



Saint Joseph's
CATHOLIC SCHOOL

Examinations Policy

(Version 4 October 2024)

ST JOSEPH'S CATHOLIC SCHOOL
CHURCH ROAD
LAVERSTOCK
SALISBURY
SP1 1QY

Success Criteria:			
Context/Aim: <ul style="list-style-type: none">To ensure the planning and management of exams are conducted in accordance with JCQ and awarding body regulations, thus ensuring that “the integrity and security of the examination/assessment process is maintained at all times and is not brought into disrepute” JCQ [GR] General regulations for approved centresTo ensure the operation of an efficient and effective exam process with clear guidelines for all student and staffTo ensure all aspects of the school exam process is documented and related policies and procedures signposted			
Monitoring Procedures:			
By Whom: Governors Academic Committee	When: Annually	How: Assistant Head teachers will provide detailed reports (written or verbal) to the Governors on the examinations and their administration The Examinations Officer (EO) will update and change any items in the Policy in accordance with Awarding Body regulations and guidance, the Assistant Head teachers will advise the Governors accordingly	
Evaluation:			
By Whom: Governors Academic Committee Head teacher	When: Annually	How: Summary of performance and reports from any Examination Inspections given by Head teacher	
Revision History:			
Version	Approved and Ratified	Review Date	Additional notes
V4		October 2024	Change to contingency plan and managements of non-exam assessments
V3		October 2023	Additional exams complaint policy and escalation process, identifying candidates More detail on conflict of interest and internal Appeals
V2		October 2022	Removal of word processor policy Addition of lockdown procedures and cyber attacks
V1.7			Annual examination updates
V1.6	December 2020	December 2021	Annual examination updates and removal of information for Legacy Specifications. Addition of information of On-Screen tests
V1.5	October 2019	October 2020	Annual examination updates
V1.4	March 2019	March 2020	BTEC Updates
V1.3			2018/2019 JCQ updates Contents page added Exam archiving policy, food and drink policy (exams), behaviour policy (exams) & data protection added. Restructured
V1.2	January 2017	January 2018	DBS Invigilator update & EDCL inclusion 2016/2017 JCQ updates

V1.1	December 2015	December 2016	Appendices added
V 1.0	September 2015	September 2016	Re structure of Policy

Vision Statement:

With God's love and inspiration, we aspire and achieve excellence.

Vision: St. Joseph's aspires to be an exceptional, inclusive Catholic school where every individual feels a **profound sense of belonging and recognises their spiritual gifts**. In a safe, trusting, and respectful environment, everyone can thrive.

The St Joseph's family is dedicated to providing and receiving **outstanding educational opportunities, enabling each member to achieve excellent progress and outcomes** in every aspect of school life to ensure the highest level of academic results. We are committed to nurturing God-given talents and encouraging everyone to reach their full potential, fostering spiritual and moral character development.

National Policies and guidance/courses referred to and incorporated into SJCS Policy:

Document/Course Title:	Document/Course Date:
Instructions for Conducting Examinations [ICE]	JCQ
General regulations for approved centres [GR]	JCQ
Access Arrangements & Reasonable Adjustments [AA]	JCQ
Suspected Malpractice in Examination and Assessments [SMEA]	JCQ
Instructions for conducting non-examination assessments [NEA] and the instructions for conduction of controlled assessment & coursework	JCQ
Post- Results Services [PRS]	JCQ
A guide to the special consideration process [SC]	JCQ
The Exam Office	EO is a member

Other SJCS Policies that relate to this Policy:

Internal Appeals Policy
Internal Moderation Policy
Controlled Assessment & Non-Examination Assessment Policy
Data Protection & Information Handling Policy
Safer Recruitment Policy
Examination Contingency Plan
Evacuation of Exam Room
Use of Word Processors in Exams Policy
Access Arrangements Policy
Behaviour Policy
Special Educational Needs Policy
Equality & Diversity Policy
Supporting Students with Medical Conditions

Contents

Part 1 – General information	Page No
1. EXAM RESPONSIBILITIES	6
2. THE STATUTORY TESTS AND QUALIFICATIONS OFFERED	9
3. EXAM SEASONS AND TIMETABLES	10
4. ENTRIES, ENTRY DETAILS AND LATE ENTRIES	10
5. EXAM FEES	11
6. BTEC REGISTRATION & CERTIFICATION	11
7. THE DISABILITY DISCRIMINATION ACT (DDA), SPECIAL EDUCATIONAL NEEDS AND ACCESS ARRANGEMENTS	12
8. DATA PROTECTION	14
9. WHISTLEBLOWING	14
10. ESTIMATED / TARGET GRADES	14
11. MANAGING INVIGILATORS, SEPARATE INVIGILATION AND EXAM DAYS	14
12. FOOD AND DRINK POLICY (EXAMS)	16
13. BEHAVIOUR POLICY (EXAMS)	17
14. EMERGENCY EVACUATION POLICY (EXAMS)	17
15. LOCKDOWN PROCEDURES (EXAMS)	19
16. CANDIDATES, CLASH CANDIDATES AND SPECIAL CONSIDERATION	20
17. VERTIFICATION OF CANDIDATES' IDENTITY	21
18. BTEC ASSESSMENT & INTERNAL VERIFICATION	21
19. QUESTION PACK PROCEDURES	22
20. RESULTS, ENQUIRIES ABOUT RESULTS (EAR's) AND ACCESS TO SCRIPTS (ATS)	22
21. CERTIFICATES	23
 Part 2 – Appendix	 Page No
Appendix 1: CONTINGENCY PLAN	24
Appendix 2: ESCALATION PROCESS	31
Appendix 3: ON SCREEN TESTS	34
Appendix 4: THE MANAGEMENT OF NON-EXAMINATION ASSESSMENTS	35
Appendix 5: MALPRACTICE AND MALADMINISTRATION	52
Appendix 6: EMERGENCY PROCEDURE FOR EVACUATION OF EXAMINATION ROOM	55
Appendix 7: INTERNAL APPEALS PROCEDURE	56



Appendix 8: CONFLICT OF INTEREST POLICY	61
Appendix 9: A DETAILED BUT NOT EXTENSIVE LIST OF EXAMS OFFICER MONTHLY RESPONSIBILITIES	62
Appendix 10: EXAM COMPLAINTS POLICY	68
Appendix 11: EXAM ARCHIVING POLICY	71

Part 1 – General information

1. EXAM RESPONSIBILITIES

It is the responsibility of everyone involved in the centre's exam processes to read, understand and implement this policy.

Head of Centre - Overall responsibility that the examination process is managed according to JCQ and awarding body regulations, guidance and instructions:

- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications; [GR](#), [ICE](#), [AA](#), [SMEA](#), [NEA](#)
- Approves the annual National Centre Number Registration declaration
- Advises on appeals and review of results and ensure appeals procedures are in place
- Responsibility for reporting all suspicions or actual incidents of malpractice. JCQ [[SMEA](#)]
- Ensures risk to the exam processes are assessed and appropriate risk management processes/contingency plans are in place
- Ensures that all staff involved with key tasks within the exam process are appropriately trained and meet all exam deadlines

Exams Officer (EO) - Manages the administration of public and internal exams and analysis of exam results:

- Understands the contents of annually updated JCQ publications including: [GR](#), [ICE](#), [SMEA](#), [NEA](#), [PRS](#)
- Ensures the JCQ and other key exam policy and procedure changes are communicated to key staff with exam responsibilities
- Advises the senior leadership team, subject and class tutors and other relevant support staff on annual exam timetables and application procedures as set by the various Awarding Bodies
- Oversees the production and distribution to staff, governors and candidates of an annual calendar for all exams in which candidates will be involved and communicates regularly with staff concerning imminent deadlines and events
- Ensures that candidates and their parents are informed of and understand those aspects of the exam timetable that will affect them, including issuing personalised timetables.
- Consults with teaching staff to ensure that necessary coursework and assessments are completed on time and in accordance with JCQ guidelines
- Ensures EO key exam tasks are undertaken, and key dates and deadlines met
- Receives, checks and stores securely all exam papers and completed scripts
- Administers access arrangements that have been advised by the SENCo and supports with evidence of use during Mock examinations, including those which are centre determined e.g., Makes applications for special consideration for candidates after examinations or Coursework/NEA where it is appropriate.
- Identifies and manages exam timetable clashes
- Setting up accreditation with Awarding Body and thereafter being the point of contact for exam administration
- Accounts for income and expenditures relating to all exam costs/charges
- Line manages the invigilators organising the recruitment, full training and monitoring of a team of exams invigilators responsible for the conduct of exams
- Ensures the recruitment and continued employment of invigilator's is in accordance with the Safer Recruitment Policy
- Ensures invigilators are made aware of the Equality Act 2010 and are trained in disability issues
- Ensures invigilators understand how to deal with candidates who may need to leave the exam room temporarily
- Provides an invigilation handbook or briefs invigilators accordingly

- Submits candidates' NEA & coursework marks, tracks despatch and stores returned NEA & coursework, and any other material required by the appropriate awarding bodies correctly and on schedule
- Arranges for dissemination of exam results and certificates to candidates and forwards, in consultation with the SLT, any appeals/review of results requests
- As the centre administrator, approves relevant access rights for centre staff to access awarding body secure extranet sites
- Research awarding body guidance to identify administrative processes, key tasks, key dates and deadlines for all relevant qualifications
- Ensures staff appointed to facilitate access arrangements for candidates are appropriately trained and understand the rules of the particular arrangement(s)
- Maintains systems and processes to support the timely entry of candidates for their exams
- Issues relevant JCQ information to candidates
- Where relevant, issues relevant awarding body information to candidates
- Issues centre exam information to candidates including information on:
 - exam 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
 - 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
- Identifies and confirms arrangements for the dispatch of candidate exam scripts with the DfE 'yellow label service' or the awarding body where qualifications sit outside the scope of the service
- Ensures teaching staff are aware of the requirements in terms of retention and subsequent disposal of candidates' work
- Liaises with the SENCo regarding the facilitation and invigilation of access arrangement candidates
- Accompanies *"the Inspector **throughout** the course of his or her centre visit, including inspection of the centre's secure storage facility."* [ICE Introduction]
- Provides seating plans for exam rooms according to JCQ and awarding body requirements and a process is in place to verify candidate/ student identity
- Has a process in place to record confidential materials delivered to the centre and issued to authorised staff
- Has in place a recording system to track confidential materials taken from or returned to secure storage throughout the time the material is confidential
- Receives, checks and securely stores question papers and other exam materials according to JCQ and awarding body requirements
- Ensures sole invigilators have an appropriate means of summoning assistance
- Provides an exam room incident log in all exam rooms for recording any incidents or irregularities
- Ensure the Exam Room Evacuation Process is update and available in the exam room for each exam
- Ensures that for candidates who arrive very late for an exam the JCQ late arrival for examination process is followed
- Liaises with the host or entering centre, for transferred candidates and completes a required documentation
- Where relevant informs the candidate of the arrangements that have been made for their transferred candidate arrangements
- Ensures there is a plan in place to support the delivery of exam papers for a transferred candidate and that the staff who will manage the exam room at the transfer centre are appropriately trained
- Ensures that for transferred candidates there is a process in place to deal with emergency access arrangements as they arise at the time of exams

Deputy Head

- Familiar with the contents, refers to and directs relevant centre staff to annually updated JCQ publications; [GR](#), [ICE](#), [AA](#), [SMEA](#), [NEA](#)
- Organisation of teaching and learning
- External validation of courses followed at key stage 4 / post-16
- Guidance and careers information

Heads of department/school/curriculum

- Guidance and pastoral oversight of candidates who are unsure about exam entries or amendments to entries
- Involvement in post-results procedures
- Accurate completion of NEA, coursework / assessment mark sheets and declaration sheets
- Accurate completion of entry and all other mark sheets and adherence to deadlines as set by the EO
- Ensures teachers keep themselves updated with awarding body teacher-specific information confirm effective delivery of qualifications
- Informs the EO immediately, or at the very least prior to the deadlines, of any subsequent changes to final entry information, which includes
 - changes to candidate personal details
 - amendments to existing entries
 - withdrawals of existing entries
- Checks final entry submission information provided by the EO and confirms information is correct
- Does not enter the exam room during an examination

Teachers

- Notification of access arrangements (as soon as possible after the start of the course)
- Submission of candidates' names for entries to heads of department/school/curriculum
- 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 teacher-specific information to confirm effective delivery of qualifications
- Support the SENCo in implementing appropriate access arrangements for candidates undertaking internal assessments
- Support the SENCo in implementing access arrangements during lessons, and to show the normal way of working for the student

SENCo

- Familiar with the contents, refers to and directs relevant centre staff to annually updated JCQ publications; JCQ [\[AA\]](#)
- Application and processing of Access Arrangements and Reasonable Adjustments process
- Works with the qualified Access Arrangements Assessor on all matters relating to assessing the students and the administration of the assessment process
- Provides access information to EO by autumn half-term for students in Year 11
- Provision of additional support — with spelling, reading, mathematics, dyslexia or essential skills, hearing impairment, English for speakers of other languages, IT equipment — to help candidates achieve their course aims
- Ensure that evidence of Access Arrangement Assessor qualification is available when requested by a JCQ Centre Inspector
- Assesses candidates (or works with the appointed access arrangements assessor) to identify access arrangements requirements thereby ensuring that gathered **evidence** supports 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 **candidate personal data consent form** from candidates where required
- Completes a **Data Protection** confirmation form

- Applies for **approval** through *Access Arrangements Online* (AAO), where required or through the awarding body where qualifications sit outside the scope of AAO
- Keeps relevant paperwork and evidence on file for JCQ inspection purposes
- Employs good practice in relation to the Equality Act 2010
- Liaises with the EO regarding exam time arrangements for access arrangement candidates
- Ensures a candidate is involved in any decisions about arrangements, adjustments and /or adaptations that may be put in place for him/her
- Submits request for modified papers by JCQ deadline through *Access Arrangements Online* (AAO)
- Supports EO with allocation of TA staff to deliver access arrangements in the Exam Room

Invigilators

- Attend training, update, briefing and review sessions as required
- Performs duties before, during and after the examination as instructed by the EO and in accordance with JCQ exam procedures
- Provides information on availability when requested
- Signs a confidentiality and security agreement to confirm whether they have any current maladministration / malpractice sanctions applied
- Ensures that the integrity of the examination is never compromised
- Ensures that examination papers are never left unattended once delivered by the EO

Reception staff

- Support the EO in dealing with exam-related deliveries and dispatches with due regard to the security of confidential materials
- To complete the Log provided by the EO to track when deliveries arrived

Candidates

- Confirmation and signing of entries
- Understanding coursework and assessment regulations and signing appropriate declaration that authenticates the work as their own
- Arriving at examination in good time with correct and required materials
- Unauthorised absence from an exam will result in candidate being charged the entry fee for examination

2. THE STATUTORY TESTS AND QUALIFICATIONS OFFERED

The statutory tests and qualifications offered at this centre are decided by the head of centre, heads of curriculum and the senior leadership team.

The statutory tests and qualifications offered are GCSE, BTEC, CAMBRIDGE NATIONAL, ENTRY LEVEL CERTIFICATE.

The subjects offered for these qualifications in any academic year may be found in the centre's published prospectus for that year. If there has been a change of syllabus from the previous year, the EO must be informed by 31st March each year.

Decisions on whether a candidate should not take an individual subject or all NCT's will be taken in consultation with the candidates, parents or guardians, SENCo, Head of Key Stage and the Heads of Subject.

At Key Stage 3 all candidates will take English, Mathematics and Science. The school will consider the use of intervention or booster strategies in connection with any candidates who are unlikely to attain the minimum level.

At Key Stage 4 All candidates will be entitled, and enabled, to achieve an entry for qualifications from an external awarding body.

Where it is appropriate students with English as an Additional language will be offered the opportunity to take a GCSE in their home language.

3. EXAM SEASONS AND TIMETABLES

3.1 Exam seasons

- Internal exams are scheduled in September, January, and June.
- External exams are scheduled mainly in May and June, but a small number of exams may be available in January.
- All internal exams are held under external exam conditions.
- Which exam series are used in the centre is decided by the head of centre and the heads of subject.

3.2 Timetables

- Once confirmed, the EO will circulate the exam timetables for internal and external exams. A copy will also be available on the website.

At some point during one of the Exam Season you will receive a no notice visit from a JCQ Inspector. Who will want to:

- Observe how an exam is run – will ask to sit at the back of the main exam room for a short time and visit all exam rooms
- Check that appropriate posters are displayed
- Check security of exam papers and stationery
- Check Access Arrangement paperwork with SENCo and qualifications evidence of the person who undertook the testing for the access arrangements
- If the SENCo is unavailable a member of SLT must meet the inspector
- View Exam Policy documents: (although it should also be noted that inspectors could in addition ask to see any written policies/procedures as stated in the JCQ regulations)
 - Procedure for the emergency evacuation of the examination room.
 - Escalation process
 - Internal Appeals Procedure.
 - Policy covering the management of non-examination assessments, including controlled assessments and coursework.
 - A Disability Policy showing your centre's compliance with relevant legislation, i.e. Equality Act 2010.
 - Whistleblowing policy
 - Word processor policy
 - Conflicts of Interest
 - Contingency Plan
 - Complaints policy
 - Data
 - Malpractice

4. ENTRIES, ENTRY DETAILS AND LATE ENTRIES

4.1 Entries

- Candidates are selected for their exam entries by the heads of subject and the subject teachers
- Candidates, parents or guardians can request a subject entry, change of level or withdrawal
- It is by exception that the centre accepts private candidates

4.2 Late entries

- Entry deadlines are circulated to heads of department and subject teachers.
- Late entries are authorised by the heads of department and EO

5. EXAM FEES

5.1 Exam Fees

- The centre will pay all normal exam fees on behalf of candidates including those taking a GCSE in their first language
- Late entry or amendment fees are paid by departments
- Candidates or departments will not be charged for changes of tier, withdrawals made by the proper procedures or alterations arising from administrative processes provided these are made within the time allowed by the awarding bodies
- The centre reserves the right to charge the candidate the entry cost for any missed exams where the absence was unauthorised.

5.2 Examination Resits

- Where department heads request a pupil to resit an examination the department will bear the cost including administration
- Where a pupil (or parent / guardian) requests a pupil to resit an examination, the candidate will bear the cost including administration

6. BTEC REGISTRATION AND CERTIFICATION

Have in place a secure, accurate and accessible audit trail to ensure that individual learner registration, and certification claims can be tracked to the certificate which is issued for each learner.

6.1 Registration

- Register individual learners to the correct programme within the agreed timescale
- Lease with departments to ensure the registrations are accurate
- Inform learners of their registration status
- Inform the awarding body of any withdrawals, transfers or changes

6.2 Certification

- Claim valid learner certificates within the agreed timescale
- Ensure certificate claims are based solely on internally verified assessment records
- Audit all certificate claims
- Audit the certificates received from the awarding body to ensure accuracy and completeness
- Keep all records safely and securely for three years post certification.

Roles and responsibilities

Exams Officer

- To liaise with all departments delivering a BTEC qualification regarding registrations
- Register all learners within the timeframe stated by Pearson
- Ensure that all registrations are made accurately and any changes in details are updated immediately
- Gather all certificate claims from the relevant departments in time for August certification
- Ensure that all certification claims are made accurately and in line with internal assessment outcomes

Heads of Department

- Inform the exams officer of all students that need to be registered at the start of each academic year
- Keep clear and concise records of learner assessments
- Notify the exams officer of any withdrawals, transfers or changes immediately
- Ensure that assessment data is provided in time for certification claims

7. THE DISABILITY DISCRIMINATION ACT (DDA), SPECIAL NEEDS AND ACCESS ARRANGEMENTS

7.1 DDA

“The centre agrees to...recognise its duties towards disabled candidates as defined ensuring compliance with all aspects of the Equality Act 2010. This must include a duty to explore and provide access to suitable courses, submit applications for reasonable adjustments and make reasonable adjustments to the service the centre through the access arrangements process submit applications for reasonable adjustments, provides to disabled candidates.” [GR]

- The Disability Discrimination Act 2010 extends the application of the DDA to general qualifications. All exam centre staff must ensure that the access arrangements and special consideration regulations and guidance are consistent with the law.

7.2 Special Needs

- A candidate's special needs requirements are determined by the SENCo and Head of Centre with guidance from educational psychologist / specialist teacher
The SENCo will inform subject teachers of candidates with special educational needs who are embarking on a course leading to an exam, and the date of that exam. The SENCo can then inform individual staff of any special arrangements that individual candidates can be granted during the course and in the exam
- Assessment of Access Arrangements will be on a student-by-student basis; however, 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

7.3 Access Arrangements/ Reasonable Adjustment

Access Arrangements

Access Arrangements are pre-examination adjustments for candidates based on evidence of need and normal way of working. Access Arrangements fall into two distinct categories: some arrangements are delegated to centres; others require prior JCQ^{CIC} awarding body approval.

Access Arrangements allow candidates/learners with special educational needs, disabilities or temporary injuries to access the assessment without changing the demands of the assessment. For example, readers, scribes and Braille question papers. In this way Awarding Bodies will comply with the duty of the Equality Act 2010 to make 'reasonable adjustments'. JCQ [AA]

- Students identified as having additional needs in the classroom will have the opportunity to show this need during mock exams. This will help to gain additional evidence to support an application for AA.
- An application for AA can only be made if it is the students' normal way of working.
- Students with additional needs will be identified by the SENCO with the help of teaching staff.
- Observations/assessments for AA will be provided for all students highlighted as having an additional need.
- The EO will organise exam rooms based on the needs of the students. This will comply with JCQ regulations. The SENCO will be consulted to make sure the correct arrangement is in place for each student.
- Applications for AA will be completed by the SENCO and submitted in conjunction with the EO before the set deadline. This information will be shared with candidates, so they are aware of the provision they have in place. All applications are made on the Centre Admin Portal (CAP).
- Whilst it is expected that an access arrangement will be used it is at the candidate's discretion whether they use the arrangement that has been put in place

- Where an exam is not covered by JCQ arrangements access will be agreed directly with the Exam Board
- Invigilation and support for access arrangement candidates will be organised by the EO with the SENCo and will be a mixture of TA staff and Invigilators
- Student will receive cards on their exam desk to remind them of the AA they are entitled to

Reasonable Adjustments

The Equality Act 2010 requires an Awarding Body to make reasonable adjustments where a disabled person would be at a substantial disadvantage in undertaking an assessment.

A reasonable adjustment for a particular person may be unique to that individual and may not be included in the list of available Access Arrangements.

How reasonable the adjustment is will depend on a number of factors including the needs of the disabled candidate/learner. An adjustment may not be considered reasonable if it involves unreasonable costs, timeframes or affects the security or integrity of the assessment.

There is no duty on the Awarding Bodies to make any adjustment to the assessment objectives being tested in an assessment.” [JCQ website]

- Pupils who cannot access the hall will be given alternative rooms for exams. This includes those who suffer injury during the exam season. Additional rooms will be set out using JCQ regulations
- Any specialist equipment required will be provided by the school e.g. word processors
- In circumstances where an injury is obtained any late AA will be submitted by the SENCO as soon as the school is made aware.
- Aid of a reader or scribe will be provided by the school
- Students who require the use of an overlay will be provided with one by the SEN department. The SENCo will notify the EO of which students should arrive with an overlay on exam days

7.4 Medical needs

When dealing with medical needs JCQ regulations must be always maintained.

- The EO should be notified of any students who have medical conditions that may arise in exams. Invigilators will be briefed on a need-to-know basis.
- Reasonable adjustments are made when needed to support students in exams
- If a student needs medication during an exam the first aider may enter the exam room. Alternatively, students in the main hall may be escorted by an invigilator to reception under exam conditions
- Those who require toilet/rest breaks will be provided with a red card which they are to raise when needed. The invigilators are trained to know what this means and will escort the student out of the room. Exam conditions will always be maintained.

All access arrangements and reasonable adjustments will be considered in line with the equality act 2010

7.5 Checking the Assessors' Qualifications

An access arrangements assessor must have successfully completed a post-graduate course at or equivalent to Level 7, including at least 100 hours relating to individual specialist assessment. The training must include the following:

- the theoretical basis underlying psychometric tests, such as the concepts of validity and reliability; standard deviations and the normal curve; raw scores, standard scores, quotients, percentiles and age equivalent scores; the concept of statistically significant discrepancies between scores; standard error of measurement and confidence intervals; the appropriate use of nationally standardised tests for the age group being tested

- the objective administration of attainment tests which can be administered individually. This must include tests of reading accuracy, reading comprehension, reading speed and spelling. Appropriate methods of assessing writing skills, including speed, must also be covered
- the appropriate selection and objective use of tests of cognitive skills
- the ethical administration of testing including the ability to understand the limitation of their own skills and experience, and to define when it is necessary to refer the candidate to an alternative professional.
- A private assessor is arranged by the SENCO pending approval by the deputy head (pastoral).
- The assessor will be required to provide proof of their qualifications and any yearly updates.
- Qualifications will be checked by the SENCO before any tests are conducted.
- A copy of the assessor's qualifications is held on file with the EO for reference and provision at the time of inspection by JCQ.

8. DATA PROTECTION

8.1 Privacy Notice

- Exam boards privacy notices will be shared with all students at the beginning of the course, this will then be shared again when students are entered for exams.
- Students will sign to say that they have read and understood the document
- The document will be put onto the school website for students/parents to refer to.

8.2 Student data

- Data will be passed to exam boards through A2C using secure EDI files. Where this is not possible the exam board secure site will be used.
- Any exam data that the school holds will be shared with the student upon request
- Data regarding results will be shared with students as soon as possible
- Any medical information will be shared with the invigilators on a need-to-know basis, this will be discussed with the student prior to exams.

8.3 Certificates

- Certificates should not be withheld from students and should be shared as soon as possible
- We will hold a certificate evening in November which all exam students are invited to. Those who cannot attend will be invited to collect their certificates from reception, at a date suitable for them.

9. WHISTLEBLOWING

Please reference our separate policy.

10. ESTIMATED / TARGET GRADES

Estimated Grades - The heads of department will submit estimated grades under the normal school procedures to monitor pupil progress.

11. MANAGING INVIGILATORS, SEPARATE INVIGILATION AND EXAM DAYS

11.1 Managing invigilators

- External invigilators will be used for internal and external exams
- The recruitment of invigilators is the responsibility of the EO and Head of Centre
- Securing the necessary Disclosure and Barring Service (DBS) clearance for new invigilators is the responsibility of the school business manager
- All invigilators DBS check should be up to date and comply with the Safer Recruitment Policy
- The annual training of invigilators and internal staff supporting access arrangements is the responsibility of the EO

- Wiltshire LA require invigilators be paid a minimum of 1 hours pay in any 3 rolling month period and a pay slip produced. This ensure that the DBS check remains valid
- DBS fees for securing such clearance are paid by the centre
- Invigilators are timetabled and briefed by the exams EO
- Invigilators rates of pay are set by the centre administration

11.2 Separate Invigilation

- Occurs when students cannot be housed in the main exam room, this can be due to the following:
 - Medical – where a student had a medical condition that may impact their exam performance, and being in the main exam room may cause added stress or pressure
 - Special Education Needs (SEN) – Where a student requires access arrangements that cannot be accommodated in the main exam room
 - Behavioural – where a student has been disruptive in the main exam room and needs to be isolated for the performance of other students
- Where 1:1 invigilation occurs within the centre there must be a roving invigilator. The role of the roving invigilator is to ensure that exam protocol is being adhered to in each room.
- Where a TA who has prepared the student for exams is present and additional invigilator will be in the room.

Roles and responsibilities

Head of Centre

- To ensure that there is appropriate accommodation for all exam students

Senior Leadership Team (Behaviour)

- To discuss with the exams officer students whose behaviour may pose an issue in exams
- To notify the exams officer of behaviour strategies and the need for separate invigilation

SENCO

- To highlight students that will need separate invigilation due to medical or SEN
- Discuss alternative provisions with the exam officer

Exams Officer

- To collate information from relevant staff members
- To allocate students and invigilators to rooms
- To advise the relevant invigilators of the students' needs
- To train invigilators how to work with students who have access arrangements, medical needs or behavioural issues
- To make sure that the students and invigilators are both comfortable with the arrangements
- To allocate a roving invigilator to check on all exam rooms, paying particular attention to those who have one-to-one invigilation

Invigilators

- To support students with and needs
- Before the start of every exam: Explain to access arrangement students why they are there and the support they can offer
- Be sensitive to the medical needs of students
- Make sure the environment is suitable for the students

11.3 Exam days

- The EO will book all exam rooms and will make the question papers, other exam stationery and materials available for the invigilator
- The EO is responsible for co-ordinating the setting up of the exam room
- The EO will ensure the invigilators start all exams in accordance with JCQ guidelines

- In practical exams subject teachers must be available in case of any technical difficulties.
- Exam papers must not be read by subject teachers or removed from the exam room before the end of a session. Papers will be distributed to heads of department by the EO after the published finishing time of the exam, or when all candidates in centre have finished the exam
- Subject staff may be present before the start of the exam (outside the exam room)
- The EO should ensure invigilators only allow “authorised” persons in the exam room – subject teachers are not allowed in the examination room.
- Authorised persons will be decided by the HOC

12. FOOD AND DRINK POLICY (EXAMS)

“Food and drink may be allowed in the examination room at the discretion of the head of centre. However, this is on the condition that any food or drink brought into the examination room whether by the candidate or the centre is free from packaging and all labels are removed from drink containers.” JCQ [ICE] chapter 18

Purpose of the policy

This policy details how the centre deals with food and drink within an exam and defines staff responsibilities

12.1 Food

- Food is not permitted in the exam room unless a student has exceptional circumstance.
- An exceptional circumstance may be considered as a medical condition and should be discussed with the Exams Officer.

12.1.1 Exceptional Circumstances

- The Exams Officer and student will discuss an action plan for exams that both suits the student, and falls within JCQ regulations
- Invigilators for the exam room will be informed of the medical condition and need for food
- All food should be placed on the desk, wrappers are to be removed prior to entering the room

12.2 Drink

- All drinks must be in a clear bottle
- Any packaging or labels must be removed
- There must not be any writing on the bottle
- Students are only permitted to have water in the exam room
- Large-capped water bottles will be inspected

Roles and responsibilities

Head of centre

- To ensure that the policy fits in with JCQ regulations on food and drink within the exam

Senior leadership Team

- To check ensure a final reminder is made before students enter the exam room
- To make sure that students are not chewing gum when they enter the exam room

Special educational needs coordinator (SENCo)

- To ensure that all student who have a medical need are highlighted to the exams officer

Exams officer

- To inform students of the Food and Drink Policy
- To discuss the policy on an individual basis for those that have exceptional circumstances

- To write any action plans that may be needed
- Inform the invigilators of the students who may require food
- To follow JCQ guidance on food and drink
- To notify the exam board if any unauthorised food or drink enters the exam room, and if this is a suspected malpractice

Invigilators

- To monitor the food and drink being brought into the exam room
- To make sure that all labels and wrappers are removed
- To notify the exams officer if these rules have not been followed, and if they suspect this is due to malpractice

13. BEHAVIOUR POLICY (EXAMS)

- A high standard of behaviour is vital for all students sitting exams
- Disruptive behaviour is not acceptable in exams. There are a strict set of guidelines from JCQ that must be followed.
- Consequences of disruptive behaviour is outlined to students in their exam's assembly
- Disruptive behaviour may be detrimental to the results of other students
- Invigilators will monitor behaviour in exams and warn students of the possible consequences
- If disruptive behaviour continues the exams officer will be called to assist
- If the exams officer cannot calm the student's behaviour a member of SLT will be contacted
- Whilst in an exam students must remain under staff supervision
- The exams office will be equipped to hold any students at short notice for one-to-one supervision
- If a student is disrespectful to a member of staff additional sanctions may be put in place
- If a student cannot maintain a good standard of behaviour whilst in the exam room, alternative arrangements will be considered
- Electronic devices must not be on a student's person when they enter an exam room. This includes mobile phones, all watches etc.
- Students must not discuss any exam content on social media, this could result in malpractice
- Students should enter and leave the exam in silence, being mindful of those still working
- Uniform must be upheld in exams

14. EMERGENCY EVACUATION POLICY (EXAMS)

*"You **must** have a **written** centre policy for dealing with an emergency evacuation of the examination room, which will be subject to inspection by the JCQ Centre Inspection Service." JCQ [ICE]*

Purpose of the policy

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

When is an emergency evacuation required?

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

In exceptional situations, where candidates might be severely disadvantaged or distressed by remaining in the exam room, the emergency evacuation procedure may also need to be followed. This might include situations where there is severe disruption in the exam room, serious illness of a candidate or invigilator or similarly serious incidents. The centre's processes for evacuation of the exam room (bomb alert or fire alarm) comply with JCQ guidelines

- The centre's processes for evacuation of the exam room (bomb alert, gas leak or fire alarm) comply with JCQ guidelines

Roles and responsibilities

Head of Centre

- Ensures the emergency evacuation policy for exams is fit for purpose and complies with relevant health and safety regulation

Senior Leadership Team

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

Special Educational Needs Coordinator (SENCo)

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

Exams Officer

- Ensures invigilators are trained on emergency evacuation procedures and how an incident and actions taken must be recorded
- Ensures candidates are briefed (Candidate exam handbook), prior to exams taking place, on what will happen in the event of an emergency in the exam room
- Provides invigilators with a copy of the emergency evacuation procedures for each exam room (Green copy to display and a copy in the exam room folder)
- Provides a standard invigilator announcement for each exam which includes appropriate information for candidates regarding what will happen if the fire alarm sounds
- Provides an exam room incident log in each exam room
- Liaises with the SENCo and other relevant staff prior to each exam where different procedures or assistance may need to be provided for a disabled candidate and briefs invigilators prior to each exam
- Ensures appropriate follow-up is undertaken after an emergency evacuation reporting the incident to the awarding body and the actions taken through the special consideration process

Invigilators

- By attending training, ensure they understand what to do in the event of an emergency in the exam room
- Follow the actions required in the emergency evacuation procedure issued to them for each exam room
- Confirm with the exams officer, where different procedures or assistance may need to be provided for a disabled candidate they are invigilating

Invigilators will follow the following process:

- In the event of an emergency evacuation students are to stop what they are doing close their exam paper and wait for instructions. Those on word processors must save their work.
- Invigilators will be trained on the process they must follow.
- The lead invigilator will note the time the alarm started.
- Students will be instructed that they are still under exam conditions until the paper is completed. Therefore, exam conditions must be maintained throughout the fire procedure.
- The lead invigilator will ask the students to leave the hall a row at a time. They must leave the hall using the door to the playground.
- Exam students must walk across the playground and up onto the field where they must stand spread out. Invigilators will check that the space between students is adequate.
- The lead invigilator or EO will then take the register.
- Students must remain on the field in silence and maintain the distance between them.

- The EO will notify the lead invigilator when students can return the exam hall.
- The students will be reminded to return to the hall in complete silence maintaining exam conditions. Students will then be released into the hall a row at a time.
- Once all seated back in the hall the lead invigilator will make a note of the time. The students will be notified that the time taken for the evacuation will be accounted for.
- The lead invigilator will then re-start the exam.

Centre emergency evacuation procedure

<https://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations/centre-emergency-evacuation-procedure> [JCQ]

Other relevant centre staff

- Support the senior leader, SENCo, exams officer and invigilators in ensuring the safe emergency evacuation of exam room.
- Depending on the impact of the interruption the Exam Office will use the special consideration process to make the Awarding Body aware of the impact on the student's performance. JCQ [SC]
- A copy of the Evacuation process for Examination Room is available in Appendix 7.

15. LOCKDOWN PROCEDURES

Purpose of the policy

This policy details how the centre deals with an emergency lockdown of the exam room(s) by defining staff roles and responsibilities and confirming the emergency lockdown procedure

When is an emergency lockdown required?

An emergency lockdown is required where it is determined that an external threat has entered the school site.

The centre's processes comply with JCQ guidelines

Roles and responsibilities

Head of centre

- Ensures the emergency lockdown policy for exams is fit for purpose and complies with relevant health and safety regulation

Senior leadership Team

- Where responsible for the centre-wide emergency lockdown procedure, ensures all staff are aware of the exams lockdown policy. They must also be aware of the procedures to be followed when an emergency lockdown of an exam room is required

Special educational needs coordinator (SENCo)

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

Exams officer

- Ensures invigilators are trained on emergency lockdown procedures and how an incident and actions taken must be recorded
- Ensures candidates are briefed (Candidate exam handbook), prior to exams taking place, on what will happen in the event of a lockdown in the exam room
- Provides invigilators with a copy of the emergency lockdown procedures for each exam room (a copy in the blue folder)

- Provides a standard invigilator announcement for each exam which includes appropriate information for candidates regarding what will happen if the lockdown alarm sounds
- Provides an exam room incident log in each exam room
- Liaises with the SENCo and other relevant staff prior to each exam where different procedures or assistance may need to be provided for a disabled candidate and briefs invigilators prior to each exam
- Ensures appropriate follow-up is undertaken after an emergency lockdown reporting the incident to the awarding body and the actions taken through the special consideration process

Invigilators

- By attending training, ensure they understand what to do in the event of a lockdown in the exam room
- Follow the actions required in the emergency lockdown procedure issued to them for each exam room
- Confirm with the exams officer, where different procedures or assistance may need to be provided for a disabled candidate they are invigilating

Invigilators will follow the following process:

- In the event of an emergency lockdown students are to stop what they are doing close their exam paper and wait for instructions. Those on word processors must save their work.
- Invigilators will be trained on the process they must follow.
- The lead invigilator will note the time the alarm started and ensure all doors are locked.
- Students will be instructed that they are still under exam conditions until the paper is completed. Therefore, exam conditions must be maintained throughout the procedure.
- The lead invigilator will ask the students move to the edge of the hall away from all doors and sit against the wall where they cannot be seen through the main doors.
- If students are in a classroom they will sit under their desk.
- Once the intermittent alarm stops students may return to their desks and await further instruction from the EO

16. CANDIDATES, CLASH CANDIDATES AND SPECIAL CONSIDERATION

16.1 Candidates

- The centre's published rules on acceptable dress, behaviour and candidates' use of mobile phones and all electronic devices always apply.
- Candidates' personal belongings remain their own responsibility, and the centre accepts no liability for their loss or damage.
- Disruptive candidates are dealt with in accordance with JCQ guidelines.
- Candidates may leave the exam room for a genuine purpose requiring an immediate return to the exam room, in which case an invigilator or the EO must accompany them.
- The EO will attempt to contact any candidate who is not present at the start of an exam and deal with them in accordance with JCQ guidelines.

16.2 Clash candidates

- The EO will be responsible as necessary for supervising escorts, identifying a secure venue and arranging overnight stays.
- Overnight supervision must only be used as a last resort and must be signed off by the HoC. JCQ forms must be completed through the Centre admin portal (CAP)

16.3 Special consideration [JCQ SC]

- Should a candidate be ill before an exam, suffer bereavement or other trauma, be taken ill during the exam itself or otherwise disadvantaged or disturbed during an exam, then it is the candidate's responsibility to alert the centre, the EO, or the exam invigilator, to that effect.

- The candidate must support any special consideration claim with appropriate evidence within three days of the exam, for example a letter from the candidate's doctor.
- The EO will then submit a completed special consideration request to the relevant awarding body within seven days of the exam.
- Neither the candidate nor the exam centre will be informed of the marks awarded to support the Special Consideration just whether it was accepted or declined by the Awarding Body.
- All applications for special consideration must be supported by a member of the SLT.

17. VERIFICATION OF CANDIDATE'S IDENTITY

- The school does not accept private candidates to sit examinations, as all candidates are internal, their identities are automatically checked on entry to the school as part of the admissions procedures.
- The pupils are known to all the staff. The candidates are checked in by a member of SLT and form teachers before entering the exam room.
- Once seated the invigilators will check again before the exam starts that the candidates are sitting in the correct seat.

18 BTEC ASSESSMENT AND INTERNAL VERIFICATION

18.1 Assessment

- To ensure that assessment methodology is valid, reliable and does not disadvantage or advantage any group of learners or individuals
- To ensure that the assessment procedure is open, fair and free from bias and to national standards
- To ensure that there is accurate and detailed recording of assessment decisions.

Roles and responsibilities

Quality Nominee

- Monitor standards verification/external examination reports and undertake any remedial action required
- Share good assessment practice between all BTEC programme teams
- Ensure that BTEC assessment methodology and the role of the assessor are understood by all BTEC staff
- Provide resources to ensure that assessment can be performed accurately and appropriately.

Head of Department

- Ensure that learners are provided with assignments that are fit for purpose, to enable them to produce appropriate evidence for assessment
- Produce a clear and accurate assessment plan at the start of the programme/academic year
- Provide clear, published dates for handout of assignments and deadlines for Assessment
- Assess learner's evidence using only the published assessment and grading criteria
- Ensure that assessment decisions are impartial, valid and reliable
- Not limit or 'cap' learner achievement if work is submitted late
- Develop assessment procedures that will minimise the opportunity for Malpractice
- Maintain accurate and detailed records of assessment decisions
- Maintain a robust and rigorous internal verification procedure
- Provide samples for standards verification/external examination as required by the awarding organisation

Exams Officer

- Ensure that all assessments decisions are gathered from departments and held on record ready for certification

18.2 Internal Verification

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

19. QUESTION PACK PROCEDURES

19.1 Types of forms

- Initial delivery form
- Secure room log
- Paper unpacking check
- Exam day paper check

19.2 Initial delivery

- As soon as an exam package arrives on site reception will complete their log to say it has been delivered.
- The details include exam board, date, time, delivery reference number and who took the delivery
- The EO or next available key holder will then be contacted
- The key holder will assess whether the site team need to be called to transport parcels to the secure room.

19.3 Secure room log

- Once in the secure store the key holder will fill in the secure room log.
- The details include exam board, date, time, delivery reference number and who is signing the parcel in
- If the EO is not available, the key holder will ensure the parcel is left securely and inform the EO as soon as they return.

19.4 Paper unpacking check

- The EO will check the delivery note provided and ensure that the contents of the box match
- The form for noting this will be pre-populated with the exam and number of entries. The following sections will need to be completed: Date, number of papers received and if it matches the delivery note.
- Papers will then be placed into the secure storage facility in date order.
- If there are any discrepancies with the delivery the exam board will be contacted immediately

19.5 Exam Day paper check

- When taking papers out of the secure store there will always be two members of staff present, this is usually the EO and an invigilator.
- There will be a pre-populated sheet with all upcoming exams.
- The EO and invigilator will check that all details on the front of the exam pack match up with what is written on the sheet. The details we will look at are Title of exam, exam code, date, time and exam board.

- The EO and invigilator will then sign to say it is correct.
- This procedure can be done up to 90mins prior to the exam if splitting the packs or downloads for computer reader 6 mins before.
- Printing of digital papers must be done in a secure and controlled environment.
- Readers and Scribes must not open the paper prior to the start time to prepare.

20. RESULTS, CLERICAL RE-CHECKS, REVIEW OF MARKING, REVIEW OF MODERATION, ACCESS TO SCRIPTS AND APPEALS TO THE AWARDING BODIES

20.1 Results

- Candidates will receive individual results slips on results days either in person at the centre, by post to their home address or by email (when requested specifically by a candidate).
- Arrangements for the school to be open on results days are made by the Head of Centre. The provision of staff on results days is the responsibility of the Head of Centre.

20.2 Clerical re-checks, Review of marking and moderation

- May be requested by centre staff or candidates if there are reasonable grounds for believing there has been an error in marking.
- If a result is queried, the EO, teaching staff and Head of centre will investigate the feasibility of asking for a review at the centre's expense.
- When the centre does not uphold a candidate may apply to have an enquiry carried out. If a candidate requires this against the advice of subject staff, they will be charged.
- Candidates must be made aware that their exam results can go up, down or stay the same as a result before the request is sent to the Awarding Body.
- Written permission must be received from the candidate before any application is made
- Where the candidate has requested it is expected that the candidate will pay the costs of the service.

20.3 Access to scripts

- After the release of results, candidates may ask subject staff to request the return of papers.
- Centre staff may also request scripts for investigation or for teaching purposes. For the latter, the consent of candidates must be obtained.
- GCSE review of results cannot be applied for once a script has been returned.

21. CERTIFICATES

- Certificates will be collected in person from school, or the candidate can give written consent for someone to collect on their behalf. They will only be posted (recorded delivery) as the very last option where the EO is unable to contact the candidate, or the candidate accepts responsibility if the certificates are lost or damaged in transit.
- Once the certificates are issued to the student any further requests for copies or replacements must be made by the student directly with the Awarding Body. With the candidate responsible for paying any costs incurred.
- The EO can provide a statement of results (via SIMS) if requested by the candidates – there will be no charge for this. This can be emailed.
- The centre will make every effort to ensure the certificates are collected. Awarding Body advice is that certificates should be retained for 12 months, and after this time they can be destroyed. However, the centre must be able to account for the certificates for 6 years so all actions must be logged.

Appendix 1

CONTINGENCY PLAN

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

Alongside internal processes, this plan is informed by the Ofqual (and Northern Ireland Council for the Curriculum, Examinations and Assessment) **Exam system contingency plan: England, Wales and Northern Ireland** which provides guidance in the publication *What schools and colleges and other centres should do if exams or other assessments are seriously disrupted*, the **JCQ Joint Contingency Plan** for the Examination System in England, Wales and Northern Ireland and the JCQ document **Preparing for disruption to examinations** (Effective from 1 September 2024).

This plan also confirms compliance with JCQ's General Regulations for Approved Centres (GR 5.3) that the centre has in place for inspection that must be reviewed and updated annually:

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

Contingency arrangements

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

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

The plan must cover the following scenarios:

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

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

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

We **must** ensure that candidates' work is backed-up and should consider the contingency of candidates' work being backed-up on two separate devices, including one off-site back-up. Appropriate security arrangements must be implemented which protect candidates' work in the event of IT system corruption and cyber-attacks.

National Centre Number Register and other information requirements

In accordance with the regulations (GR 5.3), the head of centre will ensure that they respond to the National Centre Number Register annual update by the end of October every year which includes providing senior designated contact details (this might include a personal mobile number and/or email address). These must be the contact details of someone who can be reached in an emergency if the centre is closed over the summer and who can mobilise resources to respond to the issue.

Causes of potential disruption to the exam process

1. Exam officer extended absence (non-exam day)

Action

- Normal school absence policy would be followed with line manager & headteachers PA informed of absence
- EO will advise of any critical activities and any mitigation action can be taken dependent on any imminent priority or deadline tasks

Mitigation

- The EO role is part of the school Support team the School Business Manager will take over in any event of unforeseen absence/ unavailability. The SBM would therefore review the situation and deputise accordingly, however the EO has documented key activities and deadlines within in this document which should be used if absence is sustained
- All members of the invigilating team also receive regular exam process training so may be able to take on some responsibilities of the EO in an emergency. Further support and guidance can also be gained from EO at Wyvern College St. Edmunds or the Exam Support Network

2. Exam officer absence (examination day)

Action

- Absence should be reported to SBM as soon as practically possible. The EO has mobile numbers for SBM and Head of Centre for emergencies
- If EO does not arrive at school 1 hour before expected start time the EO should be treated as absent. The following will need to take place and SBM will access exam papers and work with invigilators to get exam underway
 - Exam papers to be retrieved from storage following JCQ regulations by alternative key holder
 - Exam box to be taken out of exam cupboard (prepared rooming plan with access arrangements indicated, desk labels etc. will already be in the box)
 - IT Manager to support setting up computers / any ICT arrangement
 - Extra site staff as necessary to assist setting up the examination room
 - Exam papers only to be opened when only invigilators in the examination room (before exam papers are opened ensure 2nd person checks date and session)
 - Lead invigilator will start the exam as normal
 - A member of staff (SBM, Deputy head (academic) or Head Teachers PA) will be on call (via Walkie Talkie's) should there be any support required in the exam room
 - Once the exam has been finished the invigilator will return the exam papers to SBM who will lock in secure storage
 - Exam papers should be dispatched next day via Yellow Label service to Awarding Bodies along with completed attendance register
 - Exam boxes for next day's exam should be prepared and check should be made that examination papers are in safe
- As the school only has one EO it would be recommended that support and advise is requested from neighbouring school (Wyvern St. Edmunds) if unplanned absence on critical Exam Day to ensure no impact on students.

Mitigation

- The EO role is part of the school Support team the School Business Manager will take over in any event of unforeseen absence/ unavailability. The SBM would therefore review the situation and deputise accordingly, however the EO has documented key activities and deadlines within in this document which should be used if absence is sustained
- All members of the invigilating team also receive regular exam process training so may be able to take on some responsibilities of the EO in an emergency. Further support and guidance can also be gained from EO at Wyvern St. Edmunds or the Exam Support Network
- Exam Boxes are prepared the night before an exam
-

3.SENCo (or equivalent role) extended absence at a critical stage of the exam cycle

Planning -candidates not tested/assessed to identify potential access arrangement requirements

- centre fails to recognise its duties towards disabled candidates as defined under the terms of the Equality Act 2010
- evidence of need and evidence to support normal way of working not collated

Pre-exams

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

Exam time

- access arrangement candidate support not arranged for exam rooms

Mitigation

- Ensuring deadlines are set and communicated to staff in advance, always building in some time contingency to allow for issues. Good and clear communications both with SLT and EO.
- Early booking with assessor for testing so that paperwork is in place ahead of exams and students are allocated correct access arrangement.
- Exam rooms access arrangements are checked and logged by SENCo, EO and invigilator

4. Teaching staff extended absence at a critical stage of the exam cycle

Action

- Normal school absence policy would be followed with line manager & Head Teachers PA informed of absence
- Head Teachers PA would then inform EO/ Line manager to discuss any key activities/ deadlines which are required. Cover for tasks would be allocated if tasks deemed critical

Mitigation

- Ensuring deadlines are set and communicated to staff in advance, always building in some time contingency to allow for issues. Good and clear communications both with teaching staff and HODs is key. NEA/Coursework tasks have been set issued and taken by candidates as scheduled. EO will submit marks and upload where necessary. All keys' dates on school calendar in advance.
- When issues do occur EO to speak to relevant Awarding Body and explain the situation, for example it may be better to enter student by entry date but withdraw at later date with no charge than to incur late entry penalties. The action taken should be communicated to SBM & line manager of absent staff member.

5. Invigilator absence or shortage on peak days

Action

- EO to see if support staff can support, call other invigilators and in an emergency EO can invigilate in the room. Exam cannot start until correct ratios of staff to students in the exam room

Mitigation

- Invigilator absence is covered in Exam training with all Invigilators provided with EO mobile telephone number
- Have available list of invigilators who are happy to be called in at short notice

- Ensure the Invigilation team has mixed skills, e.g. not all invigilators want to lead an exam in the hall
- Regular training of invigilators to ensure knowledge and competency levels maintained

6. Exam rooms - lack of appropriate rooms or main venue unavailable at short notice

Action

- Exams officer to have a spare room in place to prevent unable to identify sufficient/appropriate rooms during exams timetable planning
- Meet with SLT with regards to Insufficient rooms available on peak exam days
- Main exam venues unavailable due to an unexpected incident at exam time, use our contingency plan at alternative site

Mitigation

- Exam Officer arrives early onsite on day of exams and checks Exam Room
- Alternatives site details: **St Osmund's Catholic Primary School, Exeter Street, Salisbury, SP1 2SG.**

7. Centre may not be able to open as normal during the examination period

(Including in the event of the centre being unavailable for examinations owing to an unforeseen emergency)

Action

- The decision on whether it is safe for a centre to open lies with the head of centre who is responsible for taking advice or following instructions from relevant local or national agencies.
- EO/SLT/RECEPTION to be made aware of issue at site and need to relocate to alternative site and submit alternative site form online via CAP
- EO to contact Invigilators
- The Awarding Body should be notified immediately if the school cannot open or if it is not safe for students and staff to travel.
- Follow Awarding Body instructions on how to proceed and for additional support and guidance.
- Consider the security of the exam if an alternative site is used
- Staff involved in exams (including invigilators) would be contacted by email, telephone and text

Mitigation

- Officer contacts SLT as early as possible to discuss contingency plan impact on exams i.e. will Exams the school open for exam purposes only
- If possible, the Exams Officer arrives to co-ordinate alternative arrangements
- Alternatives site details: **St Osmund's Catholic Primary School, Exeter Street, Salisbury, SP1 2SG.**

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

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

8. Emergency lock down of school or indefinite evacuation of exam room (serious incident) (during an exam)

Action

- If students are evacuated from room the defined exam room evacuation process is followed. Ensuring students remain isolated from the rest of the school.
- The students must be prevented from talking and communicating with each other.
- If it is possible to return to the room this will be the priority. If this is not possible EO to work with SLT to review alternative venues and whether it is possible to retrieve exam papers. Our contingency venue is **St Osmund's Catholic Primary School, Exeter Street, Salisbury, SP1 2SG.**

- EO to inform the Awarding Body if cannot get back to papers and take advice on best course of action
- EO would be responsible to ensure that whatever happened the Awarding Bodies are informed if there is any impact on student performance and Special Consideration application is made if deemed necessary
- Maintain JCQ invigilator to student ratio (even if need to swap out invigilators)

Mitigation

- Ensure exam training covers this scenario, and invigilators are aware of need to ensure candidates do not communicate with each other or other students

9. Disruption of teaching time – school closed for an extended period

Action

- HODs to ensure that work is available for students via electronic sources, web. Email, Sam learning, Teams, show my homework, directing to BBC bitesize
- Communications will also be sent out to students and parents when the incident is identified and at regular intervals

Teaching time lost due to severe weather conditions

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

Mitigation

- Teachers to plan ahead and communicate to students in advance if disruption is planned and foreseen e.g. strike action or weather related.

10. Failure of ICT systems

Action

- Any ICT issue to be raised to the network manager immediately
- Where the issue is impacting an exam action would be taken immediately to resolve the issue, so the student impacted was minimised. The action taken will be in line with JCQ rules and if necessary, a Special Consideration application would be made to the Awarding Body

Mitigation

- The school endeavours to minimise any ICT disruption via resilient design and preventative maintenance. The network manager also ensures we are up to date with SIMS maintenance patches and is on call when exam results are being downloaded
- Students who use laptops and computers during exams are reminded at the beginning of an exam to save work. This will help mitigate any issues should an issue occur.
- Students who use laptops are always positioned close to a plug socket to reduce the risk of battery failure of the laptop
- (This will include the security arrangements put in place which protect candidates' work)

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

11. Cyber Attack

Action

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

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

- a) providing training for authorised staff on the importance of creating strong unique passwords and keeping all account details secret
- b) providing training for staff on awareness of all types of social engineering/ phishing attempts
- c) enabling additional security settings wherever possible

- d) updating any passwords that may have been exposed
- e) setting up secure account recovery options
- f) reviewing and managing connected applications
- g) monitoring accounts and regularly reviewing account access, including removing access when no longer required
- h) ensuring authorised members of staff securely access awarding bodies' online systems in line with awarding body regulations regarding cyber security and the JCQ document *Guidance for centres on cyber security*

Authorised staff will have access, where necessary, to a device which complies with awarding bodies' multi-factor authentication (MFA) requirements.

reporting any actual or suspected compromise of an awarding body's online systems immediately to the relevant awarding body

- Any ICT issue to be raised to the network manager immediately and all accounts will be locked down and passwords changed
- Where the issue is impacting an exam action would be taken immediately to resolve the issue, so the student impacted was minimised. The action taken will be in line with JCQ rules and if necessary, a Special Consideration application would be made to the Awarding Body

Mitigation

- All school accounts are password protected
- There is a filter system in place
- A firewall and anti-virus systems are in place
- A back up of the server is held off site
- Account restrictions are made so only specific accounts have full access to the server
- Microsoft 365 has a 30 day back up which can be retrieved

12. Candidates may not be able to take examinations - centre remains open

Action

- Response is dependent on the type of issue; the action is on the student (or appropriate attendance is known).
- JCQ document *Instructions for conducting examinations* ☐ Be aware of the rules for very late arrivals (see section 21 of the JCQ document *Instructions for conducting examinations*) ☐ Wherever possible, it is always in the best interest for candidates to sit the examination. However, special consideration is an option where a candidate is unable to sit the examination (see Chapter 4 of the JCQ document *A guide to the special consideration process*) ☐ The relevant awarding body should be contacted if additional support or guidance in the event of disruption to examinations is required

Mitigation

- If a candidate can sit the exam but cannot attend the Centre due to a crisis, appropriate communication with the relevant Awarding Bodies would be undertaken by the EO and alternative options would be explored (home, hospital, alternative Centre etc.)
- Appropriate use of Special Consideration policies would be applied should the candidate/candidates be unable to attend due to unforeseen circumstances and where alternative arrangements could not be made or are not agreed by the Awarding Body

13. Disruption in the distribution of examination papers

Action

- EO to communicate with the Awarding Body in advance of exams period if papers not received
- EO can download Exam Papers from secure website (a short time before exam due to start) and print exam papers if dispatches not received. This may delay the start of the exam, but it should be noted on exam report and Awarding Body informed if exam starts late
- Students should be seated in Exam room whilst Exam Papers are being copied & printed if a delay to the start of the exam
- Papers should be checked before being given to student to ensure that there are no printing / photocopying issues which could impact student performance
- A log will be kept for any missed/refused collections

Mitigation

- EO check the exam papers as they are received so an issue with paper arrivals should be known in advance and the Awarding Body can then best advice on action

14. Delay in collection arrangements for completed examination papers

Action

- All scripts are returned using the designated dispatch methods prescribed by the Awarding Body concerned. Where this becomes unavailable or inappropriate, the Awarding Body will be contacted to discuss suitable alternatives.
- EO to contact designated dispatch service when one collection is missed.
- EO will complete automated report which comes from Awarding Body requesting update on status completed exam scripts when there is a delay in dispatch

Dispatch of exam scripts guide: Ensuring the service runs smoothly; Contingency planning
<https://www.gov.uk/government/publications/dispatch-of-exam-scripts-yellow-label-service>

Mitigation

- EO to escalate missed collections to DfE yellow label service so log is kept of missed collections and receive update on when next collection planned.

15. Assessment evidence is not available to be marked

Action

- In the event of large-scale damage or destruction of completed examination scripts/assessment evidence before it can be marked, the Exam Officer would notify the Awarding Body immediately for advice and further instructions
- Student marks would be submitted based on appropriate evidence and candidates would be given the opportunity to retake if possible
- Where any work is not available the teacher or HOD would advise the EO. The EO would contact the Awarding Body to discuss appropriate action. The student would be informed where appropriate

Mitigation

- Staff and students are informed of the need to ensure all work is stored securely (this includes electronic) ensuring where appropriate backup copies are taken

16. Centre unable to distribute results as normal

Action

- If due to a *timing delay (including technical impact)* (i.e. results are not available).
 - Communication sent via email to student explaining delay in results and when will be available for collection
 - EO/ SLT member on door at original collection time for results to give information
 - Poster put on school doors to explain issue and new arrangement for collection
- If due to a *school staffing*
 - Follow “absence of staff member with Exam Responsibilities” disruption outlined in this document
- If due to an *issue with school premise*
 - Follow “lack of appropriate rooms or main venues unavailable at short notice” disruption outline in this document. Also consider whether communication can be sent electronically or outside the venue
 - As results days also have local media presence this should be considered when deciding on appropriate action

Mitigation

- SLT and site staff are aware in advance of the dates students will be collecting results – contact to be made with EO if there were a known issue with school which would affect access.
- EO and other staff come into school for pre-results so can also check the access for students.

- EO has access to download the results remotely
- Our contingency venue is **St Osmund's Catholic Primary School, Exeter Street, Salisbury, SP1 2SG.**

Further guidance to inform and implement contingency planning

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

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

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

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

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

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

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

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

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

Information for centres affected by RAAC – the delivery of non-examination assessments and the special consideration process www.jcq.org.uk/exams-office/non-examination-assessments/

Further clarification for centres affected by RAAC, Caledonian Modular or similar building issues – March 2024 www.jcq.org.uk/exams-office/non-examination-assessments/

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

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

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

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

Appendix 2

ESCALATION PROCESS

Purpose of the process

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

Before examinations (Planning)

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

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

- General Regulations for Approved Centres
- Instructions for conducting examinations
- Access Arrangements and Reasonable Adjustments
- Instructions for conducting coursework
- Instructions for conducting non-examination assessments
- Suspected Malpractice – Policies and Procedures

- A guide to the special consideration process

Main duties and responsibilities relate to:

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

Before examinations (Entries and Pre-exams)

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

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

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

Main duties and responsibilities relate to:

- Access arrangements and reasonable adjustments
- Entries (including ensuring appropriate controls are in place which allows accurate entries to be submitted to the awarding bodies)
- Additional JCQ publications for reference:
 - Key dates in the examination cycle
 - Guidance Notes for Transferred Candidates
 - Alternative Site guidance notes
 - Guidance notes for overnight supervision of candidates with a timetable variation
- Centre assessed work (including that candidates' work is backed-up and considering the contingency of candidates' work being backed-up in the event of IT system corruption and cyber-attacks, an ensuring appropriate control are in place which allows accurate internally assessed marks to be submitted to the awarding bodies)
- Additional JCQ publication for reference:
 - Guidance Notes – Centre Consortium Arrangements
- Candidate information
- Additional JCQ publications for reference:
 - Information for candidate's documents

- Exam Room Posters

During examinations (Exam time)

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

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

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

- General Regulations for Approved Centres (sections 3, 5)
- Instructions for conducting examinations (sections 16-30)
- Access Arrangements and Reasonable Adjustments (section 8)
- A guide to the special consideration process (sections 2-7)
- **Main duties and responsibilities relate to:**
- Conducting examinations and assessments
 - Additional JCQ publication for reference:
 - Guidance Notes – Very Late Arrival
- Malpractice
- Retention of candidates' work

After examinations (Results and Post-Results)

As a contingency, the centre has at least one senior member of staff (senior designated contact) who is available to manage emergency requests from awarding bodies that are results related during the summer holidays. The National Centre Number Register is provided with the senior designated contact details (this might include a personal mobile number and/or email address). These are the contact details of someone who can be reached in an emergency if the centre is closed over the summer and who can mobilise resources to respond to the issue. (GR 3.18, 5.3). In the event of the absence of the head of centre or the member of senior leadership with oversight of examination administration, responsibility for implementing JCQ regulations and requirements relating to after examinations will be escalated to our Deputy heads.

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

- General Regulations for Approved Centres (section 5)

Main duties and responsibilities relate to:

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

There are regular update meetings between our Exams Officer, Head of Centre and SLT to ensure all procedures are carried out within the JCQ regulations and that all deadlines are completed on time.

Appendix 3

ON SCREEN TESTS

“Centres must be authorised by the relevant awarding body to offer on screen tests. The must ensure that they meet the arrangements detailed in this booklet and have the expertise to access, administer and support the test/examination” [JCQ ICE]

Security

- Relevant software must be in place
- Centre must demonstrate that appropriate security systems are in place to avoid unauthorised access.
- Exam materials must always be stored securely
- Exam materials must only be accessed in accordance with awarding body specific instructions
- The candidates test password must only be given at the start of the exam
- Different passwords must be set for each session
- Invigilators must check the identity of each candidate and ensure that they are given the correct passwords
- Exam materials must be kept confidential throughout the exam window

Timetabling

- Timetabled exam must take place at the specified times
- Centres must plan and set up before the exam date considering any restricted access
- Candidates must be informed of the room and time they will take the exam

Resources

- There must be sufficient workstations with at least one spare computer and printer
- Management of the secure test environment must be robust
- A Clock must be visible to all candidates

Accommodation

- The arrangement of workstations and the invigilators desk must allow for detection of unauthorised activity
- The following must be considered:
 - The distance between screens
 - The division of the workspace to allow for other permitted materials to be used
 - The use of booths, screens or partitions
 - Impact of invigilator requirement
 - Invigilator ratio
- Stations must be 1.25m apart
- Candidates must not change seats unless asked to by a member of exam staff

Invigilation

- The invigilator ratio must be 1:20
- Technical help should be available throughout
- There must be a signed record of the seating plan

Finishing the exam

- All work must be saved and be secure from unauthorised access
- All materials must be collected at the end of the exam
- Candidate accounts must be disabled after use
- Printing of candidate's work may happen after the exam end time as long as it is supervised
- Any scrap paper used must be collected

Appendix 5

THE MANAGEMENT OF NON-EXAMINATION ASSESSMENTS (including controlled assessments and coursework)

This policy confirms the JCQ requirement that we have in place for inspection that must be reviewed and updated annually, a written policy regarding the management of non-examination assessments including controlled assessments and coursework.

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

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

A JCQ Centre Inspector will ask the examinations officer to confirm that a policy is in place.

Guidance provided in this document will help the head of centre to ensure that the centre's policy is fit for purpose. ([NEA 1](#))

What is a Non-Examination Assessment?

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](#))

What is coursework?

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

The basic principles

Head of centre

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

Senior leaders

- Ensure the correct conduct of non-examination assessments which complies with [NEA, ICC](#) and awarding body subject-specific instructions
- Ensure the Centre wide calendar records assessment schedules by the start of the academic year.

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

- Confirms with subject heads that appropriate awarding body forms and templates for non-examination assessments 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.
- Ensures [NEA](#), [ICC](#) and relevant awarding body subject specific instructions are followed in relation to the conduct of non-examination assessments (including endorsements)
- Works with the QA lead/Lead internal verifier (or equivalent role) to ensure appropriate procedures are followed to internally standardise/verify the marks awarded by subject teachers.

Subject teacher

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

Exams officer

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

Task setting**Subject teacher**

- Selects tasks to be undertaken where several 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 always stored securely
- Ensures the correct task is issued to candidates

Task taking**Supervision****Subject teacher**

- Checks the awarding body's subject-specific requirements ensuring candidates take tasks under the required conditions and supervision arrangements
- Ensures there is sufficient supervision to enable the work of a candidate to be authenticated
- Ensures there is sufficient supervision to ensure the work a candidate submits is their own
- Is confident where work may be completed outside of the centre without direct supervision, that the work produced is the candidate's own
- Where candidates may work in groups, keeps a record of each candidate's contribution and it must be possible to attribute assessable outcomes to individual candidates
- Ensures candidates are aware of the current JCQ documents [Information for candidates - non-examination assessments](#) and [Information for candidates - social media](#)
- Ensures candidates understand and comply with the regulations in relevant JCQ *Information for candidates' documents*
- Ensures candidates:
 - understand that information from all sources must be referenced
 - receive guidance on setting out references

- are aware that they must not plagiarise other material

Advice and feedback

Subject teacher

- 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 including the internet and AI when planning and researching their tasks
- Refers to the JCQ document *AI Use in Assessments: Protecting the Integrity of Qualifications* (<http://www.jcq.org.uk/exams-office/malpractice>) as well as the awarding body's specification and/or associated documentation published by the awarding bodies and the regulator
 - By referencing this document and the centre's malpractice policy, makes candidates aware of the appropriate and inappropriate use of AI, the risks of using AI, and the possible consequences of using AI inappropriately in a qualification assessment
- Ensures conditions for any formally supervised sessions are known and put in place
- Ensures appropriate arrangements are in place to keep the work to be assessed, and any preparatory work, secure between any formally supervised sessions, including work that is stored electronically
- Ensures conditions for any formally supervised sessions are understood and followed by candidates
- Ensures candidates understand that they are not allowed to introduce augmented notes or new resources between formally supervised sessions
- Ensures that where appropriate to include references, candidates keep a detailed record of their own research, planning, resources etc.

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 (Electronic signatures are acceptable)
- Where there may be doubt about the authenticity of the work of a candidate or if malpractice is suspected, follows the authentication procedures and malpractice information in [NEA](#) or [ICC](#) and informs a member of the senior leadership team
- Understands that if, during the external moderation process, it is found that the work has not been properly authenticated, the awarding body will set the mark(s) awarded by the centre to zero

Presentation of work

Subject teacher

- Obtains informed consent at the beginning of the course from parents/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](#) or [ICC](#) unless the awarding body's specification gives different subject-specific instructions
- Instructs candidates to add their candidate number, centre number and the component code of the assessment as a header/footer on each page of their work
- Ensures if candidates' work is to be submitted electronically, that it meets the awarding body's specified requirements

Keeping materials secure

Subject teacher

- When work is being undertaken by candidates under formal supervision, ensures work is securely stored between sessions (if more than one session)
- When work is submitted by candidates for final assessment, ensures work is securely stored
- Follows secure storage instructions as defined in [NEA 4.8](#)
- Takes sensible precautions when work is taken home for marking
- Stores' internally assessed work, including the sample returned after awarding body moderation, securely until all possible post-results services have been exhausted.
- If post-results services have not been requested, returns internally assessed work to candidates (if requested by a candidate) after the deadline for requesting a review of results for the relevant series
- If post-results services have been requested, returns internally assessed work to candidates (if requested by a candidate) once the review of results and any subsequent appeal has been completed
- Reminds candidates of the need to keep their own work secure at all times and not share completed or partially completed work on-line on social media or through any other means (Reminds candidates of the contents of the JCQ document *Information for candidates – social media*)
- Where work is stored electronically, liaises with the IT Manager to ensure the protection and back-up of candidates' work and that appropriate arrangements are in place to restrict access to it between sessions.
- Understands that during the period from the submission of work for formal assessment until the deadline for requesting a review of results, copies of work may be used for other purposes, provided that the originals are stored securely as required

IT Manager

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

- Considers the contingency of candidates' work being backed-up on two separate devices, including one off-site back-up and implementing appropriate security arrangements which protect candidates' work in the event of IT system corruption and cyber-attacks
- Considers encrypting any sensitive digital media to ensure the security of the data stored within it and refers to awarding body guidance to ensure that the method of encryption is suitable

Task marking – externally assessed components

Conduct of externally assessed work

Subject teacher

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

Exams officer

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

Submission of work

Subject teacher

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

Exams officer

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

Task marking – internally assessed components

Marking and annotation

Head of centre

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

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/markings process
- Marks candidates' work in accordance with the marking criteria provided by the awarding body

- Does not use artificial intelligence as the sole means of marking candidates' work
- Annotates candidates' work as required to facilitate internal standardisation of marking and enable external moderation to check that marking is in line with the assessment criteria
- Informs candidates of their marks which could be subject to change by the awarding body moderation process
- Ensures candidates are informed of the timescale set by the subject lead or as indicated in the centre's *internal appeals procedure* to enable an internal appeal/request for a review of marking to be submitted by a candidate and the outcome known before final marks are submitted to the awarding body

Internal standardisation

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

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

Subject teacher

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

Consortium arrangements

Subject head/lead

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

Subject teacher

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

Exams officer

- Where the centre is the consortium lead:
 - submits an online notification of *Centre consortium arrangements for centre-assessed work* to the relevant awarding body through the Centre Admin Portal (CAP) by no later than the published deadline for each exam series affected
 - submits marks for home centre candidates to the awarding body deadline
 - where relevant, liaises with the other exams officers in the consortium to arrange despatch of a single moderation sample to the awarding body deadline

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

Exams officer

- Accesses or signposts any 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 (or equivalent role) to ensure any access arrangements for eligible candidates are applied to assessments

Special educational needs coordinator (SENCo) (or equivalent role)

- Follows the regulations and guidance in the JCQ document [Access Arrangements and Reasonable Adjustments](#) in relation to non-examination assessment including [Reasonable Adjustments for GCE A-level sciences – Endorsement of practical skills](#)
- Where arrangements do not undermine the integrity of the qualification and it is the candidate's normal way of working, we 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 document [A guide to the special consideration process](#)
 - Where a candidate is eligible, applies for special consideration via the awarding body's secure extranet site to the prescribed timescale
 - Where application for special consideration via the awarding body's secure extranet site is not applicable, submits the required form to the awarding body to the prescribed timescale
 - Keeps required evidence on file to support the application
- Refers to/directs relevant staff where applicable to [Form 15 – JCQ/LCW](#) and where applicable submits to the relevant awarding body (For coursework, AQA and OCR centres must not submit Form 15 – JCQ/LCW. Applications must be submitted online using AQA Centre Services or OCR Interchange as appropriate)

Malpractice

Head of centre

- Understands the responsibility to immediately report to the relevant awarding body any alleged, suspected or actual incidents of malpractice involving candidates or centre staff
- Ensures any irregularity identified by the centre before the candidate has signed the authentication statement (where required) are dealt with under its own internal procedures, with no requirement to report the irregularity to the awarding body (The only exception being where the awarding body's confidential assessment materials has been breached, the breach must be reported to the awarding body)
- Is familiar with the JCQ document [Suspected Malpractice: Policies and Procedures](#)
- Ensures that those members of teaching staff involved in the direct supervision of candidates producing non-examination assessments or coursework 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 and coursework](#)
- Ensures candidates understand the JCQ document [Information for candidates - non-examination assessments and \(where applicable\) Information for candidates - coursework 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 document [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 document [post-results Services](#)
- Ensures the centre's *internal appeals procedure* clearly details the procedure to be followed by candidates (or their parents/carers) appealing against a centre decision not to support an application for 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 as detailed in the JCQ document [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 centre-assessed work 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 (or equivalent role)

- 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

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

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
Centre staff malpractice	Records confirm that relevant centre staff are familiar with and follow: <ul style="list-style-type: none"> the current JCQ documents Instructions for conducting non-examination assessments and (where applicable) Instructions for conducting coursework the JCQ document Notice to Centres - Sharing NEA material and candidates' work - www.jcq.org.uk/exams-office/non-examination-assessments 	HOC/SLT
Candidate malpractice	Records confirm that candidates are informed and understand they must not: <ul style="list-style-type: none"> 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, AI or other sources without acknowledgement or attribution submit work that has been word processed by a third party without acknowledgement include inappropriate, offensive or obscene material Records confirm that candidates have been made aware of the JCQ documents Information for candidates - non-examination assessments, (where applicable) Information for candidates – coursework assessments and Information for candidates – social media - www.jcq.org.uk/exams-office/information-for-candidates-documents and understand they must not post their work on social media	ST
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	IT/EO
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	HOD/SLT
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	ST

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
Subject teacher long term absence during the task setting stage	See centre's contingency plan (Teaching staff extended absence...)	HOD/SLT
Issuing of tasks		
Awarding body set task not issued to candidates on time	Awarding body key date for accessing set task as detailed in the specification noted prior to start of course Course information issued to candidates contains details when set task will be issued and needs to be completed by Set task accessed well in advance to allow time for planning, resourcing and teaching	SJ/HOD
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	SJ/HOD
Subject teacher long term absence during the issuing of tasks stage	See centre's contingency plan (Teaching staff extended absence)	HOD/SLT
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	SLT
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	SLT
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 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)	EO
Insufficient supervision of candidates to enable work to be authenticated	Confirm subject teachers are aware of and follow the current JCQ document Instructions for conducting non-examination assessments and any other specific instructions detailed in the awarding body's specification in relation to the supervision of candidates Confirm subject teachers understand their role and responsibilities as detailed in the Centre's non-examination assessment policy	SLT
A candidate is suspected of malpractice prior to submitting their work for assessment	Instructions and processes in the current JCQ documents Instructions for conducting non-examination assessments (9. Malpractice) and (where applicable) Instructions for conducting coursework (6. Malpractice in coursework) are followed	SLT

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
	An internal investigation and where appropriate internal disciplinary procedures are followed	
Access arrangements were not put in place for an assessment where a candidate is approved for arrangements	Relevant staff are signposted to the JCQ document A guide to the special consideration process (2), to determine the process to be followed to apply for special consideration for the candidate	SLT/EO
Advice and feedback		
Candidate claims appropriate advice and feedback not given by subject teacher prior to starting on their work	Ensures a centre-wide process is in place for subject teachers to record all information provided to candidates before work begins as part of the centre's quality assurance procedures Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity Full records kept detailing all information and advice given to candidates prior to starting on their work as appropriate to the subject and component Candidate confirms/records advice and feedback given prior to starting on their work	ST/SLT
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	HOD/SLT
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	SLT
Candidate does not reference information from published source	Candidate is advised at a general level to reference information before work is submitted for formal assessment Candidate is again referred to the JCQ document Information for candidates: non-examination assessments and (where applicable) Information for candidates – coursework assessments Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion	ST
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 and (where applicable) Information for candidates – coursework assessments	ST

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
	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	ST
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	EO
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	SLT
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	ST
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 acknowledge sources appropriately Where confirmation is unavailable from candidate's records, awarding body guidance is sought and/or a mark of zero is submitted to the awarding body for the candidate	ST
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	ST
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	ST
Authentication procedures		
A teacher has doubts about the authenticity of the work submitted by a candidate for internal assessment	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	SLT

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
Candidate plagiarises other material	Candidates confirm/record that they understand what they need to do to comply with the regulations for non-examination assessments as outlined in the JCQ document Information for candidates: non-examination assessments and (where applicable) Information for candidates: coursework assessments The candidate's work is not accepted for assessment A mark of zero is recorded and submitted to the awarding body	
Candidate does not sign their authentication statement/declaration	Records confirm that candidates have been issued with the current JCQ document Information for candidates: non-examination assessments and (where applicable) Information for candidates – coursework assessments Candidates confirm/record they understand what they need to do to comply with the regulations as outlined in the JCQ document Information for candidates: non-examination assessments and (where applicable) Information for candidates – coursework assessments Declaration is checked for signature before accepting the work of a candidate for formal assessment	ST
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	HOD/SLT
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	ST
Keeping materials secure		
Candidates work between formal supervised sessions is not securely stored	Records confirm subject teachers are aware of and follow current JCQ document Instructions for conducting non-examination assessments Regular monitoring/internal audit ensures subject teacher use of appropriate secure storage	ST
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	SLT
Candidates work produced electronically is not securely stored	Records confirm subject teachers are aware of and follow current JCQ document Instructions for conducting non-examination assessments Internal processes and regular monitoring/internal audit by IT Manager ensure: <ul style="list-style-type: none"> access to this material is restricted appropriate security safeguards are in place an effective back-up strategy is employed so that an up-to-date archive of candidates' evidence is maintained (any sensitive digital media is encrypted (according to awarding 	IT

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
	body guidance to ensure that the method of encryption is suitable) to ensure the security of the data stored.	
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	EO
A candidate is absent on the day of the examiner visit for an unacceptable reason	The candidate is marked absent on the attendance register	EO
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	EO
A candidate is unable to finish their work for unforeseen reason	Relevant staff are signposted to the JCQ document A guide to the special consideration process (5), to determine eligibility and the process to be followed for shortfall in work	EO
The work of a candidate is lost or damaged	Relevant staff are signposted to the JCQ documents Instructions for conducting non-examination assessments (8) and (where applicable) Instructions for conducting coursework (16), to determine eligibility and the process to be followed for lost or damaged work	EO
Candidate malpractice is discovered	Instructions and processes in the current JCQ documents Instructions for conducting non-examination assessments (9. Malpractice) and (where applicable) Instructions for conducting coursework (6. Malpractice in coursework) are followed Investigation and reporting procedures in the current JCQ document Suspected Malpractice: Policies and Procedures are followed Appropriate internal disciplinary procedures are also followed	SLT
A teacher assesses the work of a candidate with whom they have a close personal relationship e.g. members of their family (which includes stepfamily, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter)	A possible conflict of interest is declared by informing the awarding body before the published deadline for entries for each examination series Marked work of said candidate is submitted for moderation whether part of the sample requested or not	SLT
An extension to the deadline for submission of marks is required for a legitimate reason	Awarding body is contacted to determine if an extension can be granted Relevant staff are signposted to the JCQ document A guide to the special consideration process (5), to determine eligibility and the process to be followed for an extension	EO

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
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 document A guide to the special consideration process (2), to determine eligibility and the process to be followed to apply for special consideration for candidates	EO
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	EO
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	ST
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	SLT
Subject teacher long term absence during the marking period	See centre's contingency plan (Teaching staff extended absence)	SLT

Appendix 5

MALPRACTICE and MALADMINISTRATION

Staff Malpractice

Introduction

This document sets out to define the procedures to be followed in the event of any dispute or allegation regarding staff malpractice in the assessment of internally marked qualifications and regarding examinations invigilated by staff at the school and marked externally.

Examples of Malpractice

Attempted or actual malpractice activity will not be tolerated. Malpractice covers deliberate actions, neglect, default and could be any activity or practice which deliberately contravenes regulations and compromises the integrity of the internal or external assessment process and /or the validity of certificates. The following are examples of malpractice by staff with regards to portfolio-based qualifications. This list is not exhaustive:

- Tampering with candidates work prior to external moderation/verification
- Assisting candidates with the production of work outside of the awarding body guidance
- Fabricating assessment and/or internal verification records or authentication statements

The following are examples of malpractice by staff regarding examinations

- Assisting candidates with exam questions outside of the awarding body guidance
- Allowing candidates to talk, use a mobile phone or go to the toilet unsupervised
- Tampering with scripts prior to external marking taking place.

Staff Malpractice Procedure

Investigations into allegations will be coordinated by the Head of Centre who will ensure the initial investigation is carried out within ten working days. The person responsible for coordinating the investigation will depend on the qualification being investigated. The investigation will involve

establishing the full facts and circumstances of any alleged malpractice. It should not be assumed that because an allegation has been made, it is true. Where appropriate, the staff member concerned, and any potential witnesses will be interviewed, and their version of events recorded on paper.

The member of staff will be:

- informed in writing of the allegation made against him or her
- informed what evidence there is to support the allegation
- informed of the possible consequences, should malpractice be proven
- given the opportunity to consider their response to the allegations
- given the opportunity to submit a written statement
- given the opportunity to seek advice (as necessary) and to provide a supplementary statement (if required)
- informed of the applicable appeals procedure, should a decision be made against him/her
- informed of the possibility that information relating to a serious case of malpractice will be shared with the relevant awarding body and may be shared with other awarding bodies, the regulators Ofqual, the police and/or professional bodies including the GTC

If work is submitted for moderation/verification or for marking which is not the candidate's own work, the awarding body may not be able to give that candidate a result.

Staff Malpractice Sanctions

Where a member of staff is found guilty of malpractice, St Joseph's Catholic School may impose the following sanctions:

- 1) **Written warning:** Issue the member of staff with a written warning stating that if the offence is repeated within a set period, further specified sanctions will be applied
- 2) **Training:** Require the member of staff, as a condition of future involvement in both internal and external assessments to undertake specific training or mentoring, within a particular period of time, including a review process at the end of the training
- 3) **Special conditions:** Impose special conditions on the future involvement in assessments by the member of staff
- 4) **Suspension:** Bar the member of staff in all involvement in the administration of assessments for a set period
- 5) **Dismissal:** Should the degree of malpractice be deemed gross professional misconduct; the member of staff could face dismissal from his/her post

Appeals

The member of staff may appeal against sanctions imposed on them. Appeals will be conducted in line with the organisations Appeals Policy.

Centre responsibility

The centre will fully co-operate with any Awarding Body Organisation or regulator investigation. Supplying timely, accurate and full information.

When malpractice is suspected or identified it may be required to notify the Awarding Body whilst the investigation takes place. This is to ensure that the Awarding Body can fulfil their responsibility to regulatory authorities ensuring all investigations are carried out rigorously and effectively

Candidate Malpractice Policy

Introduction

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

Candidates informed

Candidates are informed and advised to avoid committing malpractice in examinations/assessments in various ways:

- JCQ candidate information, signposted on website, student portal, exam booklet.
- Assemblies, form time, parent information evening
- Two set of mocks, including posters handouts

Examples of Malpractice

Attempted or actual malpractice activity will not be tolerated. Malpractice covers deliberate actions, neglect, default and could be any activity or practice which deliberately contravenes regulations and compromises the integrity of the internal or external assessment process and /or the validity of certificates.

The following are examples of malpractice by candidates with regards to NEAs/coursework qualifications. This list is not exhaustive:

- Plagiarism: the copying and passing off as the candidate's own work, the whole or part of another person's work
- Collusion: working collaboratively with other learners to produce work that is submitted as the candidate's only
- Failing to abide by the instructions of an assessor – This may refer to the use of resources which the candidate has been specifically told not to use
- The alteration of any results document

If staff suspects a candidate of malpractice in a NEA/coursework before they have signed their declaration, the candidate will be informed, and the allegations will be explained. The candidate will have the opportunity to give their side of the story before any final decision is made. If the candidate accepts that malpractice has occurred, they will be given the opportunity to repeat the assignment. If found guilty of malpractice following an investigation, the teacher may decide to re-mark previous assignments, and these could also be rejected if similar concerns are identified. If this is after they have signed their declaration the Exam Boards will be notified of the malpractice and they will have to make the decision on the outcome.

The following are examples of malpractice by candidates with regards to examinations. This list is not exhaustive:

- Talking during an examination
- Taking a mobile phone, watch or any electronic device into an examination
- Taking any item other than those accepted by the Awarding Body into the examination, such as a book or notes
- Leaving the examination room without permission
- Passing notes or papers to, or accepting notes or papers from another candidate

If an invigilator suspects a candidate of malpractice during an examination, the candidate will be informed after the exam and the allegations will be explained. The candidate will have the opportunity to give their side of the story before any final decision is made. If the candidate is found guilty of malpractice, the Awarding Body will be informed, and it will be their decision if the candidate's examination paper will be withdrawn and any further repercussions

Artificial Intelligence (AI)

While the potential for candidate artificial intelligence (AI) misuse is new, most of the ways to prevent its misuse and mitigate the associated risks are not. This guidance reminds teachers and assessors of best practice in this area, applying it in the context of AI use.

Candidates are informed at the start of their examinations/assessments by their teachers and the JCQ candidate information and PowerPoint. They are advised what AI is when it may be used and how it

should be acknowledged, the risk of using AI and what AI misuse is and how this will be treated as malpractice.

The guidance emphasises the following requirements:

- As has always been the case, and in accordance with section 5.3 of the JCQ General Regulations for Approved Centres (<https://www.jcq.org.uk/exams-office/general-regulations/>), all work submitted for qualification assessments must be the candidates' own.
- The committed malpractice, in accordance with JCQ regulations, and may attract severe sanctions.
- Candidates and centre staff must be aware of the risks of using AI and must be clear on what constitutes malpractice.
- Candidates must make sure that work submitted for assessment is demonstrably their own. If any sections of their work are reproduced directly from AI generated responses, those elements must be identified by the candidate, and they must understand that this will not allow them to demonstrate that they have independently met the marking criteria and therefore will not be rewarded (please see the Acknowledging AI Use section below).
- Teachers and assessors must only accept work for assessment which they consider to be the candidates' own (in accordance with section 5.3 Of the JCQ General Regulations for Approved Centres) Where teachers have doubts about the authenticity of student work submitted for assessment (for example, they suspect that parts of it have been generated by AI but this has not been acknowledged), they must investigate and take appropriate action.

Appeals

If a malpractice decision is made, which the candidate feels is unfair, the candidate has the right to appeal in line the Appeals Policy.

Centre Malpractice

Awarding organisations must investigate and, where necessary, penalise centres and centre staff involved in malpractice. Instances of malpractice can range from actions that are intended to give an unfair advantage to candidates in an examination or assessment, to ignorance of, or inappropriate application of, the assessment regulations.

Centre Staff Malpractice

Awarding organisations will normally impose sanctions and penalties on centre staff found guilty of malpractice. These can include: a written warning about the implications of repeating the offence; imposing special conditions on an individual's future involvement in examinations and assessments; requiring specific training or mentoring as a condition of future involvement in examinations; suspending an individual from all involvement in delivering examinations and assessments for a set period.

Centre responsibility

The centre will fully co-operate with any Awarding Body Organisation or regulator investigation supplying timely, accurate and full information.

When malpractice is suspected or identified it may be required to notify the Awarding Body whilst the investigation takes place. This is to ensure that the Awarding Body can fulfil their responsibility to regulatory authorities ensuring all investigations are carried out rigorously and effectively.

Appendix 6

Emergency procedure

Centre emergency evacuation procedure

<https://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations/centre-emergency-evacuation-procedure> [JCQ]

The following will be displayed in every exam room:

Emergency Evacuation Procedure for Exams

In the unlikely event of a fire alarm sounding during an exam these instructions **MUST** be followed in COMPLETE SILENCE and UNDER EXAM CONDITIONS.

- Should the fire alarm go off, do not panic. Calmly put your pen on the desk and close your exam answer book.
- If using a Word Processor save your work.
- The invigilator will ask you to leave the room in complete silence in the order you are seated. Leave all equipment in the exam room.
- You will be escorted directly onto the playground, walk to the top of the steps to the playing field where the invigilator will take the register. You must remain here under exam conditions until instructed otherwise.
- A suitable distance between you and the pupil in front or behind must be always maintained.
- NO COMMUNICATION BETWEEN STUDENTS IS ALLOWED. (Communication with another student will result in disqualification from the paper).
- The Exams Officer or invigilator will tell you when to return to the exam room – all the above rules still apply. You must remain silent.
- Do not start writing until the invigilator tells you to do so.
- The exam will be restarted ensuring you have full allocation of time.

You are still under exam conditions until the exam has formally finished.

Appendix 7

INTERNAL APPEALS PROCEDURE

*“The centre agrees to...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* JCQ [GR 5.7]

“The centre agrees to...have available for inspection purposes and draw to the attention of candidates and their parents/carers, a written internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support an enquiry about results or an appeal;” JCQ [PRS 5.14]

Appeals at St Joseph’s Catholic school is in four parts:

1. ***Appeals procedure against internal assessment decisions (Centre assessed marks)***
2. ***Appeals procedure against centre decisions not to support a clerical check, a review of marking, a review of moderation or an appeal***

3. Centre decisions relating to access arrangements and special consideration

1. Appeals procedure against internal assessment decisions (Centre assessed marks)

St Joseph's is committed to ensuring that:

- Candidates are informed of their centre-assessed marks so that they may request a review of the centre's marking before marks are submitted to the awarding body.
- Inform candidates that they will need to explain on what grounds they wish to request a review of an internally assessed mark as review will only focus on the quality of their work in meeting the published assessment criteria.
- Inform candidates that they may request copies of materials (for example, as a minimum, a copy of the marked assessment material (work) and the mark scheme or assessment criteria plus additional materials which may vary from subject to subject) to assist them in considering whether to request a review of the centre's marking of the assessment.
- Having received a request for copies of materials, promptly make them available to the candidate within 5 working days (this will either be the originals viewed under supervised conditions or copies)
- Inform candidates they will not be allowed access to original assessment material unless supervised.
- Provide candidates with 5 working days to allow them to review copies of materials and reach a decision.
- Reviews of marking must be made in writing within 5 working days of receiving copies of the requested materials by completing the internal appeals form and must explain on what grounds they wish to request a review. Requests after this time will not be accepted.
- The school will allow 5 working days for the review to be carried out, to make any necessary changes to marks and to inform the candidate of the outcome, all before the awarding body's deadline.
- Ensure that the review of marking is carried out by an assessor who has appropriate competence, has had no previous involvement in the assessment of that candidate and has no personal interest in the review.
- Will instruct the reviewer to ensure that the candidate's mark is consistent with the standard set by the centre.
- The candidate will be informed 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 the final decision will have if there is any disagreement on the mark to be submitted to the awarding body. A written record of the review will be kept and made available to the awarding body upon request. The awarding body will be informed if the centre does not accept the outcome of a review.

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

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

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

We must ensure that those members of teaching staff involved in the direct supervision of candidates producing work for assessments are aware of the potential for malpractice.

Malpractice by a candidate discovered in a controlled assessment, coursework or non-examination assessment component prior to the candidate signing the declaration of authentication does not need to

be reported to the awarding body but will be dealt with in accordance with the centre's internal procedures. The only exception to this is where the awarding body's confidential assessment material has potentially been breached. The breach will be reported to the awarding body immediately.

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

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

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

- A written request, setting out as clearly and concisely as possible the grounds for the appeal including any further evidence relevant to supporting the appeal, should be submitted
- an **internal appeals form** should be completed and submitted within 5 working days of the decision being made known to the appellant

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

2. Appeals procedure against centre decisions not to support a clerical 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 will be provided by the Exams Officer.

Candidates are also informed of the arrangements for post-results services, before they sit any exam and the accessibility of senior members of centre staff immediately after the publication of results by regular communication meeting with the Exams Officer and SLT before they start study leave.

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

Review of results

- Service 1 - clerical re-check (this service can only be requested for objective tests e.g. multiple choice)
- Service 2 - review of marking
- Service 3 – review of moderation (this service is not available to an individual candidate)

Access to Scripts

- 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 result, the centre will:

- Collect informed written consent/permission from the candidate to access their script

- accessing the script by (where the service is made available by the awarding body) requesting a priority copy of the candidate's script to support a review of marking by the awarding body deadline or
- On access to the script, consider if it is felt that the agreed mark scheme has been applied correctly in the original marking and if the centre considers there are any errors in the marking
- Support a request for the appropriate RoR service (clerical re-check or review of marking) if any error is identified
- Collect informed written consent from the candidate to request the RoR service before the request is submitted
- Where relevant, advise an affected candidate to inform any third party (such as a sixth form 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 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 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 service 2), first advise the candidate to access a copy of their script to support a review of marking by providing written permission for the centre to access the script (and any required fee) for this service for the centre to submit this request
- After accessing the script to consider the marking, inform the candidate that if a request for a review of marking (RoR service 1 or 2) is required, this must be submitted by the deadline set by the centre by providing informed written consent (and the required fee for this service) for the centre to submit this request
- Inform the candidate that a review of moderation (RoR service 3) cannot be requested for the work of an individual candidate or the work of a candidate not in the original sample.

If the candidate (or their parent/carer) believes there are grounds to appeal against the centre's decision not to support a review of results, an internal appeal can be submitted to the centre completing the internal appeals form at least 14 working days prior to the deadline for submitting a review of results. The appellant will be informed of the outcome of their appeal at least 7 working days to the deadline for submitting a review of results.

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

Where the Head of Centre is satisfied after receiving the review of the results outcome, but the candidates and/or their parents/carers 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, parents/carers are not permitted to make direct representations to an awarding body.

The internal appeals form should be completed and submitted to the Exams Officer within 3 calendar days of the notification of the outcome of the Review of Results. Subject to the Head of Centre's decision, this will allow the centre to process the appeal and submit to the awarding body within the required 30 calendar days of receiving the outcome of the review of results process.

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

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

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

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

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

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

3. Centre decisions relating to access arrangements and special consideration

This procedure confirms compliance with JCQ's General Regulations for Approved Centres that the centre will:

- have in place and available for inspection a written internal appeals procedure which must cover at least appeals regarding centre decisions relating to access arrangements and special consideration will:
- comply with the principles and regulations governing access arrangements and special consideration as set out in the JCQ publications Access Arrangements and Reasonable Adjustments and A guide to the special consideration process
- ensure that all staff who manage and implement access arrangements and special consideration are aware of the requirements and are appropriately supported and resourced

Access arrangements and reasonable adjustments

In accordance with the regulations:

- recognises its 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.
- complies with its responsibilities in identifying, determining and implementing appropriate access arrangements and reasonable adjustments

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

Examples of failure to comply include:

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

Special consideration

Where has appropriate evidence signed by a member of the senior leadership team to support an application, it will apply for special consideration at the time of the assessment for a candidate who is affected by adverse circumstances beyond their control when the issue or event has had, or is

reasonably likely to have had, a material effect on the candidate's ability to take an assessment or demonstrate their normal level of attainment in an assessment.

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

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

Where we decide in relation to the access arrangement(s), reasonable adjustment(s) or special consideration that apply for a candidate or candidates:

- If a candidate who is the subject of the relevant decision (or the candidate's parent/carer) disagrees with the decision made and reasonably believes that the centre has not complied with its responsibilities or followed due procedures, a written request setting out the grounds for appeal should be submitted
- An internal appeals form should be completed and submitted 7 working days of the decision being made known to the appellant.

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

The appellant will be informed of the outcome of the appeal 7 working days of the appeal being received and logged by the centre.

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

Appendix 8

CONFLICT OF INTEREST POLICY

It is the responsibility of the head of centre to ensure that a written conflicts of interest policy in place available for inspection. This policy confirms that we:

- Manages conflicts of interest by informing the awarding bodies, before the published deadline for entries for each examination series, of:
- any members of centre staff who are taking qualifications at their own centre which include internally assessed components/unit
- any members of centre staff who are teaching and preparing members of their family (which includes stepfamily, foster family and similar close relationships) or close friends and their

immediate family (e.g. son/daughter) for qualifications which include internally assessed components/units **and**

- maintains clear records of **all instances** where:
- exams office staff have members of their family (which includes stepfamily, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) being entered for examinations and assessments either at the centre itself or other centres
- centre staff are taking qualifications at their own centre which do not include internally assessed components/units
- centre staff are taking qualifications at other centres (GR 5.3)
- This information will be collected each year in case there are any changes
- Changes which arise within the same academic year must be brought to the attention of the exams officer immediately
- This information is held on file as a means of protection for both staff and the school.
- Exam boards will be notified of the necessary information on or before the entries deadline as stated in [JCQ General Regulations](#).
- Ensure that proper protocols are in place to prevent the member of centre staff having access to examination materials prior to the examination and that other centre staff are briefed on maintaining the integrity and confidentiality of the examination materials
- Ensure that during the examination series the member of centre staff is treated in the same way as any other candidate entered for that examination, does not have access to examination materials and does not receive any preferential treatment (GR 5.3)
- Where there is a conflict-of-interest measures will need to be taken to mitigate risk, these will be noted on the data collection form and the member of staff informed. These measures will be outlined by a member or SLT and the EO.
- Retain the records of the measures taken to mitigate any potential risk to the integrity of the qualifications affected until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later (GR 5.3).

Appendix 9

A DETAILED BUT NOT CONCLUSIVE LIST OF EO MONTHLY RESPONSIBILITIES

Exam cycle tasks by Month

September

- **Year 11 mocks**
 - Book invigilators and TA support
 - Collect class lists from HOD's
 - Collect mock papers – check that there are enough papers

- Agree access arrangements with SENCo
- **Results Analysis sheets for HOD's**
- **Non-examination Assessments**
 - Get visibility from HOD's of proposed window for NEAs to take place
- **CAT Tests for new pupils**
 - CAT results imported into Assessment Manager and in Shared Resources
- **Distribute NEA moderator reports received from Awarding Bodies**
 - Provide SLT with summary
- **Allocate Exam & UCI Numbers**
 - Refer to SIMs Exams handbook
 - Allocate Exam Number and UCI for all Yr.10 students (and any other lower year students taking exams)
 - Export data and mail merge to produce candidate exam cards (for mock exams)
- **Deadline for requests for review of results**
 - Refer to [JCQ Post-Results Services Guide](#) for detailed instructions.
 - Subject Leaders need to request ROR by completing ROR Request Form issued with Summer Results – by EO communicated deadline
 - Check with SLT.
 - Obtain student's written consent via email
 - Submit request to Awarding Body – see individual Awarding Body web sites for details.
- **Online issue of final Timetable for Summer Exams**
 - Speak to HOD to confirm EB and specification
 - Email to staff and display on Exams Notice Board.
 - Update exam link on the school website

October

- **DfE – School Performance**
 - Check the details of each student is correct, ensuring that ROR's have been updated
- **Submit NCN record declaration**
 - Declaration must have physical signature of Head (copy of which is retained on record at the school). The head is confirming they are aware of (and adhering to) the latest versions of JCQ regulations, and the relevant Awarding Body specifications and guidelines. Also confirming that all students will take the English GCSE Spoken language endorsement for English.
- **Request details of students requiring Access Arrangements**
 - Email SENCo requesting details of students requiring Access Arrangements (readers, scribes, extra time, coloured paper, WP etc.)
- **Deadline for submission of Estimated Entries for Summer Exams**
 - Complete estimated number of entries for each exam via Awarding Body Web Sites – this is ONLY an estimate so use class numbers.
- **Deadline for receipt of Exam Certificates**
 - Check all Certificates have been received and put into envelopes ready for collection
 - Certificates for students still on roll should be retained in box in Exams Cupboard.
- **Inform SLT/Head of Department/students of EAR outcomes.**
- **JCQ Booklets despatch**
 - Read through and highlight any changes/recommendations to SLT
 - Copies put onto Shared Resources
 - Copies put into Exam boxes
 - Copies of relevant books given to SLT/SENCo
- **Book Invigilators for Mocks**

November

- **Base Data for Summer Exams available 21st November**

- Set up Summer Exam Season in SIMs – see SIMs Exams Handbook.
- Add candidates to Exam Season – see SIMs Exams Handbook.
- Download Base Data from Awarding Body web sites and import into SIMs as required – see SIMs Exams Handbook
- Set up Mark sheets for each exam in SIMs – See SIMs Exams Handbook. To make life easier when making entries I would recommend that you set up Mark sheets by Teaching Group and Year Group. I would name them in the format Awarding Body, Subject, Spec No, Year Group.
- **Earliest date for confidential disposal of unwanted scripts from Summer Exams**
 - Coursework from Summer Exams can be returned to students or disposed of if unwanted
- **Collect Mock Papers and Student Lists**
- **Access Arrangements Training with TA's**
- **Review EAL students to understand whether they should be considered for entry for language GCSE**
- **Latest date for receipt of certificates – 7th November**
 - Arrange week for student collection of certificates after this date

December

- **Receipt of Externally Assessed Task for GCSE Art**
 - Check receipt and hand to Subject Leader
- **Look Through Exam Policies – Amendments to be ratified by SLT and Governors**
- **Request Entries for Summer Exams**
 - Create & Download marksheets into excel format and save on staff shared drive for teachers to update. Once updated reupload into SIMS directly. Set deadline later January to ensure contingency before Awarding Body entry deadline.

January

- **Year 11 mocks**
 - Book invigilators and TA support
 - Collect class lists from HOD's
 - Collect mock papers – check that there are enough papers
 - Agree access arrangements with SENCo
- **GCSE Art/Performing Arts externally set task can be issued**
- **Review Mock Exam Access Arrangements**
 - Set up meeting with SENCo and students (with parents to let them know what will be in place
- **Update student exam guide**
- **JCQ deadline for submission of Centre Consortium agreement for centre assessed work**

February

- **21st February - Deadline for submission of Entries for Summer Exams before late charges are incurred**
 - Using information received from Subject Leaders complete Entry Mark sheets in SIMs (Exams Handbook).
 - Print Entry Lists from SIMs and forward to Subjects for checking, signing and returning.
 - Upload to Awarding Body using A2C
 - Print Individual Candidate Timetables from SIMs and present to students with covering letter, 'Route to Success' booklet and JCQ Information for Candidates

- Advice Head's PA of exam dates and times to avoid Assembly clashes. Update school calendar.
- Agree early lunches
- **31st January – Deadline for requesting Modified Papers for Summer Exams**
 - SENCo Department will advise if these are required. Order from Awarding Body
- **Deadline for requesting Access Arrangements for Summer Exams (Process managed by SENCo)**
 - SENCo will advise which students require applications – JCQ [AA]
 - Each student should sign a Data Protection Notice before application is made
 - Print 2 copies of approved applications one exam file and one for SENCo
- **Centre Declaration Sheets and Candidate Forms given to HOD's**
- **Update Approved Access Arrangements into SIMS**
- **Email invigilators with summer timetable – Book Invigilator Training**

March / April

- **Check no timetable clashes**
- **Results of Digital Applications released to centres (DIDA/CIDA)**
- **Resources for Summer Exams**
 - Refer to JCQ [ICE]
 - Morning exams start at 9.15am and afternoon exams vary between 1.00pm & 2.00pm depending on duration and Year Group involved. JCQ rules stipulate 9.00am & 1.30pm start but Centres have 30-minute window either side. Any alterations to this must be approved by Awarding Body. See JCQ [ICE] Run Clashes Report in SIMs. If there are clashes refer to Exams Handbook.
 - Decide on Room and Staffing requirements for Summer Exams. Depending on number of candidates it may be possible to sit Access Arrangement candidates in Hall – check with SENCo Confirm with HEAD TEACHER'S PA so room changes can be implemented.
 - Book Invigilators – send letter confirming hours and ask them to confirm they are available.
 - Details of Invigilators can be found in filing cabinet - 1 Invigilator to 30 candidates for written exams, 1 to 20 for onscreen and art exams.
 - SENCo will support with supply of Readers and Scribes. Liaise with over staff availability. Aim for students to have same scribes for all exams.
 - When rooms have been decided complete Seating Plans in SIMs (Exams Handbook).
 - If Access Arrangement students are to be seated in Hall seat them first. Then seat students alphabetically in blocks depending on Exam Unit and Level. This makes life easier when putting out exam papers. If there are different finish times sit those finishing first closest to the exit.
 - When selecting Access Arrangement students double check Extra Time
 - Print Invigilator Copy for Exam Pack adding details of any Access Arrangement students.
 - Print Display Copy and enlarge to A3 for Exams Notice Board.
 - Memo to maintenance team detailing how and when Hall needs to be set up for Exams. Students who have scribes or laptops should have 2 exam desks. Remember desk and chair for invigilator and readers.
 - Check supply of paper, pens, pencils etc. – order if necessary.
- **21st Mar Final date for entry withdrawal to be eligible for full refund (OCR)**
- **21st Apr Final date for entry withdrawal to be eligible for full refund (AQA/ WJEC/ PEARSON)**
- **Upload Amendment Files to Awarding Body**
 - (Only required if changes to entries)
- **Student exam assembly**
- **Final date to request transfer candidate arrangement (4 weeks prior to 1st exam)**
- **Receipt of Exam Papers & Stationery for Summer Exams**
 - Exams Papers & Stationery received from the Awarding Body via Parcel Force – advise Reception items are due as they MUST be checked and stored in Exams Cupboard IMMEDIATELY.

- Check papers (exam unit and numbers of papers) to Dispatch Log and our timetable. Sign Dispatch Log and file
- Store in date order in fireproof cupboard.

May

- **15th May Deadline for submission of Controlled Assessment and Non-Examination Assessment marks (except Art)**
 - Awarding Bodies are moving to online (ensure planned in advance as last year AQA had capacity, so access was withdrawn). Print or photocopy marks submitted
 - If submitting online selected sample will be indicated so ask teacher to provide sample & post to moderator (obtain proof of posting) and log activity of when and where sent.
- **Check all preparations for Summer Exams**
 - Check all papers received.
 - Check Attendance Registers received.
 - Prepare Scribe and / or Word Processor Cover Sheets if necessary. File in Exam Pack
 - Check Word Processor process by Awarding Body as this is now Awarding Body specific not JCQ
 - If Subject Leaders request amendments to entries:
 - Amend Mark sheets in SIMS
 - Upload to Awarding Body via A2C
 - Manually amend Seating Plan and Attendance Register
 - Remind maintenance team about Exam Room set up.
 - Display Seating Plans.
 - Phone Parcel Force to arrange collection of completed papers
 - Check Exam Room notices – refer to JCQ [ICE] – JCQ Warning / No Mobile Phones / Centre Details / Start & Finish Times / Silence.
 - Check Examscreen working.
 - Check Invigilators and TAs still OK.
 - Prepare invigilator blue folder with key forms and information
 - Check Laptops and memory sticks if required – liaise with IT Technician.

Summer Exams

For each exam:

- Display signs:
 - Inside Exam Room: Evacuation Procedure/Centre Details / Start & Finish Times
 - Outside Exam Room: JCQ Warning / seating plan/No Mobile Phone / No Entry / Silence (include surrounding corridors and staff room!).
- Exam screen used in all rooms
- Print and sort Desk labels into order and place on desks as per Seating Plan.
- Give Invigilator Copy of Seating Plan and Attendance Registers
- 60 mins before exam published start time download is available
- 90 mins before exam published start time can split papers into room in secure room
- Maximum 1 hour before publishing start time remove exam papers from storage for any exams being taken at another site
- Ensure Exam paper packets are opened with a 2nd person validating the date and session for each packet correct. This must be completed in the secure store.
- Put exam papers on desks – once this is done the room MUST be always supervised.
- Check all candidates present at start of exam – contact any absent students.
- At end of exam:
 - Check completed papers to Attendance Register
 - Ensure Register is signed
 - Complete Parcel Force Dispatch Log and store log and packages in filing cabinet in Exams Cupboard until collection.

- Parcel Force driver will scan parcels and sign log which should then be filed – in filing cabinet.
- If a candidate is ill on the day but still sits the exam we will need to apply for Special Consideration – JCQ [SC]
- If a candidate fails to sit the exam as they are unwell request either a medical certificate or letter from parent or guardian confirming illness. If not a valid reason, invoice the student for the cost of the exam entry and seek approval from KMC to withdraw from examination to prevent a “U” grade.

June

- GCSE exams continue
- **Year 6 assessment tests**
 - Prepare assessment tests – alphabetical list from Head Teachers PA

July

- **Year 6 assessment Tests**
 - Ensure computer rooms are booked out and data uploaded
 - Download results from website and upload into Shared Resources – copies to SLT
- **BTEC Results Uploaded onto Edexcel / SIMS**
- **Clean Exam Tables**
- **Preparations for Summer Exams Results Day**
 - Arrange for message to be put on school’s web site detailing how and when results can be collected.
 - Prepare Results Mark sheets in SIMs. See SIMs Exams Handbook
 - Prepare labels (name & address) & A5 envelopes for candidates.
 - Photocopy Headed Paper for Results.
 - Add BTEC, and early GCSE Results to Results Spreadsheet.
 - Prepare Collection Lists – name and signature columns.
 - Get copy of Form 8 from SENCo and ensure copy, along with information of access arrangement put in place is given to student with results
 - Download and print Results Day Survival Kit from SIMs Support Net [CAPITA SIMs Support Net](#)
- **3rd July Deadline for submission of Special Consideration Requests Summer Exams**
 - Refer JCQ [SC]
 - Applications should be submitted via individual Awarding Body web sites.
- **Deadline for entry refunds on medical grounds**

August

- **Restricted release of Results – 20th August**
 - Refer to CAPITA Results Day Survival Kit.
 - Download Results from A2C.
 - Import into SIMs.
 - From SIMs print Individual Candidate’s Results on Headed Paper and place in named envelopes.
 - From SIMs print Subject Result Reports.
 - Highlight candidates who are close to the grade boundaries
- **Release of Results to Candidates – 21st August**
 - Issue Results to Candidates – if a third party wants to collect them, we need candidates’ signature. Students are told this.

- Scan Results and letters which need to be sent for any students' who have arranged for results to be emailed.
- Issue subject results to Subject Leaders.
- Issue any Results paperwork received from Awarding Body – take photocopies first!
- Advise Subject Leaders to obtain grade boundaries and results analysis from Awarding Body web sites
- Send emails to students after 12 noon for any students who have arranged for results to be sent via email.
- Post any results not emailed or collected in person.

Appendix 10

EXAM COMPLAINTS POLICY

Purpose of the policy

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

Grounds for complaint

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

Teaching and learning

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

Access arrangements

- Candidate not assessed by the centre's appointed assessor.
- Candidate not involved in decisions made regarding their access arrangements.
- Candidate did not consent to personal data being shared electronically by the non-acquisition of a signed data protection notice/candidate data personal consent form.
- Candidate not informed/adequately informed of the 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 because of a temporary injury or impairment.
- Candidate unhappy with internal assessment decision
- Centre fails to adhere to its internal appeals procedure

Entries

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

Conducting examinations

- Failure to adequately brief candidate on exam timetable/exam regulations prior to exam/assessment taking place.
- Room in which exam held did not provide candidate with appropriate conditions for taking the exam.
- Inadequate invigilation in exam room.
- Failure to conduct exam according to the regulations.
- Online system failed during (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.
- Centre applied for the wrong post-results service/for the wrong exam paper for a candidate.
- Centre missed awarding body deadline to apply for a post-results service.
- Centre applied for a post-results service for candidate without gaining required candidate consent/permission.

Raising a concern/complaint

- If a candidate (or their parent/carer) has a general concern or complaint about the centre's delivery or administration of a qualification they are following, our centre encourages them 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 their 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 form.
- Forms are available from the Exams Officer.
- Completed forms should be returned to the Exams Officer.
- Forms received will be logged by the centre and acknowledged within 5 working days.

How is a formal complaint 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 days

Internal appeals procedure

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

- Any appeal must be submitted in writing by again completing an internal appeals form.

- Forms received will be logged by the centre and acknowledged within 5 working days.
- The appeal will be referred to governing body.
- The governing body will inform the appellant of the final conclusion in accordance with the internal appeals procedure.



Appendix 11

EXAM ARCHIVING POLICY

Record Type	Record(s) description (where required)	Retention information/period	Action at end of retention period (Method of disposal)
Access arrangement information	Any hard copy information kept by the EO relating to an access arrangement candidate	To be returned to SENCo as record owner at end of candidate's final exam series	Confidential waste A cope may be given to students to pass onto their college
Alternative site arrangements	Any hard copy information on an alternative site arrangement. Notifications submitted online via CAP	Held by the EO till the review of marking deadline	Confidential waste
Attendance registers copies	Any hard copy attendance registers from the exam board or school	Keep signed records of the seating plan, the invigilation arrangements and the centre's copies of the attendance registers for each examination. The awarding bodies may need to refer to these records. You must keep them until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later. [Reference ICE 12, 22]	Confidential waste
Awarding body administrative information	Any hard copy publications provided by awarding bodies.	To be retained until the current academic year update is provided.	
Candidates' scripts	Any unwanted copies of scripts returned to the centre through the Access to Scripts (ATS) service.	To be retained securely until the awarding body's earliest date for confidential disposal of unwanted scripts. Where teachers have used copies of candidates' scripts for teaching and learning purposes but no longer wish to retain them, they must ensure that the scripts are disposed of in a confidential manner. [Reference PRS 6]	Confidential waste
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 until the deadline for a review of moderation has passed or until a review of moderation, an appeal or a malpractice	Returned to candidates or safe disposal

		investigation has been completed, whichever is later. [Reference GR 3]	
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]	Confidential waste
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 circumstances the awarding body will issue a Certifying Statement of Results; [Reference GR 5]	Confidential waste or return to awarding body
Certificate issue information	A record of certificates that have been issued.	Distribute certificates to all candidates without delay and regardless of any disputes. 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]	Confidential waste
Confidential materials: initial point of delivery logs	Logs recording awarding body confidential exam materials received at the initial point of delivery in the centre to the point where materials are securely issued to an authorised member of staff.	Kept at reception and handed back to the EO after the exam season	Confidential waste
Confidential materials: receipt, secure movement and secure storage logs	Logs recording the receipt, checking, secure movement and secure storage of confidential exam materials.	Filed in the exams office with all other exam season information	Confidential waste

Dispatch logs	Proof of dispatch of exam script packages to awarding body examiners covered by the <u>DfE (Standards & Testing Agency) yellow label service</u>	Filed in the exams office with all other exam season information	Confidential waste
Entry information	Any hard copy information relating to candidates' entries.	In exam season file	Confidential waste
Exam question papers	Question papers for timetabled written exams.	For confidentiality purposes question papers must not be released to centre 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 <u>GR 6</u>]	Issued to subject staff after the published finish time
Exam room checklists	Checklists confirming exam room conditions and invigilation arrangements for each exam session.	Filed until the deadline for reviews of marking	Confidential waste
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms for each exam session.	Filed until the deadline for reviews of marking	Confidential waste
Exam stationery	Awarding body exam stationery provided solely for the purpose of external exams.	Unused stationery will be returned to the centre's secure storage facility until needed for a future examination. Surplus stationery must not be used for internal school tests, mock examinations and non-examination assessments. Any surplus or out-of-date stationery will be confidentially destroyed. [Reference <u>ICE 30</u>]	Confidential waste
Examiner reports	Digital copy from the exam board	To be immediately provided to head of department as records owner.	
Finance information	Copy invoices for exams-related fees.	To be returned to Finance department as records owner at the end of the academic year.	Confidential waste
Invigilation arrangements	See Exam room checklists	Filed until the deadline for reviews of marking	Confidential waste
Invigilator and facilitator training records	Registers of attendance	A record of the content of the training given to invigilators must be retained on file until the deadline for reviews of marking has passed or until any appeal, malpractice or other results	Confidential waste

		enquiry has been completed, whichever is later. A record of the content of the training given to invigilators and those facilitating an access arrangement for a candidate under examination conditions must be retained on file until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later. [Reference ICE 12, 13]	
JCQ publications	Any hard copy publications provided by JCQ.	To be retained until the current academic year update is provided.	
Moderator reports	Digital copies	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	Filed until the deadline for reviews of marking	Confidential waste
Overnight supervision information	JCQ form Timetable variation and confidentiality declaration for overnight supervision for any candidate eligible for these arrangements.	Keep for inspection all completed forms available in your centre until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later. Forms may be stored electronically or in hard copy paper format and must not be sent to an awarding body, unless specifically requested; [Reference ICE 8]	Confidential waste
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. ATS consent to be retained for at least six months from the date consent given. [Reference PRS 4, appendix A and B]	All emails will be deleted, and any hard copies will be confidentially disposed of

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.	Kept by EO for at least 6 months Any result information must be kept for 6 years	Confidential waste
Post-results services: tracking logs	Logs tracking to resolution all post-results service requests submitted to awarding bodies.	Kept electronically on school system	Delete any electronic copies and confidentially dispose of any hard copies
Proof of postage – candidates' work	Proof of postage of sample of candidates' work submitted to awarding body moderators. (Proof of postage of candidates' scripts to awarding body examiners/markers)	Centres not involved in the secure despatch of 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]	
Resolving timetable clashes information	Any hard copy information relating to the resolution of a candidate's clash of timetabled exam papers	Held by EO until the deadline for reviews of marking	Confidential waste
Results information	Broadsheets of results summarising candidate final grades by subject by exam series.	Records for current year plus previous 6 years to be retained as a minimum.	Confidential waste
Seating plans	Plans showing the seating arrangements of all candidates for every exam taken.	keep signed records of the seating plan, the invigilation arrangements and the centre's copies of the attendance registers for each examination. The awarding bodies may need to refer to these records. You must keep them until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later. [Reference ICE 6]	Confidential waste

Special consideration information	Any hard copy information relating to a special consideration request and supporting evidence submitted to an awarding body for a candidate.	Where a candidate is present but disadvantaged for a timetabled written examination a proportion of cases will be sampled for quality assurance purposes. A centre may be asked by an awarding body to provide evidence in support of an application. The centre must retain evidence supporting an on-line special consideration application until after the publication of results. Where a candidate is absent from an examination for an acceptable reason a proportion of cases will be sampled for quality assurance purposes. A centre may be asked by an awarding body to provide evidence in support of an application. The centre must retain evidence supporting a candidate's absence from an examination until after the publication of results. [Reference SC 6]	Confidential waste
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.	Held by EO until the deadline for reviews of marking	Confidential waste
Transferred candidate arrangements	Any hard copy information relating to a transferred candidate arrangement. Applications submitted online via CAP.	Held by EO until the deadline for reviews of marking	Confidential waste
Very late arrival reports/outcomes	Any hard copy information relating to a candidate arriving very late to an exam. Reports submitted online via CAP.	Held by EO until the deadline for reviews of marking	Confidential waste