EXAMS POLICIES 2022/23

Revision	Authorised by	Date	Adopted by	Date
Draft	Caroline Jesson	June 2023	FGB Min No. 13	13/07/2023

Revision	Date	Description of Changes
Draft	June 2023	New issue combining previous policies into one document

Signed: P Inman   Date   13/07/2023
Chair of Governors

Key staff involved in the exams policy

Role	Name(s)
Head of centre	**Heather Watts**
Exams officer line manager (Senior leader)	**Caroline Jesson**
Exams officer	**David Cook**
SENCo	**Emma Maslen**
Senior leader(s)	**Alison Barker (Assistant Head), Garry Cash (School Business Manager), Emma Adrio (Assistant Head)**

Contents

Purpose of the policy

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

This exam policy will ensure that:
- all aspects of the centre's exam process 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

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

This policy will be communicated to all relevant centre staff. Policies are signposted in the staff handbook and are published on the school website.

Roles and responsibilities overview

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

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

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

Head of centre
- 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)
  - A guide to the special consideration process (SC)
- Ensures the centre has appropriate accommodation to support the size of the cohorts being taught including appropriate accommodation for candidates requiring access arrangements for exams and assessments.

National Centre Number Register

- Takes responsibility for confirming, on an annual basis, that they are both aware of and adhering to the latest version of the JCQ's regulations. This confirmation is managed as part of the National Centre Number Register (NCNR) annual update
- Understands that this responsibility cannot be delegated to a member of the senior leadership team or the examinations officer, and acknowledges that failure to respond to the NCNR annual update, and/or the head of centre's declaration, will result in:
  - the centre status being suspended

- o   the centre not being able to submit examination entries
- o   the centre not receiving or being able to access question papers

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

Recruitment, selection and training of staff

- Retains a workforce of an appropriate size and competence, including sufficient managerial and other resource, to undertake the delivery of the qualification as required by an awarding body. This includes taking reasonable steps to ensure occupational competence where this is required for the assessment of specific qualifications
- Provides fully qualified teachers to mark non-examination assessments, and/or fully qualified assessors for the verification of centre-assessed components
- Enables the relevant senior leader(s), the examinations officer (EO) 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
- Appoints a SENCo who will determine appropriate arrangements for candidates with learning difficulties and disabilities

Internal governance arrangements

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

Escalation Process

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, during or after examinations will be escalated to the remaining Assistant Heads or the School Business Manager. This could include:

- Planning
- Entries
- Conduct of Exams
- Access Arrangements
- Results and Post results

- Has in place a member of the senior leadership team who will provide support and guidance to the examinations officer and ensure that the integrity and security of examinations and assessments is maintained throughout an examination series
- Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the EO
- 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 the examination

Delivery of qualifications

- Delivers qualifications, as required by the awarding body, in accordance with relevant equality legislation. This includes but is not limited to ensuring that qualifications are made available to all candidates capable of undertaking them and seeking reasonable adjustments for disabled candidates
- Enables candidates to receive sufficient and up to date laboratory experience, or relevant training where required by the subject concerned
- Where/if using a third party to deliver any part of a qualification at the centre:
- maintains oversight of, and responsibility for, the delivery of the qualification in accordance with JCQ regulations and awarding body requirements

- has in place a written agreement with the third party ensuring that a copy of the written agreement is available for inspection if requested by the awarding body

Public liability

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

Security of assessment materials

- Takes all reasonable steps to maintain the integrity of the examinations/assessments, including the security of all assessment materials, by ensuring:
    - the location of the centre's secure storage facility in a secure room solely assigned to examinations for the purpose of administering secure examination materials
    - the secure room only contains exam-related material
    - there are between two and six keyholders only, each of whom must fully understand their responsibilities as a key holder to the secure storage facility
    - access to the secure room and secure storage facility is restricted to the authorised two to six keyholders and staff named and approved by the head of centre are accompanied by a keyholder at all times
    - appropriate arrangements are in place to ensure that confidential materials are only handed over to authorised members of centre staff
    - the relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk
- Makes arrangements to receive, check and store question papers and examination material safely and securely at all times and for as long as required in accordance with the current JCQ publication Instructions for conducting examinations
- 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
- Allows candidates access to relevant pre-release materials on, or as soon as possible after, the date specified by the awarding bodies
- 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
- Ensures any person involved in administering, teaching or completing examinations/assessments is advised that where malpractice is suspected, or alleged, personal data about them will be provided to the awarding body (or bodies) whose examinations/assessments are involved. Personal data about them may also be shared with other awarding bodies, the qualifications regulator or professional bodies in accordance with the JCQ publication Suspected malpractice – Policies and procedures
- 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
- 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) – see <mark>Exam Contingency Plan</mark> (appendix A)
- Ensures required internal appeals procedures are in place and drawn to the attention of candidates and (where relevant) their parents/carers – see <mark>Internal Appeals Procedures</mark> (appendix B)

- Ensures the centre's equalities policy demonstrating the centre's compliance with relevant legislation is in place and details the processes followed in respect of identifying the need for, requesting and implementing access arrangements – see Equalities Policy (appendix C)
- 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 – see Complaints and Appeals Procedures (Exams) (appendix D)
- Ensures the centre has a child protection/safeguarding policy in place, including Disclosure and Barring Service (DBS) clearance, which satisfies current legislative requirements – see Child Protection / Safeguarding Policy – school website (www.newmillsschool.co.uk/about-us/school-policies)
- Ensures the centre has a data protection policy in place that complies with General Data Protection Regulation and Data Protection Act 2018 regulations – see GDPR and Data Protection Policy (school website – www.newmillsschool.co.uk/about-su/school-policies).

Data Protection Policy

Legislation on sharing information
Under the principles of the General Data Protection Regulations 2018 and the Data Protection Act 2018, children and young adults can assume control over their personal information and restrict access to it from the age of 13. This suggests that candidate consent should be sought to share results or other exams-related information with a third party.

New Mills School will take in to account other legislation and guidance regarding sharing information with parents, as example information from the DfE for schools regarding parental responsibility and school reports on pupil performance:
- Understanding and dealing with issues relating to parental responsibility www.gov.uk/government/publications/dealing-with-issues-relating-to-parental-responsibility/understanding-and-dealing-with-issues-relating-to-parental-responsibility
- School reports on pupil performance: guidance for headteachers www.gov.uk/guidance/school-reports-on-pupil-performance-guide-for-headteachers

Publication of exam results
When considering publishing exam results, the centre will make reference to the ICO (Information Commissioner's Office) Schools, universities and colleges information https://ico.org.uk/your-data-matters/schools/ on Publishing exam results.

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

Conflicts of interest

- Ensures the relevant awarding bodies are informed before the published deadline for entries for each examination series of any potential **Conflict of Interest** where
  o 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)
  o a candidate is being taught and prepared for a qualification which includes internally assessed components/units by a member of centre staff with a close relationship to the candidate
- Maintains clear 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
  o a member of exams office staff has a close relationship to a candidate being entered for exams and assessments at the centre or at another centre

- o 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)
- o a member of centre staff is taking a qualification at another centre
- o <mark>See Conflict of Interest Policy – Exams (Appendix E)</mark>

- 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
- 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
- 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 personnel or JCQ personnel

Centre inspections

- Co-operates with the JCQ Centre Inspection Service, an awarding body or a regulatory authority when subject to an inspection, an investigation or an unannounced visit, 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
- Allows all venues used for examinations and assessments, paperwork and secure storage facilities to be open to inspection
- Understands the JCQ Centre Inspector will identify 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

Exams officer

- Understands the contents of annually updated JCQ publications including:
    - o General Regulations for Approved Centres
    - o Instructions for Conducting Examinations
    - o Suspected Malpractice - Policies and Procedures
    - o Post-results services (PRS)
    - o A guide to the special consideration process
- Completes/submits the National Centre Number Register annual update (administered on behalf of the JCQ member awarding bodies by OCR https://ocr.org.uk/administration/ncn-annual-update/) by the end of October each year
- Is familiar with the contents of annually updated information from awarding bodies on administrative procedures, key tasks, key dates and deadlines
- Ensures key tasks are undertaken and key dates and deadlines met
- Recruits, trains and deploys a team of internal/external invigilators; appoints lead invigilators, as required and keeps a record of the content of training provided to invigilators for the required period
- Works with the SENCo to ensure invigilators supervising access arrangement candidates and those acting as a facilitator supporting access arrangement candidates fully understand the respective role and what is and what is not permissible in the exam room
- Supports the head of centre in ensuring that awarding bodies are informed (where required) of any conflict of interest declared by members of centre staff and in maintaining records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected before the published deadline for entries for each examination series

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

Senior leaders
- 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

Special educational needs co-ordinator (SENCo)
- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:
    - Access Arrangements and Reasonable Adjustments
- Leads on the access arrangements and reasonable adjustments process (referred to in this policy as 'access arrangements')
- If not the qualified access arrangements assessor, works with the person appointed, on all matters relating to assessing candidates and ensures the correct procedures are followed
- Presents when requested by a JCQ Centre Inspector, evidence of the assessor's qualification

Senior leaders
- Ensure teaching staff undertake key tasks, as detailed in this policy, within the exams process (exam cycle) and meet internal deadlines set by the EO and SENCo
- Ensure teaching staff keep themselves updated with awarding body subject and teacher-specific information to confirm effective delivery of qualifications
- Ensure teaching staff attend relevant awarding body training and update events

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

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

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

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

Candidates

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

The exam cycle

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

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

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

Planning: roles and responsibilities

<u>Information sharing</u>

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

Exams officer
- Signposts relevant centre staff to JCQ publications and awarding body documentation relating to the exams process that have been updated
- Signposts relevant centre staff to JCQ information that should be provided to candidates
- As the centre administrator, approves relevant access rights for centre staff to access awarding body secure extranet sites

<u>Information gathering</u>

Exams officer
- Undertakes an annual information gathering exercise in preparation for each new academic year to ensure data about all qualifications being delivered is up to date and correct
- Collates all information gathered into one central point of reference
- Researches awarding body guidance to identify administrative processes, key tasks, key dates and deadlines for all relevant qualifications
- Produces an annual exams plan of key tasks and key dates to ensure all external deadlines can be effectively met; informs key centre staff of internal deadlines
- Collects information on internal exams to enable preparation for and conduct of trail exams.

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

<u>Access arrangements</u>

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

- Ensures a written process is in place to not only check the qualification(s) of the appointed assessor(s) but that the correct procedures are followed as per Chapter 7 of the JCQ publication Access Arrangements and Reasonable Adjustments
- Ensures the SENCo is fully supported in effectively implementing access arrangements and reasonable adjustments once approved

SENCo
- Assesses candidates (or works with the appropriately qualified assessor as appointed by the head of centre) to identify access arrangements/reasonable adjustments requirements
- Gathers **evidence** to support the need for access arrangements for a candidate
- Liaises with teaching staff to gather evidence of **normal way of working** of an affected candidate
- Determines candidate eligibility for arrangements or adjustments that are centre-delegated
- Gathers signed **Personal data consent, Privacy Notice (AAO) and Data Protection confirmation** forms (from candidates where required
- Employs good practice in relation to the Equality Act 2010
- Liaises with the EO regarding exam time arrangements for access arrangement candidates
- Ensures staff appointed to facilitate access arrangements for candidates are 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
- Works with the EO to ensure invigilators and those acting as a facilitator fully understand the respective role and what is and what is not permissible in the exam room
- Provides and annually reviews a centre policy on the **use of word processors** in exams and assessments

Exams Officer
- 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
- Keeps a file for each candidate for JCQ inspection purposes containing all the required documentation (in conjunction with the SENCO) with some documents being held in e-folders for each individual candidate.

   Word Processor Policy (Exams) – appendix F

- 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

Separate Invigilation Policy

   In certain circumstances, a candidate with an established difficulty may be eligible to take exams under separate invigilation. The candidate's difficulties must be established within the centre and known to a Form Tutor, a Year Manager, the SENCo or a senior member of staff with pastoral responsibilities.

   Separate invigilation must reflects the candidate's normal way of working in internal school tests and mock examinations as a consequence of a long term medical condition or long term social, mental or emotional needs

   Separate invigilation may involve invigilation in a separate room with 1:1 invigilation or invigilation in a "smaller" room with other members of the cohort.

Senior leaders, Teaching staff
- Support the SENCo in determining and implementing appropriate access arrangements/reasonable adjustments
- Provide a statement for inspection purposes which details the criteria the centre uses to award and allocate word processors for examinations

Internal assessment and endorsements

Head of centre

Controlled assessments, coursework and non-examination assessments
- Ensures 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)
- Ensures that teaching staff, in accordance with awarding bodies' instructions, return all subject-specific forms by the required date
- Provides fully qualified teachers to mark non-examination assessments, and /or fully qualified assessors for the verification of centre-assessed components
- 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)
- Ensures a **non-examination assessment policy** is in place for GCSE qualifications which include components of non-examination assessment– see Non-examination Assessment Policy (appendix G)
- 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

Senior leaders
- Ensure teaching staff have the necessary and appropriate knowledge, understanding, skills, and training to set tasks, conduct task taking, and to assess, mark and authenticate candidates' work (including where relevant, private candidates)
- Ensure appropriate internal moderation, standardisation and verification processes are in place

Faculty Team Leaders
- Ensure teaching staff delivering Entry Level Certificate or Project qualifications follow JCQ Instructions for conducting coursework and the specification provided by the awarding body
- Ensure teaching staff delivering GCSE specifications (which include components of non-examination assessment) follow JCQ Instructions for conducting non-examination assessments and the specification provided by the awarding body
- For other qualifications, ensure teaching staff follow appropriate instructions issued by the awarding body
- Ensure teaching staff inform candidates of their centre assessed marks as a candidate may request a review of the centre's marking before marks are submitted to the awarding body

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

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

Invigilation

Head of centre
- Ensures relevant support is provided to the EO in recruiting, training and deploying a team of invigilators
- Ensures, if contracting supply staff to act as invigilators, that such persons are competent and fully trained, understanding what is and what is not permissible (and not taking on its own an assurance from a recruitment agency, that this is the case)
- Determines if additional invigilators will be deployed in timed Art exams in addition to the subject teacher to ensure the supervision of candidates is maintained at all times

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

Entries: roles and responsibilities

Estimated entries

Exams officer
- Requests estimated or early entry information, where this may be required by awarding bodies, from FTLs in a timely manner to ensure awarding body external deadlines for submission can be met
- Makes candidates aware of the JCQ **Information for candidates – Privacy Notice** at the start of a course leading to a vocational qualification or when entries are submitted to awarding bodies for processing for general qualification

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

Final entries

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

Senior leaders
- Provide information requested by the EO to the internal deadline
- Inform the EO immediately, or at the very least prior to the deadlines, of any subsequent changes to final entry information, which includes
    - changes to candidate personal details
    - amendments to existing entries
    - withdrawals of existing entries

Late entries

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

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

Candidate statements of entry

Exams officer
- Provides candidates with statements of entry for checking

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

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

Pre-exams: roles and responsibilities

Access arrangements and reasonable adjustments

SENCo
- Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access to exams/assessments for candidates where they are disabled within the meaning of the Equality Act (unless a temporary emergency arrangement is required at the time of an exam)
- Ensures a candidate is involved in any decisions about arrangements, adjustments and /or adaptations that may be put in place for him/her
- Ensures exam information (JCQ information for candidates documents, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it
- Allocates appropriately trained centre staff to facilitate access arrangements for candidates in exams and assessments (ensuring that the facilitator appointed meets JCQ requirements and fully understands the rule of the access arrangement)
- Where relevant, ensures the necessary and appropriate steps are undertaken to gather an appropriate picture of need and demonstrate normal way of working for a private candidate (including distance learners and home educated candidates) and that the candidate is assessed by the centre's appointed assessor

Briefing candidates

Exams officer
- Issues individual exam timetable information to candidates and informs candidates of any designated contingency day awarding bodies may identify in the event of national or significant local disruption to exams
- Prior to exams issues relevant JCQ information for candidates documents
- Where relevant, issues relevant awarding body information to candidates
- Issues centre exam information to candidates including information on:
    - exam timetable clashes
    - arriving late for an exam
    - absence or illness during exams
    - what equipment is/is not provided by the centre
    - food and drink in exam rooms
    - unauthorised items in exam rooms
    - when and how results will be issued and the staff that will be available
    - the post-results services and how the centre deals with requests from candidates
    - when and how certificates will be issued

Access to Scripts, Reviews of Results and Appeals Procedures

Information regarding post results services are included in the centre's exam booklet provided to candidates and detailed on the school website. Details are confirmed at the time of results by means of a post results form and staff are available to discuss / give advice. The post result form (to be returned to the EO) includes:

- Services available
- Deadlines
- Fees
- Request for email address to receive outcome of any request
- The internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support a review of results or an appeal.

Dispatch of exam scripts

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

Estimated grades

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

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

Internal assessment and endorsements

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

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

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

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

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

Candidates

- Authenticate their work as required by the awarding body

Invigilation

Exams officer

- Provides an annually reviewed/updated invigilator handbook to invigilators, trains new invigilators on appointment and updates experienced invigilators on any regulation changes and any changes to centre-specific processes
- 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, ensure all relevant rules are being adhered to and to support the practical assistant/reader and/or scribe in maintaining the integrity of the exam)
- Allocates invigilators to exam rooms (or where supervising candidates due to a timetable clash) according to the required ratios
- Liaises with the SENCo regarding the facilitation and invigilation of access arrangement candidates

SENCo

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

Invigilators

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

JCQ Centre Inspections

Exams officer or **Senior leader**

- Will accompany the Inspector throughout a visit

Exams officer or SENCo or relevant **Senior leader** (in the absence of the EO)

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

Seating and identifying candidates in exam rooms

Exams officer

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

Candidate Identification Procedure

Senior staff are present at the start of the exam to assist with identification of candidates. Candidates line up outside the exam room and are called in by a senior member of staff according to the order on the seating plan. Candidate number / name / photo cards are set out on the exam desks to assist with identification. The attendance register is completed as the candidates are seated.

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

are informed of those candidates with access arrangements and made aware of the access arrangement(s) awarded)

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

Security of exam materials – Paper based materials

Exams officer
- Confirms appropriate arrangements are in place to ensure that confidential materials are only handed over to those authorised by the head of centre
- Ensures access to the secure room is restricted and staff named and approved by the head of centre are accompanied by a keyholder at all times. There must be between two and six keyholders only, each of whom must fully understand their responsibilities as a key holder to the secure storage facility
- Ensures only persons authorised by the head of centre and the exams officer are allowed access to the centre's secure storage facility as one of the two to six key holders
- Has a process in place to demonstrate the receipt, secure movement and secure storage of confidential exam materials within the centre
- Ensures a log is kept at the initial point of delivery recording confidential materials received and signed for by authorised staff within the centre and that appropriate arrangements are in place for confidential materials to be immediately transferred to the secure storage facility until they can be removed from the dispatch packaging and checked in the secure room before being returned to the secure storage facility in timetable order
- Ensures the secure storage facility contains only current and live confidential material (ensuring that past examination question papers, internal tests and mock examinations are not kept in the centre's secure storage facility)
- Ensures that examination stationery, e.g. answer booklets and formula booklets are stored in the secure room (attempting to store this material in the secure storage facility, when sufficient space allows)

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

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

Security of exam materials – Electronic materials
Head of centre
- Ensure electronic question paper materials must only be handled by members of staff authorised to do so by the head of centre.
- Ensure that authorised staff are familiar with the most recent instructions issued by the relevant awarding bodies.
- At least two and no more than six members of centre staff should be authorised to handle secure electronic materials. Other members of centre staff may assist with printing and collation provided they are under supervision.
- Ensure secure account management (see section 4.4-4.9 of Instructions for conducting examinations)

Exams Officer
- The integrity and security of the electronic question paper must be maintained during the
- downloading, printing and collating process.
- The file must be accessed and downloaded only for the use of the candidate(s) who have been entered for the examination.
- The file must be stored locally only for the purposes of printing and must then be deleted immediately. The file must then be deleted from the deleted items folder.
- Any emails or links associated with the secure file must also be immediately deleted and then deleted from the deleted items folder.
- Do not create any unnecessary hard copies of the file, and securely destroy any unneeded hard copies once printing has been completed.
- Secure files must be accessed and printed within a secure environment. Only authorised members of staff must be present in the room.
- Once printed, question papers must be sealed within a non-transparent envelope marked clearly with the exam details on the outside of the envelope. The envelope must be stored securely ready for transfer to the examination room at the appropriate time,
- Report any deviation from these instructions to the awarding body using JCQ Form M2.
- Report any concerns of a potential breach of security to the awarding body immediately.

Timetabling and rooming

Exams officer

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

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

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

Alternative site arrangements

Exams officer

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

Transferred candidate arrangements

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

Internal exams

Exams officer

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

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

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

Exam time: roles and responsibilities

Access arrangements

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

Candidate absence

Candidate Absence Policy

> Candidates and parents/carers are made aware via exams handbook and documentation that absences must be reported. On the day of an exam absentees are identified by exams officer / senior staff. If the centre has not been informed of a reason for the absence, the Student Support Manager is informed and makes contact with home.

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

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

Candidate behaviour

See *Irregularities* below.

Candidate belongings

See *Unauthorised items* below.

Candidate late arrival

Exams officer

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

Invigilators

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

Candidate Late Arrival Policy

> Candidates are made aware of the regulations regarding arriving late to examinations.
>
> Candidates who are late are contacted by the Student Support Manager where possible and advised to make their way to the centre as soon as possible.
>
> If within 1 hour, they are met in reception by a member of the exams office staff to ensure supervision. They are reminded of the regulations and escorted into the exam room. They are allowed their full time for the exam.

Conducting exams

Head of centre

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

Exams officer

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

Dispatch of exam scripts

Exams officer

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

Exam papers and materials

Exams officer

- Organises exam question papers and associated confidential resources in date order in the secure storage facility
- Attaches erratum notices received to relevant sealed exam question paper packets
- Collates attendance registers and examiner details in date order
- Regularly checks mail or email inbox for updates from awarding bodies
- In order to avoid potential breaches of security, ensures care is taken to ensure the correct question paper packets are opened by ensuring a member of centre staff, additional to the person removing the papers from secure storage, e.g. an invigilator, checks the day, date, time, subject,

unit/component and tier of entry, if appropriate, immediately before a question paper packet is opened
- Ensures this additional/second check is recorded
- 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.
- Where allowed by the awarding body, only releases exam papers and materials to teaching departments for teaching and learning purposes after the published finishing time of the exam, or until any timetable clash candidates have completed the exam

Exam rooms

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

Food and Drink Policy (Exams)

> Candidates are made aware of what is or what is not allowed.
>
> Staff involved in the exam process are aware.
>
> Water only is allowed in the examination room to drink, in clear plastic bottles with the label removed.
>
> Food is allowed only for medical reasons and free from packaging and labels.

Leaving the Examination Room Policy

> Candidates are required by the centre to remain in the examination room for the full duration of the exam.
>
> Candidates may be escorted from the room at the discretion of the invigilation team / exams officer if they need to visit the toilet or are feeling unwell.
>
> Time for toilet visits is not added on, however, where breaks are longer due to illness this time will be added at the centre's discretion.

Exams officer
- Ensures exam rooms are set up and conducted as required in the regulations
- Provides invigilators with appropriate resources to effectively conduct exams
- Briefs invigilators on exams to be conducted on a session by session basis (including the arrangements in place for any transferred candidates and access arrangement candidates)
- Ensures sole invigilators have an appropriate means of summoning assistance (if this is a mobile phone, instructs the invigilator that this must be on silent mode)
- Ensures invigilators understand they must be vigilant and remain aware of incidents or emerging situations, looking out for malpractice or candidates who may be in distress, recording any incidents or issues on the exam room incident log

- Ensures invigilators understand how to deal with candidates who may need to leave the exam room temporarily and how this should be recorded on the exam room incident log
- Provides authorised exam materials which candidates are not expected to provide themselves
- Ensures invigilators and candidates are aware of the emergency evacuation procedure
- Ensures invigilators are aware of arrangements in place for a candidate with a disability who may need assistance if an exam room is evacuated

Senior leaders
- Ensure a documented emergency evacuation procedure for exam rooms is in place
- Ensure arrangements are in place for a candidate with a disability who may need assistance if an exam room is evacuated

Emergency Evacuation Policy

In the event of a fire alarm going off during an examination, the following procedures must be followed:

1. Note the time that the fire alarm went off and how long the examination has been going on.
2. Ask the candidates to stop writing and put their pens / pencils down.

3. Candidates / invigilators should remain in the exam room until a member of SLT / Exams Office contacts them. If confirmation is made that it is a false alarm, the candidates may remain seated. The exam can continue once the alarm is silenced.
4. If evacuation is necessary, then all examination question and answer papers and materials should be left on the candidate's exam desk and NOT taken out with them. No bags or personal belongings should be taken out of the Hall with the candidates.
5. BEFORE the candidates leave the Hall and / or Gym, remind them that they are still under examination conditions and under NO CIRCUMSTANCES should they talk to one another or use a mobile phone.
6. Remind them that a breach of regulations could mean disqualification from their examination.
7. UNDER NO CIRCUMSTANCES are candidates to take their mobile phone or other electronic devices outside with them. This will be a breach of examination board regulations and they will risk being disqualified from their examination.
8. The candidates should leave the Hall / Gym in an orderly fashion via the fire exits. They should be supervised by the invigilators and a senior member of staff. The exam registers should be taken out with the invigilators, together with pens. Invigilators should take a roll-call, to ensure that all candidates are present and accounted for.
9. IMPORTANT – the candidates should assemble in the Year 11 area of the tennis courts but away from any other students also present in school. This will ensure that they are isolated from the other classes / candidates. Please line up the candidates in alphabetical order according to the examination being taken: e.g. 1 line for GCSE Geography, 1 line for GCSE French etc.
10. Upon re-entry to the Hall and/or Gym, note the time of re-starting the examination and change the finish time. Ensure that the Exams Officer, has full details of the incident so that a Special Consideration Form can be produced.
11. For smaller examination rooms, the same rules apply. Just leave by the nearest fire exit and assemble on the Top Tennis Court (Assembly Area 1) as explained above. If there are only a few candidates, take the question papers and scripts along with the register.
12. Make a full report of the incident and of the action taken and send to the relevant awarding body.

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

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

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

Irregularities

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

Managing Behaviour Policy

> Where a candidate is being disruptive, the invigilator must warn the candidate that he/she may be removed from the examination room. The candidate is also be warned that the awarding body will be informed and may decide to penalise them, which could include disqualification.
>
> The invigilator record what has happened on the incident log.
>
> The head of centre / SLT has the authority to remove a candidate from the examination room, if the candidate would disrupt others by remaining in the room.

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

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

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

Malpractice
See *Irregularities* above.

Special consideration

Senior leaders
- Provide signed evidence to support eligible applications for special consideration

Exams officer
- Processes eligible applications for special consideration to awarding bodies
- Gathers evidence which may need to be provided by other staff in centre or candidates
- Submits requests to awarding bodies to the external deadline
- Special Consideration Policy – appendix H

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

Unauthorised items

Arrangements for unauthorised items taken into the exam room

> Unauthorised items are left outside of the examination room where possible. Any pencil cases taken into the examination room are see-through. Any unauthorised items that have been taken into the examination room are placed in a box kept under the supervision of the invigilation team. They are collected on entry to the exam room and not returned until the exam has finished.
>
> Prior the exam starting candidates are reminded to hand these items in.

Invigilators
- Are informed of the arrangements through training

Internal exams

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

Invigilators
- Conduct internal exams as briefed by the EO

Results and post-results: roles and responsibilities

Internal assessment

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

Managing results day(s)

Senior leaders

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

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

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

Accessing results

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

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

Post-results services

Head of centre

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

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

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

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

Analysis of results

Exams Officer
- Provides analysis of results to appropriate centre staff
- Provides results information to external organisations where required
- Undertakes the secondary school and college (key stage 4/16-18) performance tables *June and September checking exercise* (where applicable)

Certificates

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

Certificate Issue Procedure

Certificates are issued at a presentation evening for candidates when possible.

If no presentation evening takes place, or students are unable to attend, they are contacted and asked to inform the centre how they would like their certificates by secure post, collection in person or collection by a nominated person.

Certificates must be signed for.

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

Certificate Retention Policy

Any unclaimed certificates are stored securely at the centre and issued on request.

Exams review: roles and responsibilities

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

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

Retention of records: roles and responsibilities

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

Appendices

    A. Exam Contingency Plan

    B. Internal Appeals Procedures

    C. Equalities Policy

    D. Complaints and Appeals Procedure (Exams)

    E. Conflicts of Interest Policy (Exams)

    F. Word Processor Policy (Exams)

    G. Non-examination Assessment Policy

    H. Special Consideration Policy

    I. Exams Archiving Policy

EXAMINATION CONTINGENCY PLAN 2022 / 23

Contents

Purpose of the plan

This plan examines potential risks and issues that could cause disruption to the management and administration of the exam process at New Mills School. By outlining actions /procedures to be followed in case of disruption it is intended to mitigate the impact these disruptions have on our exam process. Alongside internal processes, this plan is informed by information contained in the *Ofqual contingency plan for the examination system in England, Wales and Northern Ireland* where it is stated that *"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."*

This plan also confirms New Mills School's compliance with JCQ's General Regulations for Approved Centres (section 5.3) that the centre has 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

Causes of potential disruption to the exam process

1. **Head of Centre / Senior Lead with responsibility for exams extended absence**

In the event of the absence of the head of centre or the member of senior leadership with oversight of examination administration (C Jesson), responsibility for implementing JCQ regulations and requirements relating to entries and exam preparation will be escalated to the remaining Assistant Heads or the School Business Manager. This will include main duties and responsibilities relating to:

- Planning
- Entries and pre-exams
- Access Arrangements
- Exam time
- Results and post results services

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

Criteria for implementation of the plan:

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

Planning
- annual data collection exercise not undertaken to collate information on qualifications and awarding body specifications being delivered
- annual exams plan not produced identifying essential key tasks, key dates and deadlines
- sufficient invigilators not recruited and trained

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

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

Exam time
- exams/assessments not taken under the conditions prescribed by awarding bodies
- required reports/requests not submitted to awarding bodies during exam/assessment periods e.g. very late arrival, suspected malpractice, special consideration

- candidates' scripts not dispatched as required to awarding bodies

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

Centre actions:
- Documented Procedures Manual (year book)
- Produce & publish approx. timescales of deadlines for information required
- Data / Exams assistant / senior invigilator to be called upon to assist
- Awarding bodies to provide centre with electronic access to examination papers via a secure external network if exam papers not received by timetabled exam day.

3. **SENCo extended absence at key points in the exam cycle**

Criteria for implementation of the plan:

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

Planning
- candidates not tested/assessed to identify potential access arrangement requirements
- evidence of need and evidence to support normal way of working not collated

Pre-exams
- approval for access arrangements not applied for to the awarding body
- modified paper requirements not identified in a timely manner to enable ordering to meet external deadline
- staff providing support to access arrangement candidates not allocated and trained

Exam time
- access arrangement candidate support not arranged for exam rooms

Centre actions:
- TA Lead / SEN Support to cover.
- Regular meetings between SENCo & Exam's Officer to ensure deadlines are met
- SLT to arrange assessor if candidates not assessed prior to final dates for processing on-line Access Arrangements
- Exam's Officer to arrange all aspects of Access Arrangements from Pre exam time to end of exams

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

Criteria for implementation of the plan:

Key tasks not undertaken including:
- Early/estimated entry information not provided to the exams officer on time; resulting in pre-release information not being received
- Final entry information not provided to the exams officer on time; resulting in candidates not being entered for exams/assessments or being entered late/late or other penalty fees being charged by awarding bodies
- Non-examination assessment tasks not set/issued/taken by candidates as scheduled
- Internal assessment marks and candidates' work not provided to meet awarding body submission deadlines

Centre actions:

SLT to nominate deputy to cover tasks

5. **Invigilators – lack of appropriately trained invigilators or invigilators absent**

<u>Criteria for implementation of the plan:</u>
- Failure to recruit and train sufficient invigilators to conduct exams
- Invigilator shortage on peak days
- Invigilator absence on the day of the exam

<u>Centre actions:</u>
- Annual training session to be held in March
- Promote recruitment through website / newsletter
- Encourage invigilators to phone early if unable to attend assigned exam.
- Use TA's if possible

6. **Exam rooms – lack of appropriate rooms or main venues unavailable at short notice**

<u>Criteria for implementation of the plan:</u>
- Exams Officer unable to identify sufficient / appropriate rooms during exams timetable planning
- Insufficient rooms available on peak days
- Main exam venues unavailable due to unexpected incident at exam times

<u>Centre actions:</u>
- Liaise with Cover Manager once timetable complete to book sufficient rooms
- Cover Manager to assign room changes
- Liaise with SLT if insufficient rooms
- Use of hall / gym if an incident occurs
- Liaise with JCQ if need to change venue

7. **Failure of IT system**

<u>Criteria for implementation of plan:</u>
- MIS system failure at final entry deadline
- MIS system failure during exam preparation
- MIS system failure at results release time

<u>Centre actions:</u>
- Ensure all entries are inputted well before deadlines
- Have all necessary preparatory work completed well before start of exams
- Liaise with ICT well in advance re any possible upgrades or planned works
- Liaise with awarding bodies

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

<u>Criteria for implementation of plan:</u>
- 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.

<u>Centre actions:</u>
- SLT to liaise with students and relevant departments
- Centre to have plans in place to facilitate alternative methods of learning

9. **Centre at risk of being unable to open as normal during the examination period**

<u>Criteria for implementation of the plan:</u>
- Centre unable to open as normal for scheduled examinations

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.

Centre actions:
- Head to liaise with SLT and Exam's Officer
- Centre to open for exam purposes only if possible
- Exam's Officer to liaise with awarding bodies and invigilators
- Try to use alternative venue if possible after consulting awarding bodies
- Head, SLT and Exam's Officer to liaise with parents and students
- Exam's Officer to apply for special consideration for candidates where they have met the minimum requirements

10. Candidates unable to take examinations – centre remains open

Criteria for implementation of plan:
- Candidates are at risk of being unable to attend the examination centre to take examinations as normal

Centre actions:
- Candidates must contact the Exam's Officer as soon as the crisis is known
- Exam's Officer will liaise with the Head of Centre if reason unacceptable
- Liaise with candidate if exam can be sat at an alternative venue in agreement with awarding bodies
- Exam's Officer to apply to awarding bodies for Special Consideration for candidates where they have met the minimum requirements. Candidates are only eligible for special consideration if they have a medical certificate or have been advised by the centre not to attend the examination. If a candidate chooses not to sit the exam they must be aware that the special consideration rules will not apply
- Liaise with parents if home visit for examination to take place would be possible
- Exam's Officer will liaise with awarding bodies to request that a candidate can take exam off site
- Exam's Officer to liaise with invigilator to attend home visit

11. Disruption to transporting of completed examination scripts

Criteria for implementation of the plan:
- Delay in normal collection arrangements for completed examination scripts

Centre actions:
- Seek advice from awarding bodies
- Ensure scripts are retained in secure storage until either collected or taken to nearest point
- Exam's Officer to take completed scripts to nearest receiving point
- Liaise with couriers as to reasons for delay and what their plans are to rectify
- Arrange collection next working day

12. Assessment evidence is not available to be marked

Criteria for implementation of the plan:
- Large scale damage to or destruction of completed examination scripts / assessment evidence before it can be marked.
- Centre examination scripts / assessment evidence does not reach awarding organisations.

Centre actions:
- Exam's Officer to contact awarding body to ascertain procedure
- Awarding bodies to generate candidate marks for affected assessments based on other appropriate evidence of candidate achievement as defined by awarding bodies

13. Centre unable to distribute results as normal

Criteria for implementation of plan:
- Centre is unable to access or manage distribution of results to candidates, or to facilitate post-results service

Centre actions:
- Liaise with awarding bodies to advise of issues
- Awarding bodies to assess level of disruption and consider options for issuing results in alternative formats.
- Liaise with candidates

Further guidance to inform and implement contingency planning
In the event of disruption to examinations, the following guidance will be consulted where relevant:

Ofqual / Gov.uk
1 Covid specific guidance:
- actions for schools during the coronavirus outbreak from the Department for Education in England
- actions for FE colleges and providers during the coronavirus outbreak from the Department for Education in England
- responsibility for exams from the Department for Education in England
- vocational, technical and other general qualifications in 2022 from Ofqual (regulator)
- GCSE, AS and A level qualifications in 2022 from Ofqual (regulator)
- education and childcare: coronavirus from Welsh Government
- Qualifications Wales homepage from Qualifications Wales (regulator)
- coronavirus (COVID-19): guidance for school and educational settings in Northern Ireland from Department of Education in Northern Ireland
- coronavirus (COVID-19) (information from CCEA) – information on vocational, technical and general qualifications from CCEA Regulation

1.2 General contingency guidance
- emergency planning and response from the Department for Education in England
- school organisation: local-authority-maintained schools from the Department for Education in England
- Procedures for handling bomb threats from the National Counter Terrorism Security Office
- bomb threats procedures for handling bomb threats from the National Counter Terrorism Security Office

JCQ
JCQ Joint Contingency Plan www.jcq.org.uk/exams-office/other-documents
General Regulations for Approved Centres www.jcq.org.uk/exams-office/general-regulations
Guidance notes on alternative site arrangements www.jcq.org.uk/exams-office/online-forms
Guidance notes for transferred candidates www.jcq.org.uk/exams-office/online-forms
Instructions for Conducting Examinations www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations
A guide to the special consideration process www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance

Internal Appeals Procedures

Key staff involved in internal appeals procedures

Role	Name(s)
Head of centre	**Heather Watts**
Senior leader(s)	**Caroline Jesson** **Alison Barker** **Emma Adrio** **Garry Cash**
Exams officer	**David Cook**

Contents

1. Appeals against internal assessment decisions (centre assessed marks)

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

This procedure confirms New Mills School's compliance with JCQ's General Regulations for Approved Centres 2022-2023 (section 5.7) that the centre will:

- 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

Deadlines for the submission of marks

Date	Qualification	Details	Exam series
07/05/2023	GCSE	AQA	Summer 23
05/05/2023	Vocational	L1/L2 Award	Summer 23
15/05/2023	GCSE	Pearson	Summer 23

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

New Mills School ensures that 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 GCSE, Project qualifications, Entry Level, BTEC and Vocational Awards including the marking and quality assurance/internal standardisation processes which relevant teaching staff are required to follow.

Candidates' work will be marked by staff who have appropriate knowledge, understanding and skill, and who have been trained in this activity. New Mills School is committed 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 marks, if a candidate believes that the above procedures were not followed in relation to the marking of his/her work, or that the assessor has not properly applied the marking standards to his/her marking, then he/she may make use of the appeals procedure below to consider whether to request a review of the centre's marking.

New Mills School will

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

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

3. inform candidates that they may request copies of materials (generally 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

4. having received a request for copies of materials, promptly make them available to the candidate (or for some marked assessment materials, such as art work and recordings, inform the candidate that these will be shared under supervised conditions)

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

6. 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

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

8. allow 7 calendar days for the review to be carried out, to make any necessary changes to marks and to inform the candidate of the outcome, all before the awarding body's deadline for the submission of marks

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

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

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

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

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

The moderation process carried out by the awarding bodies 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 procedure is informed by the JCQ publications Instructions for conducting non-examination assessments (6.1), Reviews of marking (centre assessed marks) suggested template for centres. and Notice to Centres -Informing candidates of their centre assessed marks

2. Appeals against the centre's decision not to support a clerical re-check, a review of marking, a review of moderation or an appeal

This procedure confirms New Mills School's compliance with JCQ's General Regulations for Approved Centres 2022-2023 (section 5.13) that the centre will:

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

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

Candidates are also made aware in the exams booklet 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 exams.

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

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

Reviews of Results (RoRs):
- Service 1 (Clerical re-check)
  This is the only service that can be requested for objective tests (multiple choice tests)
- Service 2 (Review of marking)
- Service 3 (Review of moderation)
  This service is not available to an individual candidate

Access to Scripts (ATS):

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

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

For written components that contributed to the final result, the centre will:
1. Consider accessing the script by:
   a) (where the service is made available by the awarding body) requesting a priority copy of the candidate's script to support a review of marking by the awarding body deadline or
   b) (where the option is made available by the awarding body) viewing the candidate's marked script online to consider if requesting a review of marking is appropriate
2. Collect informed written consent/permission from the candidate to access his/her script
3. 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
4. Support a request for the appropriate RoR service (clerical re-check or review of marking) if any error is identified.
5. Collect informed written consent from the candidate to request the RoR service before the request is submitted
6. Where relevant, advise an affected candidate to inform any third party (such as a university or college) that a review of marking has been submitted to an awarding body]

Written candidate consent (informed consent via candidate email is acceptable) is required in all cases before a request for a RoR service 1 or 2 (including priority service 2) is submitted to the awarding body. Consent is required to confirm the candidate understands that the final subject grade and/or mark

awarded following a clerical re-check or a review of marking, and any subsequent appeal, may be lower than, higher than, or the same as the result which was originally awarded. Candidate consent must only be collected after the publication of results.

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

- Confirm that a review of moderation cannot be undertaken on the work of an individual candidate or the work of candidates not in the original sample submitted for moderation
- Consult 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 RoR service 3 (Review of moderation) will not be available
- Determine if there are any grounds to submit a request for a review of moderation for the work of all candidates in the original sample.

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

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

If the candidate (or 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 the internal appeals form at least 2 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 his/her appeal, before the internal deadline for submitting a RoR.

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

Where the head of centre is satisfied after receiving the RoR outcome, but the candidate (or his/her parent/carer) believes there are grounds for a preliminary appeal to the awarding body, a further internal appeal may be made to the head of centre. Following this, the head of centre's decision as to whether to proceed with a preliminary appeal will be based upon the acceptable grounds as detailed in the JCQ Appeals Booklet. Candidates or parents/carers are not permitted to make direct representations to an awarding body.

The **internal appeals form** should be completed and submitted to the centre within 5 calendar days of the notification of the outcome of the RoR. Subject to the head of centre's decision, this will allow the centre to process the preliminary appeal and submit to the awarding body within the required **30 calendar days** of awarding body issuing the outcome of the review of results process. Awarding body fees which may be charged for the preliminary appeal must be paid to the centre by the appellant before the preliminary appeal is submitted to the awarding body (fees are available from the exams officer). If the appeal is upheld by the awarding body, this fee will be refunded by the awarding body and repaid to the appellant by the centre.

Internal appeals form

New Mills School

LET RIGHT BE DONE

FOR CENTRE USE ONLY	
Date received	
Reference No.	

Please tick box to indicate the nature of your appeal and complete all white boxes on the form below

☐ Appeal against an internal assessment decision and/or request for a review of marking

☐ Appeal against the centre's decision not to support a clerical re-check, a review of marking, a review of moderation or an appeal

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

Please state the grounds for your appeal below:

(If applicable, tick below)

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

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

Appellant signature:	Date of signature:

This form must be signed, dated and returned to the exams officer on behalf of the head of centre to the timescale indicated in the relevant appeals procedure

Complaints and appeals log

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

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

Ref No.	Date received	Complaint or Appeal	Outcome	Outcome date

Further guidance to inform and implement appeals procedures

JCQ publications

- General Regulations for Approved Centres
  https://www.jcq.org.uk/exams-office/general-regulations
- Post-Results Services
  https://www.jcq.org.uk/exams-office/post-results-services
- JCQ Appeals Booklet
  https://www.jcq.org.uk/exams-office/appeals
- Notice to Centres – informing candidates of their centre assessed marks
  https://www.jcq.org.uk/exams-office/non-examination-assessments

Ofqual publications

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

EQUALITIES POLICY 2022/23

Key staff involved in the policy

Role	Name(s)
SENCo	**Emma Maslen**
Senior leader(s)	**Caroline Jesson**
Head of centre	**Heather Watts**
Assessor(s)	**Emma Maslen**

Contents

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, ensuring compliance with all aspects of the Equality Act 2010, particularly Section 20 (7). This must include a duty to explore and provide access to suitable courses, through the access arrangements process submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates. Where the centre is under a duty to make a reasonable adjustment, the centre must not charge a disabled candidate any additional fee in relation to the adjustment or aid; †or any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect

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 7 of the JCQ publication _Adjustments for candidates with disabilities and learning difficulties_ Access Arrangements and Reasonable Adjustments 2022-2023.

.

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 General Regulations for Approved Centres 2022 – 2023 (GR) and Access Arrangements and Reasonable Adjustments 2022 – 2023 (AA)
- Ensures the quality of the access arrangements process within the centre
- Ensures a policy demonstrating the centre's compliance with relevant legislation is in place
- Ensures a statement is provided which details the criteria the centre uses to award and allocate word processors for exams

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
- 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 qualified assessor(s) has access to the assessment objectives for the relevant specification(s) a candidate is undertaking

- Ensures arrangements put in place for exams/assessments reflect a candidate's *normal way of working* within the centre
- Works with teaching staff, relevant support staff and the exams 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

Teaching staff
- Inform the SENCo of any support that might be needed by a candidate
- Conducts appropriate assessments to identify the need(s) of a candidate
- Provides appropriate evidence to confirm the need(s) of a candidate

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

Exams Officer
- Presents when requested by a JCQ Centre Inspector, evidence of the assessor's qualification
- Completes appropriate documentation as required by the regulations of JCQ and the awarding body

Assessor of candidates with learning difficulties
- Has detailed understanding of the JCQ publication AA
- 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 that all assessments carried out and arrangements put in place comply with JCQ and awarding body regulations and guidance

Use of word processors

The centre has a separate policy for the use of word processors.

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

Exams officer (EO)
- 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 EO role
- 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 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.

- 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
- 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 be 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 (
- 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 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

Implementing access arrangements and the conduct of exams

Roles and responsibilities

<u>**External assessments**</u>
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 officer and other relevant centre staff in ensuring appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams

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 2022-23
- 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 officer (EO) regarding facilitation and invigilation of access arrangement candidates in exams
- Appoints appropriate centre staff as facilitators to support candidates (practical assistant, prompter, Language Modifier, reader, scribe or Communication Professional)
- Ensures the facilitator is known by or introduced to the candidate prior to exams

Exams officer
- Understands and follows instructions for Invigilation arrangements for candidates with access arrangements and Access arrangements in ICE 2022-2023
- Ensures 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 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 facilitators supporting candidates are appropriately trained and understand the rules of the particular access arrangement(s)
- 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 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
- Ensures cover sheets, where these are required by the arrangement are completed as required by facilitators
- 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
- 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
- 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 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/standardised by the centre and externally moderated by the awarding body.

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

Exams Officer
- Ensures centre-delegated and awarding body approved arrangements are in place prior to a candidate taking his/her first formal supervised assessment
- 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

Teaching staff
- Support the SENCo in implementing appropriate access arrangements for candidates

<u>Internal exams</u>

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

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* *EO submits 'Alternative site form' for timetabled written exams to awarding body/bodies online using CAP* *An on-line submission must only be made for timetabled written examinations in the following qualifications…* *EO 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* *EO 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 EO after each exam on how candidate's performance in exam may have been affected by his/her condition* *EO discusses with pastoral head if candidate is eligible for special consideration (candidate present but disadvantaged)* *EO 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*

Complaints and Appeals Procedure (Exams) 2022/23

Key staff involved in the complaints and appeals procedure

Role	Name(s)
Head of centre	**Heather Watts**
Exams officer	**David Cook**
Senior Leaders	**Caroline Jesson**
SENCO	**Emma Maslen**

Purpose of the procedure

This procedure confirms New Mills School's compliance with JCQ's General Regulations for Approved Centres 2022-23 that the centre will draw to the attention of candidates and their parents/carers their written complaints and appeals procedure which will cover general complaints regarding the centre's delivery or administration of a qualification.

Grounds for complaint

A candidate (or his/her/parent/carer) may make a complaint on the grounds below (this is not an exhaustive list)
.
Teaching and learning

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

Access arrangements

- Candidate not assessed by the centre's appointed assessor
- Candidate not involved in decisions made regarding his/her 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 arrangements in place and the subjects or components of subjects where the arrangements would not apply
- Exam information not appropriately adapted for a disabled candidate to access it
- Adapted equipment put in place failed during exam/assessment
- Approved access arrangement(s) not put in place at the time of an exam/assessment
- Appropriate arrangements not put in place at the time of an exam/assessment as a consequence of a temporary injury or impairment

Entries

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

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

Conducting examinations

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

Results and Post-results

- Before exams, candidate not made aware of the arrangements for post-results services and the accessibility of senior members of centre staff after the publication of results
- Candidate not having access to a member of senior staff after the publication of results to discuss/make decision on the submission of a 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 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 via [insert who] to the centre's *internal appeals procedure*)
- Centre applied for the wrong post-results service/for the wrong script for a candidate
- Centre missed awarding body deadline to apply for a post-results service
- Centre applied for a post-results service for candidate without gaining required candidate consent/permission

Complaints and appeals procedure

If a candidate (or his/her parent/carer) has a general concern or complaint about the centre's delivery or administration of a qualification he/she is following, New Mills School encourages him/her to try to resolve this informally in the first instance. A concern or complaint should be made in person, by telephone or in writing to the head of centre.

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

How to make a formal complaint

- A formal complaint should be submitted in writing by completing a **complaints and appeals form**.
- Forms are available from the Exams Officer
- Completed forms should be returned to head of school.
- Forms received will be logged by the centre and acknowledged within 5 calendar days

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 conclusion]
- The findings and conclusion will be provided to the complainant within 10 working weeks]

Appeals

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

- Any appeal must be submitted in writing by again completing a **complaints and appeals form**.
- Forms received will be logged by the centre and acknowledged within 5 calendar days
- The appeal will be referred to the Chair of Governors for consideration
- The Chair of Governors will inform the appellant of the final conclusion in due course.

Complaints and appeals form

Please tick box to indicate the nature of your complaint/appeal

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

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

Please state the grounds for your complaint/appeal below

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

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

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

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

Complainant/appellant signature: Date of signature:

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

Complaints and appeals log

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

Ref No.	Date received	Complaint or Appeal	Outcome	Outcome date

CONFLICTS OF INTEREST POLICY (EXAMS) 2022/23

Introduction

New Mills School manages conflicts of interest in accordance with the JCQ General Regulations for Approved Centres (section 5.3). Roles and responsibilities for normal delivery arrangements are detailed in the centre's general Exams Policy to ensure that awarding bodies are informed (where required) of any relevant conflict declared by members of centre staff and records are maintained that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected before the published deadline for entries.

Our general centre policies regarding malpractice, maladministration and conflicts of interest have been reviewed to ensure they address the specific challenges of delivery in Summer 2023.

Purpose of the policy

This policy addresses how we are managing any potential conflicts of interest under the specific arrangements for delivery in Summer 2023.

General principles

A process is in place to collect any declaration of personal interest from all staff involved in the arrangements for Summer 2023 and to manage any potential conflicts of interest.

Declaration process

- A *Declaration of Personal Interest form* for Summer 2023 will be sent by the Exams Officer in electronic format (Microsoft Form) by email to all centre staff involved in the process
- Staff will be required to
    - confirm their understanding of what a personal interest in a candidate relates to
    - (where applicable) declare no personal interest in any candidate

- (where applicable) declare a personal interest in a candidate and identify their role(s) in the arrangements
- confirm awareness of the need to maintain the confidentiality of the grades and endorsements determined by the centre
- return the completed declaration to the Exams Officer by 31st January 2023.

Managing conflicts of interest

- A *Conflicts of Interest log* for Summer 2023 will be maintained to record any potential conflicts of interest declared by centre staff
- The log will record the nature of potential conflict and a decision by the Head of Centre, if this is deemed a potential risk to the integrity of the centre's assessments
- (where applicable) The log will record appropriate additional controls put in place to mitigate any potential risk to the integrity of the centre's assessments and to ensure fairness in later process reviews and appeals, carefully considering the need if to separate duties and personnel

Declaration of Personal Interest form – Summer 2023 *(Microsoft Form used)*

Your name		Your job role(s)	

This completed form must be returned to David Cook, Exams Officer by 31st January 2023.

Confirm your understanding: (Please tick the box to confirm a statement)

☐ I understand that a personal interest relates to a candidate who is a member of my family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter)

☐ [I also understand that a personal interest may also relate to any member of centre staff (who has been entered for a qualification at this centre as a last resort where the member of centre staff is unable to find another centre) for whom a teacher assessed grade will be determined]

You must declare all statements that apply to you: (Please tick the box to confirm a statement)

☐ I have no personal interest in a candidate to declare

☐ I declare a personal interest in a candidate who is part of a class or cohort for whom I will be:

    ☐ Determining teacher assessed grades including consideration of evidence and how that evidence informs these grades in accordance with our Centre Policy

    ☐ Keeping records of any discussions with candidates around the evidence on which grades will be based

    ☐ Producing assessment records that explain the determination of the final teacher assessed grades

    ☐ Safely retaining copies of candidates' work and any mark records

    ☐ Completing a Head of Department Checklist/declaration before submitting subject outcomes for internal standardisation

    ☐ Involved in the internal quality assurance processes that are in place

    ☐ Collating grades for all classes/cohorts in preparation for submission to the awarding body/bodies

    ☐ Inputting grades through the awarding body/bodies grade submission system/systems

    ☐ Completing the Head of Centre declaration(s) to finalise the submission of grades

    ☐ Involved in reviews of centre processes and the appeals process

(Where more than one related person, please complete a separate form)

Name of related person (the candidate)			
Candidate number		Relationship to me	
Qualification(s) details	Awarding body	Subject code	Subject title

Signature to confirm declaration:

By signing here, I am also confirming I am aware of the need to maintain the confidentiality of the grades and endorsements determined by the centre which must not be given to candidates or parents/carers before the issue of results by the awarding bodies

Date declaration form completed and signed:

You will be informed of any additional controls put in place that directly affect you/your role to mitigate any potential risk to the integrity of the centre's assessments and to ensure fairness in later process reviews and appeals

This record will be retained until the published deadline for appeals has passed or until any on-going appeal, malpractice investigation or other results enquiry has been completed, whichever is later

Conflicts of Interest log – Summer 2023

Date recorded	Staff name & role(s)	
Nature of potential conflict		
Deemed a potential risk	Yes / No	
Additional controls put in place to mitigate any potential risk to the integrity of the centre's assessments and/or to ensure fairness in later process reviews and appeals		

Date recorded	Staff name & role(s)	
Nature of potential conflict		
Deemed a potential risk	Yes / No	
Additional controls put in place to mitigate any potential risk to the integrity of the centre's assessments and/or to ensure fairness in later process reviews and appeals		

Date recorded	Staff name & role(s)	
Nature of potential conflict		
Deemed a potential risk	Yes / No	
Additional controls put in place to mitigate any potential risk to the integrity of the centre's assessments and/or to ensure fairness in later process reviews and appeals		

This record will be retained until the published deadline for appeals has passed or until any on-going appeal, malpractice investigation or other results enquiry has been completed, whichever is later

WORD PROCESSOR POLICY (EXAMS) 2022/23

Key staff involved in awarding and allocating word processors for exams

Role	Name(s)
SENCo	**Emma Maslen**
Exams officer	**David Cook**
Senior leader(s)	**Caroline Jesson**
IT manager	**Keith Lutener**

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

References in this policy to AA and ICE relate to/are directly taken from the [Adjustments for candidates with disabilities and learning difficulties Access Arrangements and Reasonable Adjustments 2022-23](#) and [Instructions for conducting examinations](#) publications.

Introduction

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

(AA 4.2.1)
The purpose of an access arrangement/reasonable adjustment is to ensure, where possible, that barriers to assessment are removed for a disabled candidate preventing him/her 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 4.2.2)
Although access arrangement/reasonable adjustments are intended to allow access to assessments, they cannot be granted where they will compromise the assessment objectives of the specification in question.

(AA 4.2.3)
Candidates may not require the same access arrangement/reasonable adjustments 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 arrangement/reasonable adjustments on a subject-by-subject basis.

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

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

Purpose of the policy

This policy details how New Mills School complies with AA chapter 4 (Managing the needs of candidates and principles for centres), section 5.8 (Word processor) and ICE (sections 14.20-25) 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 centre 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 where appropriate to their needs
  For example, a candidate with:
    - a learning difficulty which has a substantial and long term adverse effect on their ability to write legibly
    - a medical condition
    - a physical disability

- o a sensory impairment
- o planning and organisational problems when writing by hand
- o poor handwriting (AA 5.8.4)
- only permit the use of a word processor where the integrity of the assessment can be maintained (AA 4.2.1)
- not grant the use of a word processor where it will compromise the assessment objectives of the specification in question (AA 4.2.2)
- consider on a subject-by-subject basis if the candidate will need to use a word processor in each specification (AA 4.2.3)
- process access arrangements/reasonable adjustments at the start of the course, or as soon as practicable having firmly established a picture of need and normal way of working, ensureing arrangements are always approved before and examination or assessment (AA 4.2.4)
- provide the use of word processors to candidates in non-examination assessment components as standard practice unless prohibited by the specification (AA 5.8.2)

The centre will not
- simply grant the use of a word processor to a candidate because they now want to type rather than write in exams 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 the curriculum is delivered electronically and the centre provides word processors to all candidates (AA 5.8.4)

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

A candidate using a word processor is accommodated in a computer room or in a smaller room with a laptop.

In compliance with the regulations the centre
- provides a word processor with the spelling and grammar check facility/predictive text disabled (switched off) to a candidate where it is their normal way of working within the centre, 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 the software application Notepad or Wordpad these do not allow for the insertion of a header or footer. In such circumstances once the candidate has completed the examination and printed off their typed script, they are instructed to handwrite their details as a header or footer. The candidate is supervised throughout this process to ensure that they are solely performing this task and not re-reading their answers or amending their work in any way.
- ensures the candidate understands that each page of the typed script must be numbered, e.g. page 1 of 6 (ICE 14.23)
- ensures the candidate is reminded to save their work at regular intervals. (or where possible, an IT technician will set up 'autosave' on each laptop/tablet to ensure that if there is a complication or technical issue, the candidate's work is not lost) (ICE 14.24)

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

(ICE 14.25)

The centre will ensure the word processor:

- is only used in a way that ensures a candidate's script is produced under secure conditions
- is not used to perform skills which are being assessed
- is 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

(ICE 14.25)

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

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

Printing the script after the exam is over

(ICE 14.25)

The centre will ensure

- the word processor is either connected to a printer so that a script can be printed off, or have the facility to print from a portable storage medium
- the candidate is present to verify that the work printed is his or their own
- a word processed script is attached to any answer booklet which contains some of the answers
- where 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)
- that any electronic copies of word-processed scripts are kept securely

The criteria New Mills School uses to award and allocate word processors for examinations

The 'normal way of working' for exam candidates, as directed by the head of centre, is that candidates handwrite their exams. An exception to this is where a candidate may have an approved access arrangement/reasonable adjustment in place, for example the use of a scribe/speech recognition technology.

The use of word processors
There are also exceptions where a candidate may be awarded/allocated the use of a word processor in exams where the candidate has a firmly established need, it reflects the candidate's normal way of working and by not being awarded a word processor 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 exception to the above where the use of a word processor may 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

Arrangements for the use of word processors at the time of the assessment
Appropriate exam-compliant word processors will be provided by the IT department in liaison with the SENCo and the exams officer. In exceptional circumstances where the number of appropriate 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 of ICE.

Appendix G

Non-examination Assessment Policy 2022/23

Key staff involved in the conduct of non-examination assessments

Role	Name(s)
Head of centre	**Heather Watts**
Quality assurance lead/Lead internal verifier	**Caroline Jesson**
Senior leader(s)	**Alison Barker, Emma Adrio**
SENCo	**Emma Maslen**
Exams officer	**David Cook**

What does this policy affect?

This policy affects the delivery of subjects of GCSE qualifications which contain a component(s) of non-examination assessment.

> The regulator's definition of an examination is very narrow. In effect, any type of assessment that is not:
>
> - Set by an awarding body
> - Designed to be taken simultaneously by all relevant candidates at a time determined by the awarding body, and
> - Taken under conditions specified by the awarding body (including conditions relating to the supervision of candidates during the assessment and duration of the assessment)
> - 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'.
>
> (JCQ Instructions for conducting non-examination assessments, Foreword)
>
> This publication is further referred to in this policy as NEA

Purpose of the policy

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

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

The policy will need to cover all types of non-examination assessment. (NEA 1)

What are non-examination assessments?

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

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

• task setting;
• task taking;
• task marking. (NEA 1)

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

The basic principles

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

Senior leaders
- Ensure the correct conduct of non-examination assessments (including endorsements) which comply with NEA and awarding body subject-specific instructions

- Ensure the centre-wide calendar records assessment schedules by the start of the academic year

Quality assurance (QA) lead/Lead internal verifier

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

Subject head/lead

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

Subject teacher

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

Exams officer

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

Task setting

Subject teacher

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

Issuing of tasks

Subject teacher

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

Task taking

Supervision

Subject teacher
- Checks the awarding body's subject-specific requirements ensuring candidates take tasks under the required conditions and supervision arrangements
- Ensures there is sufficient supervision to enable the work of a candidate to be authenticated
- Ensures there is sufficient supervision to ensure the work a candidate submits is their own
- Is confident where work may be completed outside of the centre without direct supervision, that the work produced is the candidate's own
- Where candidates may work in groups, keeps a record of each candidate's contribution and it must be possible to attribute assessable outcomes to individual candidates.
- Ensures candidates are aware of the current JCQ documents Information for candidates - non-examination assessments and Information for candidates - Social Media
- Ensures candidates understand and comply with the regulations in relevant JCQ documents Information for candidates

Advice and feedback

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

Resources

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

Word and time limits

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

Collaboration and group work

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

Authentication procedures

Subject teacher
- Where required by the awarding body's specification
  - ensures candidates sign a declaration confirming the work they submit for final assessment is their own unaided work
  - signs the teacher declaration of authentication confirming the requirements have been met
- Keeps signed candidate declarations on file until the deadline for requesting reviews of results has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later
- Provides signed candidate declarations where these may be requested by a JCQ Centre Inspector
- Where there may be doubt about the authenticity of the work of a candidate or if malpractice is suspected, follows the authentication procedures and malpractice information in NEA and informs a member of the senior leadership team
- Understands that if, during the external moderation process, it is found that the work has not been properly authenticated, the awarding body will set the mark(s) awarded by the centre to zero

Presentation of work

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

Keeping materials secure

Subject teacher
- When work is being undertaken by candidates under formal supervision, ensures work is securely stored between sessions (if more than one session)
- When work is submitted by candidates for final assessment, ensures work is securely stored
- Follows secure storage instructions as defined in NEA 4.8
- Takes sensible precautions when work is taken home for marking
- Stores internally assessed work, including the sample returned after awarding body moderation, securely until all possible post-results services have been exhausted
- If post-results services have not been requested, returns internally assessed work to candidates (if requested by a candidate) after the deadline for requesting a review of results for the relevant series

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

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

Task marking – externally assessed components

Conduct of externally assessed work

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

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

Submission of work

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

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

- Ensures that the package in which the work is despatched is robust and securely fastened
- Despatches the work to the awarding body's instructions by the required deadline

Task marking – internally assessed components

Marking and annotation

Head of centre

- Ensures where a teacher is teaching, preparing and assessing 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

Subject head/lead

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

Subject teacher

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

Internal standardisation

Quality assurance (QA) lead/Lead internal verifier

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

Subject teacher

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

Submission of marks and work for moderation

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

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

Storage and retention of work after submission of marks

Subject teacher
- Keeps a record of names and candidate numbers for candidates whose work was included in the moderation sample
- Retains all marked candidates' work (including any sample returned after moderation) under secure conditions for the required retention period
- In liaison with the IT Manager, takes steps to protect any work stored electronically from corruption and has a back-up procedure in place
- If retention is a problem because of the nature of the work, retains some form of evidence such as photos, audio or media recordings

Exams officer

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

External moderation – the process

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

External moderation – feedback

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

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

Access arrangements and reasonable adjustments

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

Special educational needs coordinator (SENCo)
- Follows the regulations and guidance in the JCQ publication Access Arrangements and Reasonable Adjustments in relation to non-examination assessments including Reasonable Adjustments for GCE A-level sciences – Endorsement of practical skills
- Where arrangements do not undermine the integrity of the qualification and is the candidate's normal way of working, will ensure access arrangements are in place and awarding body approval, where required, has been obtained prior to assessments taking place
- Makes subject teachers aware of any access arrangements for eligible candidates which need to be applied to assessments
- Works with subject teachers to ensure requirements for access arrangement candidates requiring the support of a facilitator in assessments are met
- Ensures that staff acting as an access arrangement facilitator are fully trained in their role

Special consideration and loss of work

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

Exams officer
- Refers to/directs relevant staff to the JCQ publication A guide to the special consideration process
  - Where a candidate is eligible, submits an application for special consideration via the awarding body's secure extranet site to the prescribed timescale

- o 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
  - o Keeps required evidence on file to support the application
- Refers to/directs relevant staff where applicable to Form 15 – JCQ/LCW and where applicable submits to the relevant awarding body

Malpractice

Head of centre
- Understands the responsibility to immediately report to the relevant awarding body any alleged, suspected or actual incidents of malpractice involving candidates, teachers, invigilators or other administrative staff
- Is familiar with the JCQ publication Suspected Malpractice: Policies and Procedures
- Ensures that those members of teaching staff involved in the direct supervision of candidates producing non-examination assessment are aware of the potential for malpractice and ensures that teaching staff are reminded that failure to report allegations of malpractice or suspected malpractice constitutes malpractice in itself

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

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

Post-results services

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

Subject head/lead
- Provides relevant support to subject teachers making decisions about reviews of results

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

Exams officer

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

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

Head of centre

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

Quality assurance (QA) lead/Lead internal verifier

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

Subject head/lead

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

Subject teacher

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

Exams officer

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

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

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 - www.jcq.org.uk/exams-office/non-examination-assessments*	
Candidate malpractice	*Records confirm that candidates are informed and understand they must not:* • *submit work which is not their own* • *make available their work to other candidates through any medium* • *allow other candidates to have access to their own independently sourced material* • *assist other candidates to produce work* • *use books, the internet or other sources without acknowledgement or attribution* • *submit work that has been word processed by a third party without acknowledgement* • *include inappropriate, offensive or obscene material* *Records confirm that candidates have been made aware of the JCQ documents Information for candidates - non-examination assessments and Information for candidates – Social Media - www.jcq.org.uk/exams-office/information-for-candidates-documents and understand they must not post their work on social media*	
Task setting		
Awarding body set task: IT failure/corruption of task details where set task 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*	
Centre set task: Subject teacher fails to meet the assessment criteria as detailed in the specification	*Ensures that subject teachers access awarding body training information, practice materials etc.* *Records confirmation that subject teachers understand the task setting arrangements as defined in the awarding body's specification* *Samples assessment criteria in the centre set task*	
Candidates do not understand the marking criteria and what they need to do to gain credit	*A simplified version of the awarding body's marking criteria described in the specification that is not specific to the work of an individual candidate or group of candidates is produced for candidates* *Records confirm all candidates understand the marking criteria* *Candidates confirm/record they understand the marking criteria*	
Subject teacher long term absence during the task setting stage	*See centre's Exam Contingency Plan - Teaching staff extended absence at key points in the exam cycle*	
Issuing of tasks		
Awarding body set task not issued to candidates on time	*Awarding body key date for accessing set task as detailed in the specification noted prior to start of course*	

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
	Course information issued to candidates contains details when set task will be issued and needs to be completed by Set task accessed well in advance to allow time for planning, resourcing and teaching	
The wrong task is given to candidates	*Ensures course planning and information taken from the awarding body's specification confirms the correct task will be issued to candidates* *Awarding body guidance sought where this issue remains unresolved*	
Subject teacher long term absence during the issuing of tasks stage	*See centre's exam contingency plan - Teaching staff extended absence at key points in the exam cycle*	
A candidate (or parent/carer) expresses concern about safeguarding, confidentiality or faith in undertaking a task such as a presentation that may be recorded	*Ensures the candidate's presentation does not form part of the sample which will be recorded* *Contacts the awarding body at the earliest opportunity where unable to record the required number of candidates for the monitoring sample*	
	Task taking	
Supervision		
Planned assessments clash with other centre or candidate activities	*Assessment plan identified for the start of the course* *Assessment dates/periods included in centre wide calendar*	
Rooms or facilities inadequate for candidates to take tasks under appropriate supervision	*Timetabling organised to allocate appropriate rooms and IT facilities for the start of the course* *Staggered sessions arranged where IT facilities insufficient for number of candidates* *Whole cohort to undertake written task in large exam venue at the same time (exam conditions do not apply)*	
Insufficient supervision of candidates to enable work to be authenticated	*Confirm subject teachers are aware of and follow the current JCQ 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*	
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 (section 9 Malpractice) are followed* *An internal investigation and where appropriate internal disciplinary procedures are followed*	
Access arrangements were not put in place for an assessment where a candidate is approved for arrangements	*Relevant staff are signposted to the JCQ 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*	
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*	

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
	Candidate confirms/records advice and feedback given prior to starting on their work	
Candidate claims no advice and feedback given by subject teacher during the task-taking stage	*Ensures a centre-wide process is in place for subject teachers to record all advice and feedback provided to candidates during the task-taking stage as part of the centre's quality assurance procedures* *Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity* *Full records kept detailing all advice and feedback given to candidates during the task-taking stage as appropriate to the subject and component* *Candidate confirms/records advice and feedback given during the task-taking stage*	
A third party claims that assistance was given to candidates by the subject teacher over and above that allowed in the regulations and specification	*An investigation is conducted; candidates and subject teacher are interviewed and statements recorded where relevant* *Records as detailed above are provided to confirm all assistance given* *Where appropriate, a suspected malpractice report is submitted to the awarding body*	
Candidate does not reference information from published source	*Candidate is advised at a general level to reference information before work is submitted for formal assessment* *Candidate is again referred to the JCQ document Information for candidates: non-examination assessments* *Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion*	
Candidate does not set out references as required	*Candidate is advised at a general level to review and re-draft the set out of references before work is submitted for formal assessment* *Candidate is again referred to the JCQ document Information for candidates: non-examination assessments* *Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion*	
Candidate joins the course late after formally supervised task taking has started	*A separate supervised session(s) is arranged for the candidate to catch up*	
Candidate moves to another centre during the course	*Awarding body guidance is sought to determine what can be done depending on the stage at which the move takes place*	
An excluded pupil wants to complete a non-examination assessment(s)	*The awarding body specification is checked to determine if the specification is available to a candidate outside mainstream education* *If so, arrangements for supervision, authentication and marking are made separately for the candidate*	
Resources		
A candidate augments notes and resources between formally supervised sessions	*Preparatory notes and the work to be assessed are collected in and kept secure between formally supervised sessions* *Where memory sticks are used by candidates, these are collected in and kept secure between formally supervised sessions* *Where work is stored on the centre's network, access for candidates is restricted between formally supervised sessions*	

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
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*	
Word and time limits		
A candidate is penalised by the awarding body for exceeding word or time limits	*Records confirm the awarding body specification has been checked to determine if word or time limits are mandatory* *Where limits are for guidance only, candidates are discouraged from exceeding them* *Candidates confirm/record any information provided to them on word or time limits is known and understood*	
Collaboration and group work		
Candidates have worked in groups where the awarding body specification states this is not permitted	*Records confirm the awarding body specification has been checked to determine if group work is permitted* *Awarding body guidance sought where this issue remains unresolved*	
Authentication procedures		
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*	
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 not available to sign authentication forms	*Ensures a centre-wide process is in place for subject teachers to sign authentication forms at the point of marking candidates work as part of the centre's quality assurance procedures*	
Presentation of work		
Candidate does not fully complete the awarding body's cover sheet that is attached to their worked submitted for formal assessment	*Cover sheet is checked to ensure it is fully completed before accepting the work of a candidate for formal assessment*	
Keeping materials secure		

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
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*	
Adequate secure storage not available to subject teacher	*Records confirm adequate/sufficient secure storage is available to subject teacher prior to the start of the course* *Alternative secure storage sourced where required*	
Candidates work produced electronically is not securely stored	*Records confirm subject teachers are aware of and follow current JCQ publication Instructions for conducting non-examination assessments* *Internal processes and regular monitoring/internal audit by IT Manager ensures:* • *access to this material is restricted (insert how)* • *appropriate security safeguards are in place (insert names/types of protection)* • *an effective back-up strategy is employed so that an up to date archive of candidates' evidence is maintained (insert details of how work is backed up)* • *any sensitive digital media is encrypted (according to awarding body guidance to ensure that the method of encryption is suitable) to ensure the security of the data stored within it (insert relevant details of how)*	
Task marking – externally assessed components		
A candidate is absent on the day of the examiner visit for an acceptable reason	*Awarding body guidance is sought to determine if alternative assessment arrangements can be made for the candidate* *If not, eligibility for special consideration is explored and a request submitted to the awarding body where appropriate*	
A candidate is absent on the day of the examiner visit for an unacceptable reason	*The candidate is marked absent on the attendance register*	
Task marking – internally assessed components		
A candidate submits little or no work	*Where a candidate submits no work, the candidate is recorded as absent when marks are submitted to the awarding body* *Where a candidate submits little work, the work produced is assessed against the assessment criteria and a mark allocated appropriately; where the work does not meet any of the assessment criteria a mark of zero is submitted to the awarding body*	
A candidate is unable to finish their work for unforeseen reason	*Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 5), to determine eligibility and the process to be followed for shortfall in work*	
The work of a candidate is lost or damaged	*Relevant staff are signposted to the JCQ publication Instructions for conducting non-examination assessments (section 8), to determine eligibility and the process to be followed for lost or damaged work*	
Candidate malpractice is discovered	*Instructions and processes in the current JCQ 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*	

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
A teacher assesses the work of a candidate with whom they have a close personal relationship e.g. members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter)	*A possible conflict of interest is declared by informing the awarding body before the published deadline for entries for each examination series that a teacher is preparing/teaching said child at the start of the course* *Marked work of said candidate is submitted for moderation whether part of the sample requested or not*	
An extension to the deadline for submission of marks is required for a legitimate reason	*Awarding body is contacted to determine if an extension can be granted* *Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 5), to determine eligibility and the process to be followed for non-examination assessment extension*	
After submission of marks, it is discovered that the wrong task was given to candidates	*Awarding body is contacted for guidance* *Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 2), to determine eligibility and the process to be followed to apply for special consideration for candidates*	
A candidate wishes to appeal/request a review of the marks awarded for their work by their teacher	*Candidates are informed of the marks they have been awarded for their work prior to the marks being submitted to the awarding body* *Records confirm candidates have been informed of their marks* *Candidates are informed that these marks are subject to change through the awarding body's moderation process* *Candidates are informed of their marks to the timescale identified in the centre's internal appeals procedure and prior to the internal deadline set by the exams officer for the submission of marks* *Through the candidate exam handbook, candidates are made aware of the centre's internal appeals procedures and timescale for submitting an appeal/request for a review of the centre's marking prior to the submission of marks to the awarding body*	
Deadline for submitting work for formal assessment not met by candidate	*Records confirm deadlines given and understood by candidates at the start of the course* *Candidates confirm/record deadlines known and understood* *Depending on the circumstances, awarding body guidance sought to determine if the work can be accepted late for marking providing the awarding body's deadline for submitting marks can be met* *Decision made (depending on the circumstances) if the work will be accepted late for marking or a mark of zero submitted to the awarding body for the candidate*	
Deadline for submitting marks and samples of candidates work ignored by subject teacher	*Internal/external deadlines are published at the start of each academic year* *Reminders are issued through senior leaders/subject heads as deadlines approach* *Records confirm deadlines known and understood by subject teachers* *Where appropriate, internal disciplinary procedures are followed*	
Subject teacher long term absence during the marking period	*See centre's Exam Contingency Plan (Teaching staff extended absence at key points in the exam cycle)*	

SPECIAL CONSIDERATION POLICY 2022/23

Key staff involved in the policy

Role	Name(s)
Head of centre	**Heather Watts**
Senior leader(s)	**Caroline Jesson**
SENCo	**Emma Maslen**
Exams officer	**David Cook**

What is special consideration?

Special consideration is given to a candidate who has a temporary experienced illness, injury or some other event outside of their 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.

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

This document is further referred to in this policy as SC

Purpose of the policy

The purpose of this policy is to identify roles and responsibilities in the special consideration process and confirms that [insert centre name] will… submit any applications for special consideration where candidates meet the published criteria. (JCQ's General regulations for approved centres, section 5.9)

Eligibility for special consideration

Roles and responsibilities

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

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

Teaching staff and/or SENCo
- Provide any appropriate evidence or information that may be required to determine a candidate's eligibility for special consideration.

Candidates (or parents/carers)
- Provide any medical or other evidence that may be required to determine eligibility for special consideration

Applying for special consideration

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

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

1. Where a candidate may arrive for an exam and is clearly unwell, extremely distressed and/or may have sustained an injury that requires emergency access arrangements to be put in place:

- the candidate will be kept comfortable and under centre supervision from the required time while appropriate arrangements are put in place for the candidate to take the exam in the best possible conditions
- a judgement will be made on how the candidate's situation or disposition affected performance in the exam
- where appropriate and where eligible, special consideration will be applied for

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

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

4. Where a candidate may be affected by a minor disturbance in the exam room caused by another candidate (momentary bad behaviour, mobile phone ringing etc.), special consideration cannot be applied for.

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

Where other issues or problems affect a candidate or a group of candidates, special consideration will be explored in SC 5 and applied for where eligible. This might include, for example:
- other certification
- coursework/non-examination assessment extensions
- shortfall in work (coursework/non-examination assessment)
- lost or damaged work (non-examination assessment components)
- candidates taking an incorrect or defective question paper
- candidates undertaking the wrong controlled assessment or non-examination assessment assignment

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

Processing applications for special consideration

Roles and responsibilities

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

Senior leadership team
- Produce signed evidence in support of all eligible applications

Exams officer
- Understands that special consideration must be applied for at the time of the assessment
- Understands that special consideration cannot be applied in a cumulative fashion and that where a candidate may be affected by different indispositions, special consideration should only be applied for the most serious indisposition.

- Ensures applications will be processed as required by the awarding bodies
- Keeps evidence to support all applications on file until after the publication of results and provides the signed evidence provided by a member of the senior leadership team to support an application where this may be requested by an awarding body
- Meets the required deadline(s) for submitting applications

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

Candidates (or parents/carers)

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

Submitting applications for special consideration

Where a candidate or group of candidates is/are eligible for special consideration, applications will be submitted to the relevant awarding body following the published processes in SC.
Evidence to support all applications will be kept on file until after the publication of results.

Timetabled written exams

- For GCSE qualifications, 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
- The processes for submitting a single application to cover all exams affected where a candidate is present but disadvantaged and a separate application for each day on which exams are missed where a candidate is absent from an examination for an acceptable reason detailed in SC 6 will be followed
- For other qualifications, applications will be submitted online where the awarding body's secure system accepts these
- The paper <u>form 10</u> Application for special consideration will <u>only</u> be completed and submitted to the awarding body where a paper application is specifically required by the awarding body
- For cases involving groups of candidates, applications will be made online where the awarding body's secure system accepts group applications or form 10 will be completed
- The paper form 14 Self certification form (Self certification for candidates who have missed an examination) will <u>only</u> 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 work submission deadline is being requested for an individual candidate, the awarding body will be contacted directly
- Where an application relates to a shortfall in work for an individual candidate, this will be submitted online or by completing form 10, dependent on the awarding body

Post assessment adjustments – vocational qualifications

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

Late applications

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

EXAMS ARCHIVING POLICY 2022/23

Key staff involved in the exams archiving process

Role	Name(s)
Exams officer	**David Cook**
Exams officer line manager (Senior leader)	**Caroline Jesson**
Head of centre	**Heather Watts**
IT manager	**Keith Lutener**
SENCO	**Emma Maslen**
FTLs/HoDs	**Anita Harwood, Stella Ku, David Harbord, Bonnie Boyle, Matthew Beaumont, Rachel Brindley**

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/data retention policy

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Access arrangements information	Any hard copy information kept by the EO relating to an access arrangement candidate.	To be returned to SENCo as records owner at end of the candidate's final exam series.	
Alternative site arrangements	Any hard copy information generated on an alternative site arrangement. Notifications submitted online via CAP.		
Attendance register copies		…keep signed records of the seating plan, the invigilation arrangements and the centre's copies of the attendance registers for each examination. The awarding bodies may need to refer to 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... (Reference ICE 12, 22)	Confidential waste/shredding
Awarding body administrative information	Any hard copy publications provided by awarding bodies.	To be retained until the current academic year update is provided.	Normal disposal
Candidates' scripts	Any unwanted copies of scripts returned to the centre through the Access to Scripts (ATS) service.	To be retained securely until the awarding body's earliest date for confidential disposal of unwanted scripts. Where teachers have used copies of candidates' scripts for teaching and learning purposes but no longer wish to retain them, they must ensure that the scripts are disposed of in a confidential manner. (Reference PRS 6) …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 (Reference GR 3.15)	Confidential disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Candidates' work	Non-examination assessment work returned to the centre by the awarding body at the end of the moderation period.	To be logged on return to the centre and immediately returned to subject staff as records owner. To be stored safely and securely along with work that did not form part of the moderation sample (including materials stored electronically) …store safely and securely all non-examination assessments, including controlled assessments, coursework or portfolios, retained in, or returned to, the centre until the deadline for a review of moderation has passed or until a review of moderation, an appeal or a malpractice investigation has been completed, whichever is later. This includes materials stored electronically. See paragraph 4.8 of the JCQ publication Instructions for conducting non - examination assessments https://www.jcq.org.uk/exams-office/non-examination-assessments (Reference GR 3.15)	Returned to candidates or safe disposal
Certificates	Candidate certificates issued by awarding bodies.	…retain all unclaimed certificates under secure conditions for a minimum of 12 months from the date of issue (Reference GR 5.14)	Confidential destruction
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	… destroy any unclaimed certificates after retaining them for a minimum of 12 months. They must be destroyed in a confidential manner. Centres that do not have a means of destroying certificates confidentially may return them to the respective awarding body. A record of certificates that have been destroyed should be retained for four years from their date of destruction. However, candidates should be informed that some awarding bodies do not offer a replacement certificate service. In such	Confidential destruction

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		circumstances the awarding body will issue a Certifying Statement of Results… (Where an awarding body issues a replacement certificate, or a Certifying Statement of Results, this will provide an accurate and complete record of results for all qualifications covered by the original certificate… return any certificates requested by the awarding bodies. Certificates always remain the property of the awarding bodies at all times. (Reference GR 5.14)	
Certificate issue information	A record of certificates that have been issued.	…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… (Reference GR 5.14)	
Confidential materials: initial point of delivery logs	Logs recording awarding body confidential exam materials received by an authorised member of staff at the initial point of delivery and the secure movement of packages by an authorised member of staff to the secure room for transferal to the centre's secure storage facility.		Confidential destruction
Confidential materials: receipt, secure movement and secure storage logs	Logs recording confidential exam materials received (including encrypted materials received via email or downloaded from an awarding body's secure extranet site), checked and placed in the secure storage facility by the exams officer (or other		Confidential destruction

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
	authorised member of centre staff) throughout the period the materials are confidential		
Conflicts of Interest records	Records demonstrating the management of conflicts of interest	…The records may be inspected by a JCQ Centre Inspector and/or awarding body staff. They might be requested in the event of concerns being reported to an awarding body. The records must be retained until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later. (Reference GR 5.3)	Confidential destruction
Dispatch logs	Proof of dispatch of exam script packages to awarding body examiners covered by the DfE (Standards & Testing Agency) yellow label service		Confidential destruction
Entry information	Any hard copy information relating to candidates' entries.		Confidential destruction
Exam question papers	Question papers for timetabled written exams.	…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… (Reference GR 6.13)	Issued to subject staff
Exam room checklists	Checklists confirming exam room conditions and invigilation arrangements for each exam session.		Confidential destruction

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms for each exam session.		Confidential destruction
Exam stationery	Awarding body exam stationery provided solely for the purpose of external exams.	…return unused stationery to the secure storage facility or secure room until needed for a future examination. Surplus stationery must not be used for internal school tests, mock examinations and non-examination assessments… destroy confidentially any out-of-date stationery. (Reference ICE 30)	Confidential destruction
Examiner reports		(Where/if provided) To be immediately provided to head of department as records owner.	
Invigilation arrangements	See *Exam room checklists*		
Invigilator and facilitator training records		A record of the content of the training given to invigilators and those facilitating an access arrangement for a candidate under examination conditions must be available for inspection and retained on file until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later. (Reference ICE 12)	Confidential destruction
Moderator reports		(Where printed from electronic copy) To be immediately provided to head of department as records owner.	
Moderation returns logs	Logs recording the return of candidates' work to the centre by the awarding body at the end of the moderation period		

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Overnight supervision information	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 Any hard copy information relating to overnight supervision arrangements. Reports submitted online via CAP.	…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… (Reference (ICE 8)	Confidential destruction
Post-results services: confirmation of candidate consent information	Hard copy or email record of required candidate consent	Consent forms or e-mails from candidates must be retained by the centre and kept for 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. (Reference PRS 4, appendix A and B)	Confidential destruction
Post-results services: requests/outcome information	Any hard copy information relating to a post-results service request (RoRs, appeals, ATS) submitted to an awarding body for a candidate and outcome information from the awarding body.		Confidential destruction

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Post-results services: tracking logs	Logs tracking to resolution all post-results service requests submitted to awarding bodies.		Confidential destruction
Private candidate information	Any hard copy information relating to private candidates' entries.		Confidential destruction
Proof of postage – candidates' work	Proof of postage of sample of candidates' work submitted to awarding body moderators.\n\n(Proof of postage of candidates' scripts to awarding body examiners/markers)	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.)… (Reference ICE 29)	Confidential destruction
Resolving timetable clashes information	Any hard copy information relating to the resolution of a candidate's clash of timetabled exam papers		Confidential destruction
Results information	Broadsheets of public examination results summarising candidate final grades by subject by exam series.	Records for current year plus previous 6 years to be retained as a minimum.	Confidential destruction
Seating plans	Plans showing the seating arrangements of all candidates for every exam taken.	…keep signed records of the seating plan, the invigilation arrangements and the centre's copies of the attendance registers for each examination. The awarding bodies may need to refer to these records. The centre must keep them until the deadline for reviews of marking has passed or until any appeal,	Confidential destruction

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		malpractice or other results enquiry has been completed, whichever is later... (Reference ICE 12)	
Special consideration information	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.	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.** (Reference SC 6)	Confidential destruction
Suspected malpractice reports/outcomes	Any hard copy information relating to a suspected or actual malpractice investigation/report submitted to an awarding body and outcome information from the awarding body.		Confidential destruction
Transferred candidate arrangements	Any hard copy information relating to a transferred candidate arrangement. Applications submitted online via CAP.		Confidential destruction
Very late arrival reports/outcomes	Any hard copy information relating to a candidate arriving very late to an exam. Reports submitted online via CAP.		Confidential destruction