

8.19.1.1 The Head of Centre will ensure that Certificates are issued in line with the procedure in Appendix 28

8.19.2 Candidates

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

8.20 Exams review: roles and responsibilities

8.20.1 Exams Manager/Officer

8.20.1.1 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

8.20.1.2 Collects and evaluates feedback from staff, candidates and invigilators to inform an exams review

8.20.2 Trust Data and Assessment Manager

8.20.2.1 Provides the Director of Learning with the headline results for KS4 and KS5 based on the Centre's MIS. This is then updated when official results are released from DfE's School and College Tables Information.

8.20.3 Senior leaders

8.20.3.1 Work with the EM/O to produce a plan to action any required improvements identified in the review

8.21 Retention of records: roles and responsibilities

8.21.1 Exams Manager/Officer

8.21.1.1 Keeps records as required by JCQ and awarding bodies for the required period

8.21.1.2 Keeps records as required by the Trust's records management policy

8.21.1.3 Provides an Exams Archiving Policy that identifies information held, retention period and method of disposal

8.22 Exams Archiving Procedure

8.22.1 Head of Centre

8.22.1.1 The Head of Centre will ensure that the Exams Archiving Procedure in Appendix 29 will be followed.

Appendix 1: Escalation Process

Purpose of the process

To confirm the main duties and responsibilities to be escalated should the head of centre, or a member of the senior leadership team with oversight of examination administration, 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:.

Filey School – Deputy Headteacher

Lady Lumley's School – Deputy Headteacher

Scalby School – Deputy Headteacher

Scarborough UTC – Vice Principal

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

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

Main duties and responsibilities relate to:

- Centre status
- Confidentiality
- Communication
- Recruitment, selection and training of staff
- Internal governance arrangements
- Delivery of qualifications
- Public liability
- Conflicts of interest
- Controlled assessments, coursework and non-examination assessments
- Security of assessment materials

- National Centre Number Register
- Centre inspections

  Additional JCQ publication for reference:
  - Centre Inspection Service Changes
- Policies

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

  Additional JCQ publication for reference:
  - Information for candidates – Privacy Notice

Before examinations (Entries and Pre-exams)

In the event of the absence of the head of centre or the member of senior leadership with oversight of examination administration, responsibility for implementing JCQ regulations and requirements relating to entries and exam preparation will be escalated to

Filey School – Deputy Headteacher

Lady Lumley's School – Deputy Headteacher

Scalby School – Deputy Headteacher

Scarborough UTC – Vice Principal To support understanding of the regulations and requirements, sections of relevant JCQ publications will be specifically referenced including:

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

Main duties and responsibilities relate to:

- Access arrangements and reasonable adjustments
- Entries

  Additional JCQ publications for reference:
  - Key dates in the examination cycle
  - Guidance Notes for Transferred Candidates
  - Alternative Site guidance notes
  - Guidance notes for overnight supervision of candidates with a timetable variation
- Centre assessed work

Additional JCQ publication for reference:

- Guidance Notes – Centre Consortium Arrangements

- Candidate information

  Additional JCQ publications for reference:

  - Information for candidates documents
  - Exam Room Posters

During examinations (Exam time)

In the event of the absence of the head of centre or the member of senior leadership with oversight of examination administration, responsibility for implementing JCQ regulations and requirements relating to during exam time will be escalated to

Filey School – Deputy Headteacher

Lady Lumley's School – Deputy Headteacher

Scalby School – Deputy Headteacher

Scarborough UTC – Vice Principal

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

- General Regulations for Approved Centres (sections 3, 5)
- Instructions for conducting examinations (sections 16-30)
- Access Arrangements and Reasonable Adjustments (section 8)
- A guide to the special consideration process (sections 2-7)

Main duties and responsibilities relate to:

- Conducting examinations and assessments

  Additional JCQ publication for reference:

  - Guidance Notes – Very Late Arrival

- Malpractice

- Retention of candidates' work

After examinations (Results and Post-Results)

In the event of the absence of the head of centre or the member of senior leadership with oversight of examination administration, responsibility for implementing JCQ regulations and requirements relating to after examinations will be escalated to

Filey School – Deputy Headteacher

Lady Lumley's School – Deputy Headteacher

Scalby School – Deputy Headteacher

Scarborough UTC – Vice Principal

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
  - JCQ Appeals Booklet (A guide to the awarding bodies' appeals processes)

- Certificates

Appendix 2: Exam Contingency Plan

Purpose of the plan

This plan examines potential risks and issues that could cause disruption to the exam process.

By outlining actions/procedures to be invoked in case of disruption it is intended to mitigate the impact these disruptions have on our exam process at the Trust's Secondary Schools.

Alongside internal processes this plan is informed by the Ofqual **Exam system contingency plan: England, Wales and Northern Ireland** which provides guidance in the publication, 'What schools and colleges and other centres should do if exams or other assessments are seriously disrupted'.

This plan details how the Trust complies with the JCQ's **General Regulations for Approved Centres** (section 5.3, Centre management) by having in place 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 staff absence. The examination contingency plan should reinforce procedures in the event of the centre being unavailable for examinations, or on results day, owing to an unforeseen emergency.

Possible causes of disruption to the exam process

1. Exams Manager/Officer absence at key points in the exam process (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 post-results services

Other criteria:

No other criteria identified

Centre actions to mitigate the impact of the disruption listed above

The centre will:

- use checklists available from ‘The Exams Office’ to ensure that all areas are completed
- Ensure appropriate staff provision to continue exams with little or no disruption
- Ensure Exams Manager/Officer has provision to work remotely
- Shared files ensure absence of EM/O can be covered by current personnel

2. SENCo extended absence at key points in the exam process (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

Other criteria:

No other criteria identified

Centre actions to mitigate the impact of the disruption listed above

The centre will:

- policies will identify responsibilities by role, so that all areas are allocated

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

Criteria for implementation of the plan

Key tasks not undertaken including:

- Early/estimated entry information not provided to the Exams Manager/Officer on time; resulting in pre-release information not being received

- Final entry information not provided to the Exams Manager/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 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

Other criteria:

No other criteria identified

Centre actions to mitigate the impact of the disruption listed above

The centre will:

- ensure task completion via line management
- allocate responsibility via roles within policies
- make use of checklists

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

Other criteria:

No other criteria identified

Centre actions to mitigate the impact of the disruption listed above

The centre will:

- make use of a recruitment calendar
- ensure invigilators complete training both in-house and via 'The Exams Office'

5. Exam rooms - lack of appropriate rooms or main venue(s) unavailable at short notice

Criteria for implementation of the plan

- Exams Manager/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

Other criteria:

No other criteria identified

Centre actions to mitigate the impact of the disruption listed above

The centre will:

- (where main exam venue(s) unavailable due to an unexpected incident at exam time) where possible, make use of other available rooms within the centre, prioritising candidates whose progression will be severely delayed if they do not take their exam or timetabled assessment when planned
- identify whether the exam or timetabled assessment can be sat at an alternative venue, in agreement with the relevant awarding body
- (where main exam venue(s) unavailable due to an unexpected incident at exam time) where possible, move to alternative venue, prioritising candidates whose progression will be severely delayed if they do not take their exam or timetabled assessment when planned

Alternative venue details:

Venue details will be determined based on candidate numbers and venue availability

- communicate with candidates (and where appropriate, parents/carers) any changes to the exam or assessment timetable or venue
- communicate with candidates (and where appropriate, parents/carers) any changes to the exam or assessment timetable or to the venue

Communication details:

- ensure the secure transportation of question papers or assessment materials to the alternative venue
- (after the exam) consider whether any candidate's ability to take the assessment or demonstrate their level of attainment has been materially affected and, if so, apply for special consideration

Other centre actions:

No other actions identified

6. Failure of IT systems

Criteria for implementation of the plan

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

Other criteria:

No other criteria identified

Centre actions to mitigate the impact of the disruption listed above

The centre will:

- ensure entries are made well in advance of the deadline
- ensure that exam preparations are made in advance of the examinations
- prepare as much results documentation in advance of results day
- make provision to download results at an alternative site if required

7. 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

Other criteria:

No other criteria identified

Centre actions to mitigate the impact of the disruption listed above

The centre will:

- refer to and invoke its (exams) emergency evacuation policy/procedure in line with JCQ's 'Centre emergency evacuation procedure' (or its (exams) lockdown policy)
- contact the relevant awarding body as soon as possible and follow its instructions
- where accommodation is limited, prioritise candidates whose progression will be severely delayed if they do not take their exam or timetabled assessment when planned
- (after the exam) consider whether any candidate's ability to take the assessment or demonstrate their level of attainment has been materially affected and, if so, apply for special consideration

Other centre actions:

No other actions identified

8. 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

Other criteria:

No other criteria identified

Centre actions to mitigate the impact of the disruption listed above

The centre will:

- recognise it remains the responsibility of the centre to prepare students, as usual, for examinations
- facilitate alternative methods of learning
- communicate with candidates (and where appropriate, parents/carers) information relating to alternative methods of learning

Communication details:

- remote learning will be provided
- take advice offered by the awarding body regarding alternative arrangements for conducting examinations that may be available
- take advice offered by the awarding body on the options for candidates who have not been able to take scheduled examinations
- advise candidates, where appropriate, of the opportunities to take their exam or assessment at a later date

Other centre actions:

No other actions identified

9. Candidates unable to take examinations because of a crisis - centre remains open

Criteria for implementation of the plan

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

Other criteria:

No other criteria identified

Centre actions to mitigate the impact of the disruption listed above

The centre will:

- take advice offered by the awarding body on the options for candidates who have not been able to take scheduled examinations
- discuss alternative arrangements with the awarding body if a candidate misses an exam or loses their assessment due to an emergency, or other event,
- outside of the candidate's control
- identify whether the exam or timetabled assessment can be sat at an alternative venue, in agreement with the relevant awarding body, ensuring the secure
- transportation of questions papers or assessment materials to the alternative venue
- communicate with candidates (and where appropriate, parents/carers) any changes to the exam or assessment timetable or to the venue

Communication details:

- Candidates will be updated of centre status via the school website, text message and/or telephone
- consider whether any candidates' ability to take the assessment or demonstrate their level of attainment has been materially affected and, if so, apply for special consideration

Other centre actions:

No other actions identified

10. Centre unable to open as normal during the examination period (including in the event of the centre being unavailable for examinations owing to an unforeseen emergency)

Criteria for implementation of the plan

- Centre unable to open as normal for scheduled examinations

Other criteria:

No other criteria identified

Centre actions to mitigate the impact of the disruption listed above

The centre will:

- take advice, or follow instructions, from relevant local or national agencies in deciding whether the centre is able to open
- contact the relevant awarding body as soon as possible and follow its instructions
- discuss alternative arrangements with the awarding body if the exam or assessment cannot take place
- follow guidance provided by the awarding body on the conduct of examinations in such circumstances
- where accommodation is limited, prioritise candidates whose progression will be severely delayed if they do not take their exam or timetabled assessment when planned
- communicate with candidates (and where appropriate, parents/carers) any changes to the exam or assessment timetable or to the venue

Communication details:

- the school website will be kept updated with information on the status of the school for examination purposes
- consider whether any candidates' ability to take the assessment or demonstrate their level of attainment has been materially affected and, if so, apply for special consideration

Other centre actions:

No other actions identified

11. 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

Other criteria:

No other criteria identified

Centre actions to mitigate the impact of the disruption listed above

The centre will:

- liaise with awarding bodies regarding the provision of electronic access to examination papers via a secure external network and will ensure when copies are received/made these are stored under secure conditions
- follow guidance provided by the awarding body on the conduct of examinations in such circumstances
- understand that as a last resort, and in close collaboration with centres and regulators, awarding organisations will consider scheduling of the examination on an alternative date
- communicate with candidates (and where appropriate, parents/carers) any changes to the exam or assessment timetable or to the venue

Other centre actions:

No other actions identified

12. Disruption to the transportation of completed examination scripts

Criteria for implementation of the plan

- Delay in normal collection arrangements for completed examination scripts/assessment evidence

Other criteria:

No other criteria identified

Centre actions to mitigate the impact of the disruption listed above

The centre will:

- where examinations are part of the national ‘yellow label’ service or where awarding bodies arrange collections, seek advice from awarding bodies and will not make its own arrangements for transportation unless told to do so by the awarding body
- for any examinations where the centre makes its own arrangements for transportation, investigate alternative dispatch options that comply with the requirements detailed in the JCQ's Instructions for Conducting Examinations
- ensure the secure storage of completed examination scripts until collection

Other centre actions:

No other actions identified

13. 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

Other criteria:

No other criteria identified

Centre actions to mitigate the impact of the disruption listed above

The centre will:

- liaise with the awarding body to determine if candidate marks for affected assessments may be able to be generated based on other appropriate evidence of candidate achievement as defined by the awarding body
- where marks cannot be generated by awarding body, inform candidates they may need to retake the affected assessment in a subsequent assessment series

Other centre actions:

No other actions identified

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

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

Other criteria:

No other criteria identified

Centre actions to mitigate the impact of the disruption listed above

The centre will:

- make arrangements to access its results at an alternative venue/share facilities with another centre if this is possible, in agreement with the relevant awarding body
- make arrangements to coordinate access to post results services from an alternative venue

Alternative venue details:

- make arrangements to make post results requests at an alternative location
- contact the relevant awarding body if electronic post results requests are not possible
- inform candidates of any alternative arrangements in place for the distribution of results and the facilitation of post-results services

Communication details:

- candidates will be kept updated via the school website, text messaging and/or telephone

Other centre actions:

No other actions identified

15. Any other cause of disruption to the exam process

Cause of disruption

No further causes identified

Centre actions to mitigate the impact of the disruption listed above

Not applicable

Further guidance to inform procedures and implement contingency planning (updated 1 October 2020) **Ofqual**

Ofqual guidance extract 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**

1. Contingency planning

You should prepare for possible disruption to exams and other assessments and make sure staff are aware of these plans.

When drafting contingency plans, you should consider the following guidance:

1.1 **Covid specific guidance:**

- **Guidance for schools Covid-19** (www.gov.uk/government/collections/guidance-for-schools-coronavirus-covid-19#safe-working-and-protective-measures) from the Department for Education in England (subject to frequent updates as the situation changes)
- **Responsibility for autumn GCSE, AS and A level exam series** (www.gov.uk/government/publications/responsibility-for-autumn-gcse-as-anda-level-exam-series) from the Department for Education in England

- **Action for FE Colleges** (www.gov.uk/government/publications/coronavirus-covid-19-maintaining-further-education-provision)from the Department for Education in England
- **Public health guidance to support autumn exams** (www.gov.uk/government/publications/responsibility-for-autumn-gcse-as-and-a-levelexam-series/public-health-arrangements-for-autumn-exams) from the Department for Education
- **Education and childcare: coronavirus** (https://gov.wales/education-coronavirus) from Welsh Government
- **Covid-19 - guidance for school and educational settings** (www.education-ni.gov.uk/publications/coronavirus-covid-19-guidance-schooland-educational-settings-northern-ireland) from Department of Education in Northern Ireland

1.2 **General contingency guidance**

- **Emergency planning and response** (www.gov.uk/guidance/emergencies-and-severe-weather-schools-and-early-years-settings) from the Department for Education in England
- **Opening and closing local-authority-maintained schools** (www.gov.uk/government/publications/school-organisation-maintained-schools) from the Department for Education in England
- **Exceptional closure days** (www.education-ni.gov.uk/articles/exceptional-closure-days) from the Department of Education in Northern Ireland
- **Checklist - exceptional closure of schools** (www.education-ni.gov.uk/publications/checklist-exceptional-closure-schools) from the Department of Education in Northern Ireland
- **School closures** (https://gov.wales/opening-schools-extremely-bad-weather-guidance-schools) from NI Direct
- **Opening schools in extremely bad weather** (https://gov.wales/opening-schools-extremely-bad-weather-guidance-schools) - guidance for schools from the Welsh Government
- **Procedures for handling bomb threats** (www.gov.uk/government/publications/bomb-threats-guidance) from the National Counter Terrorism Security Office.

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

3. Steps you should take

3.1 **Exam planning**

Review 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.

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' (www.jcq.org.uk/examsoffice/ice---instructions-for-conducting-examinations/).
6. Communicate with parents, carers and students any changes to the exam or assessment timetable or to the venue.
7. Communicate with any external assessors 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 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**

Establish and maintain, and at all times comply with, an up-to-date, written contingency plan.

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**

1. Take all reasonable steps to mitigate any adverse effect, in relation to their qualifications, arising from any disruption.
2. Provide effective guidance to any of their centres delivering qualifications.
3. Ensure that where an assessment must be completed under specified conditions, students complete the assessment under those conditions (other than where any reasonable adjustments or special considerations require alternative conditions).
4. Promptly notify the relevant regulators about any event which could have an adverse effect on students, standards or public confidence.
5. 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.

See also:

- JCQ's guidance on special considerations (www.jcq.org.uk/exams-office/access-arrangements-and-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 Department for Education in England, the Department of Education 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

The governments' view across England, Wales and Northern Ireland is education should continue in 2021/22 with schools remaining open and that examinations and assessments will go ahead in summer 2022.

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 exam timetables.

We will update this page as necessary should national disruption occur with any further relevant links.

Contingency planning

15.1 The qualification regulators, JCQ 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.

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/Managers who are facing disruption liaise directly with the relevant awarding body/bodies.

15.3 Centres should prepare plans for any disruption to examinations as part of their general emergency planning. It is important to ensure that relevant centre staff are familiar with the 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 relevant awarding body 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 a 'contingency day' for examinations, summer 2021. This is consistent with the qualification regulators' document Exam system contingency plan: England, Wales and Northern Ireland

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

In the event that there is national disruption to a day of examinations in the summer, 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 contingency day. Centres will be alerted if it was agreed to reschedule the examinations and the affected candidates will be expected to make themselves available in such circumstances. The decision regarding the re-scheduling 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 arrangements. Centres must therefore ensure candidates and parents are aware of this contingency arrangement so that they may take it into account when making their plans for the summer. However, the awarding bodies will not insist upon candidates being available throughout the entire timetable period as a matter of course.

Links to other JCQ documentation

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

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

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

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

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

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

GOV.UK

Emergency planning and response: Severe weather; Exam disruption - gov.uk/guidance/emergencies-and-severe-weather-schools-and-early-years-settings

(updated 2020/21) Opening and closing local-authority-maintained schools - gov.uk/government/publications/school-organisation-maintained-schools

Dispatch of exam scripts guide: Ensuring the service runs smoothly; Contingency planning - gov.uk/government/publications/dispatch-of-exam-scripts-yellow-labelservice

Alternative site arrangements identified below, should the Centre be unable to open or carry out their examinations in the usual process.

Exam Site	Alternative site	Alternative site address	Arrangements for the day
Filey School	Scarborough UTC	1 Ashburn Road, Scarborough YO11 2JW	At the official JCQ examination start times, staff and Invigilators will gather exam candidates together either in a room in school or, if the building was inaccessible, at the far end of the car park where students gather for a fire evacuation during examinations. All web enabled devices to be removed from all students. Students would be held under exam conditions from that point on and transported by bus over to Scarborough UTC. Students from Filey School will then sit their examination once students at Scarborough UTC have finished their examinations.
Lady Lumley's School	Pickering Community Junior School	Pickering Community Junior School, Middleton Road, Pickering, YO18 8AJ	At the official JCQ examination start times, staff and Invigilators will gather exam candidates together either in a room in school or, if the building was inaccessible, at the far end of the car park where students gather for a fire evacuation during examinations. All web enabled devices to be removed from all students. Students would be held under exam conditions from that point on and students will walk to Pickering Junior School, accompanied by Invigilators and staff from Lady Lumley's School. Exams to take place as soon as possible after arrival.
Scarborough UTC	Filey School	Filey School, Muston Road, Filey, Y014 0AW	At the official JCQ examination start times, staff and Invigilators will gather exam candidates together either in a room in school or, if the building was inaccessible, at the far end of the car park where students gather for a fire evacuation during examinations. All web enabled devices to be removed from all students. Students would be held under exam conditions from that point on and transported by onsite min-buses over to Filey School. Students from Scarborough UTC will then sit their examination once students at Filey School have finished their examinations.
Scalby School	Graham School	Graham School, Woodlands Drive, Scarborough, North Yorkshire, YO12 6QW	At the official JCQ examination start times, staff and Invigilators will gather exam candidates together either in a room in school or, if the building was inaccessible, at the far end of the car park where students gather for a fire evacuation during examinations. All web enabled devices to be removed from all students. Students would be held under exam conditions from that point on and students will walk to Graham School, accompanied by Invigilators and staff from the Scalby School. Exams to take place once Graham School have finished their examinations.

Appendix 3: Distance / Blended learning Procedures

The Trust's Remote Learning Guidance in the event of absence linked to Covid-19

Online Learning can take the form of:

- Learning materials being provided on the school website;
- Tasks being set via Google Classrooms or Microsoft Teams;
- 'Live learning support sessions' – i.e.: remote, online face-to-face support via Microsoft Teams.

Below is a reminder of the Home – School Online Learning Agreement:

The Trust's teachers will:

- Turn their camera on *only* when there is more than one child in the session. They may keep their camera off at all times if they choose.
- Register students that attend the session;
- Maintain professional standards at all times, following the school's remote, online-learning policy;
- Maintain usual expectations for students as if they were in school;
- Ensure that students are aware of the expectations regarding conduct in the online learning environment;
- Ensure that only relevant students are accessing the lesson;
- Ensure that the 'chat' function is used by students only for comments related to the learning;
- Ensure that students use the 'hands up' and 'chat' functions to ask questions in 'live' lessons;
- Challenge inappropriate behaviour as they would in the school setting;
- Set tasks and provide feedback to students online via Google Classroom and/ or Microsoft Teams;
- In the event that classes are required to be at home for longer than seven working-days, provide 'live learning support' sessions via Microsoft Teams in line with the student's timetable;
- Direct your child to any further support they may need from the school;
- Contact home if necessary in the usual way (letter, phone call or school text message);
- Report any safeguarding concerns in the usual way and ensure that a member of the school's safeguarding team are aware of the use of any platforms that have a 'chat' function.

Students will:

- Prepare for online learning sessions as directed by their teachers;
- Access remote learning sessions on time, as far as home circumstances allow;
- Behave as well as we would expect if they were in school;
- Ensure that anything they add in the 'chat' function is appropriate and only about learning;
- Be dressed appropriately for the session and ***not*** use their bedroom to participate in the lesson;
- Wait in the online meeting room with camera and microphone switched off until at least one other student joins the meeting and the teacher begins the support session;
- Blur their backgrounds using the tool on MS Teams;
- Not record or take photos of classmates or teachers during a live session;
- Follow the home-school agreement and the ICT usage agreement for students.

Parents / Carers will:

- Understand that this is a new way of working for everyone and recognise that things may not always go exactly to plan;
- Support their child to access online learning, where possible, providing a quiet space to work in;
- Contact the school if their child cannot access the online learning;
- Support their child with online learning but will not contribute to the sessions and will not post any comments in the 'chat' function;
- Continue to use the usual channels to contact pastoral or subject staff if necessary (email, letter or telephone);
- Follow the home-school agreement and support their child in following the ICT usage agreement for students.

Guidelines for delivering 'Live Learning Support sessions' via MS Teams:

When using MS Teams, students and parents should remember that this is an extension of the classroom and students should behave appropriately, responsibly and sensibly, in line with the school's behaviour policy, as they would in a real classroom. This includes:

- Working in a place that is quiet, safe and free from distractions (not a bedroom) and being dressed appropriately for learning;
- Remaining attentive and alert during sessions.

- Interacting patiently and respectfully with teachers and peers.
- Providing feedback to teachers about their experiences and any relevant suggestions.
- Making sure that they leave the session as soon as the teacher indicates that they should do so

Guidance on different Remote Learning scenarios

When schools are open to all students:

Home study should be set using the Assignments section of Microsoft Teams or Google Classroom. Where this is not possible, please discuss with your line manager.

When students are isolating or there is a partial school closure:

When students are not in school, work will be set using Microsoft Teams or Google Classroom.

If you are teaching students in a class, but have members of the class working from home, students working from home should be set work via the Teams platform or Google Classroom. You could also signpost students to resources created by Oak National Academy or a similar, suitable platform related to your subject.

Under no circumstances should any member of staff 'livestream' any lesson or part of a lesson where some students are present and some are at home in any year group.

If an entire class is working from home, a 'live online learning support lesson' should be scheduled at the time you would normally teach that class or group.

Live online learning support lessons must adhere to the protocols as set out in the Home-School Online Learning Agreement section of this document.

Following Government guidance, students/pupils working from home should be set assignments with staff giving regular feedback. Where possible, 'live' feedback during the online learning support sessions is preferable. The frequency of feedback need be no different to that of your normal departmental marking and feedback expectations.

In the event of a full school closure:

Work will be set on Microsoft Teams or Google Classroom.

Where staff can, live online learning support lessons should be used with students. Reasons for not holding live lessons include childcare issues or illness.

Live online learning support lessons must adhere to the protocols as set out in the Home-School Online Learning Agreement section of this document.

If live online learning support lessons are not possible, work set could include video content such as Power Point Narration, Stream Video, resources from the Oak National Academy or a similar, suitable platform related to your subject.

Following Government guidance, students/pupils working from home should be set assignments with staff giving regular feedback. Where possible, 'live' feedback during

the online learning support sessions is preferable. The frequency of feedback need be no different to that of your normal departmental marking and feedback expectations.

Staff having to self-isolate:

If you are required to self-isolate, and are not ill, staff are asked to either teach a live online learning support lesson from home or to set work for your classes using Google Classroom, Oak National Academy or a similar, suitable platform related to your subject.

Frequently Asked Questions:

Q) I have some students/pupils in my class that are absent and some who are present. What should I do?

A) *Please set homework on Microsoft Teams or Google Classroom for all students as normal. For students who are self-isolating, please set work for your classes using Google Classroom, Oak National Academy or a similar, suitable platform related to your subject.*

Q) My entire class is absent. What should I do?

A) Please teach a 'live online learning support lesson' to your class via Microsoft Teams.

Q) How do I do this?

A) The suggested way of doing this is by sharing your screen with the students. This allows you to give verbal explanations over your PowerPoint and model techniques using a visualiser. You should be able to teach the live learning support lesson sitting at your computer in your usual classroom.

Q) Do I have to appear on camera?

A) No. You can do if you want to but we recommend that students can only view the PowerPoint during your explanations. We also recommend that, in general, you turn your camera off so you cannot be seen.

Q) Will I be able to see or hear the students?

A) If you schedule the lesson, you are able to disable the video and microphone function of the students. You should take feedback / questions from students in the 'chat' function.

Q) If I can't hear my class how will they ask me a question?

A) *Students/pupils can communicate with you through the chat function*.

Q) What if students use inappropriate language in the chat?

A) Students will log in via their school email, so all chat comments have the student name next to them. Any inappropriate language will be dealt with through the behaviour policy when they return to school. If the student is not behaving as you wish,

you can remove them from the session and should notify your HoD/DoS that you did so.

Q) Am I expected to deliver learning support for the full hour?

A) No. Students should have at least half an hour within the lesson time when they can access your online learning support. Remember that these sessions are to support the successful completion of work set on Google Classroom or Microsoft Teams.

Q) What about the period 2 lesson with the break in it?

A)*Staff can use their professional judgement to decide when to give students time away from the screen.*

Q) What about the period 4, 90 minute lessons?

A) Staff can use their professional judgement to decide when to give students time away from the screen. You also have the option of making the session shorter.

Q) Will I have to talk over my PowerPoint for the whole session?

A) *No. There should be opportunities in live learning support lesson for students to work independently, just as there would be in regular lessons. At this point you could choose to mute your microphone and interact with students through the chat when necessary until it becomes appropriate to address the whole class again*.

Q) What about students who don't have the technology to access these lessons from home?

A) *We are providing the technology to students/pupils who need it so all can access these lessons*.

Q) How do I give feedback to work submitted via Microsoft Teams or Google Classroom?

A) As per the regular departmental marking and feedback expectations.

Q) What should I do if a student is regularly not completing work set at home?

A) Teaching staff should be monitoring students to ensure that work is being completed. When students are not completing work set, notify your Head of Department who will decide how contact should be made with the parents / carers of the student. This could be via a phone call or email (or school text message via the SLT link). If this continues, HoDs should notify the HoY. If there is a pattern across subjects then pastoral teams will also become involved.

Q) Will recording be used for quality assurance?

*A) No. Lessons should not be recorded.***Q) Should I be concerned that a parent/carer might 'sit in' my lesson?**

A) *For younger children this might be necessary and helpful. However, if you feel a parent/carer is posting things on the chat function or you have other concerns, please let a member of the senior team know to support you.*

Q) Should I respond to pupils'/students' questions and queries outside lesson times?

A) *As pupils/students become more familiar with online learning they may ask more questions outside the lesson time on chat functions. While staff are free to respond whenever they wish, there is no expectation this will happen outside normal school hours.*

Q) Have issues around workload been considered?

A) As we have throughout lockdown, we remain committed to being reasonable and sensitive to concerns about workload. In developing this guidance, we have considered staff workload and have worked with union representatives. However, this is new territory for all of us so we will be reviewing these procedures regularly and part of that review will be an opportunity for staff to give feedback.

Appendix 4: Blended Learning Guidance

Rationale and Aim

What is blended learning?

Blended learning is a formal approach to education that creates an integrated learning environment where face-to-face and online teaching and learning become complementary, with the purpose of giving learners a more diverse and engaging learning experience **Aims:**

1. To ensure that blended learning delivery meets the guidelines set by the awarding organisation.

2. To ensure that assessment methodology is valid, reliable and does not disadvantage any group or individual learners.

In order to do this the Trust will: •

- Ensure that teaching/delivery/assessment staff are timetabled to support blended learning when learners are working remotely.
- Ensure there is a process to manage feedback on assignments, questions are constructively answered, and feedback is provided in a timely manner. This will be done via Google Classroom or MS Teams
- Ensure the setting of assignments is undertaken in the face-to-face sessions and that deadlines are clear.
- Ensure that when learners submit work measures are taken to ensure the work is authentic and has been completed by the learner.
- Maintain and store securely all assessment and internal verification records in accordance with Exam Board Centre Agreements. This will be done using the Schools OneDrive system.

has policies, processes and structures that reflect the blended learning models of assessment. It is anticipated that staff and students will adopt a blended learning approach for a period of self isolation, which typically will be no longer than 14 days. At which point they will return to their normal timetabled lessons.

During a period of blended learning will undertake the following:

- Teaching/delivery staff are timetabled to support blended learning when learners are working remotely. This will be via the medium of google classroom, emails and MS Teams videos. All of which will support the continuous learning.
- Scalby School has a process to manage feedback on assignments, and questions are constructively supported, and feedback is provided in a timely manner, if not in the classroom environment. Students submit their work electronically, therefore students can be supported appropriately.
- The setting of assignments is undertaken in the face-to-face sessions and that deadlines are clear where possible. Timetabled lessons for BTEC students remain unchanged allowing for face to face sessions to continue to run.
- has provided staff training and implemented measures to prevent and detect any instances of malpractice which may arise due to the different delivery/assessment methods chosen. When learners submit work, we can provide evidence to ensure that the work is authentic and has been completed by the learner.
- Learners are fully aware of the need to ensure they avoid any forms of malpractice (for example plagiarism) and the consequences should they commit it. The school has invested in plagiarism software to check candidate work.

Appendix 5: Internal Appeals Procedures

Introduction

Certain qualifications contain components of non-examination assessment (or units of coursework) which are internally assessed (marked) by the Trust and internally reviewed/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 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 marking is line with national standards. The mark submitted to the awarding body is subject to change and should therefore be considered provisional.

The qualifications delivered at the Trust containing components of non-examination assessment/units of coursework are:

- GCSE

- OCR Cambridge National
- Pearson BTEC
- NCFE Technical Award
- GCE
- iMedia
- EAL

Purpose of the procedure

The purpose of this procedure is to confirm the arrangements at the Trust for dealing with candidate appeals relating to internal assessment decisions.

This procedure ensures compliance with JCQ regulations which state that centres must:

- have in place and be available for inspection purposes, 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

Principles relating to centre assessed marks

The head of centres/senior leader(s) at the Trust will ensure that the following principles are in place in relation to marking the work of candidates:

- A commitment to ensuring that whenever teaching staff mark candidates' work, that this is done fairly, consistently and in accordance with the awarding body's specification and subject-specific associated documents
- All centre staff follow a robust Non-examination Assessment Policy (for the management of non-examination assessments). This policy details all procedures relating to non-examination assessments for relevant qualifications delivered in the centre, including the marking and quality assurance processes which relevant teaching staff are required to follow
- Candidates' work will be marked by staff who have appropriate knowledge, understanding and skill, and who have been trained in this activity
- A commitment to ensuring that work produced by candidates is authenticated in line with the requirements of the awarding body. Where a number of subject teachers are involved in marking candidates' work, internal moderation and standardisation will ensure consistency of marking
- On being informed of their centre assessed mark(s), if candidates 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 mark scheme to their marking, then they may make use of the internal appeals procedure below to consider whether to request a review of the centre's marking

Additional centre-specific principles:

Not Applicable

Procedure for appealing internal assessment decisions (centre assessed marks)

The head of centres/senior leader(s) at the Trust will:

- Ensure that candidates are informed of their centre assessed marks so that they may request a review of the centre's marking before marks are submitted to the awarding body
- Inform candidates that they 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 their work in meeting the published assessment criteria
- Inform candidates that they may request copies of materials (for example, as a minimum, a copy their 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
- Having received a request for copies of materials, promptly make them available to the candidate (for some marked assessment materials, such as art work and recordings, inform the candidate that these will be shared under supervised conditions) within the period of time as specified
- Provide candidates with sufficient time in order to allow them to review copies of materials and reach a decision, informing candidates that if their decision is to request a review they will need to explain what they believe the issue to be
- Provide a clear deadline for candidates to submit a request for a review of the centre's marking and confirm understanding that requests must be made in writing and will not be accepted after this deadline

Require candidates to make requests for a review of centre marking by Completing an internal appeals form

- Allow sufficient time 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
- Ensure that the review of marking is carried out by an assessor who has appropriate competence, has had no previous involvement in the assessment of that candidate and has no personal interest in the review
- Instruct the reviewer to ensure that the candidate's mark is consistent with the standard set by the centre
- Inform the candidate in writing of the outcome of the review of the centre's marking
- Ensure the outcome of the review of the centre's marking is 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

- Ensure a written record of the review is kept and made available to the awarding body upon request
- Ensure the awarding body is informed if the centre does not accept the outcome of a review

Additional centre-specific procedure:

Not Applicable

Deadlines and timescales

- Upon request, copies of materials will be made available to the candidate within 10 calendar days
- The deadline to request a review of marking must be made within 10 calendar days of the candidate receiving copies of the requested materials
- The process for completing the review, making any changes to marks, and informing the candidate of the outcome will be completed within 10 calendar days, all before the awarding body's deadline for the submission of marks

Appendix 6: Equalities Guidance

Purpose of the policy

This document is provided as an exams-specific supplement to the *centre-wide equalities/disability/accessibility policy/plan* which details how the centre will:

- recognise its duties towards disabled candidates, including private candidates, as defined under the terms of the Equality Act 2010†. This must include a duty to explore and provide access to suitable courses, through the access arrangements process submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates; †or any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect

JCQ's General Regulations for Approved Centres 2021-2022 (section 5.4)

This publication is further referred to in this policy as GR.

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

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

The Equality Act 2010 definition of disability

A definition is provided on page 4 of the JCQ publication *Adjustments for candidates with disabilities and learning difficulties* Access Arrangements and Reasonable Adjustments 2021-2022 (**Definitions** section).

This publication is further referred to in this policy as AA.

Identifying the need for access arrangements

Roles and responsibilities

Head of centre

- Is familiar with the entire contents, refers to and directs relevant centre staff to the annually updated JCQ publications including GR and AA
- Ensures the quality of the access arrangements process within the centre
- Ensures staff roles, responsibilities and processes in identifying, requesting and implementing access arrangements for candidates (including private candidates) are clearly defined and documented
- Ensures an appropriately qualified assessor(s) is appointed, evidence of the assessor's qualification(s) is obtained before he/she assesses candidates and that evidence of the qualification(s) of the person(s) appointed is held on file
- Ensures the assessment process is administered in accordance with the regulations and that the correct procedures are followed as per Chapter 7 of AA
- Ensures a policy demonstrating the centre's compliance with relevant legislation is in place
- Support the SENCo in determining the need for and implementing access arrangements
- Ensures a statement is provided which details the criteria the centre uses to award and allocate word processors for exams
- Leads on the access arrangements process to facilitate access for candidates
- Defines and documents roles, responsibilities and processes in identifying, requesting and implementing access arrangements (*Access arrangements policy*)
- Provides a policy on the use of word processors in exams and assessments
- If not the appropriately qualified assessor, works with the person/persons appointed, on all matters relating to assessing candidates and the administration of the assessment process
- Ensures the qualified assessor(s) has access to the assessment objectives for the relevant specification(s) a candidate is undertaking

- Ensures that all assessments carried out and arrangements put in place comply with JCQ and awarding body regulations and guidance
- Ensures arrangements put in place for exams/assessments reflect a candidate's *normal way of working* within the centre
- Ensures the need for access arrangements for a candidate is considered on a subject by subject basis
- Presents when requested by a JCQ Centre Inspector, evidence of the assessor's qualification
- Works with teaching staff, relevant support staff and the Exams Manager/Officer to ensure centre-delegated and awarding body approved access arrangements are put in place for candidates taking internal and external exams/assessments
- Provide information to evidence the normal way of working of a candidate
- Conducts appropriate assessments to identify the need(s) of a candidate
- Provides appropriate evidence to confirm the need(s) of a candidate
- Completes appropriate documentation as required by the regulations of JCQ and the awarding body

Senior leader(s)

- Are familiar with the entire contents of the annually updated JCQ publications including GR and AA

Special educational needs coordinator (SENCo)

- Has full knowledge and understanding of the contents, refers to and directs relevant centre staff to the annually updated JCQ publication AA

Teaching staff

- Inform the SENCo of any support that might be needed by a candidate

Support staff (for example, Learning Support Assistants, Teaching Assistants and Communication Support Workers)

- (where appropriate) Provide comments/observations to support the SENCo to 'paint a holistic picture of need', confirming normal way of working for a candidate

Assessor of candidates with learning difficulties

(An assessor of candidates with learning difficulties will be an appropriately qualified access arrangements assessor/psychologist/specialist assessor)

- Has detailed understanding of the JCQ publication AA

Requesting access arrangements

Roles and responsibilities

SENCo

- Determines if the arrangements identified for a candidate require prior approval from the awarding body before the arrangements are put in place or if approval is centre-delegated
- Follows guidance in AA (chapter 8) to process approval applications for access arrangements for those qualifications included
- Applies for approval where this is required, through Access arrangements online (AAO), or through the awarding body where qualifications sit outside the scope of AAO
- Ensures appropriate and required evidence is held on file to confirm validation responses in AAO including (where required) the completion of JCQ Form 8 (Application for access arrangements – Profile of learning difficulties), and/or centre based evidence including concise file note(s) on centre headed paper, signed and dated, and a body of evidence to substantiate the candidate's normal way of working within the centre (Form 8 must only be used for candidates with learning difficulties who are not subject to a current EHCP or Statement of Special Educational Needs or those requiring a Language Modifier.)
- Ensures where form 8 is required to be completed, the form is signed (a handwritten, electronic or typed signature is acceptable) and dated as required **prior** to approval being sought and that the form is provided for processing and inspection purposes (This may be a hard copy paper version or an electronic version)
- Ensures the names of all other assessors, who are assessing candidates studying qualifications covered by AAO are entered into AAO to confirm their status including any professionals working outside the centre
- Confirms by ticking the *'Confirmation'* box prior to submitting the application for approval that the *'malpractice consequence statement'* has been read and accepted
- Makes an *awarding body referral* through AAO where the initial application for approval may not be approved by AAO, where it is deemed by the centre that the candidate does meet the criteria for the arrangement(s)
- Ensures that arrangements, and approval where required, are in place before a candidate takes his/her first exam or assessment (which is externally assessed or internally assessed/externally moderated)
- Ensures that where approval is required that this is processed at the start of the course and at the latest by the awarding body deadline

Maintains a file/e-folder for each candidate (the required documentation for a candidate will either be all in hard copy within the candidate's file **or** all in electronic format within the candidate's e-folder) that will include:

  - completed JCQ/awarding body application forms and evidence forms
  - appropriate evidence to support the need for the arrangement where required
  - appropriate evidence to support normal way of working within the centre
  - in addition, for those qualifications covered by AAO (where approval is required), a print out/PDF of the AAO approval and a signed candidate personal data consent form (which provides candidate consent to their personal details being shared)

- Presents the files/e-folders when requested by a JCQ Centre Inspector and addresses any queries/questions raised (In the event of an IT failure at the time of an inspection is able to access the required documentation in an alternative format, e.g. a memory stick or hard copy)
- If the SENCo is unavailable, presents the files/e-folders of access arrangements candidates when requested by a JCQ Centre Inspector and addresses any queries/questions raised
- Liaises with teaching staff regarding any appropriate modified paper requirements for candidates
- Liaises with the SENCo to ensure arrangements are in place to either order a non-interactive electronic (PDF) question paper or to open question paper packets in the secure room within 90 minutes of the published starting time for the exam where the centre is permitted to modify a timetabled written component exam paper (copy on coloured paper, enlarge to A3 or copy to single sided print)
- Following the appropriate process (using AAO for those qualifications included in the tool; using Form VQ/EA), orders published modified papers, by the awarding body's deadline for the exam series, where these may be required for a candidate

Exams Manager/Officer (EM/O)

- Is familiar with the entire contents of the annually updated JCQ publication GR and is aware of information contained in AA where this may be relevant to the EM/O role

Implementing access arrangements and the conduct of exams

Roles and responsibilities

External assessments

These are assessments which are normally set and marked/examined by an awarding body which must be conducted according to awarding body instructions and/or the JCQ publication Instructions for conducting examinations (ICE).

Head of centre

- Supports the SENCo, the Exams Manager/Officer and other relevant centre staff in ensuring appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams
- Is familiar with the instructions for Invigilation arrangements for candidates with access arrangements and Access arrangements in ICE 2021-2022
- Ensures that any arrangements put in place do not unfairly disadvantage or advantage disabled candidates
- Appoints appropriate centre staff as facilitators to support candidates (practical assistant, prompter, Language Modifier, reader, scribe or Communication Professional)
- Ensures facilitators supporting candidates are appropriately trained and understand the rules of the particular access arrangement(s)
- Ensures where the candidate's own subject teacher will be used (in exceptional circumstances) as a facilitator, an invigilator will be present at all times
- Ensures where a facilitator is allocated to support a candidate under exam conditions that they will not be a relative, friend, peer or private tutor of the candidate
- Ensures a facilitator acting as a prompter will not normally be the candidate's own subject teacher and must not be a relative, friend or peer of the candidate (understanding that a private tutor cannot act as a prompter for the candidate)
- Liaises with the EM/O to ensure that invigilators are made aware of the Equality Act 2010 and are trained in disability issues
- Has a process in place to deal with emergency (temporary) access arrangements as they arise at the time of exams in terms of rooming and invigilation

SENCo

- Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access for candidates where they are disabled within the meaning of the Equality Act (unless a temporary emergency arrangement is required at the time of an exam)
- Is familiar with the instructions for Invigilation arrangements for candidates with access arrangements and Access arrangements in ICE 2021-2022

- Ensures a candidate is involved in any decisions about arrangements, adjustments and/or adaptations that may be put in place for him/her and ensures the candidate understands what will happen at exam time
- Ensures that prior to any arrangements being put in place checks are made that arrangements do not impact on any assessment criteria/competence standards being tested
- Ensures that any arrangements put in place do not unfairly disadvantage or advantage disabled candidates
- Monitors, in internal tests/mock exams, the use of arrangements granted to a candidate and where a candidate has never made use of the arrangement, may consider withdrawing the arrangement, provided the candidate will not be placed at a substantial disadvantage
- Liaises with the Exams Manager/Officer (EM/O) regarding facilitation and invigilation of access arrangement candidates in exams
- Ensures a record of the content of training given to those facilitating an access arrangement for a candidate under examination conditions is kept 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
- Ensures the facilitator is known by or introduced to the candidate prior to exams
- Ensures a facilitator acting as a prompter is aware of the appropriate way to prompt depending on the needs of the candidate
- Liaises with the EM/O to ensure that invigilators are made aware of the Equality Act 2010 and are trained in disability issues
- Ensures cover sheets, where these are required by the arrangement are completed as required by facilitators
- Liaises with the EM/O where a facilitator may be required to support a candidate requiring an emergency (temporary) access arrangement at the time of exams
- Ensures candidates with access arrangements are identified on exam room seating plans and invigilators are made aware of the arrangements awarded and invigilators informed of those candidates with access arrangements and made aware of the access arrangement(s) awarded
- Checks in advance of dated exams/assessments that modified paper orders have arrived (and if not will contact the awarding body to ensure that papers are available when required)
- Makes modifications that are permitted by the centre (a question paper copied onto coloured paper, an A4 to A3 enlarged paper or a paper printed on single sheets or where a question paper may need to be scanned into PDF format where a candidate is approved the use of a computer reader) that may be required and either accesses a non-interactive electronic (PDF) question paper

or opens the exam question paper packet in the secure room no earlier than 90 minutes prior to the awarding body's published start time of the exam

- Provides cover sheets prior to the start of an exam where required for particular access arrangements and ensures that these have been fully completed before candidates' scripts are dispatched to examiners/markers
    - prints pre-populated cover sheets from AAO where this is required for particular arrangements
- Has a process in place to deal with emergency (temporary) access arrangements as they arise at the time of exams in terms of rooming and invigilation

Exams Manager/Officer

- Understands and follows instructions for Invigilation arrangements for candidates with access arrangements and Access arrangements in ICE 2021-2022
- Is familiar with the instructions for Invigilation arrangements for candidates with access arrangements and Access arrangements in ICE 2021-2022
- Ensures exam information (JCQ information for candidate's documents, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it
- Ensures that any arrangements put in place do not unfairly disadvantage or advantage disabled candidates
- Liaises with other relevant centre staff regarding the provision of appropriate rooming and equipment that may be required to facilitate access for disabled candidates to exams
- Ensures where the candidate's own subject teacher will be used (in exceptional circumstances) as a facilitator, an invigilator will be present at all times
- Ensures where a facilitator is allocated to support a candidate under exam conditions that they will not be a relative, friend, peer or private tutor of the candidate
- Ensures a facilitator acting as a prompter will not normally be the candidate's own subject teacher and must not be a relative, friend or peer of the candidate (understanding that a private tutor cannot act as a prompter for the candidate)
- Ensures a facilitator acting as a prompter is aware of the appropriate way to prompt depending on the needs of the candidate
- Ensures invigilators supervising access arrangement candidates are trained in their role and understand the invigilation arrangements required for access arrangement candidates and the role of any facilitator

- Liaises with the SENCo and other relevant centre staff to ensure appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams
- Liaises with the SENCo to ensure exam information (JCQ information for candidates documents, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it
- Liaises with the SENCo regarding the facilitation and invigilation of access arrangement candidates
- Liaises with the SENCo regarding rooming of access arrangement candidates
- Liaises with the SENCo to ensure that invigilators are made aware of the Equality Act 2010 and are trained in disability issues
- Ensures appropriate seating arrangements are in place where different arrangements may need to be made for a candidate to facilitate access to his/her exams
- Ensures candidates with access arrangements are identified on exam room seating plans and invigilators are made aware of the arrangements awarded and invigilators informed of those candidates with access arrangements and made aware of the access arrangement(s) awarded
- Ensures invigilators are briefed prior to each exam session of the arrangements in place for a disabled candidate in their exam room
- Checks in advance of dated exams/assessments that modified paper orders have arrived (and if not will contact the awarding body to ensure that papers are available when required)
- Makes modifications that are permitted by the centre (a question paper copied onto coloured paper, an A4 to A3 enlarged paper or a paper printed on single sheets or where a question paper may need to be scanned into PDF format where a candidate is approved the use of a computer reader) that may be required and either accesses a non-interactive electronic (PDF) question paper or opens the exam question paper packet in the secure room no earlier than 90 minutes prior to the awarding body's published start time of the exam
- Understands that where permitted/approved, secure exam question paper packets may need to be opened early so the facilitator (Language Modifier, Live Speaker, Communication Professional **only**) may have access to the question paper 60 minutes prior to the awarding body's published starting time for the exam in order to prepare
- Provides cover sheets prior to the start of an exam where required for particular access arrangements and ensures that these have been fully completed before candidates' scripts are dispatched to examiners/markers

- prints pre-populated cover sheets from AAO where this is required for particular arrangements

- Liaises with the SENCo where a facilitator may be required to support a candidate requiring an emergency (temporary) access arrangement at the time of exams
- Where required for emergency (temporary) access arrangements, applies for approval through AAO or through the awarding body where qualifications sit outside the scope of AAO

Other relevant centre staff

- Support the SENCo and the Exams Manager/Officer to ensure appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams
- Staff responsible for **IT or other specialist equipment** that may need to be provided or adapted for a candidate
- Estates/site staff responsible for **rooms and non-specialist equipment** (chairs, tables, clocks etc.) used for exams that may need to be adapted for a candidate
- Senior staff responsible for the centre's **emergency evacuation procedures** and the arrangements that may need to be in place for a candidate with a disability who may need assistance when an exam room is evacuated

Internal assessments

These are non-examination assessments (NEA) which are normally set by a centre/awarding body, marked and internally moderated by the centre and externally moderated by the awarding body.

Externally marked and/or externally set practical examinations taken at different times across centres are classified as 'NEA'. (JCQ publication Instructions for conducting non-examination assessments, Foreword)

SENCo

- Liaises with teaching staff to implement appropriate access arrangements for candidates

Teaching staff

- Support the SENCo in implementing appropriate access arrangements for candidates
- Ensures centre-delegated and awarding body approved arrangements are in place prior to a candidate taking his/her first formal supervised assessment
- Ensures candidates are aware of the access arrangements that are in place for their assessments

- Ensures a candidate has had appropriate opportunities to practise using the access arrangement(s) before his/her first examination
- Ensures facilitators supporting candidates are appropriately trained and understand the rules of the particular access arrangement(s)
- Ensures cover sheets are completed as required by facilitators
- Liaises with the teacher where a facilitator may be required to support a candidate requiring an emergency (temporary) access arrangement at the time of his/her formal supervised assessment
- Provide the SENCo with assessment schedules to ensure arrangements are put in place when required
- Liaise with the SENCo regarding assessment materials that may need to be modified for a candidate

Internal exams

These are exams or tests which are set and marked within the centre; normally a pre-cursor to external assessments.

SENCo

- Liaises with teaching staff to implement appropriate access arrangements for candidates

Teaching staff

- Support the SENCo in implementing appropriate access arrangements for candidates
- Provide exam materials that may need to be modified for a candidate
- Provide the SENCo with internal exam timetable to ensure arrangements are put in place when required

Facilitating access - examples

The following information confirms the centre's good practice in relation to the Equality Act 2010 and the conduct of examinations.

On a candidate by candidate basis, consideration is given to

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

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

Example of candidate need(s)	Arrangements explored	Centre actions
A medical condition which prevents the candidate from taking exams in the centre	Alternative site for the conduct of examinations Supervised rest breaks	*SENCo gathers evidence to support the need for the candidate to take exams at home* *Pastoral head provides written statement for file to confirm the need* *Approval confirmed by SENCo; AAO approval for both arrangements not required* *Pastoral head discussion with candidate to confirm the arrangements should be put in place* *EM/O submits 'Alternative site form' for timetabled written exams to awarding body/bodies online through CAP* *An on-line submission must only be made for timetabled written examinations in the following qualifications…* *EM/O provides candidate with exam timetable and JCQ information for candidates* *Pastoral head confirms with candidate the information is understood* *Pastoral head agrees with candidate that prior to each exam will call to confirm fitness to take exam*

		EM/O allocates invigilator(s) to candidate's timetable; confirms time of collection of exam papers and materials *Invigilator monitors candidate's condition for each exam and records any issues on incident log* *Invigilator records rest breaks (time and duration) on incident log and confirms set time given for exam* *Invigilator briefs EM/O after each exam on how candidate's performance in exam may have been affected by his/her condition* *EM/O discusses with pastoral head if candidate is eligible for special consideration (candidate present but disadvantaged)* *EM/O processes request(s) for special consideration where applicable; incident log(s) provides supporting evidence* *Pastoral head informs candidate that special consideration has been requested*
Persistent and significant difficulties in accessing written text	Reader/computer reader 25% Extra time Separate invigilation within the centre	*Confirms candidate is disabled within the meaning of the Equality Act 2010* *Papers checked for those testing reading* *Computer reader/examination reading pen sourced for use in papers (or sections of papers) testing reading OR up to 50% extra time awarded* *A short concise file note produced on centre headed paper, signed and dated kept on file, confirming the nature of the candidate's impairment and that the use of a computer reader and/or a reader reflects his/her normal and current way of working within the centre* *(25% Extra time - Form 8 completed as appropriate)* *Supporting evidence, AAO approval and signed candidate personal data consent form kept on file*

Significant difficulty in concentrating	Prompter Separate invigilation within the centre	*Gathers evidence to support substantial and long term adverse impairment* *Confirms with candidate how and when they will be prompted* *Briefs invigilator to monitor candidate and the method of prompting (call out his name to bring his attention back to the paper - confirms requirement for separate room)*
A wheelchair user	Desk Rooms Facilities Seating arrangements Practical assistant	*Applies for practical assistant to help candidate set up wheelchair and other equipment in a practical assessment; approval automatically fails so awarding body referral lists the tasks that will be performed* *Provides height adjustable desk in exam room* *Allocates exam room on ground floor near adapted bathroom facilities* *Spaces desks to allow wheelchair access* *Seats candidate near exam room door* *Confirms arrangements in place to assist the candidate in case of emergency evacuation of the exam room* *Practical assistant cover sheet printed from AAO; to be completed by facilitator and inserted inside the candidate's work where this may be applicable to the assessment*

Appendix 7: Complaints and Appeals Procedure

Purpose of the procedure

The purpose of this procedure is to confirm the arrangements for complaints and appeals in relation to examinations at the Trust's Secondary Schools and confirms compliance with JCQ's **General Regulations for Approved Centres** (section 5.8) in drawing to the attention of candidates and their parents/carers their written complaints and appeals procedure which covers general complaints regarding the centre's delivery or administration of a qualification.

Grounds for complaint

A candidate (or his/her/parent/carer) at the Trust may make a complaint on the grounds below.

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 examination candidate
- The taking of an assessment, which contributes to the final grade of the qualification, not conducted according to the JCQ/awarding body instructions
- The marking of an internal assessment, which contributes to the final grade of the qualification, not undertaken according to the requirements of the awarding body (complainant should refer to the centre's **internal appeals procedure**)
- Centre fails to adhere to its **internal appeals procedure**
- Candidate not informed of their centre assessed mark prior to marks being submitted to the awarding body
- Candidate not informed of their centre assessed mark 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 the centre assessed mark

Additional grounds for complaint relating to teaching and learning:

Not applicable

Access arrangements

- Candidate not assessed by the centre's appointed assessor
- Candidate not involved in decisions made regarding their access arrangements
- Candidate did not consent to personal data being shared electronically (by the non-acquisition of a signed data protection notice/candidate data personal consent form)
- Candidate not informed/adequately informed of the arrangement(s) in place and the subjects or components of subjects where the arrangement(s) would not apply
- Examination information not appropriately adapted for a disabled candidate to access it
- Adapted equipment put in place failed during examination/assessment
- Approved access arrangement(s) not put in place at the time of an examination/assessment
- Appropriate arrangement(s) not put in place at the time of an examination/assessment as a consequence of a temporary injury or impairment

Additional grounds for complaint relating to access arrangements:

Not applicable

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 examination/assessment
- Candidate entered for a wrong examination/assessment
- Candidate entered for a wrong tier of entry

Additional grounds for complaint relating to examination entries:

Not applicable

Conducting examinations

- Failure to adequately brief candidate on examination timetable/regulations prior to examination/assessment taking place
- Room in which assessment held did not provide candidate with appropriate conditions for taking the examination
- Inadequate invigilation in examination room
- Failure to conduct the examination according to the regulations
- Online system failed during (on-screen) examination/assessment
- Disruption during the examination/assessment
- Alleged, suspected or actual malpractice incident not investigated/reported
- Failure to inform/update candidate on the outcome of a special consideration application

Additional grounds for complaint relating to the conducting of examinations:

Not applicable

Results and Post-Results

- Before examinations, candidate not made aware of the arrangements for post-results services and the availability 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 a decision on the submission of a results review/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 Manager/Officer to awarding body **post-results services**)
- Candidate (or parent/carer) unhappy with a centre decision not to support a clerical re-check, a review of marking, a review of moderation or an appeal (complainant to refer to the centre's **internal appeals procedure**)

- Centre applied for the wrong post-results service/for the wrong examination paper for a candidate
- Centre missed awarding body deadline to apply for a post-results service
- Centre applied for a post-results service for a candidate without gaining required candidate consent/permission

Additional grounds for complaint relating to results and post-results:

Not applicable

Complaints and Appeals Procedure

If a candidate (or parent/carer) has a general concern or complaint about the centre's delivery or administration of a qualification, the Trust encourages an informal resolution in the first instance. This can be undertaken by Raising the concern or complaint in person, by telephone or by writing to the head of centre.

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

How to make a formal complaint

All documentation relating to the submission of a formal complaint is available from, and should be returned to Head of Centre

Formal complaints will be logged and acknowledged within 10 calendar days.

To make a formal complaint, candidates (or parents/carers) must Complete and return a complaints and appeals form.

How a formal complaint is investigated

The head of centre will further investigate or appoint a member of the senior leadership team (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 conclusions

The findings and conclusion of any investigation will be provided to the complainant within 6 working weeks.

Appeals

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

To submit an appeal, candidates (or parents/carers) must Again complete and return a complaints and appeals form.

Appeals will be logged and acknowledged within 10 calendar days.

The appeal will be referred to Chair of Governors (or a special Committee of the Governing Committee) for consideration.

It will be the responsibility of The Chair of Governors (or Committee) will inform the appellant of the final conclusion in due course to inform the appellant of the final conclusion.

Additional details on the appeals process:

Not applicable

Appendix 8: Access Arrangements Guidance

Introduction

(AA Definitions)

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'.

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 several 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; and
- 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'.

Purpose of the policy

The purpose of this policy is to confirm that the Trust 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 (GR 5.5)
- has a written process in place to not only check the qualification(s) of its assessor(s) but that the correct procedures are followed as per Chapter 7 of

the JCQ publication Access Arrangements and Reasonable Adjustments (GR 5.4)

1. General principles

The general principles of access arrangements for the Trust to consider include:

- The purpose of an access arrangement is to ensure, where possible, that barriers to assessment are removed for a disabled candidate preventing him/her 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. (AA 4.2.1)
- The person who leads on special educational needs and disability, must ensure that the proposed access arrangement does not disadvantage or advantage the candidate (AA 4.2.1)
- Although access arrangements are intended to allow access to assessments, they cannot be granted where they will compromise the assessment objectives of the specification in question (AA 4.2.2)
- Candidates may not require the same access arrangements in each specification. Subjects and their methods of assessments may vary, leading to different demands of the candidate. The need for access arrangements must be considered on a subject-by- subject basis. (AA 4.2.3)
- Access arrangements should be processed at the start of the course (AA 4.2.4)
- Arrangements must always be approved before an examination or assessment (AA 4.2.4)
- The arrangement(s) put in place must reflect the support given to the candidate in the centre (AA 4.2.5)
- The candidate must have had appropriate opportunities to practise using the access arrangement(s) before their first examination (AA 4.2.7)

The main elements of the access arrangements process detailing staff roles and responsibilities in identifying the need for, requesting and implementing access

arrangements and the conduct of examinations are covered in the Equalities Policy (Exams).

2. The assessment process

At the Trust , assessments are carried out by:

- an appropriately qualified assessor(s) appointed by the head of centre in accordance with the JCQ requirements (AA 7.3)

Appointment of assessors of candidates with learning difficulties

At the point an assessor is engaged/employed at the Trust:

- Evidence of the assessor’s qualification is obtained and checked against the current requirements (AA 7.3.4)

- This process is carried out prior to the assessor undertaking any assessment of a candidate (AA 7.3.4)
- A scanned copy of the assessor's certificate(s) (or a printout of screenshot of HCPC or SASC registration) is kept on file (AA 7.3.1)

Additional information:

Not applicable

Reporting the appointment of the assessor(s)

- Evidence that the assessor(s) is/are suitably qualified is held on file for inspection purposes (AA 7.4.1)

When requested, the evidence will be presented to the JCQ Centre Inspector by Office Manager (or other person with access to HR records).

- In the case of appropriately qualified psychologists (registered with the Health & Care Professions Council), or specialist assessors holding a current SpLD Assessment Practising Certificate, who are directly employed within the centre, there is no need to record the names of these individuals within **Access arrangements online**. (AA 4.4.2)
- The names of all other assessors, who are assessing candidates studying qualifications as covered by AA must be entered into **Access arrangements online** to confirm their status. This will include all other professionals working outside the centre. (AA 7.4.3)

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

The Trust confirms:

- Guidelines for the assessment of the candidate's learning difficulties by an assessor will be followed and Form 8 (JCQ/AA/LD - Profile of Learning Difficulties) will be completed (AA 7.5, 7.6)
- Arrangements must be made for the candidate to be assessed by an assessor (AA 7.5.1)
- Assessors must personally conduct the assessments. They must not sign off assessments carried out by another professional. (AA 7.5.5)
- The assessor must carry out tests which are relevant to support the application. (AA 7.5.6)
- A privately commissioned assessment carried out without prior consultation with the centre cannot be used to award access arrangements and cannot be used to process an application using Access arrangements online. (AA 7.3.6)
- Any privately commissioned assessment to see whether the process of gathering a picture of need, demonstrating normal way of working within the centre and ultimately assessing the candidate themselves should be instigated. (AA 7.3.6)

Additional information:

Distance Learners

Home educated students

Painting a 'holistic picture of need' confirming normal way of working

the Trust confirms

- Before the candidate's assessment, the person appointed in the centre must provide the assessor with background information, i.e. a picture of need has been painted as per Part 1 of Form 8. The centre and the assessor must work together to ensure a joined-up and consistent process. (AA 7.5.2)
- An independent assessor must contact the centre and ask for evidence of the candidate's normal way of working and relevant background information. This must take place before the candidate is assessed.
- All candidates must be assessed in light of the picture of need and the background information as detailed within Part 1 of Form 8.
- An independent assessor must discuss access arrangements with the person appointed in the centre. The responsibility to request access arrangements specifically lies with the centre. (AA 7.5.3)

Additional information:

Not applicable

3. Processing access arrangements

Arrangements requiring awarding body approval

Access arrangements online (AAO) is used to apply for approval of arrangements for the qualifications listed within the JCQ publication **Access Arrangements and Reasonable Adjustments**.

AAO is accessed through the JCQ Centre Admin Portal (CAP) by logging in to one of the awarding body secure extranet sites. A single application for approval is required for each candidate regardless of the awarding body used.

Deadlines apply for each examination series for submitting applications for approval using AAO.

BTEC access arrangements are applied for via the Pearson Edexcel Online portal.

NCFE access arrangements are applied for via the NCFE portal.

Centre delegated arrangements

Decisions relating to the approval of centre delegated arrangements are made by SENCo. Appropriate evidence, where required by the arrangement, is held on file by SENCo.

- **The use of a word processor**

The Word Processor Policy (Exams) details the criteria the Trust uses to award and allocate word processors in examinations/assessments.

- **Separate invigilation within the centre**

The Separate Invigilation Policy details the criteria the Trust uses to award separate invigilation within the centre.

Additional information:

Not applicable

Modified papers

Modified papers are ordered through AAO.

- Modified papers must be ordered in advance of a specific examination series, no later than the published deadline for the series concerned (AA 6.1)
- Modified papers are individually prepared for candidates for whom other access arrangements are unsuitable. The modification of papers involves additional resources. Therefore centres are required to provide the awarding bodies with early notification that a candidate will require a modified paper. (AA 6.1)
- Modified papers must not be ordered for candidates unless they intend to enter them for the relevant examination series (AA 6.1)
- For the adjustment to be effective, the candidate must have had appropriate opportunities to practise using an awarding body's past modified papers before his/her first examination (AA 6.1)

Roles and responsibilities

When an access arrangement has been processed on-line and approved, the evidence of need (where required) must be made available to a JCQ Centre Inspector upon request. An awarding body may also request evidence of need when considered necessary. This can either be in hard copy paper format or electronically. (AA 4.2.13)

Where access arrangements documentation is stored electronically an e-folder for each individual candidate must be created. The candidate's e-folder must hold each of the required documents for inspection. (AA 4.2.13)

It is the responsibility of:

- SENCo to collect a candidate's consent (a completed candidate personal data consent form) to record their personal data on-line through AAO
- SENCo to submit applications for approval through AAO
- SENCo to hold the file/e-folder for each individual candidate containing a copy of the candidate's approved application, appropriate evidence of need (where required) and a signed candidate personal data consent form (AA 8.6)
- SENCo to submit applications for approval directly to an awarding body for any qualification that does not fall within the scope of AAO
- SENCo to order modified papers

Additional responsibilities:

Not applicable

Appendix 9: Conflict of Interest

All staff are emailed with a link to respond to the questions relevant to conflicts of interest. Responses are held in the compliance system, any positive responses are forwarded to the Exams Office for follow up by completion of a Conflicts of Interest Declaration form.

It is the responsibility of the head of centre to ensure that their centre manages Conflicts of Interest by informing the awarding bodies, before the published deadline for entries, of:

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

maintains clear records of all instances where:

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

The head of centre **must** ensure that the records include details of the measures taken to mitigate any potential risk to the integrity of the qualifications affected. 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.

Heads of centre should note that entering members of centre staff for qualifications at their own centre **must** be as a last resort in cases where the member of centre staff is unable to find another centre.

The head of centre is responsible for ensuring that proper protocols are in place to prevent the member of centre staff having access to examination materials prior to the examination and that other centre staff are briefed on maintaining the integrity and confidentiality of the examination materials.

The head of centre **must** ensure that during the examination series the member of centre staff is treated in the same way as any other candidate entered for that examination, does not have access to examination materials and does not receive any preferential treatment. (GR 5.3)

Appendix 10: Word Processor Guidance

Introduction

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

The purpose of an access arrangement is to ensure, where possible, that barriers to assessment are removed for a disabled candidate preventing them

from being placed at a substantial disadvantage as a consequence of persistent and significant difficulties.

The following principles are applied to access arrangements at the Trust :

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

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

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

The SENCo must ensure that the proposed access arrangement does not disadvantage or advantage a candidate. (AA 4.2.1)

The candidate must have had appropriate opportunities to practise using the access arrangement(s) before their first

examination. (AA 4.2.7)

Purpose of the policy

This policy details how the Trust complies with AA (chapter 4) **Adjustments for candidates with disabilities and learning difficulties**, (section

5.8) **Word processor** and ICE (sections 14.20-25) **Word processors (computers, laptops and tablets)** 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 use of a word processor

the Trust will:

allocate the use of a word processor to a candidate with the spelling and grammar check/predictive text disabled (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 (AA 5.8.4)

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

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 candidate'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 Trust will not:

simply grant the use of a word processor to a candidate because they prefer to type rather than write or can work faster on a keyboard, or

because they use a laptop at home (AA 5.8.4)

Exceptions

The only exceptions to the above where the use of a word processor would be considered for a candidate, would be:

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)

Other centre specific information relating to the use of a word processor:

Not applicable

Arrangements at the time of the assessment for the use of a word processor

A candidate using a word processor is accommodated as follows:

in the main venue with the main cohort; or in a separate room to the main cohort

In compliance with the regulations, the Trust :

provides a word processor with the spelling and grammar check facility/predictive text disabled (switched off) unless an awarding body's 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 the word processor before the candidate's exam to ensure that the battery is sufficiently charged 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/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 a software application that does not allow for the insertion of a header or footer, 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 (ICE 14.22)

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 save their work at regular intervals (or where possible, an IT technician will set up 'autosave' on each laptop/tablet) (ICE 14.25)

instructs the candidate to use a minimum of 12pt font and double spacing to make marking easier for examiners (ICE 14.24)

The Trust will ensure the word processor (ICE 14.25): is only used in a way that ensures a candidate's script is produced under secure conditions ensure the word processor is not used to perform skills which are being assessed ensure the word processor is not connected to an intranet or any other means of communication is in

good working order at the time of the exam 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 and is not connected to an intranet or any other means of communication 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), spreadsheets etc.

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

or is using speech recognition technology (a scribe cover sheet must be completed), or the awarding body's specification permits the use of

automatic spell checking

does not include speech recognition technology unless the candidate has permission to use a scribe or relevant software

is not used on the candidate's behalf by a third party unless the candidate has permission to use a scribe

Portable storage medium

The Trust will ensure that any portable storage medium (e.g. a memory stick) used:

(ICE 14.25)

is provided by the centre

is cleared of any previously stored data

Printing the script after the exam has ended

The Trust will ensure that:

(ICE 14.25)

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

an awarding body requires a cover sheet to be completed this is included with the candidate's typed script (according to the

relevant awarding body's instructions)

if a candidate omits to insert the required header or footer, he/she is instructed to handwrite their details as a header or footer; the candidate is

supervised throughout this process to ensure that he/she is solely performing this task and not re-reading their answers or amending their work in

any way (ICE 14.22)

Other centre specific information relating to arrangements at the time of the assessment:

Not applicable

Statement

JCQ regulations (**Access Arrangements and Reasonable Adjustments**, section 5.8) state: A member of the centre's senior leadership team must

produce a statement for inspection purposes which details the criteria the centre uses to award and allocate word processors for examinations.

The criteria used to award and allocate word processors for examinations

The Trust confirms the normal way of working in examinations is:

candidates handwrite responses on their examination scripts (an exception to this is where a candidate may have an approved access arrangement

in place, for example the use of a scribe/speech recognition technology)

Awarding the use of word processors

There are exceptions when the Trust may award a candidate the use of a word processor in examinations where:

the candidate has a firmly established need

it reflects the candidate's normal way of working

by not being awarded a word processor the candidate would be at a substantial disadvantage to other candidates

This may include where a candidate has for example:

- a learning difficulty which has a substantial and long-term adverse effect on their ability to write legibly

- a medical condition

- a physical disability

- a sensory impairment

- planning and organisational problems when writing by hand

- poor handwriting

The only exceptions to the above where the use of a word processor may also be considered for a candidate would be:

on a temporary basis as a consequence of a temporary injury at the time of the assessment

where a subject within the curriculum is delivered electronically and the centre provides word processors to all candidates

Other centre specific information relating to awarding the use of a word processor:

Not applicable

Allocating the use of word processors at the time of the assessment

Appropriate exam-compliant word processors will be allocated by:

the IT department in liaison with the SENCo and the Exams Manager/Officer

In exceptional circumstances where the number of compliant word processors may be insufficient for the cohort of candidates approved to use them in an

exam session:

the cohort will be split into two groups

one group will sit the exam earlier than or later than the awarding body's published start time

the security of the exam will be maintained at all times and candidates will be supervised in line with section 7.2 of ICE

Other centre specific information relating to allocating the use of a word processor:

Not applicable

Appendix 11: Separate Invigilation Guidance

Introduction

Separate invigilation within the centre is an available access arrangement as defined in the JCQ regulations. This is an arrangement where a candidate with

an established difficulty may be eligible to take an examination accommodated in another room separate to the main cohort.

Purpose of the policy

The purpose of this policy is to confirm the criteria when this arrangement may be considered and granted for a candidate at the Trust in compliance

with the regulations.

1. Decisions on the awarding of the arrangement

At the Trust , decisions on the awarding of the arrangement are made by:

SENCo - SENDCo

Decisions are based on:

Whether the candidate has a substantial and long term impairment which has an adverse effect (AA 5.16)

The candidate's normal way of working within the centre (AA 5.16)

Ensuring the proposed arrangement does not disadvantage or advantage the candidate (AA 4.2.1)

Additional information:

Not applicable

2. Criteria for the awarding of the arrangement

Separate invigilation will be considered where the arrangement would prevent a candidate from being placed at a substantial disadvantage and where the

following conditions are met:

The candidate has an established difficulty as defined in section 5.16 of the JCQ's **Access Arrangements and Reasonable Adjustments**

publication (ICE 14.18)

The candidate has a long-term medical condition or long term social, mental or emotional need (AA 5.16)

The candidate's difficulties are established within the centre and known to relevant staff or a senior member of staff with pastoral responsibilities

(AA 5.16)

Separate invigilation reflects the candidate's normal way of working in internal tests and mock examinations because of a long term medical

condition or long term social, mental or emotional needs (AA 5.16)

Where a candidate is subject to separate invigilation within the centre, the regulations and guidance within the JCQ publication **Instructions for**

conducting examinations will be adhered to, particularly in relation to accommodation and invigilation arrangements (ICE 14.18)

Additional information:

Not applicable

3. Separate room arrangements

At the Trust arrangements for seating candidates in rooms separate to the main cohort may be put in place in other circumstances. As and when

applicable, these circumstances include:

seating candidates in a 'smaller' room, 'access arrangements' room, candidates with readers are seated with the main cohort if using reader pens or in a

'computer' room if using software, candidates with scribes are seated in a 'smaller' room, candidates using word processors are seated/roomed in a 'computer' room

Why have a policy on this?

In certain circumstances, a candidate with 'an established difficulty' may be eligible to take exams under separate invigilation. Centres may also receive requests from candidates (and/or parents/carers) to take their exams under separate invigilation (in a separate room with 1:1 invigilation). Having a documented policy ensures:

- the criteria for candidates granted separate invigilation within the centre is clear and complies with JCQ regulations
- the centre can demonstrate the policy if asked/challenged by a candidate (and/or parent/carer)

It may also be useful to include within this, the centre's policy for candidates seated in a 'small' room, 'access arrangements' room etc. (i.e. taking exams separate to the main cohort)

Appendix 12: Non-examination Assessment Guidance

Introduction

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

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

- task setting
- task taking
- task marking (NEA, section 1)

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

Purpose of the policy

The purpose of this policy is to confirm that the Trust adheres to JCQ regulations relating to non-examination assessments by:

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

This policy covers all types of non-examination assessment. (NEA, section 1)

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

1. The basic principles

Head of centre role and responsibilities:

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

Additional responsibilities:

Not applicable

Senior leader role and responsibilities:

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

Additional responsibilities:

Not applicable

QA lead/Lead internal verifier role and responsibilities:

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

Additional responsibilities:

Not applicable

Subject lead role and responsibilities:

- Ensure subject teachers understand their role and responsibilities within the non-examination assessment process
- Ensure the JCQ publication **Instructions for conducting non-examination assessments** and relevant awarding body subject specific instructions are followed in relation to the conduct of non-examination assessments (including endorsements)
- Work with the QA lead/Lead internal verifier to ensure appropriate procedures are followed to internally standardise/verify the marks awarded by subject teachers

Additional responsibilities:

Not applicable

Subject teacher role and responsibilities:

- Understand and comply with the general instructions as detailed in the JCQ publication **Instructions for conducting non-examination assessments**
- Where these may also be provided by the awarding body, understand and comply with the awarding body's specification for conducting nonexamination assessments, including any subject-specific instructions, teachers' notes or additional information on the awarding body's website
- Mark internally assessed work to the criteria provided by the awarding body
- Ensure the Exams Manager/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

Additional responsibilities:

Not applicable

Exams office/officer role and responsibilities:

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

Additional responsibilities:

Not applicable

2. Task setting

Subject teacher role and responsibilities:

- Select 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
- Make candidates aware of the criteria used to assess their work

Additional responsibilities:

Not applicable

Issuing of tasks

Subject teacher role and responsibilities:

- Determine when set tasks are issued by the awarding body
- Identify date(s) when tasks should be taken by candidates
- Access set tasks in sufficient time to allow planning, resourcing and teaching and ensures that materials are stored securely at all times

Additional responsibilities:

Not applicable

3. Task taking

Supervision

Subject teacher role and responsibilities:

- Check the awarding body's subject-specific requirements ensuring candidates take tasks under the required conditions and supervision arrangements
- Ensure there is sufficient supervision to enable the work of a candidate to be authenticated
- Ensure there is sufficient supervision to ensure the work a candidate submits is their own
- To ensure that 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, keep a record of each candidate's contribution
- Ensure candidates are aware of the current JCQ documents **Information for candidates - non-examination assessments** and **Information for candidates - Social media**
- Ensure candidates understand and comply with the regulations in relevant JCQ documents **Information for candidates**

Additional responsibilities:

Not applicable

Advice and feedback

Subject teacher role and responsibilities:

- As relevant to the subject/component, advise candidates on relevant aspects before candidates begin working on a task
- Not to provide candidates with model answers or outlines/headings specific to the task
- When reviewing candidates' work, unless prohibited by the specification, provide oral and written advice at a general level to candidates
- Allow candidates to revise and re-draft work after advice has been given at a general level
- Record any assistance given beyond general advice and takes it into account in the marking or submits it to the external examiner
- Ensure when work has been assessed, candidates are not allowed to revise it

Additional responsibilities:

Not applicable

Resources

Subject teacher role and responsibilities:

- Refer 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
- Ensure conditions for any formally supervised sessions are known and put in place
- Ensure 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
- Ensure conditions for any formally supervised sessions are understood and followed by candidates
- Ensure candidates understand that they are not allowed to introduce improved notes or new resources between formally supervised sessions
- Ensure that where appropriate to include references, candidates keep a detailed record of their own research, planning, resources etc.

Additional responsibilities:

Not applicable

Word and time limits

Subject teacher role and responsibilities:

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

Additional responsibilities:

Not applicable

Collaboration and group work

Subject teacher role and responsibilities:

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

Additional responsibilities:

Not applicable

Authentication procedures

Subject teacher role and responsibilities:

- Where required by the awarding body's specification:
    - ensure candidates sign a declaration confirming the work they submit for final assessment is their own unaided work
    - sign the teacher declaration of authentication confirming the requirements have been met
- Keep signed candidate declarations on file until the deadline for requesting reviews of results has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later
- Provide signed candidate declarations where these may be requested by a JCQ Centre Inspector
- Where there may be doubt about the authenticity of the work of a candidate or if malpractice is suspected, follow the authentication procedures and malpractice information in the JCQ publications **Instructions for conducting non-examination assessments** and informs a member of the senior leadership team
- Understand 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

Additional responsibilities:

Not applicable

Presentation of work

Subject teacher role and responsibilities:

- Obtain informed consent at the beginning of the course from parents/carers if videos or photographs/images of candidates will be included as evidence of participation or contribution

- Instruct candidates to present work as detailed in the JCQ publication **Instructions for conducting non-examination assessments** unless the awarding body's specification gives different subject-specific instructions
- Instruct 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

Additional responsibilities:

Not applicable

Keeping materials secure

Subject teacher role and responsibilities:

- When work is being undertaken by candidates under formal supervision, ensure work is securely stored between sessions (if more than one session)
- When work is submitted by candidates for final assessment, ensure work is securely stored
- Follow secure storage instructions as defined in the JCQ publication **Instructions for conducting non-examination assessments**
- Take sensible precautions when work is taken home for marking
- Store 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, return 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, return internally assessed work to candidates (if requested by a candidate) once the review of results and any subsequent appeal has been completed
- Remind 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 (Remind candidates of the contents of the JCQ document **Information for candidates - Social Media**)
- Where work is stored electronically, liaise with IT to ensure the protection and back-up of candidates' work and that appropriate arrangements are in place to restrict access to it between sessions
- Understands that during the period from the submission of work for formal assessment until the deadline for requesting a review of results, copies of work may be used for other purposes, provided that the originals are stored securely as required

Additional responsibilities:

Not applicable

IT role and responsibilities:

- Ensure appropriate arrangements are in place to restrict access between sessions to candidates' work where work is stored electronically
- Restrict access to this material and utilises appropriate security safeguards such as firewall protection and virus scanning software
- Employ an effective back-up strategy so that an up to date archive of candidates' evidence is maintained
- Consider 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

Additional responsibilities:

Not applicable

4. Task marking - externally assessed components

Conduct of externally assessed work

Subject teacher role and responsibilities:

- Liaise with the Exams Manager/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 according to the JCQ publication **Instructions for conducting examinations**
- Liaise with the Visiting Examiner where this may be applicable to any externally assessed component

Additional responsibilities:

Not applicable

Exams office/officer role and responsibilities:

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

Additional responsibilities:

Not applicable

Submission of work

Subject teacher role and responsibilities:

- Provide the attendance register to a Visiting Examiner

Additional responsibilities:

Not applicable

Exams office/officer role and responsibilities:

- Provide the attendance register to the subject teacher where the component may be assessed by a Visiting Examiner
- Ensure the awarding body's attendance register for any externally assessed component is completed correctly to show candidates who are present and any who may be absent
- Where candidates' work must be despatched to an awarding body's examiner, ensure the completed attendance register accompanies the work
- Keep a copy of the attendance register until after the deadline for reviews of results for the exam series
- Package the work as required by the awarding body and attaches the examiner address label
- Ensure that the package in which the work is despatched is robust and securely fastened
- Despatch the work to the awarding body's instructions by the required deadline

Additional responsibilities:

Not applicable

5. Task marking - internally assessed components

Marking and annotation

Head of centre role and responsibilities:

- Ensure where a teacher is teaching/preparing a candidate with whom they have a close 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 conflict of interest is declared to the awarding body and the marked work of the child submitted for moderation, whether it is part of the moderation sample or not

Additional responsibilities:

Not applicable

Subject lead role and responsibilities:

- Set 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

Additional responsibilities:

Not applicable

Subject teacher role and responsibilities:

- Attend/access awarding body training/updates as required to ensure familiarity with the mark scheme/marking process

- Mark candidates' work in accordance with the marking criteria provided by the awarding body
- Annotate 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
- Inform candidates of their marks which could be subject to change by the awarding body moderation process
- Ensure candidates are informed to 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

Additional responsibilities:

Not applicable

Internal standardisation

QA lead/Lead internal verifier role and responsibilities:

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

Additional responsibilities:

Not applicable

Subject teacher role and responsibilities:

- Indicate on work (or cover sheet) the date of marking
- Mark to common standards
- Keep 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

Additional responsibilities:

Not applicable

Consortium arrangements

Subject lead role and responsibilities:

Not applicable

Subject teacher role and responsibilities:

Not applicable

Exams office/officer role and responsibilities (where the centre is the consortium lead):

Not applicable

Submission of marks and work for moderation

Subject teacher role and responsibilities:

- Input and submit 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 Manager/Officer to the internal deadline
- Where responsible for marks input, ensure checks are made that marks for any additional candidates are submitted and ensures mark input is checked before submission to avoid transcription errors
- Submit 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 Manager/Officer to the internal deadline
- Ensure 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
- Ensure 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

- Submit any supporting documentation required by the awarding body/Provide the Exams Manager/Officer with any supporting documentation required by the awarding body

Additional responsibilities:

Not applicable

Exams office/officer role and responsibilities:

- Input and submit marks online, via the awarding body secure extranet site, keeping a record of the marks submitted, to the external deadline/Confirm with subject teachers that marks have been submitted to the awarding body deadline

- Where responsible for marks input, ensure checks are made that marks for any additional candidates are submitted and ensure 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
- Ensure 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, submit any supporting documentation required by the awarding body

Additional responsibilities:

Not applicable

Storage and retention of work after submission of marks

Subject teacher role and responsibilities:

- Keep a record of names and candidate numbers for candidates whose work was included in the moderation sample
- Retain all marked candidates' work (including any sample returned after moderation) under secure conditions for the required retention period
- In liaison with IT, take 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, retain some form of evidence such as photos, audio or media recordings

Additional responsibilities:

Not applicable

Exams office/officer role and responsibilities:

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

Additional role and responsibilities:

Not applicable

External moderation - the process

Subject teacher role and responsibilities:

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

Additional responsibilities:

Not applicable

External moderation - feedback

Subject lead role and responsibilities:

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

Additional responsibilities:

Not applicable

Exams office/officer role and responsibilities:

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

Additional responsibilities:

Not applicable

6. Access arrangements

Subject teacher role and responsibilities:

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

Additional responsibilities:

Not applicable

SENCo role and responsibilities:

- Follow the regulations and guidance in the JCQ publication **Access Arrangements and Reasonable Adjustments** in relation to non-examination assessments
- Where arrangements do not undermine the integrity of the qualification and is the candidate's normal way of working, ensure access arrangements are in

place and awarding body approval, where required, has been obtained prior to assessments taking place
- Make subject teachers aware of any access arrangements for eligible candidates which need to be applied to assessments
- Work with subject teachers to ensure requirements for access arrangement candidates requiring the support of a facilitator in assessments are met
- Ensure that staff acting as an access arrangement facilitator are fully trained in their role

Additional responsibilities:

Not applicable

7. Special consideration and loss of work

Subject teacher role and responsibilities:

- Understand 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
- Liaise with the Exams Manager/Officer when special consideration may need to be applied for a candidate taking assessments
- Liaise with the Exams Manager/Officer to report loss of work to the awarding body

Additional responsibilities:

Not applicable

Exams office/officer role and responsibilities:

- Refer 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
- Refer to/directs relevant staff where applicable to **Form 15 - JCQ/LCW** (lost work) and where applicable submits to the relevant awarding body

Additional responsibilities:

Not applicable

8. Malpractice

Head of centre role and responsibilities:

- Understand the responsibility to immediately report to the relevant awarding body any alleged, suspected or actual incidents of malpractice involving candidates, teachers, invigilators or other administrative staff
- Is familiar with the JCQ publication **Suspected Malpractice: Policies and Procedures**
- Ensure 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 ensure that teaching staff are reminded that failure to report allegations of malpractice or suspected malpractice constitutes malpractice in itself

Additional responsibilities:

Not applicable

Subject teacher role and responsibilities:

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

Additional responsibilities:

Not applicable

Exams office/officer role and responsibilities:

- Signpost the JCQ publication **Suspected Malpractice: Policies and Procedures** to the head of centre
- Signpost the JCQ **Notice to Centres - Sharing NEA material and candidates' work** to subject heads
- Signpost candidates to the relevant JCQ **information for candidates** documents
- Where required, support the head of centre in investigating and reporting incidents of alleged, suspected or actual malpractice

Additional responsibilities:

Not applicable

9. Post-results services

Head of centre role and responsibilities:

- Is familiar with the JCQ publication **Post-Results Services**
- Ensure the centre's **Internal Appeals Procedures** clearly detail the process to be followed by candidates (or their parents/carers) appealing against a centre decision not to support a review of results or an appeal

Additional responsibilities:

Not applicable

Subject lead role and responsibilities:

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

Additional responsibilities:

Not applicable

Subject teacher role and responsibilities:

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

Additional responsibilities:

Not applicable

Exams office/officer role and responsibilities:

- Is aware of the individual post-results services available for externally assessed and internally assessed components of non-examination assessments as detailed in the JCQ publication **Post-Results Services** (Information and guidance to centres...)
- Provide/signpost relevant centre staff and candidates to post-results services information
- Ensure 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

Additional responsibilities:

Not applicable

10. Endorsements

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

Head of centre role and responsibilities:

Not applicable

QA lead/Lead internal verifier role and responsibilities:

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

Additional responsibilities:

Not applicable

Subject lead role and responsibilities:

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

Additional responsibilities:

Not applicable

Subject teacher role and responsibilities:

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

Additional responsibilities:

Not applicable

Exams office/officer role and responsibilities:

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

Additional responsibilities:

Not applicable

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

Head of centre role and responsibilities:

Not applicable

QA lead/Lead internal verifier role and responsibilities:

Not applicable

Subject lead role and responsibilities:

Not applicable

Subject teacher role and responsibilities:

Not applicable

Exams office/officer role and responsibilities:

Not applicable

11. Private candidates

Subject lead role and responsibilities:

Not applicable

12. Qualification/Subject specific additional information

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

Not applicable

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

Appendix 13: BTEC Specific Assessment Guidance

The Assessment and feedback process – is a formalised process that ensures pupils develop the lifelong skills such as self-evaluation, self-assessment and goal setting.

The submission process – Only one submission is allowed for each assignment. You need to be confident pupils are sufficiently prepared before they undertake an assessment

There is the opportunity for resubmission or retakes – although there are conditions attached.

Pupils should be submitted for examinations when it is determined they are able to achieve. Pupils are sufficiently prepared before they undertake an internal assessment.

Definition of Roles for BTEC Assessments:

Teacher/Assessor

- Guides pupils to produce evidence to meet assessment criteria

- Monitors pupils' progress, provide opportunity for pupils to amend/upgrade work
- Gives constructive feedback to pupils
- Check authenticity and sufficiency of evidence produced against criteria
- Uses standard observation/witness statements for practical assessments
- Awards partial/full unit grades as pupils complete the assessment criteria
- Records assessment decisions on mark sheet

Course Leader/Course Co-ordinator /Head of Department

- Reads and understands the Assignment Brief and course specification
- Assign staff to units and brief them on course structure and assessments
- Provides a sample of assessed pupil work for IV and identify actions taken
- Ensures pupils are registered via the Exams Manager/Officer
- Complete the Assessment Plan and IV Timetable ensuring that all units and all assessors are verified
- A record must be kept of all course meetings and IV/SV must be standing items on the Agenda.
- There needs to be a Course Reviews throughout the year – at least once per term.
- Work with Lead IV to ensure Assessment Plan and IV timescales are met
- Collate IV recording documentation
- Co-ordinates time for feedback from IV and Lead IV to Assessors
- Gather and dispatch samples for Standards Verification if required
- Feedback to staff on Standards Verification report and ensure any remedial actions are taken Liaises with Exams office

Internal Verifier (IV)

- Check assessment decisions as per IV
- Liaise with Lead IV and/or Standards Verifier if appropriate
- Provide advice and support to assessor
- Ensure appropriate actions are taken and recorded
- Ensure own assessments and decisions are sampled if teaching on the course
- Complete IV documentation and return it to Course Leader

Standards Verifier (SV - external person employed by Pearson)

- Negotiates arrangements for units for SV sampling – dates, units, postal or electronic samples
- Samples units and produces a report for Edexcel Pearson and the centre if applicable

Deputy Headteacher/Vice Principal

- Arrange appointment and accreditation of a Lead IV
- Arrange sufficient time allocation to IV and Lead IV roles

- Undertake Quality Health Check audits including Success Rate reporting for BTEC provision
- Implement and oversee any disciplinary procedures, including appeals and malpractice for staff and pupils

Lead IV

- Once appointed complete the induction training and on-line accreditation with Edexcel
- Check that both the Assessment Plan and IV Timetable is in place and sign them as being approved.
- Periodically sample assignments and pupil work that has been IV'd and maintain a record electronically where possible
- Provide annual training / standardisation for course/programme area staff
- Check that Standards Verification arrangements have been made where applicable and that SV reports are fed back to staff
- Report any identified Malpractice to the Deputy Headteacher/Vice Principal
- Authorises all re-submission and re- takes
- Liaise with Exams office to send ALL SAMPLE WORK to the Standards Verifier. The Exams office will keep proof of postage on your behalf.

Assessment Plan

The assessment plan must include:

- your assessment and internal verification staffing for your programme;
- coverage of all the criteria against which you will be assessing your pupils;
- assignment hand-out and hand-in dates.
- It is recommended that the BTEC template assessment plan is used to produce this document
- My BTEC can also be used to produce and store this.

and include dates for:

- submission;
- internal verification;
- opportunities for resubmission.

Assessment Plans may change and will need to be flexible to meet the evolving needs of the teachers and pupils.

The SV will want to see the assessment plan for any units checked by them. The SV will expect to see annotations to your plans, for any changes.

Assessment Evidence

You can use different assessment methods with different pupils – they do not all have to provide evidence in the same way. You could set them a task and give them a choice for example, of either presenting a written report or delivering a presentation or just have a one-to-one discussion.

It is important that every pupil is aware of the assessment process.

Submission Process

Only one submission is allowed for each assignment.

The assessor must formally record the assessment result and confirm the achievement of specific assessment criteria. Assessment criteria in each unit are assessed once only.

The assessor must:

- formally record and confirm the achievement of specific assessment criteria complete a confirmation that the evidence they have assessed is authentic and is the pupil's own work.

The assessor must not:

- provide feedback or guidance on how to improve the evidence to achieve higher grades.

What this means in practice – there is both a formative and summative feedback opportunity. During teaching and learning you can provide formative feedback – although this should be detailed within the Assessment plan. Once pupils commence work for Summative assessment – they must work independently.

Extensions and Extenuating Circumstances

Extensions

Extensions for individual items for coursework may be requested before the submission date on the grounds that illness or an accident or a personal crisis or factors outside the pupil's control have adversely affected or will adversely affect the time available for completion of the assignment.

- Extension requests can only be agreed by the Assessor and Lead IV
- Extensions are granted for a time that does not exceed the time lost through illness or other factors.
- When submitting an assignment for which an extension has been agreed it is essential that evidence of authorisation for the extension is attached the Assessment Record associated with the work.

Extenuating Circumstances

Acceptable evidence of extenuating circumstances would include originals of:

- Medical Certificate (Medical certificates are not always accepted.
    - To be accepted, the medical certificate must be specific about the nature of the illness and the dates affected, and confirm that this is the doctor's own diagnosis. It is not sufficient for the doctor to write a letter stating that the pupil saw him/her and "said" that they were or had been suffering from stress etc.
    - Self-certificates are not acceptable).

- Letter from Pupil Services Counselling Service or Pupils' Services Advice service.
- Letter from solicitor, summons to attend court, eviction notice.
- Death certificate (i.e. of close relative).
- Letter from a transport official confirming serious unforeseen disruption to transport.

Authentication of Assessed Work

The pupil must complete the declaration on the Assessment Record sheet completed for the work submitted for assessment.

Feedback

Teaching and Learning

During teaching sessions teacher use their professional judgement about the quality and nature of feedback. Formative feedback is allowed and can include:

- identifying areas for progression, including Stretch and Challenge
- explain what pupils need to do to achieve a pass, merit or distinction
- set 'Mock' exams to help pupils prepare for assessments
- give feedback on how to improve their knowledge and skills
- predicted grades can be given to pupils

Before starting an assessment, the tutor must ensure each pupil understands the:

- assessment requirements;
- nature of the evidence they need to produce;
- importance of time management and meeting deadlines.

During Assessment

The teacher or tutor must decide when the pupil is fully prepared to undertake the assessment. Once pupils are working on assignments which they will submit for assessment, they must work independently to produce and prepare evidence for assessment.

Once the pupil begins work for the assessment, the tutor can:

- give guidance on how to approach the requirements;
- give confirmation of what the assignment brief requires;
- give guidance on appropriate behaviour.

Once the pupil begins work for the assessment, the tutor must not:

- provide specific assessment feedback on the evidence produced by the pupil before it is submitted for assessment;
- confirm achievement of specific assessment criteria until the assessment stage.

- Following assessment, the assessor formally records their assessment decisions against individual assessment criteria on the mark sheet. This is the formal opportunity for the assessor to give feedback to support pupil progression:
- the assessor should give feedback on which criteria the pupil has achieved, and not achieved, giving clear reasons why so the pupil can learn and progress;
- avoid giving direct, specific instructions on how the pupil can improve the evidence to achieve a higher grade (should the Lead Internal Verifier authorise a resubmission).

Resubmission

Because every assignment contributes to the final qualification grade, it may be appropriate for the Lead Internal Verifier to authorise one opportunity for a pupil to resubmit evidence to meet assessment criteria targeted by an assignment.

The Lead Internal Verifier can only authorise a resubmission if all of the following conditions are met:

- the pupil has met initial deadlines set in the assignment, or has met an agreed deadline extension;
- the tutor judges that the pupil will be able to provide improved evidence without further guidance;
- the assessor has authenticated the evidence submitted for assessment and the evidence is accompanied by a signed-and-dated declaration of authenticity by the pupil.

If the Lead Internal Verifier does authorise a resubmission, it must be:

- recorded using the assessment record sheet;
- given a deadline for resubmission within 10 working days* of the pupil receiving the results of the assessment undertaken by the pupil with no further guidance.
- Final assessment for targeted assessment criteria to be recorded on the Resubmission Assessment Record

*10 working days must be within term time, in the same academic year as the original submission.

Note: Standards Verifiers will require you to include evidence of resubmitted work in sampling.

The time limit for resubmission is to:

- ensure all pupils given an opportunity to resubmit their evidence do not gain an unfair advantage over other pupils;
- minimise the risk of plagiarism;
- allow pupils to revisit their evidence while the assignment brief is still fresh in their minds

- help teachers and assessors plan for delivery and assessment to ensure units are completed by a specified date.

Retakes

If a pupil has met all of the conditions listed above in resubmission, but still not achieved the targeted pass criteria following resubmission of an assignment, the Lead Internal Verifier may authorise one retake opportunity to meet the required pass criteria.

The Lead Internal Verifier must only authorise a retake in exceptional circumstances where they believe it is necessary, appropriate and fair to do so.

The retake must be a new task or assignment targeted only to the pass criteria which were not achieved in the original assignment.

- The assessor must agree and record a clear deadline before the pupil starts a retake.
- The pupil and the assessor must sign declarations of authentication as they both did for the previous submissions.
- Standards Verifiers will require you to include evidence of any retakes in sampling.
- The assessor cannot award a merit or distinction grade for a retake.
- The pupil will not be allowed any further resubmissions or retakes for that assessment. A re-take is allowed for each assignment e.g.: P1, P2, P3 or P4.

Observation records and Witness Statements

Observation record

An observation record is used to provide a formal record of an assessor's observation of pupil performance (e.g. during presentations, practical activities) against the targeted assessment criteria.

Please note: observation record is a source of evidence and does not confer an assessment decision.

The record will:

- relate directly to the evidence requirements in the unit specification;
- provide primary evidence of performance to support subsequent assessment decisions;
- is sufficiently detailed to enable others to make a judgement about the quality and sufficiency of the performance.

Observation records should:

- be accompanied by supporting/additional evidence. This may take the form of visual aids, video/audio tapes, CD's, photographs, handouts, preparation notes, cue cards, diary record or log book and/or peer assessments records, etc.

- be completed by the assessor who must have direct knowledge of the specification
- record the assessor's comments
- also include the pupil's comments
- be signed and dated by the assessor and the pupil
- be included in the pupil's portfolio, along with relevant supporting evidence, when submitted for assessment.

Witness statement

A witness statement is used to provide a written record of pupil performance against targeted assessment criteria. Someone other than the assessor of the qualification/unit may complete it. This may be an assessor of a different qualification or unit, a work placement supervisor, a technician, learning resources manager or anyone else who has witnessed the performance of the pupil against given assessment criteria. It can be someone who does not have direct knowledge of the qualification, unit or evidence requirements as a whole, but who is able to make a professional judgement about the performance of the pupil in the given situation.

The quality of witness statement is greatly improved, and enables the assessor to judge the standard and validity of performance against the assessment criteria, if:

- the witness is provided with clear guidance on the desirable characteristics required for successful performance;
- the evidence requirements are present on the witness testimony (this may need further clarification for a non-assessor);
- the pupil or witness also provides a statement of the context within which the evidence is set.

Please note: A witness statement is a source of evidence and does not confer an assessment decision. The assessor must:

- consider all the information in the witness statement;
- note the relevant professional skills of the witness to make a judgement of performance;
- review supporting evidence when making an assessment decision;
- review the statement with the pupil to enable a greater degree of confidence in the evidence;
- be convinced that the evidence presented by the witness statement is valid, sufficient and authentic.

When a number of witnesses are providing testimonies:

- it may be helpful to collect specimen signatures;
- all witness testimonies should be signed and dated by the witness;
- Information of their job role/relationship with the pupil should also be recorded.

These details add to the validity and authenticity of the testimony and the statements made in it. Centres should note that witness testimonies can form a vital part of the evidence for a unit but they should not form the main or majority assessment of the unit.

Appendix 14: BTEC Specific Internal Verification Guidance

Aim:

1. To ensure there is an accredited Lead Internal Verifier in each subject area
2. To ensure that Internal Verification is valid, reliable and covers all Assessors and programme activity.
3. To ensure that the Internal Verification procedure is open, fair and free from bias

To ensure that there is accurate and detailed recording of Internal Verification decisions.
In order to do this, the Trust will ensure:

- Where required by the qualification, appoint a Lead Internal Verifier who is appropriate for each subject area, is registered with Pearson and has undergone the necessary standardisation processes
- Each Lead Internal Verifier oversees effective Internal Verification systems in their subject area Staff are briefed and trained in the requirements for current Internal Verification procedures
- Effective Internal Verification roles are defined, maintained and supported Internal Verification is promoted as a developmental process between staff
- Standardised Internal Verification documentation is provided and used
- All centre assessment instruments are verified as fit for purpose
- An annual Internal Verification schedule, linked to assessment plans, is in place
- An appropriately structured sample of assessment from all programmes, units, sites and Assessors is Internally Verified, to ensure centre programmes conform to national standards
- Secure records of all Internal Verification activity are maintained
- The outcome of Internal Verification is used to enhance future assessment practice.

IV schedules
IV of Assignments
Internal Verification of assignments to be completed for the qualification should be IV'd at the start of the academic year. The IV should check that

- The appropriate qualification is noted on the Assignment
- The timescales for hand out and hand in are appropriate
- the appropriate Unit title, learning aim (s) and assessment criteria for the assignment are listed on the assignment
- The scenario and evidence to be submitted will allow the learner to achieve the assessment criteria listed in the assignment

- All the of the assessment criteria are met across all of the assignments that are designated for the unit

IV of assessment decisions
Internal verification of assessment decisions should be referenced on the Qualifications Assessment Plan. The date given should provide sufficient time after the hand in date for the assessment to take place. It is suggested the IV date should to be no more than two weeks after the Hand In date for the Assignment. IV should take in good time to enable feedback to be given to the learners. It is suggested that Internal verifiers should complete the internal verification of the assignment within one week of the IV date given on the assessment plan.
The LIV should ensure that Internal Verification of assessment decisions should takes place for work at all grades e.g one Pass, one Merit and one Distinction. Additional work for learners should be sampled when the determination of risk is raised for example with:

- New qualifications or specifications
- less experience assessors
- Increased cohort

It would be expected that all assessors will have their assessment decisions verified by the Lead IV when an assignment/unit is being delivered simultaneously by another assessor, with a different cohort of learners.
It would be expected that during the duration of a course a range of assessment decisions for different learners will have the assessors assessment decisions Internally verified.

LIV registration
Lead Internal Verifiers should complete their registration for the qualifications that they are responsible for by the end of September. This process must take place every academic year.

OSCA accreditation / standardisation activities
All Lead IV's should compete the OSCA/Standardisation programme for each qualification they are responsible for. They should download and digest the standardisation material before passing on this material to the assessors for the qualifications.

The assessors should have the time to complete an assessment of the material. After this assessment they should complete an IV of the assessment decision records that accompany the standardisation materials.

A formal meeting should then be held between the Lead IV and the assessors to discuss the judgements made by the assessors in order to establish their standard is in line with the standard set by the exam board, communicated in the standardisation materials.

Maintenance of IV records

All records of Internal Verification of assignments for a Unit should be passed to the QN on completion of the Unit along with the IV or Assessment Decisions documents to be stored securely for reference.
Lead IV's should also keep copies of these records for ease of access when providing an SV sample. Care should be taken that these copies are backed up and protected from any changes that may be made in error.

The Lead IV

A Lead Internal Verifier (Lead IV) is the person designated by a centre to act as the point of sign-off for the assessment and internal verification of programmes
The Lead IV should be:

- Someone with the authority to oversee assessment outcomes.
- Directly involved in the assessment and delivery of a programme, so that they understand the units.
- Able to coordinate across assessors and other internal verifiers.

Responsibilities:

- Register with Edexcel through OSCA2 and confirm registration every year;
- Undertake induction training through booking on to an event (you'll only need to do this once);
- Complete the accreditation process: practice exercise and assessment exercise each year
- Ensure that there is an assessment and verification plan for the programmes which is fit for purpose and meets Pearson- Edexcel's requirements;
- Sign off the plan and check that it is being followed at suitable points;
- Undertake some internal verification and/or assessment for individual units – use the **IV Assessment Decisions Record** to record this. As part of this process the LIV should determine the level of risk associated with a particular qualification or Assessor. The higher the risk the greater the number of learners work should be sampled. As a minimum the sample should at least include leaners work for each of the grades awarded by each assessor.
- Ensure that records of assessment and samples of pupil work are being retained for use with Standards Verification if necessary. Plan to set aside examples of work that has been verified to different levels and grades;
- Liaise with the Standards Verifier to ensure that appropriate sampling takes place, if and when sampling is required. LIV to ensure that they describe the level of risk to the IV and ensure that an appropriate size of sample is selected.
- Share good practice with assessors and IV's using the practice materials from Pearson/Edexcel and any samples you have collected yourself. Record/minute standardisation sessions in course file.

Tips for Lead Internal Verifiers

You don't have to do all internal verification – in fact, your assessment decisions must still be internally verified. The term Lead IV to emphasise the importance of proper coordination of internal verification through a single point of contact.

Standards Verification (SV)

An SV will be assigned and postal sampling will take place where internal assessment will be verified by a person appointed by the exam board.

- Sample size will depend on number of pupils on a course.
- Samples will involve complete units of work being IV'd and then sent off to the SV who can block or release for certification

What is the SV looking for:

- Your ability to set a successful assessment activity;
- Your ability to assess to the national standard;
- Your ability to successfully internally verify assessment activities and assessment decisions.

There is one key decision which effects whether you are **blocked or released**; this is whether your sample has demonstrated you are **assessing accurately** and to national standards i.e. you are awarding the appropriate grades that the pupils have provided sufficient evidence for.

Pupil records – Archives & Storage

What to keep and for how long?

There is no requirement to hold onto pupil work post certification – just the grades awarded for each assignment, unit and final grades (SRF), IV records and SV evidence/reports for 3 years.

After completion of each Unit the assessment records for the Assignment must be placed with the QN for secure storage. The records to be placed in this secure storage are:

- the Tracking Sheet/Record for the Assignment
- Assessment Decision Records, for each assignment of the Unit, for each Pupil
- Assessment IV Record, for each assignment

These records will be backed up securely and protected from changes.

When to return work to pupils?

Post course certification return work to pupils or destroy.

Where?

Safe and secure environment (locked office, filing cabinet, store room – to guard against theft, fire, flood and other hazards).

Why?

To provide an audit trail as a requirement of Edexcel from registration to certification covering records of pupil achievements, assessors and internal verification processes.

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 publication **Instructions for conducting non-examination assessments** the JCQ document **Notice to Centres - Sharing NEA material and candidates' work**	Head of Department
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** and **Information for candidates – Social Media** - and understand they must not post their work on social media	Subject teacher
Task setting		

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by

Awarding body set task: IT failure/corruption of task details where set task details accessed from the awarding body online	Awarding body key date for accessing/downloading set task noted prior to start of course IT systems checked prior to key date Alternative IT system used to gain access Awarding body contacted to request direct email of task details	Subject Teacher
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	Quality Nominee
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
Subject teacher long term absence during the task setting stage	See centre's **Exam Contingency Plan** (Teaching staff extended absence at key points in the exam cycle)	Not Applicable
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	Subject Teacher

	Set task accessed well in advance to allow time for planning, resourcing and teaching	
Issue/Risk	**Centre actions to manage issue/mitigate risk**	**Action by**
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
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)	Not Applicable
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	Deputy Headteacher/ Vice Principal
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	Deputy Headteacher/ Vice Principal
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)	Subject Teacher and Cover Administrator

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
Insufficient supervision of candidates to enable work to be authenticated	Confirm subject teachers are aware of and follow the current JCQ publication **Instructions for conducting non-examination assessments** and any other specific instructions detailed in the awarding body's specification in relation to the supervision of candidates Confirm subject teachers understand their role and responsibilities as detailed in the centre's **Non-examination Assessment Policy**	Subject Teacher
A candidate is suspected of malpractice prior to submitting their work for assessment	Instructions and processes in the current JCQ publication **Instructions for conducting non-examination assessments** (Malpractice section) are followed An internal investigation and where appropriate internal disciplinary procedures are followed	Subject Teacher and Deputy Headteacher/ Vice Principal
Access arrangements were not put in place for an assessment where a candidate is approved for arrangements	Relevant staff are signposted to the JCQ publication **A guide to the special consideration process** (section 2), to determine the process to be followed to apply for special consideration for the candidate	Subject Teacher Head of Department SENDCo
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	Head of Department?

	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 procedure 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	Head of Department?
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	Deputy Headteacher/ Vice Principal
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** Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion	Subject Teacher

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** Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion	Subject Teacher
Issue/Risk	**Centre actions to manage issue/mitigate risk**	**Action by**
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	Subject Teacher
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	Head of Department
An excluded pupil wants to complete his/her 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	Deputy Headteacher/ Vice Principal
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	Subject Teacher

	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, 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 acknowledges 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	Subject Teacher
Word and time limits		
Issue/Risk	**Centre actions to manage issue/mitigate risk**	**Action by**
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	Subject Teacher
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	Deputy Headteacher/ Vice Principal
Authentication procedures		

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** The candidate's work is not accepted for assessment A mark of zero is recorded and submitted to the awarding body	Deputy Headteacher/ Vice Principal
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** Candidates confirm/record they understand what they need to do to comply with the regulations as outlined in the JCQ document **Information for candidates: non- examination assessments** Declaration is checked for signature before accepting the work of a candidate for formal assessment	Subject Teacher
Issue/Risk	**Centre actions to manage issue/mitigate risk**	**Action by**
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	Head of Department
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	Subject Teacher
Keeping materials secure		
Candidates work between formal supervised sessions is not securely stored	Records confirm subject teachers are aware of and follow current JCQ publication **Instructions for conducting non-examination assessments** Regular monitoring/internal audit ensures subject teacher use of appropriate secure storage	Head of Department
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	Head of Department
Issue/Risk	**Centre actions to manage issue/mitigate risk**	**Action by**
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 appropriate security safeguards are in place an effective back-up strategy is employed so that an up to date archive of candidates' evidence is maintained 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	Subject Teacher

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	Head of Department
A candidate is absent on the day of the examiner visit for an unacceptable reason	The candidate is marked absent on the attendance register	Head of Department
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	Head of Department
Issue/Risk	**Centre actions to manage issue/mitigate risk**	**Action by**
A candidate is unable to finish their work for unforeseen reason	Relevant staff are signposted to the JCQ publication **A guide to the special consideration process** (section 5), to determine eligibility and the process to be followed for shortfall in work	Head of Department
The work of a candidate is lost or damaged	Relevant staff are signposted to the JCQ publication I**nstructions for conducting non-examination assessments** (section 8), to determine eligibility and the process to be followed for lost or damaged work	Not Applicable
Candidate malpractice is discovered	*I*nstructions and processes in the current JCQ publication **Instructions for conducting non-examination assessments** (section 9 Malpractice) are followed Investigation and reporting procedures in the current JCQ publication **Suspected Malpractice: Policies and Procedures** are followed Appropriate internal disciplinary procedures are also followed	Deputy Headteacher/ Vice Principal

A teacher marks the work of a candidate with whom they have a close 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 conflict of interest is declared by informing the awarding body that a teacher is teaching/preparing said child at the start of the course Marked work of said child is submitted for moderation whether part of the sample requested or not	Head of Department Deputy Headteacher/ Vice Principal
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 publication **A guide to the special consideration process** (section 5), to determine eligibility and the process to be followed for non-examination assessment extension	Head of Department
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	Head of Department
Issue/Risk	**Centre actions to manage issue/mitigate risk**	**Action by**
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 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 Manager/Officer for the submission of marks	Ensure conditions for any formally supervised sessions are known and put in place

	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	Ensure 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
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	Ensure conditions for any formally supervised sessions are understood and followed by candidates
Subject teacher long term absence during the marking period	See centre's **Exam Contingency Plan** (Teaching staff extended absence at key points in the exam cycle)	Not Applicable

Appendix 15: Accredited Prior Learning for in-year starters:

Information collation:

The Head of Year/KS4/KS5 interviews the student and parents on a pre-school visit. The Head of Year/KS4/KS5 contacts the previous school and speaks to the appropriate Head of Year/KS4/KS5 to obtain the following information:

1. Subjects
2. Attendance
3. Behaviour

Information sharing:

The information is shared with Heads of Department to provide information on prior performance and achievement. Where previous BTEC or GCSE assessment has taken place, the Head of Department determines whether this is suitable to apply to a course being run at the Trust. In such circumstances, the Exams Manager/Officer is asked to liaise with the previous school to arrange a transfer of BTEC registration to the Trust; or to arrange onward forwarding of General Qualification (GQ) assessment materials relevant to GQ's being run at the Trust , as appropriate. The Exams Manager/Officer also requests Notification of Performance certificates be provided for any BTEC units completed, to ensure credit is given for the student and to avoid duplication in any further work at the Trust.

Timetabling:

The information is processed by the Administrator, relevant Head of Year/KS4/KS5 and Deputy Headteacher/Vice Principal for the following:

1. Putting the starter into sets and levels
2. Creation of a timetable

Appendix 16: Private Candidates

What is a private candidate?

A private candidate (may also be referred to as an external candidate) is normally a student studying for a qualification who is not enrolled at an approved exam centre for that qualification. The candidate may be home educated, being privately tutored, following a distance learning course or for some other reason is not enrolled at an approved exam centre for that qualification.

Private candidates are responsible for finding a centre willing to make exam entries on their behalf and to accommodate their exams.

Centres are not obliged to accept private candidates – it is a centre decision whether to offer this service. Head of Centres will have the final decision on whether a private candidate will be accepted.

Gather information from awarding bodies

Head of Centres and Exams Officers/Managers should familiarise themselves with awarding body information and guidance about private candidates.

Refer to, for example:

AQA	**www.aqa.org.uk/student-and-parent-support/private-candidates**
OCR	**www.ocr.org.uk/students/private-candidates/**
Pearson	**https://qualifications.pearson.com/en/support/support-topics/registrations-and-entries/academic-registrations-and-entries/private-candidates.html**
WJEC	**www.wjec.co.uk/home/student-support/private-candidates/**

Identifying candidates

A Head of Centre may accept a private candidate due to a prior relationship the private candidate may have had with the centre.

If the private candidate has no previous relationship with the centre, then the Head of Centre and Exams Manager/Officer must meet with the private candidate and a parent/career either online or in person at the centre. During the meeting, proof of identity will have to be provided by the private candidate as well as an explanation of their current educational status. Photo ID will also have to be shown by the candidate for each examination at the centre on the day of the examination.

Access arrangements and reasonable adjustments will need to be identified on the initial meeting with the private candidate. This may need to be followed up with a further meeting with the SENCO, should an access arrangements or reasonable adjustment be identified.

If the private candidate is entered for an examination that has **centre assessed work**, the Exams Manager/Officer will need to upload this work to the exam boards. This work needs to be provided to the Exams Manager/Officer from the private candidate in line with exam board deadlines.

Information for candidates (the below information must also be communicated to private candidates on the initial meeting)**:**

- Private candidate(s) will be charged for all examinations that they sit at the centre.
- Pricing guidance for individual examinations will need to be communicated to private candidates before entries are made to avoid any payment confusion.
- Payment must be received to the school at least one week before the private candidate is due to sit their exam.
- An administration fee of £25 per exam must be paid by the private candidate at least one week before their exam.
- Exams Officers/Managers will provide private candidate(s) with a statement of entry fees once all entries have been submitted to the exam boards.
- Private candidate(s) will also be charged for their invigilation time. (Charge to be taken from the invigilators hourly rate).

Exams Manager/Officer will provide the private candidate(s) with:

- Candidate statement of entry and exam timetable information.
- Exam rules and regulations including relevant JCQ information for candidates.
- Documents and centre specific exam information.
- What authorised materials they need to bring to each exam.
- What time to report to the centre and what they need to do on arrival.
- What candidates need to do if they are late or if they are ill on the day of an exam.

- Information about when and how results will be issued and the post-results services that will be available.
- Confirmation of when and how certificates will be issued.

Please see example below of a **Candidate Entry Form** to be completed on initial meeting with Private Candidate.

Section 1 PERSONAL DETAILS

Surname		First name	Middle name(s)
Title	Gender	Date of Birth	Email address
Address (including postcode)		Contact telephone number(s)	Enter any previous known exam numbers below
			UCI:
			ULN:

Section 2 EXAMINATION(S) DETAILS

Qualification type e.g. GCSE	Awarding body	Exam series (month & year)
Specification (Subject) title	Specification (Entry) code (include option code if applicable)	Unit entry code(s) (if applicable for a unitised specification)

Section 3 ACCESS ARRANGEMENTS or other information relevant to your entry

Are you eligible for access arrangements in examination(s)? Appropriate evidence must be provided to support this

YES / NO Circle your response If **Yes**, provide details here:

This does not guarantee access arrangements approval. Further communication on this will follow in due course. Consideration will be given to any access arrangements or reasonable adjustments that may need to be put in place. Where appropriate, the centre will lead on the required processes in identifying the need for, requesting and implementing access arrangements.

Section 4 POINTS TO NOTE

1. You are responsible for ensuring the exams office receives all your entry/entries information on time.
2. Should your exam entry/entries and use of the centre's exam accommodation incur additional or other fees, including extra invigilation costs, these will be charged at a later date once the examination timetable is finalised. These additional fees, where incurred, must be paid at least one week before the examination is sat.
3. This centre reserves the right to withdraw your entry/entries if money is still outstanding after deadlines.
4. The centre cannot accept responsibility for any amendment fees that arise should you fail to give sufficient notice to make any necessary changes to your entry/entries information
5. Should you decide to withdraw your entry/entries you will only be entitled to any refund amount that is issued by the awarding body concerned. Refunds will only be made by awarding bodies for a limited time after the entry deadline has passed and this varies dependent on the awarding body.

Section 4 IDENTIFICATION – photographic ID is required to verify your identity

Driving Licence Number **OR** Passport Number	Copy of photo driving licence OR copy of photo page of passport must be attached

Confirmation statement

By signing here, I am confirming I understand all information and points to note on pages 1 and 2 of this document:

……..…

FOR EXAMS OFFICE USE ONLY	
Initial payment received **£**	YES/NO
Evidence to support AA received	YES/NO
Copy photo-ID attached	YES/NO

Appendix 17: Access to Scripts, Reviews of Results and Appeals Procedures

Details of the procedures for post-results services are encapsulated in the Exam Guidance for Parents and Students (EGPS) booklet made available at the start of every year on the Examinations page of the school website.

Introduction

Following the issue of results, awarding bodies make post-results services available (see below for details of how these are managed at the Trust)

If teaching staff at the Trust or a candidate (or his/her parent/carer) have a concern that 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 only available for externally assessed components of GCE A-level specifications (an individual awarding body may also offer this priority service for other 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

Purpose of the procedure

The purpose of this procedure is to confirm the arrangements at the Trust for dealing with candidate appeals against any centre decision not to support a clerical re-check, a review of marking, a review of moderation, or an appeal.

This procedure ensures compliance with JCQ regulations (GR 5.13) which state that centres must 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 a clerical re-check, a review of marking, a review of moderation or an appeal.

Post-results services

At the Trust :

- Candidates are informed of the arrangements for post-results services and the availability of senior members of centre staff immediately after the publication of results, before they sit any examinations

Candidates are informed by the issue of a Candidate Exam Handbook in the autumn/spring term/signposts on the school website, etc

Full details of the post-results services, internal deadline(s) for requesting a service and the fees charged (where applicable) are provided by the Exams Manager/Officer on results day/following the issue of results

Centre actions in response to a concern about a result

Where a concern is expressed that a particular result may not be accurate, the Trust 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 concern may be justified

For **written** components that contributed to the final grade, the Trust will:

- Where a place a university or college is at risk, consider supporting a request for a Priority Service 2 review of marking

In all other instances:

- Consider accessing the script by:
    - (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
    - (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
- Collect written consent/permission from the candidate to access the script
- 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
- Support a request for the appropriate Review of Results service (clerical re-check or review of marking) if any error is identified
- Collect written consent from the candidate to request the Review of Results service before the request is submitted
- 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

Additional centre-specific actions:

Not Applicable

For **moderated** components that contributed to the final grade the Trust 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 the 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 Review of Results 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 all candidates in the original sample

Additional centre-specific actions:

Not Applicable

Candidate consent

The Trust will:

- Acquire written candidate consent (accepting informed consent via candidate email) in all cases before a request for a Review of Results service 1 or 2 (including priority service 2) is submitted to the awarding body
- Acquire informed candidate consent to confirm the candidate understands that the final subject grade and/or mark awarded following a clerical recheck or a review of marking, and any subsequent appeal, may be lower than, higher than, or the same as the result which was originally awarded
- Only collect candidate consent after the publication of results

Additional centre-specific actions:

Not Applicable

Centre actions in the event of a disagreement (dispute)

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 Trust will:

- For a review of marking (Review of Results priority service 2), advise the candidate a review may be requested by providing informed written consent (and the required fee) for this service to the centre by the deadline set by the centre
- For a review of marking (Review of Results service 1 or 2), first advise the candidate to access a copy of their script to support a review of marking by providing written permission (and any required fee) for the centre to access the script from the awarding body
- After accessing the script to consider the marking, inform the candidate that if a request for a review of marking (Review of Results 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 the centre to request the service from the awarding body
- Inform the candidate that a review of moderation (Review of Results service 3) cannot be requested for the work of an individual candidate or the work of a candidate not in the original sample

Additional centre-specific actions:

Not Applicable

If the candidate (or his/her 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 an internal appeals form at least 10 calendar 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 Review of Results.

Appeals

Following a Review of Results outcome, an external appeals process is available if the head of centre at the Trust 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 Review of Results outcome, but the candidate (or parent/carer) believes there are grounds for a preliminary appeal to the awarding body, an internal appeal may be made directly to the centre. Candidates or parents/carers are not permitted to make direct representations to an awarding body. 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.
To submit an internal appeal:

- An internal appeals form should be completed and submitted to the centre within the time specified by the centre from the notification of the outcome of the review of the result
- Subject to the head of centre's decision, the preliminary appeal will be processed and submitted to the awarding body within the required 30 calendar days of receiving 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 Manager/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

Additional centre-specific information:

Not Applicable

Appendix 18: Candidate Identification Procedure

All candidates are registered and then identified in a central location (outside of the examination room) prior to taking their exams. This procedure is undertaken by SLT, HOY or middle leaders. Under normal exam conditions only the EM/O and Invigilators enter the examination room. In exceptional circumstances, the Head of Centre may need to go into the examination room. In emergency situations, other staff may need to enter the room, under the supervision of the Exams Manager/Officer and Invigilators. **Under no circumstances should a teacher enter the examination room.**

Purpose of the procedure

The purpose of this procedure is to confirm that the Trust :

- verifies the identity of all candidates that it enters for examinations or assessments (GR 5.6)

- has processes in place to be satisfied that that all candidate identities have been checked (GR 5.6)
- has written procedures in place to verify the identity of all candidates at the time of the examination or assessment (GR 5.9)

1. Process to check candidate identity

Internal candidates

The identity of students on roll at the Trust is checked as part of the initial registration process. (GR 5.6)

The process is:

Students are known to staff as they are on roll

Private candidates

The identity of candidates, not on roll at a centre but who may be accepted to take examinations, must be checked by a verification process which involves photo-ID. (GR 5.6)

At the Trust:

Our policy is not to accept private candidates

2. Procedures to verify candidate identity at the time of the examination/assessment

Invigilators are able to establish the identity of all candidates sitting examinations by following the arrangements in place to carry out adequate checks. (ICE 16.1)

The arrangements at the Trust are:

the use of desk cards, a senior member of centre staff (approved by the head of centre, who has not taught the subject being examined) will be present at the start of the examination to assist with the identification of candidates

The following measures are also in place:

- A private/external candidate or a transferred candidate who is not known to the centre will be asked to 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 (ICE 16.2)
- 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 (ICE 16.3)
- Invigilators will be informed of those candidates with access arrangements and made aware of the particular access arrangement(s) awarded (ICE 16.4)

3. Roles and Responsibilities

The role of the exams office/officer

- Through training, ensure invigilators are aware of the procedures for verifying the identity of all candidates at the time of the examination or assessment (ICE 16.1)
- Prior to the examination, inform a private/external candidate or a transferred candidate who is not known to the centre that they 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. (ICE 16.2)
- Inform candidates prior to their first examination that where it is impossible to identify a candidate due to the wearing of religious clothing, such as a veil, the candidate will be approached by a member of staff of the same gender and taken to a private room where they will be politely asked to remove the religious clothing for identification purposes and that once identification has been established, the candidate should replace, for example, their veil and proceed as normal to sit the examination (ICE 16.3)
- Prior to the beginning of the examination, brief invigilators on those candidates with access arrangements and make them aware of the particular access arrangement(s) awarded (ICE 16.4)

Additional responsibilities:

Not applicable

Appendix 19: Overnight Supervision Arrangements Guidance

Purpose of the guidance

This purpose of this guidance is to confirm that the Trust :

- follows the correct procedures when considering the arrangements for a candidate entered for multiple examinations timetabled for the same day
- reserves the right to exercise discretion when considering allowing a candidate to take an examination the following morning
- has appropriate arrangements in place to maintain the security and integrity of the examination(s)

1. Overnight supervision arrangements

- When candidates are entered for multiple examinations (three or more examinations) timetabled for the same day and the total duration for those papers is:
    - more than six hours for GCE examinations (AS, A2, A-level), including approved extra time allowances and/or supervised rest breaks, or
    - more than five and a half hours for GCSE examinations, including approved extra time allowances and/or supervised rest breaks

candidates may, at the centre's discretion, be allowed to take an examination the following morning, including Saturdays (8.1)

- Overnight supervision arrangements should only be applied as a last resort and once all other options have been exhausted (ICE 8)
- The head of centre must be satisfied with any arrangement for overnight supervision of a candidate where necessary and must accept full responsibility for the security of the examination throughout (ICE 8)
- Candidates are not allowed to take examinations on an earlier day than that scheduled on the timetable (ICE 8.1)
- The overnight supervision arrangements must ensure that the candidate does not have advance warning of the content of the examination deferred until the following morning. This means the candidate must not meet or communicate with anyone who may have knowledge of the content. This includes any form of electronic communication/storage device, e.g. telephone (both landline and mobile), e-mail, internet and social media. It also extends to television and radio, which could report key details of the day's examinations (ICE 8.3)

2. Roles and Responsibilities

The role of the head of centre

- Ensure where a candidate takes an examination the following morning, a member of centre staff or an invigilator is appointed to supervise the candidate at all times while the candidate is on the premises sitting examinations (ICE 8.2)
- Be satisfied that the arrangements maintain the integrity and security of the examination (ICE 8.4)
- Inform the relevant awarding body immediately of any known or suspected contravention of the arrangements for overnight supervision of a candidate (ICE 8.4)

Additional responsibilities:

Not applicable

The role of the exams office/officer

- Discuss with an affected candidate all possible options to resolve, within the same day, their timetable clash of multiple examinations, only applying overnight supervision arrangements as a last resort and once all other options have been exhausted (ICE 8)
- Re-arrange any examination that cannot be taken in the scheduled afternoon session for the following morning, ensuring if an examination is deferred from Friday afternoon, it is re-arranged for Saturday morning (ICE 8.5)
- Ensure the JCQ **Overnight Supervision** and **Overnight Supervision Declaration** forms are completed before the overnight supervision is to commence (ICE 8.4)
- Confirm the supervision of a candidate on journeys to and from the centre and overnight may be undertaken by the candidate's parent/carer or centre staff

determining a method of supervision which ensures the candidate's well being (ICE 8.2)

- Download the JCQ **Overnight Supervision Declaration** form for signing by the candidate, the supervisor and the head of centre (ICE 8.4)
- Inform the parties involved that any infringement of the conditions governing overnight supervision arrangements may lead to the awarding body being unable to accept the script and/or the application of sanctions/penalties, as detailed in the JCQ publication **Suspected Malpractice: Policies and Procedures** (ICE 8.4)
- Keep all completed forms available for inspection until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later, and not send to an awarding body, unless specifically requested (ICE 8.4)
- Ensure where a candidate takes an examination the following morning, the candidate is under centre supervision from 30 minutes after the awarding body's published starting time for the delayed examination and ensure there is no contact with other candidates who have already taken the examination (ICE 8.2)
- If a candidate is allowed to take an examination on a later day than other candidates at the centre, ensure all copies of the question paper used on the earlier day are sealed in an envelope and returned to the centre's secure storage facility until all candidates at the centre have taken that examination (ICE 8.6)

Additional responsibilities:

Not applicable

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

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

The overnight supervision arrangements must ensure that the candidate does not have advance warning of the content of the examination deferred until the following morning. This means the candidate must not meet or communicate with anyone who may have knowledge of the content. This includes any form of electronic communication/storage device, e.g. telephone (both landline and mobile), e-mail, internet and social media. It also extends to television and radio, which could report key details of the day's examinations.

The JCQ Overnight Supervision and Overnight Supervision Declaration forms must be completed before the overnight supervision is to commence. The JCQ Overnight Supervision form is completed online using the Centre Admin Portal (CAP). The JCQ Overnight Supervision Declaration form is downloaded from the Centre Admin Portal (CAP) for signing by the candidate, the supervisor and the head of centre. (ICE 8)

Why have a policy on this?

Allowing a candidate to take an exam paper the following morning due to an eligible overnight supervision arrangement is at the discretion of the centre. Having a documented policy ensures:

- the correct procedure is followed

- appropriate arrangements are put in place
- candidates (and/or parents/carers) understand when, or indeed if, appropriate arrangements can/will be made

the centre can demonstrate the policy if asked/challenged by a candidate (and/or parent/carer)

Appendix 20: Candidate Absence Procedure

Purpose of the procedure

The purpose of this procedure is to confirm the arrangements for candidates who are absent from an examination at the Trust .

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

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

1. Identifying and dealing with candidate absence

A candidate will be considered absent from an examination if:

The candidate is not present on completion of the attendance register once candidates are seated and have started the examination (ICE 22.5)

Once a candidate is identified as absent from an examination, the following action will be taken:

The candidate will be contacted immediately as to their whereabouts and as far as possible arrangements made to ensure their immediate arrival

If a candidate fails to sit an examination, the following action is taken:

A confirmed candidate absence is clearly recorded on the attendance register which is sent to the examiner/marker

The candidate absence is noted on the seating plan by crossing through the candidate details

2. Roles and Responsibilities

Overview

It is the responsibility of the following member(s) of staff to deal with candidate absence once it has been identified:

Head of Year/KS4/KS5

It is the responsibility of the following member(s) of staff to deal with candidates who are persistently absent from examinations:

Attendance and Behaviour Officer on duty, Senior Leaders

The role of invigilators

Invigilators will:

Be informed of the process for dealing with absent candidates through training

Ensure that absent candidates are clearly indicated on the attendance register (ICE 22.3)

Additional responsibilities:

Not applicable

The role of candidates

Candidates will be:

Re-charged any relevant entry fees for unauthorised absence from examinations

Additional responsibilities:

Not applicable

3. Special consideration

At the Trust if a candidate is absent from a timetabled written examination for an acceptable reason, the candidate may be eligible for special consideration. This is where an adjustment may be made to the candidate's terminal grade by the awarding body, providing the following conditions are met:

The examination is in the candidate's terminal exam series (SC 4.1)

The candidate has completed or will be able to complete the required percentage of the assessment to meet the minimum requirements for enhanced grading in cases of acceptable absence (SC 4.3)

The application for special consideration can be supported by signed evidence produced by a senior leader (SC 6)

It is the responsibility of the following member(s) of staff to deal with special consideration requests and applications:

Exams Staff

Absent candidate procedure

Examination Invigilators will record candidates missing from the examination room on the "Missing candidates form" and ensure that the Attendance Officer is passed the information before the start of the examination.

The Attendance Officer will determine if the candidate is in school and identify the location of the student to inform SLT for the collection of the candidate and escorting to the examination room. Where the candidate is absent the reason for the absence

will be identified by the Attendance Officer and where it is not for a valid reason (see appropriate section in the policy), the Attendance and Behaviour Officer on duty will contact home to request the candidate attend or will visit the home of the candidate to endeavour to bring them in to the examination. The parent/carer will be advised to keep the candidate under supervision at all times until the candidate is handed over to a member of staff.

The supervising adult will be required to complete the supervision arrangements in place on a "Statement to confirm supervision arrangements for late arrivals" form and sign and date the form before returning it to the member of staff taking responsibility of the candidate.

Medical absence

Where a candidate is absent for medical reasons a self-certification form or doctor's note is required to be returned to the Exams Manager/Officer within 5 days of the examination.

Appeals

Where a candidate feels that they have been unjustly penalised for absence, the candidates parent or carer will be invited to put their appeal in writing to the Exams Manager/Officer, stating their reasons for their appeal. The Exams Manager/Officer will liaise with the Deputy Headteacher/ Vice Principal regarding any appeals from candidates, taking into account Awarding Body regulations.

The school will use guidance from JCQ to ascertain whether it can pursue the appeal on the candidate's behalf.

Once candidates are seated and have started the examination, complete the attendance register. This will allow for the identification of absent candidates who can be contacted as to their whereabouts. (ICE 22)

Why have a policy on this?

Centres will likely have different strategies for dealing with unauthorised absences from exams. Having a documented policy ensures:

- candidates are aware of what they need to do if they are likely to be absent from an exam
- staff involved in the exams process understand how absent candidates who have not contacted the centre regarding their absence will be managed at the time of the exam

the centre can demonstrate the policy if asked/challenged by a candidate (and/or parent/carer)

Appendix 21: Candidate Late Arrival Procedure

Purpose of the procedure

The purpose of this procedure is to confirm the arrangements for candidates who arrive late for an examination at the Trust.

A candidate will be considered late if they arrive:

- within one hour of the awarding body's published starting time for an examination which lasts an hour or more, i.e. candidates arriving between 9.00am and 10.00am for a morning examination or between 1.30pm and 2.30pm for an afternoon examination (ICE 21.5)

A candidate will be considered very late if they arrive:

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

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

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

1. Candidates who arrive late

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

- A candidate who arrives after the start of the examination may be allowed to enter the examination room and sit the examination (ICE 21.1)
- A candidate who arrives late, and is permitted to sit the examination, will be allowed the full time for the examination (ICE 21.2)
- A candidate who arrives within one hour of the awarding body's published starting time for an examination which lasts an hour or more, i.e. candidates arriving between 9.00am and 10.00am for a morning examination or between 1.30pm and 2.30pm for an afternoon examination (ICE 21.5) will be permitted by the centre to sit the examination
- A candidate who arrives after 10.00am for a morning examination will be considered very late (ICE 21.3) and will be permitted by the centre to sit the examination
- A candidate who arrives after 2.30pm for an afternoon examination will be considered very late (ICE 21.3) and will be permitted by the centre to sit the examination
- A candidate who arrives after the awarding body's published finishing time for an examination that lasts less than one hour will be considered very late (ICE 21.3) and will be permitted by the centre to sit the examination
- A candidate who arrives very late will be warned that the awarding body may not accept their script (ICE 21.4)

- A candidate who arrives in the afternoon for a paper that had been re-arranged for a morning session, may be allowed to take the paper at the published time as long as the candidate has not had any contact with candidates who sat the paper earlier. The awarding body will be informed and will decide whether or not to accept the script (ICE 21.5)
- In all cases the centre will submit a declaration for the very late arrival of a candidate for examinations, in accordance with the current JCQ Instructions for conducting examinations (GR 5.9)

Other centre specific procedures:

On arrival in school the Late Arrivals form must be completed and signed by Candidate, Supervising Adult and receiving staff member. The completed form must be handed in to the Exams Office and retained with the examination paperwork for that exam.

Late candidate procedure

Examination Invigilators will record candidates missing from the examination room on the “Missing candidates form” and ensure that either the Exams Manager/Officer or Attendance Officer are passed the information before the start of the examination.

The Attendance Officer will determine if the candidate is in school and identify the location of the student to inform SLT for the collection of the candidate and escorting to the examination room. Where the candidate is absent the reason for the absence will be identified by the Attendance Officer and where it is not for a valid reason (see appropriate section in the policy), the Attendance and Behaviour Officer on duty will contact home to request the candidate attend or will visit the home of the candidate to endeavour to bring them in to the examination. The parent/carer will be advised to keep the candidate under supervision at all times until the candidate is handed over to a member of staff.

The supervising adult will be required to complete the supervision arrangements in place on a “Statement to confirm supervision arrangements for late arrivals” form and sign and date the form before returning it to the member of staff taking responsibility of the candidate.

Arrival into examination when late procedure

On arrival into school the “Statement to confirm supervision arrangements for late arrivals” form will be completed by the receiving member of staff who will check to ensure that the form has been fully completed in order to validate the circumstances under which candidate has been supervised prior to the start of the exam. All parties will sign the form (supervising adult, candidate and staff member) and the form will be passed to the Exams Manager/Officer. The Examinations Manger (or a member of the exams team) will escort the candidate to the examinations room and hand over to the

Senior Invigilator, who will read the regulatory announcements to the candidate prior to them entering the exam room. The Senior Invigilator will then ensure that the candidate sits their examination under the appropriate conditions.

Appeals

Where a candidate feels that they have been unjustly penalised for lateness, the candidates parent or carer will be invited to put their appeal in writing to the Exams Manager/Officer, stating their reasons for their appeal. The Exams Manager/Officer will liaise with the Deputy Headteacher/Vice Principal regarding any appeals from candidates, taking into account Awarding Body regulations.

The school will use guidance from JCQ to ascertain whether it can pursue the appeal on the candidate's behalf.

A candidate who arrives after the start of the examination may be allowed to enter the examination room and sit the examination. This is entirely at the discretion of the centre.

A candidate who arrives late, and is permitted by the centre to sit the examination, must be allowed the full time for the examination. (ICE 21)

Why have a policy on this?

Permitting candidates who arrive after the start of an exam to enter the exam room and sit the exam is at the centre's discretion. Having a documented policy ensures:

- candidates are aware of what will or won't happen should they arrive late
- staff involved in the exams process understand how this will be managed at the time of the exam

the centre can demonstrate the policy if asked/challenged by a candidate (and/or parent/carer)

Appendix 22: Food and Drink Guidance (Exams)

Purpose of the guidance

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

- the correct procedures are followed regarding food and drink in the examination room
- appropriate arrangements are in place for the management of food and drink in the examination room

1. Food and drink in the examination room

- Food and drink is allowed in the examination room at the discretion of the head of centre (ICE 18.2)

Any food and drink brought into the examination room whether by the candidate or the centre must be free from packaging and all labels are removed from drink containers (ICE 18.2)

The following arrangements are applied at the Trust :

- Food and drink is allowed in the examination room only where food is free from packaging and all labels are removed from drink containers

Additional centre-specific arrangements:

the 'type' of food and drink that is acceptable is plain water and only food types necessary for the management of known conditions (e.g. diabetes)

2. Roles and Responsibilities

The role of the exams office/officer

- Staff brief candidates to ensure that they are aware of the regulations and any centre-specific arrangements, relating to food and drink in the examination room. The Candidate Exam Handbook gives details on what is and is not permitted.
- Ensure invigilators are trained and aware of the regulations/centre-specific arrangements relating to food and drink in the examination room
- Escalate any issue or breach of centre-specific arrangements to the relevant senior leader for the application of internal sanction(s)
- Escalate any breach of JCQ regulations immediately to the head of centre (a breach of the regulations constitutes suspected or actual malpractice)

Additional responsibilities:

Not applicable

The role of the invigilator

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

Additional responsibilities:

Not applicable

The role of the head of centre

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

Additional responsibilities:

Not applicable

Food and drink may be allowed in the examination room at the discretion of the head of centre. However, this is on the condition that any food or drink brought into the examination room whether by the candidate or the centre is free from packaging and all labels are removed from drink containers (ICE 18)

Why have a policy on this?

Allowing food and drink in an exam room is at the head of centre's discretion. Having a documented policy ensures:

- candidates are clear on what is or what is not allowed
- staff involved in the exams process are aware of what is and what is not allowed and how this will be managed at the time of the exam
- the centre can demonstrate the policy if asked/challenged by a candidate (and/or parent/carer)

Appendix 23: Leaving the Examination Room Procedure

Purpose of the procedure

The purpose of this procedure is to confirm that candidates leaving the examination room the Trust is managed in line with JCQ regulations.

This procedure confirms:

- the correct procedures are followed in relation to candidates leaving the examination room
- the Trust reserves the right to exercise discretion whether to allow extra time to compensate candidates for their temporary absence from the examination room

1. Arrangements for leaving the examination room

- For examinations that last one hour or more, candidates must stay under centre supervision until 10.00am for a morning examination or 2.30pm for an afternoon examination, i.e. one hour after the awarding body's published starting time for that examination. (ICE 23.1)
- For examinations that last less than one hour, candidates must be supervised and question papers must be kept in secure storage until the published finishing time of the examination. (ICE 23.2)
- Candidates who are allowed to leave the examination room temporarily must be accompanied by a member of centre staff. This must not be the candidate's subject teacher or a subject expert for the examination in question. Those candidates may be allowed extra time at the discretion of the centre to compensate for their temporary absence. (ICE 23.3)
- Candidates who have finished the examination and have been allowed to leave the examination room early must hand in their script, question paper and any other material before they leave the examination room. Those candidates must not be allowed back into the room. (ICE 23.4)

- At the end of the examination, candidates must hand in their script, question paper and any other material before they leave the examination room. (ICE 23.5)

The following arrangements are applied at the Trust :

- Candidates who are allowed to leave the examination room temporarily may be allowed extra time to compensate for their temporary absence. (ICE 23.3)

Illness

Additional arrangements:

Not applicable

2. Roles and responsibilities

The role of the exams office/officer

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

Additional responsibilities:

Not applicable

The role of the invigilator

- Ensure a candidate who may be allowed to leave the examination room temporarily is accompanied by a member of centre staff who is not the candidate's subject teacher or a subject expert for the examination in question (ICE 23.3)
- Record instances on the exam room incident log of candidates who may be allowed to leave the examination room temporarily because they may be feeling unwell or require a toilet break (ICE 20.2)
- Ensure candidates who have finished the examination and have been allowed to leave the examination room early hand in their script, question paper and any other material before they leave the examination room. Ensure those candidates are not allowed back into the room (ICE 23.4)
- At the end of the examination, ensure candidates hand in their script, question paper and any other material before they leave the examination room (ICE 23.5)

Additional responsibilities:

Not applicable

Roving Invigilators are deployed to ensure that candidates who need to leave the exam room are accompanied at all times. Time in compensation for the temporary absence is not generally given for toilet breaks, however in the event of illness or distress the time is recorded and compensation time may be added at the end of the exam for the candidate in question.

Candidates who are allowed to leave the examination room temporarily must be accompanied by a member of centre staff. This must not be the candidate's subject teacher or a subject expert for the examination in question. Those candidates may be allowed extra time at the discretion of the centre to compensate for their temporary absence. (ICE 23)

Why have a policy on this?

Allowing time to be compensated where a candidate leaves the exam room temporarily, accompanied by a member of centre staff, is at the discretion centre. Having a documented policy ensures:

- candidates are aware of the centre's arrangements where time may or may not be compensated for any temporary absence from the exam room
- staff involved in the exams process understand how this will be managed at the time of the exam

the centre can demonstrate the policy if asked/challenged by a candidate (and/or parent/carer)

Appendix 24: Emergency Evacuation Procedure

Supplementary (Exams) policy

Introduction

An emergency evacuation is required where it is unsafe for candidates to remain in the examination room. This might include a fire, 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 room, the emergency evacuation procedure may also need to be followed. This might include situations where there is severe disruption in the examination room, serious illness of a candidate or invigilator or similarly serious incidents.

As each incident may be different, advice will be sought (if applicable) from the relevant awarding body as soon as it is safe to do so, particularly where there is concern about the security of the examination(s) (ICE 25.4)

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 (ICE 24.5)

Purpose of the policy

The purpose of this policy is to confirm the arrangements at the Trust for dealing with an emergency evacuation of an examination room by defining staff roles and responsibilities and confirming the emergency evacuation procedure.

This policy ensures compliance with JCQ regulations (ICE 25.2) which state that centres must have a written policy for dealing with emergency evacuation of the examination room which is subject to inspection by the JCQ Centre Inspection Service.

1. Emergency evacuation procedure

Actions taken in the event of an emergency evacuation of the examination room

At the Trust, the following actions (in accordance with ICE 25.3) are taken if an examination room has to be evacuated:

Candidates are instructed to stop writing

The attendance register is collected (in order to ensure all candidates are present)

The examination room is evacuated in line with the instructions given by the appropriate authority

Candidates are instructed to leave all question papers and scripts in the examination room. Candidates are advised to close their answer booklet(s)

Candidates are instructed to leave the room in silence

Candidates are supervised as closely as possible while they are out of the examination room to make sure there is no discussion about the

examination

The time of the interruption is noted and how long it lasted

Candidates are allowed the remainder of the working time set for the examination once it resumes

If there are only a few candidates, the possibility is considered of taking the candidates (with question papers and scripts collected by the

invigilator) to another place to finish the examination

A full report is made of the incident and of the actions taken, and sent to the relevant awarding body

Additional actions taken:

In the event of a fire alarm, invigilators are trained to Evacuate the examination room immediately by the nearest fire exit, and to escort candidates to the assembly point and await further instructions

When/if allowed to return to the examination room, invigilators allow candidates time to settle down, reminding them they are still under formal examination conditions and that they must not open their answer booklets until instructed to do so Invigilators announce clearly to candidates when they may begin and how much time they have (the examination will formally restart at this point) Invigilators record the time the examination(s) restarted and amend the displayed finishing time(s) for all candidates to see Invigilators are trained to record as much detail on the exam room incident log when able to do so (ensuring candidates are continually supervised and giving complete attention to this duty at all times) and to ensure the Exams Manager/Officer is fully briefed at the end of the examination(s) to enable a full report to be submitted to the awarding body/bodies

Where not allowed to return to the examination room, or the decision is made by the appropriate authority that the examination(s) cannot be resumed, the centre's Exam Contingency Plan will be invoked and invigilators/candidates briefed accordingly at the time

Further actions taken:

Not applicable

2. Roles and Responsibilities

The role of the head of centre

The head of centre at the Trust will:

Ensure that the emergency evacuation policy for examinations is fit for purpose and complies with relevant health and safety regulation

Ensure that any instructions from relevant local or national agencies are referenced and followed where applicable, including information from the

National Counter Terrorism Security Office on the **Procedures for handling bomb threats** (ICE 25.1)

Other responsibilities:

Not applicable

The role of the senior leader

The senior leader will:

Where responsible for the centre-wide emergency evacuation procedure, ensure that all staff and appointed fire marshals are aware of the policy

and procedures to be followed when an emergency evacuation of an examination room is required

Other responsibilities:

Not applicable

The role of the Special educational needs coordinator (SENCo)

The SENCo will:

Ensure that appropriate arrangements are in place for the emergency evacuation of a disabled candidate from an examination room where different

procedures or assistance may need to be provided for the candidate

Ensure that the candidate is informed prior to taking their examinations of what will happen in the event of an emergency evacuation

Other responsibilities:

Not applicable

The role of the Exams Manager/Officer

The Exams Manager/Officer will:

Ensure that invigilators are trained in emergency evacuation procedures and how an incident and actions taken must be recorded

Ensure that candidates are briefed prior to examinations taking place, on what will happen in the event of an emergency in the examination room

Provide invigilators with a copy of the emergency evacuation procedure in every room

Provide 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

Provide an exam room incident log in every examination room

Liaise with relevant staff prior to each examination session where different procedures or assistance may need to be provided for a disabled

candidate

Brief invigilators prior to each examination session where different procedures or assistance may need to be provided for a disabled candidate

Ensure that appropriate follow-up is undertaken after an emergency evacuation, reporting the incident to the awarding body and the actions taken

through the **special consideration** process where applicable (in cases where a group of candidates have been disadvantaged by a particular event)

Other responsibilities:

Not applicable

The role of invigilators

Invigilators will:

By attending training and/or update sessions, ensure they understand what to do in the event of an emergency in the examination room

Follow the actions required in the emergency evacuation procedure issued to them for every examination room

Confirm with the Exams Manager/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 Manager/Officer (see below)

Other responsibilities:

Not applicable

The role of other centre staff

Not applicable

Recording details

As soon as practically possible and safe to do so, the following details will be recorded (see **Roles and Responsibilities** for the members of staff who will record these details):

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)

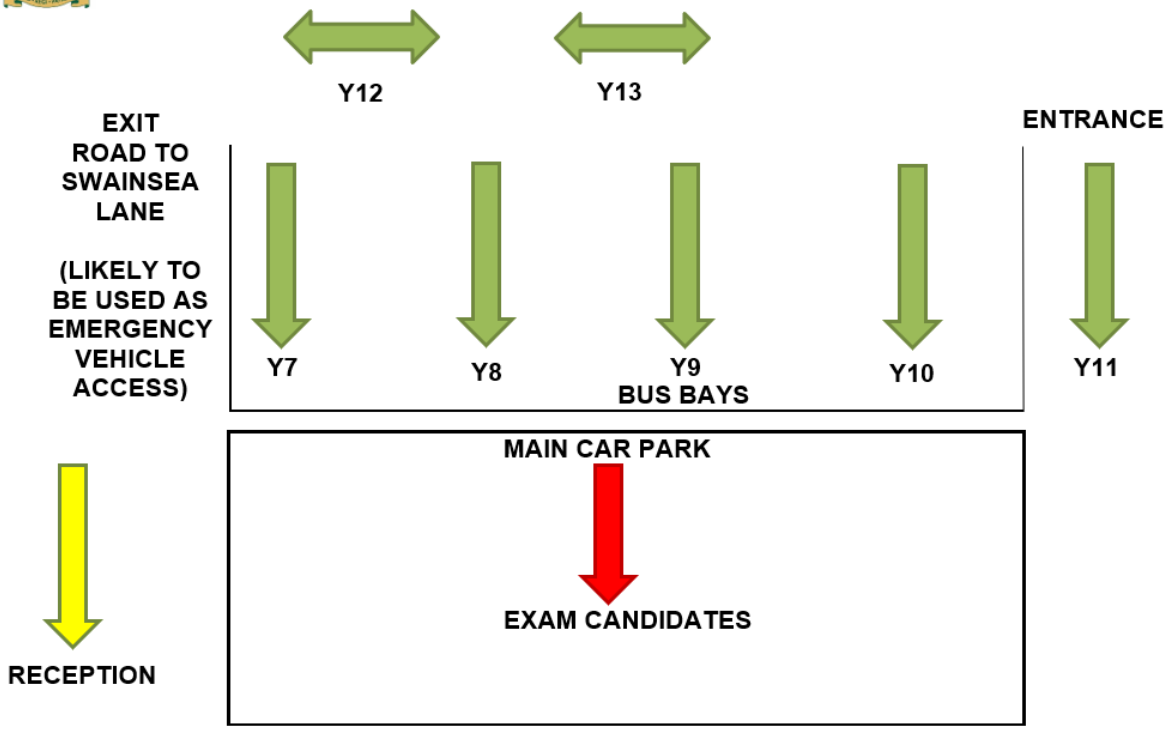
Further details which may also be recorded include:

A report on candidate behaviour throughout the interruption/evacuation

A judgement on the impact on candidates after the interruption/evacuation

Lady Lumley's

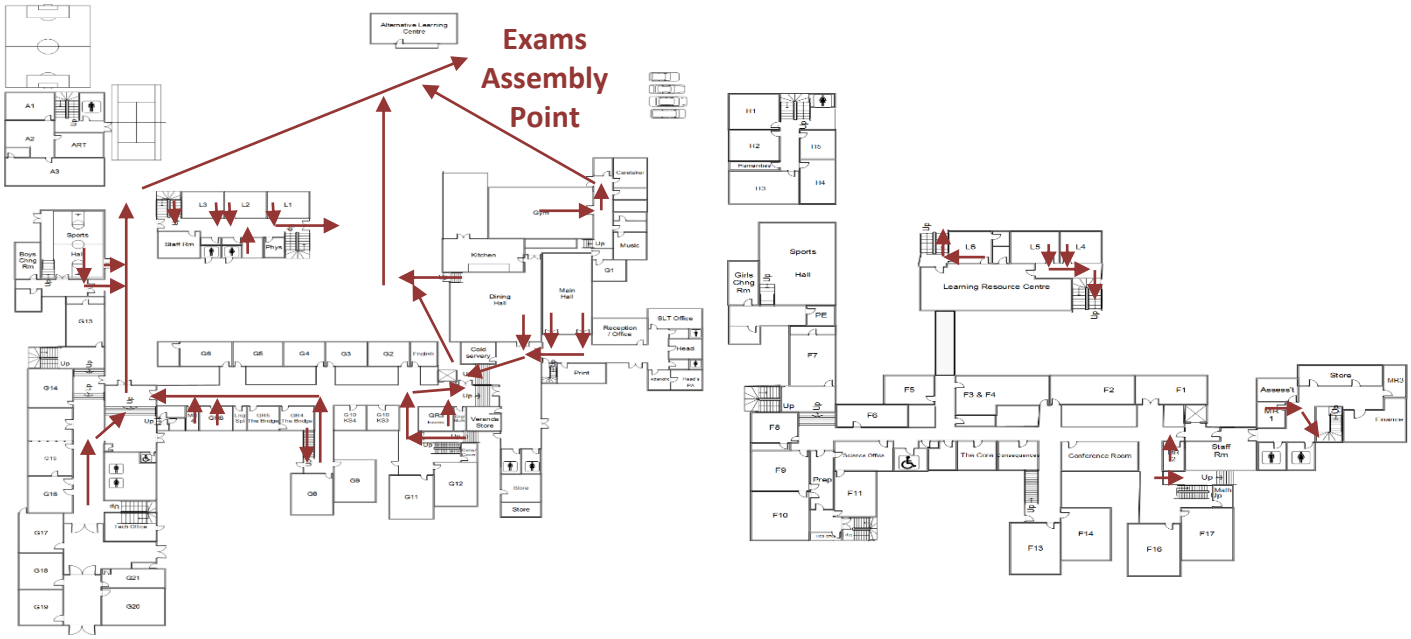
LADY LUMLEY'S SCHOOL - FIRE DRILL MAP (FRONT OF SCHOOL)



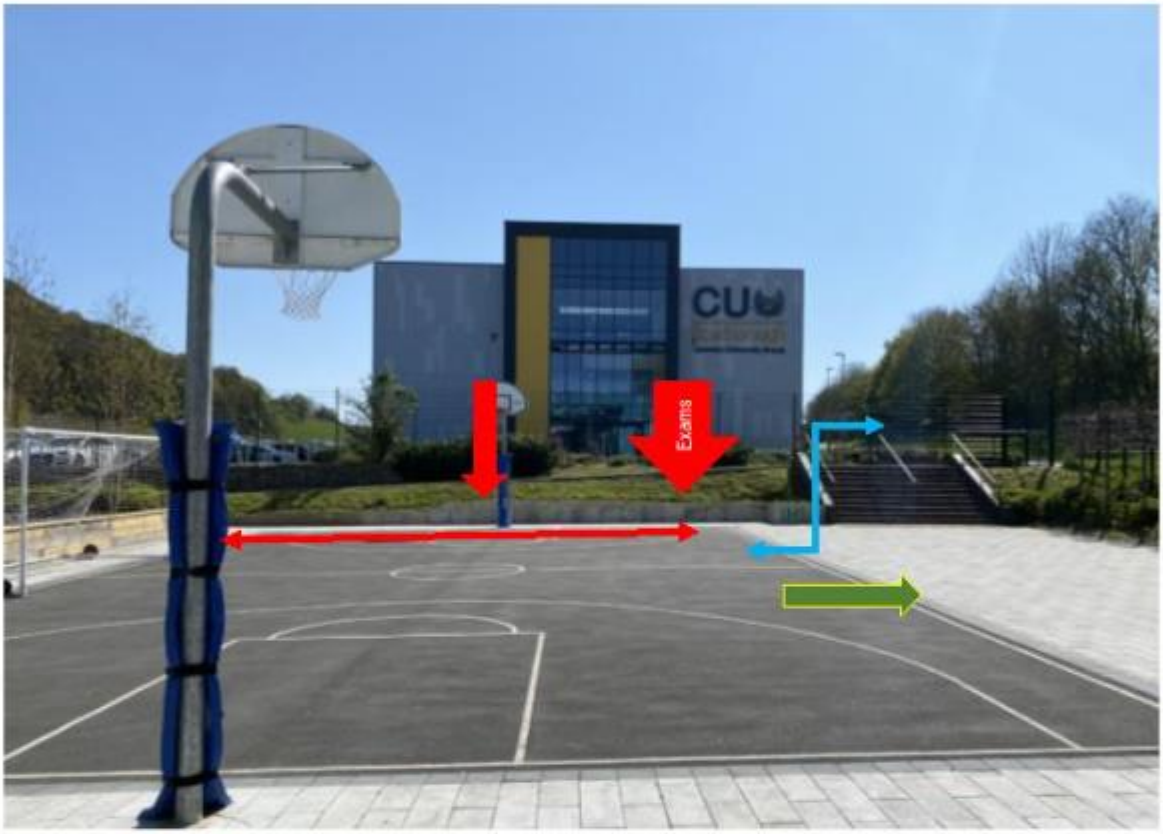
Scalby School

Map of school





Scarborough UTC



Key

This is the area students line up next to the yellow numbered tiles by tutor group. Tutors will issue numbers at the start of each academic year and display in tutor rooms.

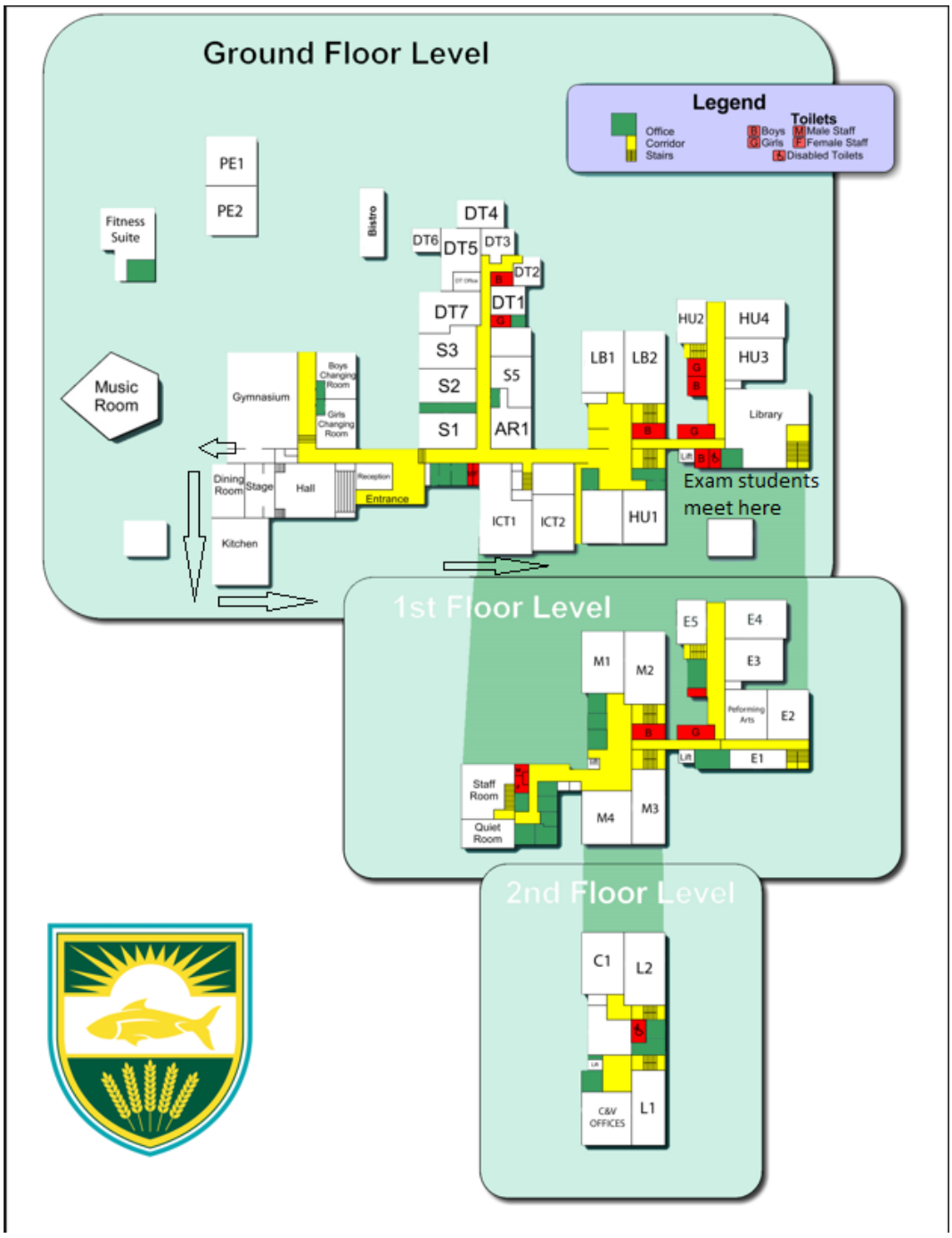
Students in a formal exam - points 11 & 12 – instructions issued at the start of exams.

Teachers without a tutor group, support staff (who don't have a fire evacuation responsibilities) and visitors report to the Principal's PA to the hard standing area as indicated

Route to be followed if a full site evacuation, only to be used if directed by staff.

VSmallwood, SBM 2022 v1

Filey School



Students to exit via the gym and go around the building to the front. They would then congregate at the far end of the car park (outside the old school house). This would ensure that they did not come in to contact with any other students. Those in the access arrangements room (ICT2 and E4) would be able to exit via the fire door directly outside ICT2 and again would not come in to contact with any other students.

Appendix 25: Lockdown Policy (Exams)

Introduction

A lockdown may be required in the following situations:

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

Where a lockdown may be required when conducting examinations, the focus will be:

the welfare and safety of candidates and exams staff

maintaining the integrity and security of the examination/assessment process

Purpose of the policy

The purpose of this policy is to confirm the arrangements at the Trust for dealing with a lockdown when examinations are being conducted.

Lockdown procedures have been determined by consulting **Stay Safe** guidance provided by GOV.UK

1. Lockdown procedures

Where a lockdown is required, the following procedures will be employed at the Trust:

Before an examination

As candidates are entering/waiting to enter the examination room:

Invigilators will:

- instruct candidates to enter the examination room immediately
- instruct candidates to remain silent, hide under desks or sit against a wall/around a corner but not near the door and to ensure mobile phones are on silent and non-vibrate mode
- lock all windows and close any/all curtains/blinds
- switch off all lights
- lock all doors and/or use tables, or any other furniture, to barricade the entrance to the room
- take an attendance register/head count if possible
- (if the threat is a chemical or toxic release) instruct candidates to cover their nose and mouth (their own clothing can be used) and attempt to use anything to hand to seal up cracks around doors and any vents into the room
- where safe/possible, not leave the examination question papers unattended/out of sight

A senior leader/authorised person will be present around the examination room(s) area(s) and where safe/possible, communicate the situation to the exams office/officer (via mobile phone/walkie talkie on silent and non-vibrate mode)

The exams office/officer will collate the information from all examination rooms and forward this to the head of centre immediately

The head of centre will make informed decisions on alerting parents/carers, awarding bodies and emergency services

Additional centre-specific procedures:

Not applicable

During an examination

When candidates are in the examination room:

Invigilators will:

- tell candidates to stop writing immediately and close their answer booklets
- collect the attendance register
- make a note of the time when the examination was suspended
- instruct candidates to remain silent, leave all examination materials on their desks and hide under desks
- where safe/possible, communicate (via mobile phone/walkie talkie) the situation to the Exams Manager/Officer (ensuring that all mobile phones/walkie talkies are on silent and non-vibrate mode)
- lock all windows and close any/all curtains/blinds
- switch off all lights
- lock all doors and/or use tables, or any other furniture, to barricade the entrance to the room (if the threat is a chemical or toxic release) instruct candidates to cover their nose and mouth (their own clothing can be used) and attempt to use anything to hand to seal up cracks around doors and any vents into the room
- where safe/possible, not leave the examination question papers unattended/out of sight
- Where safe/possible, the exams office/officer will collate the information from all examination rooms and forward this to the head of centre immediately

The head of centre will make informed decisions on alerting parents/carers, awarding bodies and emergency services if appropriate, where safe/possible, and following instruction from the appropriate authority, the exams office/officer and/or invigilators will initiate the emergency evacuation procedure. Where safe/possible, the exams office/officer will collect all examination question papers and materials for safe/secure storage following advice from the appropriate awarding body/bodies.

Additional centre-specific procedures:

Not applicable

After an examination

As candidates are leaving the examination room:

Invigilators will:

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

The head of centre will make informed decisions on alerting parents/carers, awarding bodies and emergency services

Additional centre-specific procedures:

Not applicable

Ending a lockdown

The lockdown will be ended by either:

1. the sound of a defined alarm, or
2. the identification/authorisation of emergency service officer/senior leader/head of centre entering the examination room

A specific word or phrase may be used to confirm that the instruction to end the lockdown is genuine

Invigilators will undertake a head count/register and confirm attendance with the exams office/officer/senior leader

Where applicable and if advised to do so by a senior leader/head of centre, if there is sufficient time (and following JCQ regulations), candidates

may be allowed to restart their examination

Invigilators will:

- ask candidates to return to their desks, remind them they are under formal examination conditions and allow a settling down period
- allow candidates the full working time remaining for their examination

- recalculate the revised finish time(s)
- tell the candidates to open their answer booklets and re-start their examination
- amend the revised finish time(s) on display to candidates
- note how long the lockdown lasted on the exam room incident log (to later inform a report to the awarding body/bodies)

The exams office/officer will:

provide a report of the incident for the awarding body/bodies (via the special consideration process or as advised by awarding bodies)

safely/securely store all collected exam papers and materials pending awarding body advice/guidance

Where applicable/possible/available, the senior leader/exams office/officer will:

- discuss any alternative examination sittings with the awarding body/bodies
- offer, arrange and provide support services to staff and candidates

At the earliest opportunity, the senior leader/head of centre will prepare a communication to parents/carers advising them of events (including relevant actions and outcomes)

Where possible, exams staff and candidates will be invited to attend an assembly lead by the head of centre to discuss the lockdown and offer

ongoing support:

If this is not possible, communications will be provided via a centre text/email/newsletter and information uploaded to the centre website

Additional centre-specific procedures:

Not applicable

2. Roles and Responsibilities

The role of the head of centre

Ensure that a dedicated lockdown alarm tone is in place and recognised by all staff and candidates

Arrange appropriate training for all exams staff in lockdown procedures

Ensure candidates are aware of the procedures relating to a lockdown, particularly those arriving late for an examination who cannot access the examination room due it being locked down

Ensure all candidates and staff are aware of a possible exit point in case an intruder manages to gain access, or the room becomes unsafe

Provide written lockdown procedures for examination room/invigilator use

Inform the relevant emergency service(s) immediately in the case of any potential threat to the safety of exams staff and candidates

Additional responsibilities:

Not applicable

The role of the senior leader

Assume responsibility for exams staff and candidates taking examinations during a lockdown

Arrange training/drills for examination candidates on lockdown procedures

Inform parents/carers about the centre's Lockdown Policy in relation to the conducting of examinations

Have a presence around examination room areas prior to the start of each examination session

Liaise with the appropriate authorities and awarding bodies regarding candidates taking examinations during a lockdown

Use the examination room attendance register(s) to compile a list of any candidates not accounted for

Additional responsibilities:

Not applicable

The role of the exams office/officer

Train invigilators in the centre's lockdown procedures

Where safe/possible, liaise with senior leaders/invigilators in all examination rooms during a lockdown

Assist with lockdown training for staff and candidates where applicable to the conducting of examinations

Additional responsibilities:

Not applicable

The role of the invigilator

Be aware of the centre's lockdown procedures

Complete attendance registers as soon as possible so candidates can be identified in the event of a lockdown

Where safe/possible, to communicate with the exams office/officer during a lockdown to confirm the situation in a particular examination room

Additional responsibilities:

Not applicable

Appendix 26: Managing Behaviour Procedure

Purpose of the procedure

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

1. Briefing candidates

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

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

At the Trust candidates are made aware of JCQ information/briefed by:

issue of a handbook followed up by a briefing session or a special assembly led by the relevant senior leader in the preparations for examinations

2. Candidate malpractice

- Inappropriate behaviour by a candidate in the examination room is deemed 'candidate malpractice'
- ‘Candidate malpractice’ means malpractice by a candidate in connection with any examination or assessment (SMPP, Definitions)
- ‘Malpractice’, means any act, default or practice which is a breach of the Regulations (SMPP, Definitions)
- Failure by a centre to notify, investigate and report to an awarding body all allegations of malpractice or suspected malpractice constitutes malpractice in itself (SMPP, Definitions, Malpractice) Suspected malpractice means all alleged or suspected incidents of malpractice (SMPP, Definitions)

Examples of inappropriate behaviour/actions that constitute 'candidate malpractice' are provided in the final section of this policy.

3. Instructions for conducting examinations - Malpractice in the examination room

The following requirements are applied at the Trust:

- 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 (ICE 24.1)
- The head of centre must report to the awarding body immediately all cases of suspected or actual malpractice in connection with the examination (ICE 24.3)

- Form JCQ/M1 - **Report of suspected candidate malpractice** must be completed (ICE 24.3)
- The head of centre has the authority to remove a candidate from the examination room but should only do so if the candidate would disrupt others by remaining in the room (ICE 24.3)
- Where candidates commit malpractice, the awarding body may decide to penalise them, which could include disqualification. Candidates should be warned of the possible penalties an awarding body may apply as detailed in the JCQ publication **Suspected Malpractice: Policies and Procedures** (ICE 24.5)
- In cases of suspected malpractice, examination scripts must be packed as normal and Form JCQ/M1 must be submitted separately to the relevant awarding body (ICE 24.6)

Additional information:

Not applicable

4. Roles and Responsibilities

The role of the invigilator

- Be vigilant and remain aware of incidents or emerging situations, looking out for malpractice (ICE 20.2)
- Warn a disruptive candidate that he/she may be removed from the examination room (ICE 24.1)
- Record what has happened and actions taken on the exam room incident log (ICE 24.1)

Additional responsibilities:

Not applicable

The role of the exams office/officer

- Ensure that the JCQ **Information for candidates** (coursework, non-examination assessments, on-screen tests, social media and written examinations) is distributed to all candidates prior to assessments and/or examinations taking place and that candidates are also be made aware of the content of the JCQ **Unauthorised items** and **Warning to candidates** posters (GR 5.8)
- Ensure the JCQ **Unauthorised items** and **Warning to candidates** posters are displayed in a prominent place for all candidates to see prior to entering the examination room (GR 5.8)
- Where a candidate is being/has been disruptive in the examination room, warn the candidate that the awarding body will be informed and may decide to penalise them, which could include disqualification (ICE 24.1)

Additional responsibilities:

Not applicable

The role of the head of centre

- Where a candidate is seriously disrupting others, makes the decision to remove the candidate from the examination room (ICE 24.3)
- Report to the awarding body immediately all cases of suspected or actual malpractice in connection with the examination by completing form JCQ/M1 (ICE 24.3)

Additional responsibilities:

Not applicable

The role of the senior leader

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

Additional responsibilities:

Not applicable

Examples of 'candidate malpractice'

These include:

Own blank paper

- used for rough work
- used for final answers

Calculators, dictionaries (when prohibited)

- not used
- used or attempted to use

Bringing into the examination room notes in the wrong format or prohibited annotations

- notes/annotations go beyond what is permitted but do not give an advantage; notes irrelevant to subject
- notes/annotations are relevant and give an unfair advantage
- notes/annotations introduced in a deliberate attempt to gain an advantage

Study guides and personal organisers

- content irrelevant to subject
- content relevant to subject
- relevant to subject and evidence of use

Mobile phone or similar electronic devices (including iPod, PM3/4 player, memory sticks, Smartphone, Smartwatch)

- not in the candidate's possession but make a noise in the examination room
- in the candidate's possession but no evidence of being used by the candidate
- in the candidate's possession and evidence of being used by the candidate

BREACHES OF EXAMINATION CONDITIONS

A breach of the instructions or advice of an invigilator, supervisor, or the awarding body in relation to the examination rules and regulations

- minor non-compliance: e.g. sitting in a non-designated seat; continuing to write for a short period after being told to stop
- major non-compliance: e.g. refusing to move to a designated seat; significant amount of writing after being told to stop
- related non-compliance

Failing to abide by the conditions of supervision designed to maintain the security and integrity of the examinations

- leaving examination early (no loss of integrity); removing script from the examination room, but evidence of the integrity was maintained
- removing script from examination room but with no proof that the script is safe; taking home materials
- deliberately breaking a timetable clash supervision arrangement; removing script from the examination room and with proof that the script has been tampered with; leaving examination room early so integrity is impaired

Disruptive behaviour in the examination room or assessment session (including use of offensive language)

- minor disruption lasting a short time; calling out, causing noise, turning around
- repeated or prolonged disruption; unacceptably rude remarks; being removed from the examination room; taking another's possessions
- warnings ignored; provocative or aggravated behaviour; repeated or loud offensive comments; physical assault on staff or property

Verbal

- isolated incidents of talking before the start of the examination or after papers have been collected
- taking during the examination about matters not related to the exam; accepting examination related information
- talking about examination related matters during the exam; whispering answers to questions

Communication

- passing/receiving written communications which clearly have no bearing on the assessment
- accepting assessment related information

- passing assessment related information to other candidates; helping one another; swapping scripts

OFFENCES RELATING TO THE CONTENT OF CANDIDATES' WORK

The inclusion of inappropriate, offensive or obscene material in scripts, controlled assessments, coursework, non- examination assessments or portfolios

- isolated words or drawings, mildly offensive, inappropriate approaches or responses
- frequent mild obscenities or drawings; isolated strong obscenity; isolated mild obscenities or mildly offensive comments aimed at the examiner or member of staff
- offensive comments or obscenities aimed at a member of staff, examiner or religious group; homophobic, transphobic, racist or sexist remarks or lewd drawing

(SMPP, Appendix 6)

Investigations Process

Investigations into allegations of malpractice will be coordinated by the Deputy Headteacher/Vice Principal, who will seek to deal with the investigation in a timely manner. The Deputy Headteacher/Vice Principal may delegate the investigation to the Head of Department, departmental SLT link, Lead IV or Quality Nominee. The person charged with leading the investigation will establish the full facts and circumstances of any alleged malpractice. It will not be assumed that because an allegation has been made, it is true. Where a conflict of interest may be seen to arise, investigations into suspected malpractice will not be delegated to the Head of Department, departmental SLT link, Lead IV or Quality Nominee involved in the suspected malpractice, but rather to the Deputy Headteacher/Vice Principal

Where appropriate the person concerned and any potential witness to the alleged malpractice will be interviewed in accordance with policy.

The person will:

„ be informed in writing of the allegation made against him or her;

„ know what evidence there is to support that allegation;

„ know the possible consequences should malpractice be proven;

„ have the opportunity to consider their response to the allegations;

„ have an opportunity to submit a written statement;

„ have an opportunity to seek advice (as necessary) and to provide a supplementary statement (if required);

„ be informed of the applicable appeals procedure, should a decision be made against him or her;

„ be informed of the possibility that information relating to a serious case of malpractice may be shared with other awarding bodies, the regulators, the police and/or (in the event of staff malpractice) professional bodies as appropriate.

the Trust accepts that there may be instances where the work submitted for assessment does not represent the efforts of the individual candidates and it may not be possible for the Awarding Body to give those candidates a result.

In the cases of malpractice; during the completion of non-exam assessment, depending on the stage of completion, guidance from the awarding bodies permits the school to decide on an appropriate sanction.

In the cases of malpractice during external examinations the awarding bodies will decide sanctions. the Trust and where appropriate, the Awarding Body will determine the application of a sanction or penalty according to the evidence presented, the nature and circumstances of the malpractice.

Appeals

The person accused may appeal against sanctions imposed on them. Appeals will be conducted in line with school policy.

Appendix 27: Special Consideration Guidance

Introduction

Special consideration is a post-examination adjustment to a candidate's mark or grade. This is to reflect temporary illness, temporary injury or some other event outside of the candidate's control at the time of the assessment. It is applied when the issue or event has had, or is reasonably likely to have had, a material effect on a candidate's ability to take an assessment or demonstrate his or her normal level of attainment in an assessment. (SC 1)

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. (SC 1)

Purpose of the guidance

The purpose of this guidance is to identify roles and responsibilities within the special consideration process and confirms the Trust will submit an application for special consideration where a candidate meets the published criteria. (GR 5.9)

1. Eligibility for special consideration

- Candidates will be eligible for special consideration if they have been fully prepared and have covered the whole course but performance in the examination, or in the production of coursework or non-examination assessment, is materially affected by adverse circumstances beyond their control (SC 2.1)
- Special consideration must be applied for at the time of the assessment (SC 2)
- Candidates will NOT be eligible for special consideration if preparation for, or performance in the examination is affected by the reasons detailed in the JCQ publication **A guide to the special consideration process** (SC 2.3)

2. Roles and Responsibilities

The role of the head of centre

- Be familiar with, refers to and directs relevant centre staff to the annually updated JCQ publication **A guide to the special consideration process**
- Ensure where a candidate meets the published criteria, an application for special consideration will be submitted to the relevant awarding body by the exams office/officer

Additional responsibilities:

Not applicable

The role of the exams office/officer

- Refer to the criteria detailed in the JCQ publication **A guide to the special consideration process** to determine where a candidate is/is not eligible for special consideration
- Where a candidate meets the published criteria, submit an application for special consideration to the relevant awarding body

Additional responsibilities:

Not applicable

The role of the senior leader

- Produce signed evidence to support all applications for special consideration (SC 6)

Additional responsibilities:

Not applicable

The role of other staff

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

Additional responsibilities:

Not applicable

The role of an affected candidate (or parent/carer)

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

Additional responsibilities:

Not applicable

Applying for special consideration

At the Trust , where a candidate is eligible, special consideration will be applied for at the time of the assessment in accordance with the regulations as detailed in the JCQ publication **A guide to the special consideration process**.

Examples where a candidate/candidates may be eligible for special consideration include:

- A candidate arrives for the examination and is clearly unwell, extremely distressed and/or may have sustained an injury that requires emergency access arrangements to be put in place:
    - the candidate is kept under centre supervision (from 30 minutes after the published starting time for that examination until they begin it) while appropriate arrangements are put in place for the candidate to take the examination (ICE 7.4)
    - special consideration is applied if this indisposition has had, or is reasonably likely to have had, a material effect on the candidate's ability to demonstrate his or her normal level of attainment in the examination (SC 1)
    - Application for an allowance on the last paper taken in a day when a candidate has been entered for three or more examinations timetabled for the same day and the total duration of those papers is more than 5 hours 30 minutes (GCSE examinations) or more than 6 hours (GCE examinations) (SC 3.3)
    - Serious disturbance during the examination (SC 2.1)
    - Candidates will not be eligible for special consideration if preparation for, or performance in the examination is affected by a minor disturbance in the examination room caused by another candidate, such as momentary bad behaviour or a mobile phone ringing (SC 2.3)

Additional examples:

Not applicable

Candidates who are absent from a timetabled component/unit for acceptable reasons

If a candidate is absent for acceptable reasons, and the Trust can support this, special consideration will be applied for if the examination missed is in the terminal series and

the minimum requirements for enhanced grading in cases of acceptable absence can be met. (SC 4)

For unitised examinations taken in an examination series prior to certification, unless there are particular difficulties with the type of assessment, candidates will be re-entered for any missed units at the next assessment opportunity. (SC 4)

Other issues

Where other issues or problems affect a candidate or a group of candidates, special consideration will be explored in **A guide to the special**

consideration process and applied for where eligible. This may include, for example:

- Other certification (SC 5)
- Coursework/non-examination assessment extensions (SC 5)
- Shortfall in work (coursework/non-examination assessment) (SC 5)
- Lost or damaged work (non-examination assessment components) (SC 5)
- Candidates taking an incorrect or defective question paper (SC 5)
- Candidates undertaking the wrong controlled assessment or non-examination assessment assignment (SC 5)

Additional issues:

Not applicable

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

Processing applications for special consideration

The role of the head of centre

- Ensure all eligible applications are supported by signed evidence produced by a senior leader (SC 6)

Additional responsibilities:

Not applicable

The role of the exams office/officer

- Ensure applications are processed as required by the awarding bodies
- Ensure a candidate/candidates (or a parent/carer) understands that all cases must be dealt with by the centre [SC 6]
- Ensure that special consideration is applied for at the time of the assessment
- Ensure special consideration is not applied for in a cumulative fashion and where a candidate may be affected by different indispositions, ensure special consideration is only applied for the most serious indisposition

- Keep evidence to support all applications on file until after the publication of results and provide the signed evidence produced by a senior leader in support an application where this may be requested by an awarding body (SC 6)
- Meet the awarding body deadline(s) for submitting applications

Other responsibilities:

Not applicable

Submitting applications for special consideration

At the Trust , 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 **A guide to the special consideration process**.

Timetabled written examinations

Applications for individual candidates will be submitted online by logging into the relevant awarding body secure extranet site and following the links

- to special consideration (where the awarding body's secure site accepts applications online)
- A single application to cover all examinations where a candidate is present but disadvantaged and a separate application for each day where a candidate is absent from an examination for an acceptable reason will be submitted
- The paper form 10 **Application for special consideration** will only be completed and submitted to the awarding body where the online system does not accept applications for a particular qualification
- For groups of candidates, applications will be made online where the awarding body's secure system accepts group applications or form 10 will be completed
- The paper form 14 **Self certification form** (Self certification for candidates who have missed an examination) will only be completed by a candidate

where circumstances warrant this and will not be used where the centre knows the candidate was ill

Internally assessed work

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

Post-assessment adjustments - vocational qualifications

- Where relevant and eligible, form 10 or form VQ/SC **Application for special consideration Vocational qualifications** will be completed and submitted to the awarding body

Late applications

If, after the publication of results for a particular examination 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 senior leader is able to produce evidence to support a late application.

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

Appendix 28: Certificate Issue & Retention Procedure

Vocational Certification Roles and Responsibilities

Head of Department (& where appropriate – delegated teachers)

- Enters achievements onto awarding body intranet secure site and retains electronic/paper confirmation of entry, printed from the site, until results have been issued in August.

Exams Manager/Officer

- Once certificates are issued by the awarding body, Exams Manager/Officer issues a copy of the certificate printout to the HOD for checking.
- Certificate details are entered onto Master Certificate Signing sheet for candidate signature on collection of all certificates.
- Retains the certificate list issued by the awarding body for 5 years.
- Certificates are retained until the candidate leaves education at the school; they are stored in a secure space in candidate name order.

Candidates

- Candidates sign for their certificates on the Master Certificate Signing sheet prior to receiving their certificates.
- Where candidates are unable to collect their certificates in person they may complete and sign a Certificate Authority, authorising a third party collection, or providing postage for the certificates to be sent on to them using Special Delivery Signed For post.

Detail the records kept of certificates that have been issued (to support this detail refer to the requirements in GR 5.14).

Retention Procedure

Exams Manager/Officer

- Once certificates are issued by the awarding body, Exams Manager/Officer issues a copy of the certificate printout to the HOD for checking.

- Certificate details are entered onto Master Certificate Signing sheet for candidate signature on collection of all certificates.
- Retains the certificate list issued by the awarding body for 5 years.
- Certificates are issued once the candidate leaves education at the school; they are stored in a secure space in candidate name order.
- Certificates are retained until candidates reach the age of 21 years (5 years after candidates have left secondary education).

On reaching their 'destroy date' certificates are put into shredding sacks and securely destroyed by a reputable company, the barcode for the destruction records are marked on the Master Certificate Signing Sheet, which is retained for a minimum further 5 years.

Appendix 29: Exams Archiving Procedure

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

1. Access arrangements information

Record(s) description

Any hard copy information kept by the SENDCo relating to an access arrangement candidate.

Retention information/period

Not Applicable

Action at the end of retention period (method of disposal)

Not Applicable

2. Alternative site arrangements

Record(s) description

Any hard copy information generated on an alternative site arrangement. Notifications submitted online via CAP.

Retention information/period

Add retention information/period of retention. Where specific retention information is not provided by JCQ or other authorised organisation, it is suggested as good practice that exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries (or the resolution

of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series).

Action at the end of retention period (method of disposal)

Add actions at the end of the retention period and/or method of disposal

3. Attendance register copies

Record(s) description

Attendance Registers retained until after issue of Certificates

Retention information/period

Records are kept in accordance with the requirements of ICE, sections 12, 22 (…keep signed records of the seating plan, the invigilation arrangements and the centre's copies of the attendance registers for each examination. The awarding bodies may need to refer to these records. The centre must keep them until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later

Action at the end of retention period (method of disposal)

Secure Destruction

4. Awarding body administrative information

Record(s) description

Any hard copy publications provided by awarding bodies.

Retention information/period

Records retained until the current academic year update is provided.

Action at the end of retention period (method of disposal)

Secure destruction

5. Candidates' scripts

Record(s) description

Any unwanted copies of scripts returned to the centre through the Access to Scripts (ATS) service.

Retention information/period

Records are kept in accordance with the requirements of PRS, section 6 (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 disposed of in a confidential manner.) and GR, section 3.15 (… ensure that when scripts that have been returned under access to scripts arrangements are no longer required, they are disposed of in a confidential manner, but no earlier than the dates specified by the awarding bodies…).

Action at the end of retention period (method of disposal)

Secure destruction

6. Candidates' work

Record(s) description

Non-examination assessment work returned to the centre by the awarding body at the end of the moderation period.

Retention information/period

Records 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) in accordance with the requirements of GR, section 3.15 (…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).

Action at the end of retention period (method of disposal)

Returned to candidates or safe disposal

7. Centre consortium arrangements for centre assessed work

Record(s) description

Not Applicable

Retention information/period

Not Applicable

Action at the end of retention period (method of disposal)

Not Applicable

8. Certificates

Record(s) description

Candidate certificates issued by awarding bodies.

Retention information/period

Records retained in accordance with the requirements of GR, section 5.14 (…retain all unclaimed certificates under secure conditions for a minimum of 12

months from the date of issue...).

Action at the end of retention period (method of disposal)

Secure destruction

9. Certificate destruction information

Record(s) description

A record of unclaimed certificates that have been destroyed.

Retention information/period

Records retained in accordance with the requirements of GR, section 5.14 (destroy any unclaimed certificates after retaining them for a minimum of 12 months. They must be destroyed in a confidential manner. Centres that do not have a means of destroying certificates confidentially may return them to the respective awarding body. A record of certificates that have been destroyed should be retained for four years from their date of destruction. However, candidates should be informed that some awarding bodies do not offer a replacement certificate service. In such circumstances the awarding body will issue a Certifying Statement of Results… (Where an awarding body issues a replacement certificate, or a Certifying Statement of Results, this will provide an accurate and complete record of results for all qualifications covered by the original certificate… return any certificates requested by the awarding bodies. Certificates remain the property of the awarding bodies at all times.).

Action at the end of retention period (method of disposal)

Secure destruction

10. Certificate issue information

Record(s) description

A record of certificates that have been issued.

Retention information/period

Records retained in accordance with the requirements of GR, section 5.14 (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)

Action at the end of retention period (method of disposal)

Not applicable

11. Confidential materials: initial point of delivery logs

Record(s) description

Logs recording awarding body confidential exam materials received by an authorised member of staff at the initial point of delivery and the secure movement of packages by an authorised member of staff to the secure room for transferal to the centre's secure storage facility.

Retention information/period

Normal end of academic year disposal

Action at the end of retention period (method of disposal)

Secure destruction

12. Confidential materials: receipt, secure movement and secure storage logs

Record(s) description

Logs recording awarding body confidential exam materials received by an authorised member of staff at the initial point of delivery and the secure movement of packages by an authorised member of staff to the secure room for transferal to the centre's secure storage facility. (part of the initial point of delivery logs)

Retention information/period

Normal end of academic year disposal

Action at the end of retention period (method of disposal)

Secure destruction

13. Conflict of Interest records

Record(s) description

Records demonstrating the management of Conflicts of Interest.

Retention information/period

Records retained in accordance with the requirements of GR, section 5.3 (The records may be inspected by a JCQ Centre Inspector and/or awarding body staff. They might be requested in the event of concerns being reported to an awarding body. The records must be retained until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later).

Action at the end of retention period (method of disposal)

Normal end of academic year disposal - secure destruction

14. Dispatch logs

Record(s) description

Proof of dispatch of exam script packages to awarding body examiners covered by the DfE (Standards & Testing Agency) yellow label service.

Retention information/period

Where specific retention information is not provided by JCQ or other authorised organisation, it is suggested as good practice that exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series).

Action at the end of retention period (method of disposal)

Normal end of academic year disposal - secure destruction

15. Entry information

Record(s) description

Any hard copy information relating to candidates' entries.

Retention information/period

exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series).

Action at the end of retention period (method of disposal)

Secure destruction

16. Exam question papers

Record(s) description

Question papers for timetabled written exams.

Retention information/period

Records retained in accordance with the requirements of GR, section 6.12 (For confidentiality purposes question papers must not be released to centre personnel for use in accordance with the above licence until after the awarding body's published finishing time for the examination or, in the case of a timetable variation, until all candidates within the centre have completed the examination. This does not restrict access to question papers by authorised centre personnel for the purpose of conducting examinations).

Action at the end of retention period (method of disposal)

Issued to subject staff

17. Exam room checklists

Record(s) description

Checklists confirming exam room conditions and invigilation arrangements for each exam session.

Retention information/period

Where specific retention information is not provided by JCQ or other authorised organisation, it is suggested as good practice that exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series).

Action at the end of retention period (method of disposal)

Secure destruction

18. Exam room incident logs

Record(s) description

Logs recording any incidents or irregularities in exam rooms for each exam session.

Retention information/period

Where specific retention information is not provided by JCQ or other authorised organisation, it is suggested as good practice that exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series).

Action at the end of retention period (method of disposal)

Secure destruction

19. Exam stationery

Record(s) description

Awarding body exam stationery provided solely for the purpose of external exams.

Retention information/period

Records retained in accordance with the requirements of ICE, section 30 (return unused stationery to the secure storage facility or secure room until needed for a future examination. Surplus stationery must not be used for internal school tests, mock examinations and non-examination assessments… destroy confidentially any out-of-date stationery).

Action at the end of retention period (method of disposal)

Secure destruction

20. Examiner reports

Record(s) description

Examiner reports

Retention information/period

(Where/if provided by awarding body) Records immediately provided to head of department as records owner.

Action at the end of retention period (method of disposal)

Not applicable

21. Finance information

Record(s) description

Not Applicable

Retention information/period

Not Applicable

Action at the end of retention period (method of disposal)

Not Applicable

22. Invigilation arrangements

Record(s) description

Checklists confirming exam room conditions and invigilation arrangements for each exam session.

Retention information/period

exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series).

Action at the end of retention period (method of disposal)

Secure destruction

23. Invigilator and facilitator training records

Record(s) description

Attendance list

'The Exams Office' training certificate

Retention information/period

Records retained in accordance with the requirements of ICE, section 12 (A record of the content of the training given to invigilators and those facilitating an access arrangement for a candidate under examination conditions must be available for inspection and retained on file until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later. 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.).

Action at the end of retention period (method of disposal)

Secure destruction

24. Moderator reports

Record(s) description

Moderator reports

Retention information/period

(Where printed from electronic copy) Records immediately provided to head of department as records owner.

Action at the end of retention period (method of disposal)

Not applicable

25. Moderation return logs

Record(s) description

Not Applicable

Retention information/period

Where specific retention information is not provided by JCQ or other authorised organisation, it is suggested as good practice that exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series)

Action at the end of retention period (method of disposal)

Not Applicable

26. Overnight supervision information

Record(s) description

The JCQ Overnight Supervision form is completed online using CAP. The JCQ Overnight Supervision Declaration form is downloaded from CAP for signing by the candidate, the supervisor and the head of centre

Retention information/period

Records retained in accordance with the requirements of ICE, section 8 (...keep all completed forms available for inspection until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later. Forms may be stored electronically or in hard copy paper format and must not be sent to an awarding body, unless specifically requested…).

Action at the end of retention period (method of disposal)

Secure destruction

27. Post-results services: confirmation of candidate consent information

Record(s) description

Hard copy or email record of required candidate consent.

Retention information/period

Records retained in accordance with the requirements of PRS, section 4, appendices A, 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. This form should be retained on the centre's files for at least six months following the outcome of the clerical re-check, review of marking or any

subsequent appeal. This form should be retained on the centre's files for at least six months.).

Action at the end of retention period (method of disposal)

Secure destruction

28. Post-results services: request/outcome information

Record(s) description

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.

Retention information/period

exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series).

Action at the end of retention period (method of disposal)

Secure destruction

29. Post-results services: tracking logs

Record(s) description

Logs tracking to resolution all post-results service requests submitted to awarding bodies.

Retention information/period

exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series).

Action at the end of retention period (method of disposal)

Not applicable

30. Private candidate information

Record(s) description

Any exam entry information relating to private candidates

Retention information/period

Exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries and typically in line with the retention of other internal candidates for that exam series.

Action at the end of retention period (method of disposal)

Confidential disposal / electronic deletion

31. Proof of postage - candidates' work

Record(s) description

Proof of postage/dispatch of candidates' scripts to awarding body examiners/markers. Proof of postage/dispatch of sample of candidates' work submitted to awarding body moderators.

Retention information/period

Records (proof of postage/dispatch of candidates' scripts to awarding body examiners/markers) retained in accordance with the requirements of ICE, section 29 (Centres not involved in the secure despatch of exam scripts service… must obtain proof of postage/despatch for each packet of scripts, which must be retained on the centre's files until the results are published, in case of loss or damage. (Proof of postage will provide evidence that the candidates' scripts have left the centre. This 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/examiner, then special consideration may be possible.).

Action at the end of retention period (method of disposal)

Secure destruction

32. Resolving timetable clashes

Record(s) description

Any hard copy information relating to the resolution of a candidate's clash of timetabled exam papers.

Retention information/period

exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series).

Action at the end of retention period (method of disposal)

Secure destruction

33. Results information

Record(s) description

Broadsheets of results summarising candidate final grades by subject by exam series.

Retention information/period

Records for current year plus previous 6 years retained as a minimum.

Action at the end of retention period (method of disposal)

Not applicable

34. Seating plans

Record(s) description

Plans showing the seating arrangements of all candidates for every exam taken.

Retention information/period

Records retained in accordance with the requirements of ICE, section 12 (…keep signed records of the seating plan, the invigilation arrangements and the centre's copies of the attendance registers for each examination. The awarding bodies may need to refer to these records. The centre must keep them until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.).

Action at the end of retention period (method of disposal)

Secure destruction

35. Special consideration information

Record(s) description

Any hard copy information relating to a special consideration application which has been submitted to an awarding body for a candidate and signed evidence produced by a senior leader in support of the application.

Retention information/period

Records retained in accordance with the requirements of SC, section 6 (All applications must be supported by signed evidence produced by a member of the senior leadership team. The centre must retain this evidence until after the publication of results.)

Action at the end of retention period (method of disposal)

Secure destruction

36. Suspected malpractice reports/outcomes

Record(s) description

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.

Retention information/period

exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series).

Action at the end of retention period (method of disposal)

Secure destruction

37. Transferred candidate arrangements

Record(s) description

Any hard copy information relating to a transferred candidate arrangement. Applications submitted online via CAP.

Retention information/period

exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series).

Action at the end of retention period (method of disposal)

Secure destruction

38. Very late arrival reports/outcomes

Record(s) description

Any hard copy information relating to a candidate arriving very late to an exam. Reports submitted online via CAP.

Retention information/period

Exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series).

Action at the end of retention period (method of disposal)

Secure destruction

39. Any other records/documentation/materials

Record(s) description

Not Applicable

Retention information/period

Not Applicable

Action at the end of retention period (method of disposal)

Not Applicable

40. Any other records/documentation/materials

Record(s) description

Not Applicable

Retention information/period

Not Applicable

Action at the end of retention period (method of disposal)

Not Applicable

Appendix 29: Exams Cyber Response Plan

This plan is in response to a cyber-attack or loss of online services.

The Trust has robust cyber security processes in place including:

- Cyber Response Plans for each school
- Backups of data
- Firewalls and anti-virus software

There are two elements to this plan.

A. One school is affected
B. All the Trust schools are affected

Plan A:

A singular Trust school is experiencing a cyber-attack or loss of systems and has no access to online systems.

1. Issue reported to Cyber Response Team as outlined in school specific Cyber Response Plan. Exam Officers to have access to plan to know who to inform in the incident and SLT aware of issues
2. Cyber Response Team report actions to relevant services as per Cyber Response Plan including the
3. System evaluated by the Cyber Response Team to evaluate length of outage and severity of attack.
4. Exams Officer to work at another site/remotely to assist in the process so they are off the Trust network.
5. Awarding bodies made aware as necessary by the Exams Officer
6. Exam room scheduling/timetables complied using alternative methods (alternative software/manual bookings and timetables).
7. Exam Officer to liaise with other Trust sites to move exams to another Trust school or contingency site if required
8. Paper/handwritten slips for student identification.
9. Exams Officer will contact awarding bodies in respect of re-sitting online exams affected by system failure, or to seek an alternative solution.
10. Results accessed directly from the awarding bodies' secure extranet sites (accessed from an alternative site if necessary).

Plan B:

All Trust schools are experiencing a cyber-attack or loss of systems and has no access to online systems.

1. Issue reported to Cyber Response Team as outlined in school specific Cyber Response Plan. Exam Officers to have access to plan to know who to inform in the incident and SLT aware of issues

2. Cyber Response Team report actions to relevant services as per Cyber Response Plan including the
3. System evaluated by the Cyber Response Team to evaluate length of outage and severity of attack.
4. Awarding bodies made aware as necessary by the Exams Officer
5. Exam room scheduling/timetables complied using alternative methods (alternative software/manual bookings and timetables) or by the Exams Officer working remotely off the Trust network.
6. Exam Officer to consider viability of a contingency site with internet access if a full loss of internet services across the Trust.
7. Paper/handwritten paper written for student identification.
8. Exams Officer will contact awarding bodies in respect of re-sitting online exams affected by system failure, or to seek an alternative solution.
9. Results accessed directly from the awarding bodies' secure extranet sites (accessed remotely).

Along with our usual defences, we will have the ability to restore the systems and recover data from backups. Our IT team will:

- back up the right data.
- hold backups offline.
- restore services and recover data from the backups.