George Eliot Academy
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Part of United Learning

Examinations Policy

2026/2027

Last reviewed in:	Autumn 2026
Next review due by:	Autumn 2027

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Examinations Policy

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Examinations Policy 2026-2027

1. Policy Purpose

1.1 George Eliot Academy is committed to ensuring that the examinations management and administration process is run effectively and efficiently. George Eliot Academy will be referred to as 'the Academy' throughout this policy.

1.2 This Examination Policy will ensure that:

i. All aspects of the Academy's examination processes are documented, supporting the examination contingency plan, and that other relevant exams-related policies, procedures and plans are made available.

ii. All staff involved in the examination process clearly understand their roles and responsibilities.

iii. All examinations are conducted according to Joint Qualifications Council (JCQ) and awarding body regulations, guidance and instructions, thus maintaining the integrity and security of the examination system at all times.

iv. The requirements of the Ofqual Joint Contingency Plan are met.

v. Candidates understand the examination process and what is expected of them.

vi. The Academy complies with its *"obligation to identify the need for, request and implement access arrangements"* as required by the JCQ General Regulations for Approved Centres, and set out in its publication Access Arrangements and Reasonable Adjustments which can be found at

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

This publication is further referred to in this Policy as **AA**).

vii. Roles and responsibilities in the 'special consideration process' are identified and confirms that the Academy agrees to *"submit any applications for special consideration where candidates meet the published criteria."*

2. Policy Review

2.1 This Policy is reviewed annually by the Head of Centre, Senior Leadership Team and Exams Officer, to ensure ways it remains effective and relevant and that examinations are conducted to current JCQ (and awarding body) regulations, instructions and guidance.

2.2 This review will also ensure that arrangements are carried out in accordance with the current edition of the JCQ publication *Adjustments for Candidates with Disabilities and Learning Difficulties and Access Arrangements and Reasonable Adjustments*.

3. Related Policies and Documents

3.1 Exams Contingency Plan;

3.2 Disability Policy (Examination);

3.3 Non Examination Assessment Policy;

3.4 Emergency Evacuation;

3.5 Internal Appeals Procedures;

3.6 Word Processors for Exams;

3.7 Access Arrangements.

3.8 This Policy should be read in conjunction with:

i. JCQ General Regulations;

ii. JCQ Instructions for Conducting Non-Examination/Controlled Assessments and Coursework;

iii. JCQ Suspected Malpractice;

iv. JCQ Plagiarism;

v. JCQ AI Use in Assessments: Protecting the Integrity of Qualifications

vi. The Academy's:

- Complaints Policy;
- Safeguarding Policy;
- Health and Safety Policy;
- Lockdown and Evacuation Procedures;
- GDPR Policy.

3.9 Other policies and documents may be identified from time to time as circumstances change and may be added to this list.

4. Roles and Responsibilities

4.1 **Head of Centre**:

i. Has overall responsibility for the integrity of the exams system with reference to the General Regulations for Approved Centres.

ii. Has overall responsibility for the school as an Exams Centre and advises on appeals and re-marks.

iii. Is responsible for reporting all suspected or actual incidents of malpractice, referring to the JCQ document "Suspected Malpractice in Examinations and Assessments."

iv. Keeps confidential the names and addresses of examiners, moderators, external verifiers and any other awarding body examining/assessment personnel.

v. Keeps confidential the Centre's employment of, in any capacity, any current or former JCQ centre inspectors, awarding body examiners, moderators, awarders, external verifiers or other examining personnel, and not mention them in any form of literature issued in connection with the Centre's programmes of assessment.

4.2 **Exams Officer**:

i. Shares the JCQ guidance, "General Regulations and Instructions for Conducting Exams" with senior staff in the September of each new school year.

ii. Manages the administration of public and internal exams.

iii. Maintains systems and processes to support the timely entry of candidates for their exams.

iv. 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.

v. Oversees the production and distribution to staff 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.

vi. Ensures that candidates and their parents are informed of and understand those aspects of the exam timetable that will affect them.

vii. Ensures that the relevant JCQ documents for candidates are distributed to all candidates prior to assessments and/or examinations taking place.

viii. Consults with teaching staff to ensure that necessary coursework, controlled assessments and

non-examination assessments are completed on time and in accordance with JCQ guidelines.

ix. Provides and confirms detailed data on estimated entries.

x. Maintains systems and processes to support the timely entry of candidates for their exams, including BTEC and other vocational courses as appropriate.

xi. Receives, checks and stores securely all exam papers and completed scripts and ensures they are dispatched as per relevant guidelines.

xii. Administers access arrangements and makes applications for special consideration using the JCQ publications access arrangements, reasonable adjustments and special consideration.

xiii. Identifies and resolves exam timetable clashes.

xiv. Accounts for income and expenditures relating to all exam costs/charges.

xv. Line manages exam invigilators and is responsible for organising the recruitment, training and monitoring of a team of exams invigilators responsible for the conduct of exams.

xvi. Submits candidates' coursework marks, tracks despatch and stores returned coursework and any other material required by the appropriate awarding bodies correctly and on schedule.

xvii. Arranges for dissemination of exam results and certificates to candidates and forwards, in consultation with the Senior Leadership Team (SLT), any appeals/re-mark requests.

xviii. Ensures that processing of personal data complies with requirements of the General Data Protection Regulation and the Data Protection Act 2018.

4.3 **Directors of Learning**:

i. Provides guidance and pastoral oversight of candidates who are unsure about exams entries or amendments to entries, including selection of correct pathway at the start of the programme (for example GCSE vs. BTEC L2).

ii. Ensures accurate completion of entry and all other mark sheets and adherence to deadlines as set by the exams officer.

iii. Ensures accurate submission of coursework, controlled assessment and non-examined assessments, including all relevant paperwork.

iv. Keeps controlled assessments, coursework and non-examined assessments secure and confidential at all times.

v. Makes decisions on post-results requests.

4.4 T**eachers**:

i. Supply information on entries, coursework and controlled assessments as required by the Head of Department and/or Exams Officer.

ii. Keep controlled assessments, coursework and non-examined assessments secure and confidential at all times.

4.5 **The Special Educational Needs Co-ordinator (SENCo):**

i. Ensures the identification and testing of candidates, and identification of requirements for access arrangements.

ii. Provides additional support (spelling, reading, mathematics, dyslexia or essential skills, hearing impairment, English for speakers of other languages, IT equipment) to help candidates to achieve their course aims.

iii. Completes JCQ form 8 in collaboration with the specialist assessor.

4.6 **Lead Invigilator / Invigilators**:

i. Assists the Exams Officer in the efficient running of exams according to JCQ regulations, ensuring the security and integrity of exams at all times.

ii. Collects all exam papers in the correct order at the end of the exam and ensures their return to the exams office.

4.7 **Candidates**:

i. Confirms and signs entries.

ii. Ensures their own understanding of coursework, controlled assessment and non-examined assessments regulations and signs a declaration that authenticates the coursework as their own.

iii. Ensures they conduct themselves in all exams according to the JCQ regulations.

5. Qualifications Offered

5.1 The qualifications offered are those decided by the Principal and Senior Leadership Team.

5.2 The qualifications offered are GCSE, BTEC, VCert, VTCT and OCR Nationals.

5.3 The subjects offered for these qualifications in any academic year may be found in the Centre's published prospectus / options booklet for that year. If there has been a change of specification from the previous year, the Exams Office must be informed immediately.

5.4 Informing the Exams Office of changes to a specification is the responsibility of the Directors of Learning and Senior Leadership Team.

5.5 Decisions on whether a candidate should be entered for a particular subject will be taken in consultation with the candidate, parents/carers, Curriculum Leader and a member of the SLT.

6. Exam Series and Timetables

6.1 **Exam Seasons**

i. Internal exams and assessments are scheduled throughout the year.

ii. External exams and assessments are scheduled in November, February, March, May and June.

iii. Internal exams are held under external exam conditions.

iv. The Principal and Directors of Learning shall decide which exam series are used in the Centre.

v. On-demand assessments can be scheduled only in windows agreed between the Exams Officer and the Senior Leadership Team.

6.2 **Timetable**

Once confirmed, the Exams Officer will circulate the exam timetable for internal exams and external exams to staff, candidates and parents.

6.3 **Entries, Entry Details and Late Entries**

i. Candidates are selected for their exam entries by the Head of Centre, Directors of Learning / Curriculum Leaders.

ii. Candidates or parents/carers cannot request a subject entry, change of level or withdrawal, unless agreed with the Principal.

iii. The Centre accepts entries from former candidates and some privately agreed entries, as agreed by the Principal.

iv. The Centre does not act as an exam centre for other organisations.

v. Entry deadlines are circulated to Directors of Learning via email and internal post/pigeon hole.

vi. Late entries are authorised by Directors of Learning and Senior Leadership Team.

6.4 **Exam Fees**

i. 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.

ii. GCSE entry exam fees are paid by the Centre.

iii. Late entry or amendment fees are paid by the Departments and Centre.

iv. Parent/Carers of candidates will be liable for the full cost of examination fees if a candidate is absent for any exams where no valid reason for the absence is provided. If the candidate also required separate invigilation; the fees will take into any invigilation costs in addition to the exam fees.

7. Disability: Compliance with the Equality Act 2010

7.1 This Policy explains how a Centre will facilitate access to exams and assessments for disabled candidates, as defined under the terms of the Equality Act 2010, by outlining staff roles and responsibilities in relation to:

i. identifying the need for appropriate arrangements, reasonable adjustments and/or adaptations (referred to in this Policy as "access arrangements");

ii. requesting access arrangements; and

iii. implementing access arrangements and the conduct of exams.

7.2 The Equality Act 2010 definition of disability: a person is disabled under the Equality Act 2010 if they have a physical or mental impairment that has a 'substantial' and 'long-term' negative effect on their ability to undertake normal daily activities.

- 'Substantial' is more than minor or trivial, e.g. it takes much longer than it usually would to complete a daily task like getting dressed
- 'Long-term' means 12 months or more, e.g. a breathing condition that develops as a result of a lung infection.

8. Access Arrangements

8.1 **Identifying the Need for Access Arrangements - Staff Responsibilities**

8.1.1 **Principal and Vice Principal**: to be familiar with the entire contents of the *General Regulation and* the *Access Arrangements and Reasonable Adjustments,* and to refer to and direct relevant Centre staff to the annually updated JCQ publications.

8.1.2 **Special Educational Needs Coordinator (SENCo)**:

i. Has full knowledge and understanding of the contents of **AA** and refers to and directs relevant centre staff to this annually updated JCQ publication.

ii. Ensures the quality of the access arrangements process within the centre.

iii. Ensures staff roles, responsibilities and processes in identifying, requesting and implementing access arrangements are clearly defined and documented.

iv. Ensures that appropriately qualified assessors are appointed and that evidence of the qualifications of the assessors appointed are held on file.

v. Ensures the assessment process is administered in accordance with the regulations.

vi. Leads on the access arrangements process to facilitate access for candidates.

vii. Defines and documents roles, responsibilities and processes in identifying, requesting and implementing access arrangements.

viii. Is responsible for all matters relating to assessing candidates and the administration of the assessment process.

ix. Ensures that all assessments carried out and arrangements put in place comply with JCQ and awarding body regulations and guidance.

x. Ensure arrangements put in place for exams/assessments reflect a candidate's normal way of working within the Centre.

xi. Ensures the need for access arrangements for a candidate will be considered on a subject by subject basis.

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

xiii. Works with teaching staff, relevant support staff and the Exams Officer to ensure Centre delegated and awarding body approved access arrangements are put in place for candidates taking internal and external exams/assessments.

xiv. Provides information to evidence the normal way of working of a candidate.

xv. Conducts appropriate assessments to identify the need(s) of a candidate.

xvi. Provides appropriate evidence to confirm the need(s) of a candidate.

8.1.3 **Exams Officer**:

i. Ensures that a Policy demonstrating the Centre's compliance with relevant legislation is in place.

ii. Completes appropriate documentation, as required by the regulations of JCQ and the awarding body.

iii. Implements appropriate access arrangement provision during exams and assessment as approved by access arrangements online where necessary.

8.1.4 **Teaching Staff**:

i. Involved in the identification of students who are clearly having difficulties accessing the curriculum, through their own departmental assessment procedures.

ii. Responsible for supporting students with SEN in their learning within a classroom setting.

iii. Support the SENCo in determining the need for and implementing access arrangements.

8.1.5 **Assessors of Candidates with Learning Difficulties**: to have a detailed understanding of the current JCQ publication **AA**.

NB: School assessors of candidates with learning difficulties are qualified access arrangements specialist assessors.

8.2 **Requesting Access Arrangements - Roles and Responsibilities**

8.2.1 **Special Educational Needs Coordinator (SENCo)**:

i. Determines if the arrangements identified for a candidate require prior approval from the awarding body before the arrangements are put in place or if approval is centre-delegated.

ii. Follows guidance in **AA** Chapter 8 to process approval application for access arrangements.

iii. Ensures appropriate and required evidence is held on file to confirm validation responses in AAO (Access Arrangements Online) including completion of JCQ Form 8, where required, and a body of evidence to substantiate the candidate's normal way of working within the centre.

iv. Ensures that arrangements, and approval where required, are in place before a candidate takes their first exam or assessment (which is externally assessed or internally assessed/externally moderated).

v. Ensures that where approval is required that this is applied for by the awarding body deadline

vi. Maintains a file for each candidate that will include:

- Completed JCQ/awarding body application forms and evidence forms.
- Appropriate evidence to support the need for the arrangement where required.
- Appropriate evidence to support normal way of working within the centre.
- In addition, for GCSE qualifications (where approval is required), a print out of the AAO approval and a signed data protection notice (which provides candidate consent to their personal details being shared).
- Presents the files when requested by a JCQ Centre Inspector.
- Liaises with teaching staff and the Exams Officer regarding any appropriate modified paper requirements for candidates.
- Maintains an up to date list of all pupils within the school who are working with access arrangements.

8.2.2 **Exams Officer**:

i. Is familiar with the entire contents of the annually updated JCQ publication GR and is aware of information contained in **AA** which may be relevant to the role.

ii. Liaises with the SENCo to ensure AAO approval is in place for early opening of papers where this may be required i.e. when the centre is permitted to modify a timetabled written component exam paper (e.g. copy on coloured paper, enlarge to A3 or copy to single-sided print).

iii. Following the appropriate process orders published modified papers, by the awarding body's deadline for the exam series, when they are required for a candidate.

iv. Works from the up to-date list of pupils with SEN and liaises closely with the SENCo to ensure the correct examination arrangements are in place for each of these pupils.

v. Responsible for updating the Examination module with correct access arrangements information prior to the start of the examination series.

vi. Applies for approval, when required, in conjunction with the SENCo, via AAO, or through the awarding body if qualifications sit outside the scope of AAO.

vii. Confirms by ticking the 'confirmation' box prior to submitting the application of approval that the *malpractice consequence statement* has been read and accepted.

viii. Makes an awarding body referral through AAO, in conjunction with the SENCo, should the initial application for approval not be approved by AAO, but where the centre believe that the candidate does meet the criteria for the arrangement(s).

8.3 **Implementing Access Arrangements and the Conduct of Exams - Roles and Responsibilities**

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

8.3.1.1 **Vice Principal**:

i. Supports the SENCo, the Exams Officer and other relevant Centre staff, including the Estates Manager, in ensuring the appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams.

ii. Is familiar with and follows the *Checklist for Heads of Centre and Examination Officers - The Equality Act 2010 and* the JCQ publication ICE.

iii. Is responsible for the centres **emergency evacuation procedures** and the arrangements that may need to be in place for a candidate with a disability who may need assistance when an exam room is evacuated.

8.3.1.2 **Special Educational Needs Coordinator (SENCo)**:

i. Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access for candidates where they are disabled within the meaning of the Equality Act 2010 (unless a temporary emergency arrangement is required at the time of an exam).

ii. Is familiar with and follows the *Checklist for Heads of Centre and Examination Officers - The Equality Act 2010 and* the JCQ publication ICE.

iii. Ensures a candidate is involved in any decisions about arrangements, adjustments and/or adaptations that may be put in place for him/her and ensures the candidate understands what will happen at exam time.

iv. Ensures that any arrangements put in place do not unfairly disadvantage or advantage disabled candidates.

v. Liaises with the Exams Officer regarding facilitation and invigilation of access arrangement candidates in exams.

vi. Ensures the facilitator (e.g. reader, scribe etc.) is known by or introduced to the candidate prior to exams

vii. Ensures that a facilitator acting as a prompter is aware of the appropriate way to prompt depending on the needs of the candidate.

viii. Liaises with the Exams Officer to ensure that invigilators are made aware of the Equality Act 2010 and are trained in disability issues.

ix. Liaises with the Exams Officer if a facilitator is required to support a candidate who needs an emergency (temporary) access arrangement at the time of exams.

8.3.1.3 **Exams Officer**:

i. Is familiar with and follows the *Checklist for Heads of Centre and Examination Officers - The Equality Act 2010 and* the JCQ publication ICE

ii. Liaises with the appropriate staff regarding the provision of suitable rooming and equipment that may be required to facilitate access for disabled candidates to exams.

iii. Ensures facilitators supporting candidates are appropriately trained and understand the rules of the particular access arrangement(s).

iv. Ensures that the facilitator is known by or introduced to the candidate prior to exams.

v. Ensures a facilitator acting as a prompter is aware of the appropriate way to prompt depending on the needs of the candidate.

vi. Ensures cover sheets, where there are required by the arrangement, are completed as required by facilitators.

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

viii. Liaises with the SENCo and ensures that exam information (JCQ information for candidates documents, individual exam timetables etc.) are adapted where this may be necessary for a disabled candidate to access it.

ix. Liaises with the SENCo regarding any needs for the facilitation and invigilation of access arrangement candidates.

x. Liaises with the SENCo regarding any rooming needs for access arrangements candidates.

xi. Liaises with the SENCo to ensure that invigilators are made aware of the Equality Act 2010 and are trained in disability issues.

xii. Ensures that prior to any arrangements being put in place checks are made that arrangements do not impact on any assessment criteria/competence standards being tested.

xiii. Ensures appropriate seating arrangements are in place where different arrangements may need to be made for a candidate to facilitate access to his/her exams.

xiv. Ensures invigilators are briefed prior to each exam session of the arrangements in place for a disabled candidate in their exam room.

xv. Checks in advance of dated exams/assessments that modified paper orders have arrived (and if not contacts the awarding body to ensure that papers are available when required).

xvi. Makes any required modifications that are permitted to be done by the centre (a question paper copied onto coloured paper, an A4 to A3 enlarged paper or a paper printed on single sheets or where a question paper may need to be scanned into PDF format if a candidate is approved the use of a computer reader) and, where approved, opens the exam paper packet in the secure room no earlier than 90 minutes prior to the published start time of the exam.

xvii. Provides cover sheets prior to the start of an exam if required for particular access arrangements and ensures that these have been fully completed before candidates' scripts are despatched to examiners/markers.

xviii. Has a process in place to deal with emergency (temporary) access arrangements as they arise at the time of exams in terms of rooming and invigilation.

xix. Liaises with/informs the SENCo when a facilitator may be required to support a candidate requiring an emergency (temporary) access arrangement at the time of exams.

xx. Where required for emergency (temporary) access arrangements, applies for approval through AAO or through the awarding body if qualifications sit outside the scope of AAO.

8.3.1.4 **Senior Invigilators**: are familiar with the *Checklist for Heads of Centre and Examination Officers - The Equality Act 2010 and* the JCQ publication ICE

8.3.1.5 **Estates Manager**: to support the SENCo and the Exams Officer to ensure appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams

8.3.2 **Internal Assessments** - these are non-examination assessments (NEA) which are normally set by a centre/awarding body, marked and internally verified by the centre and moderated by the awarding body.

8.3.2.1 **Special Educational Needs Coordinator (SENCo):**

i. Liaises with teaching staff and the Exams Officer to implement appropriate access arrangements for candidates

ii. Ensures candidates are aware of the access arrangements that are in place for their assessments

iii. Ensures facilitators supporting candidates are appropriately trained and understand the rules of the particular access arrangement(s)

iv. Liaise with the Exams Officer regarding assessment materials that may need to be modified for a candidate

8.3.2.2 **Exams Officer**:

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

ii. Liaises with the SENCO where a facilitator may be required to support a candidate requiring an emergency (temporary) access arrangement at the time of his/her formal supervised assessment.

iii. Ensures cover sheets are completed as required by facilitators

8.3.2.3 **Teaching Staff**:

i. Support the SENCo in implementing appropriate access arrangements for candidates.

ii. Provide the SENCo with assessment schedules to ensure arrangements are put in place when required

8.3.3 **Internal (Mock) Exams -** these are exams or tests which are set and marked within the centre; normally a pre-cursor to external assessments.

8.3.3.1 Special Educational Needs Coordinator (SENCo): liaises with teaching staff to implement appropriate access arrangements for candidates.

8.3.3.2 Exams Officer**: p**rovides an internal exam timetable and liaises with SENCo to ensure arrangements are put in place where required.

8.3.3.3 **Teaching staff**

i. Support the SENCo in implementing appropriate access arrangements for candidates.

ii. Provide exam materials to the reprographics service so that they can be modified for a candidate.

8.4 **The Provision of Access Arrangements**

i. 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 Inclusion Manager can then inform individual staff of any special arrangements that individual candidates can be granted during the course and in the exam.

ii. A candidate's access arrangements requirement is determined by the SENCo and Educational Psychologist / specialist teacher.

iii. It is the responsibility of both the SENCo and the Exams Officer to:

- provide access arrangements for candidates to take exams;
- submit completed access arrangement applications to the awarding bodies.

iv. The Exams Officer will:

- arrange rooming for access arrangement candidates;
- organise invigilation and support for access arrangement candidates.

8.5 **Access Arrangements and Reasonable Adjustments**

8.5.1 “Access arrangements are agreed before an assessment. They allow candidates with special educational needs, disabilities or temporary injuries to access the assessment and show what they know and can do without changing the demands of the assessment. The intention behind an access arrangement is to meet the particular needs of an individual candidate without affecting the integrity of the assessment. Access arrangements are the principal way in which awarding bodies comply with the duty under the Equality Act 2010 to make ‘reasonable adjustments’.” (**AA** definitions - page 3).

8.5.2 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." (**AA** definitions, page 11.)

8.6 **Disability Policy (Exams)**

8.6.1 A large part of the access arrangements policy is covered in the Disability Policy (Exams) which covers staff roles and responsibilities in identifying the need for, requesting and implementing access arrangements and the conduct of exams.

8.6.2 The access Arrangements Policy covers the assessment process and related issues in more detail.

8.7 **The Assessment Process**

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

8.8 **Administration of the Assessment Process**

i. Recommendations for a need for access arrangements is highlighted by teaching staff / progress coaches to the SENCO, or students on the SEND register are considered.

ii. An EIS assessor will visit and assess students at an academy site. This assessment is focused on the area of need.

iii. The assessor will report evidence to an Academy SENCO.

8.9 **Recording Evidence of Need**

i. Form 8 is completed by the SENCO based on the report/Evidence from Assessment.

ii. Assessor completes appropriate sections of the Form 8.

iii. Form 8 is kept on file and used by Exams Officer to apply for access arrangements via CAP portal.

8.10 **Gathering Evidence to Demonstrate Normal Ways of Working**

Evidence of a normal way of working is collated from:

i. in the classroom (where appropriate);

ii. working in small groups for reading and/or writing;

iii. literacy support lessons;

iv. literacy intervention strategies;

v. in internal school tests / examinations;

vi. mock examinations.

8.11 **Processing Access Arrangements - Arrangements Requiring Awarding Body Approval**

i. Access arrangements online (AAO) is a tool provided by JCQ member awarding bodies for centres to apply for required access arrangement approval for the qualifications listed on page 2 of **AA**. This tool also provides the facility to order modified papers for those qualifications listed on page 73

ii. AAO is accessed by logging in to the JCQ CAP portal. A single application is required for each candidate regardless of the awarding body used.

8.12 **Separate Invigilation within the Centre**

i. A decision where an exam candidate may be approved separate invigilation within the centre will be made by the SENCo.

ii. The decision will be based on "whether the candidate has a substantial and long term impairment which has an adverse effect and the candidate's normal way of working within the centre."

9. Word Processor Policy (Exams)

9.1 **Criteria to Award and Allocate Word Processors for Examinations**

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

ii. There are also exceptions where a candidate may be **awarded** the use of a word processor in exams where they have a firmly established need, it reflects the candidate's normal way of working and by not being awarded a word processor would be at a substantial disadvantage to other candidates.

iii. Exceptions might include where a candidate has, for example:

- a learning difficulty which has a substantial and long term adverse effect on their ability to write legibly
- a medical condition
- a physical disability
- a sensory impairment
- planning and organisational problems when writing by hand
- poor handwriting

9.2 **Allocating Word Processors**

i. Appropriate exam-compliant word processors will be allocated by the IT Department in liaison with the SENCo and the Exams Officer.

ii. In exceptional circumstances where the number of appropriate word processors may be insufficient for the cohort of candidates approved to use them in an exam session, the cohort will be split into two groups. One group will sit the exam earlier than or later than the published start time. The security of the exam will be maintained at all times and candidates will be supervised in line with ICE.

iii. An exam candidate may be approved the use of a word processor where this is appropriate to the candidate's needs and not simply because this is the candidate's preferred way of working within the centre.

9.3 **Principles for Using a Word Processor**

The Academy complies with **AA** chapter 4 *Adjustments for Candidates with Disabilities and Learning Difficulties Regulations and Guidance* as follows:

i. Candidates with access to word processors are allowed to do so in order to remove barriers for disabled candidates which prevent them from being placed at a substantial disadvantage as a consequence of persistent and significant difficulties

ii. The use of word processors is only permitted whilst ensuring that the integrity of the assessment is maintained, at the same time as providing access to assessments for a disabled candidate

iii. The use of a word processor is not granted where it will compromise the assessment objectives of the specification in question.

iv. Candidates may not require the use of a word processor in each specification. As subjects and their methods of assessments may vary, leading to different demands of our candidates, the need for the use of a word processor is considered on a subject-by-subject basis.

v. The use of a word processor is normally considered and agreed where appropriate at the start of the course providing the centre has firmly established a picture of need and normal way of working for a candidate.

vi. Candidates are made aware when they will have the use of a word processor for timetabled examinations and non-examination assessments.

vii. The use of a word processor for candidates is only granted if it reflects the support given to the candidate as their 'normal way of working', which is defined as support:

- in the classroom (where appropriate); or
- working in small groups for reading and/or writing; or
- literacy support lessons; or
- literacy intervention strategies; and/or
- in internal school tests/examinations or mock examinations.

viii. The only exceptions to the above would be a temporary injury or impairment, or a diagnosis of a disability or manifestation of an impairment relating to an existing disability arising after the start of the course.

9.4 **The Use of a Word Processor**

The Academy complies with **AA** chapter 5 *Access Arrangements Available* as follows:

i. Provides a word processor with the spelling and grammar check facility/predictive text disabled (switched off).

ii. Only grants the use of a word processor to a candidate where it is their normal way of working within the Centre.

iii. Only grants the use of a word processor to a candidate if it is appropriate to their needs (for example, the quality of language significantly improves as a result of using a word processor due to problems with planning and organisation when writing by hand). This also extends to the use of electronic braillers and tablets.

iv. Provides access to word processors to candidates in non-examination assessment components as standard practice unless prohibited by the specification.

v. Allows candidates to use a word processor in an examination to type certain questions, i.e. those requiring extended writing, and handwrite shorter answers.

vi. Are also aware that examinations which have a significant amount of writing, as well as those that place a greater demand on the need to organise thought and plan extended answers, are those where candidates will frequently need to type. Examinations which require more simplistic answers are often easier to handwrite within the answer booklet. The candidate avoids the difficulty of visually tracking between the question paper and screen.

vii. In all cases, ensures that a word processor cover sheet (Form 4) is completed and included with each candidate's typed script (according to the instructions issued by the individual awarding body).

viii. Does not simply grant the use of a word processor to a candidate because he/she prefers to type rather than write or can work faster on a keyboard, or because he/she uses a laptop at home.

9.5 **Word Processors and Their Programmes**

The Academy complies with ICE *Word Processors Guidance* by ensuring:

i. Word processors are used as a type-writer, not as a database, although standard formatting software is acceptable.

ii. Word processors have been cleared of any previously stored data, as must any portable storage medium used.

iii. An unauthorised memory stick is not permitted for use by a candidate.

iv. Centres are required to retain electronic copies of word-processed scripts until the EAR (enquiries about results) deadline has passed. Candidates are provided with a memory stick to save their work; this is then transferred to a secure drive for retention by the exams officer. The memory stick is cleared and is available for use for the candidate's next exam. Word processors are in good working order at the time of the examination.

v. Word processors are accommodated in such a way that other candidates are not disturbed and cannot read the screen.

vi. Where a candidate using a word processor is accommodated separately, a separate invigilator is used.

vii. Word processors are either connected to a printer so that a script can be printed off, or have the facility to print from a portable storage medium.

viii. Documents are printed after the examination is over.

ix. Candidates are present to verify that the work printed is their own.

x. Word processed scripts are inserted in/attached to any answer booklet which contains some of the answers (and according to instructions issued by the individual awarding body).

xi. Word processors are used to produce scripts under secure conditions, and if they are not then the centre is aware that they may be refused by the awarding body.

xii. Word processors are not used to perform skills which are being assessed.

xiii. Word processors are not connected to an intranet or any other means of communication.

xiv. Candidates are not given access to other applications such as a calculator (where prohibited in the examination), spreadsheets etc. when using a word processor.

xv. Graphic packages or computer aided design software is not included on a word processor unless permission has been given to use these.

xvi. Predictive text software or an automatic spelling and grammar check is disabled unless the candidate has been permitted a scribe or is using voice recognition technology (the script must have a completed scribe cover sheet included), or the awarding body's specification permits the use of automatic spell checking.

xvii. Voice recognition technology is not included on word processors unless the candidate has permission to use a scribe or relevant software.

xviii. Word processors are not used on the candidate's behalf by a third party unless the candidate has permission to use a scribe.

9.6 **Laptops and Tablets**

The Academy further complies with these instructions by ensuring:

i. Tablets used during examinations/assessments are designed to run for a long period of time once fully charged and are 'free-standing'.

ii. The battery capacity of all laptops and/or tablets is checked before the candidate's examination(s) with the battery sufficiently charged for the entire duration of the examination.

iii. Candidates with fully charged laptops or tablets are given the opportunity to be seated within the main examination hall without the need for separate invigilation and power points.

iv. Candidates are reminded that their centre number, candidate number and the unit/component code must appear on each page as a header or footer.

v. Candidates use Writepad software, which automatically inserts headers and footers with candidates' details and a signature section. Once candidates have finished the examination and printed off and signed their typed script. Candidates are also supervised to ensure that they are solely performing this task and not re-reading their answers or amending their work in any way.

vi. Invigilators remind candidates to save their work at regular intervals.

vii. Where it is possible 'AutoSave' is set up on each laptop/tablet.

viii. Candidates are present at the end of the examination when their script is printed off so they can verify that the work printed is their own.

9.7 **Accommodating Word Processors in Examinations**

Candidates using word processors (including laptops or tablets) are internally accommodated with invigilators in a separate location. All other rules and regulations as above will be maintained in this situation.

10. Emergency Evacuation

10.1 **When is an Emergency Evacuation Required?**

i. 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.

ii. 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.

10.2 **Emergency Evacuation of an Exam Room - Roles and Responsibilities**

10.2.1 **Head of Centre:** ensures the emergency evacuation policy for exams is fit for purpose and complies with relevant health and safety regulation.

10.2.2 **Senior Leader:** where responsible for the centre-wide emergency evacuation procedure, ensures all staff and appointed fire marshals are aware of the policy and procedures to be followed when an emergency evacuation of an exam room is required.

10.2.3 **Special Educational Needs Coordinator (SENCo):** ensures

i. 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;

ii. the candidate is informed prior to taking their exams of what will happen in the event of an emergency evacuation.

10.2.4 **Exams Officer:**

i. Ensures invigilators are trained in emergency evacuation procedures and how an incident and actions taken must be recorded.

ii. 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.

iii. Provides invigilators with a copy of the emergency evacuation procedures for every exam room.

iv. Provides a standard invigilator announcement for each exam which includes appropriate information for candidates regarding what will happen if the fire alarm sounds.

v. Provides an exam room incident log in each exam room.

vi. 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.

vii. Briefs invigilators prior to each exam where different procedures or assistance may need to be provided for a disabled candidate.

viii. 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.

10.2.5 **Invigilators:**

i. By attending training, ensure they understand what to do in the event of an emergency in the exam room.

ii. Follow the actions required in the emergency evacuation procedure issued to them for every exam room.

iii. Confirm with the exams officer, where different procedures or assistance may need to be provided for a disabled candidate they are invigilating.

10.5.6 **Other Relevant Centre Staff:** will **s**upport the senior leader, SENCo, Exams Officer and invigilators in ensuring the safe emergency evacuation of exam rooms.

10.6 Emergency Evacuation Procedure

i. Invigilators are trained in the evacuation procedure and understand the actions they must take in the event of a fire alarm or other emergency that leads to an evacuation of the exam room.

ii. All Academies follow and adhere to the emergency evacuation procedure which is contained in the Academy's Lockdown Procedures (Appendix 6).

11. Special Consideration

11.1 **Definition of Special Consideration**

i. Special consideration is a post-examination adjustment to a candidate's mark or grade to reflect temporary illness, temporary injury or some other event outside of the candidate's control at the time of the assessment, which has had, or is reasonably likely to have had, a material effect on a candidate's ability to take an assessment or demonstrate his or her normal level of attainment in an assessment.

ii. Special consideration can only seek to go some way to assist a candidate affected by a potentially wide range of difficulties, emotional or physical, which may influence performance in examinations. It cannot remove the difficulty faced by the candidate. There will be situations where candidates should not be entered for an examination. Only minor adjustments can be made to the mark awarded because to do more than this would jeopardise the standard of the examination." (JCQ *A Guide To The Special Consideration Process* - Section 1).

11.2 **Eligibility for Special Consideration - Roles and Responsibilities**

11.2.1 **Head of Centre:**

i. Is familiar with the contents, refers to and directs relevant centre staff to the annually updated JCQ publication *Special Consideration.*

ii. Ensures that, where relevant and in eligible situations, applications for special consideration will be submitted to awarding bodies by the Exams Officer.

11.2.2 **Exams Officer:**

i. Understands the criteria as detailed in *Special Consideration* to determine where candidates will / will not be eligible for special consideration.

ii. Ensures that, where relevant and in eligible situations, applications for special consideration will be submitted to awarding bodies.

11.2.3 **Teaching Staff and / or SENCo: p**rovide any appropriate evidence or information that may be required to determine a candidate's eligibility for special consideration.

11.2.4 **Candidates or Parents / Carers:** provide any medical or other evidence that may be required to determine eligibility for special consideration.

11.3 **Applying for Special Consideration**

11.3.1 Where eligible, special consideration will be applied for in a specific exam series where candidates *"…have been fully prepared and have covered the whole course but performance in the examination, or in the production of controlled assessment, coursework or non-examination assessment, is materially affected by adverse circumstances beyond their control."*

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

i. the candidate will be kept comfortable and under supervision from the required time while appropriate arrangements are put in place for him/her to take the exam in the best possible conditions;

ii. a judgement will be made on how the candidate's situation or disposition affected performance in the exam;

iii. where appropriate and where eligible, special consideration will be applied for

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

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

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

11.3.6 If a candidate is absent for acceptable reasons, and the centre can verify this, special consideration will be applied for if the exam missed is in the terminal series and the *minimum requirements for enhanced grading in cases of acceptable absence* can be met. If there is an opportunity to re-enter the candidate in the next available exam series, the centre will make the entry and special consideration will not be applied for.

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

i. requesting an honorary certificate;

ii. a short extension to controlled assessment / coursework / non-examination assessment deadlines;

iii. submitting a reduced quantity of controlled assessment/coursework/non-examination assessment (shortfall in work);

iv. lost or damaged work;

v. candidates taking an incorrect or defective question paper or the wrong controlled assessment assignment.

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

11.4. **Processing Applications for Special Consideration - Roles and Responsibilities**

11.4.1 **Head of Centre:** ensures where a candidate may be a relative of the exams officer, the application will be authorised by an alternative member of centre staff

11.4.2 **Exams Officer:**

i. ensures applications will be processed as required by the awarding bodies;

ii. keeps evidence to support applications on file until after the publication of results;

iii. meets the required deadline(s) for submitting applications.

11.4.3 **Teaching Staff and / or SENCo:** provides any appropriate evidence or information that may be required to support a candidate's application for special consideration.

11.4.4 **Candidates or Parents / Carers:** will be asked to provide any required medical or other evidence that may be required to support an application for special consideration.

11.5 **Submitting Applications for Special Consideration**

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

ii. Evidence to support applications will be kept on file until after the publication of results.

11.6 **Timetabled Written Exams**

i. Applications for individual candidates will be submitted online by logging into the relevant awarding body secure extranet site and following the links to special consideration.

ii. The processes for submitting a single application to cover all exams *where a candidate is present but disadvantaged* and a separate application for each day where a candidate is absent from an examination for an acceptable reason detailed in will be followed.

iii. For other qualifications, applications are submitted online where the awarding body's secure system accepts these.

iv. The paper form 1*0* JCQ/SC *Application for Special Consideration* will only be completed and submitted to the awarding body where the online system does not accept applications for a particular qualification.

v. For groups of candidates, applications will be made online where the awarding body's secure system accepts group applications or form 10 will be completed.

vi. The paper form 14 JCQ/ME *Self Certification for Candidates Who Have Missed an Examination* will only be completed by a candidate where circumstances warrant this and will not be used where the centre knows the candidate was ill.

11.7 **Internally Assessed Work**

i. Where appropriate, applications will be made online where the awarding body's secure system accepts them or form 10 will be completed and submitted to the awarding body.

ii. Where a short extension to a deadline is being requested an application will be submitted online or by direct email, dependent on the awarding body.

iii. Where an application relates to a shortfall in work, this will be submitted online or by completing form 10, dependent on the awarding body.

iv. Where an application relates to lost or damaged work, this will be submitted online or by completing form 15 JCQ/LCW *Notification of Lost Centre Assessed Work*, dependent on the awarding body.

12. Non Examination Assessment / Controlled Assessment

NB: Further detail is also provided at Appendix 2 of this Policy.

12.1 Staff Responsibilities

12.1.1 Senior Leadership Team

i. Accountable for the safe and secure conduct of controlled assessments. Ensure assessments comply with JCQ guidelines and awarding bodies' subject-specific instructions.

ii. At the start of the academic year, begin coordinating with Directors of Learning to schedule controlled assessments. (It is advisable that controlled assessments be spread throughout the academic years of key stage 4).

iii. Map overall resource management requirements for the year and as part of this task to resolve:

- clashes / problems over the timing or operation of controlled assessments; and
- issues arising from the need for particular facilities (rooms, IT networks, time out of school etc.)

iv. Ensure that all staff involved have a calendar of events.

v. Create, publish and update an internal appeals policy for controlled assessments.

12.1.2 Directors of Learning

i. Decide on the awarding body and specification for a particular GCSE.

ii. Ensure that at least 40% of overall assessment (controlled and/or external assessment) is taken in the exam series in which the qualification is certificated, to satisfy the terminal assessment requirement in accordance with the awarding body specification, or the new assessment of Linear 100%.

iii. Standardise internally the marking of all teachers involved in assessing an internally assessed component.

iv. Ensure that individual teachers understand their responsibilities with regard to controlled assessment.

v. Ensure that individual teachers understand the requirements of the awarding body's specification and are familiar with the relevant teachers' notes, and any other subject specific instructions.

vi. Where appropriate, develop new assessment tasks or contextualize sample awarding body assessment tasks to meet local circumstances, in line with awarding body specifications and control requirements.

12.1.3 Teaching Staff

i. Understand and comply with the general guidelines contained in the JCQ publication *Instructions for conducting controlled assessments*.

ii. Understand and comply with the awarding body specification for conducting controlled assessments, including any subject-specific instructions, teachers' notes or additional information on the awarding body's website.

iii. Understand and comply with the general instructions as detailed in JCQ NEA guidance and comply with the JCQ AI Use in Assessments: Protecting the Integrity of Qualifications.

iv. Supply to the exams office details of all unit codes for controlled assessments.

v. Obtain confidential materials/tasks set by awarding bodies in sufficient time to prepare for the assessment(s) and ensure that such materials are stored securely at all times.

vi. Supervise assessments (at the specified level of control). Undertake the tasks required under the regulations, only permitting assistance to students as the specification

allows.

vii. Ensure that students and supervising teachers sign authentication forms on completion of an assessment.

viii. Mark internally assessed components using the mark schemes provided by the awarding body. Submit marks through the exams office to the awarding body when required, keeping a record of the marks awarded.

ix. Retain candidates' work securely between assessment sessions (if more than one).

x. Post-completion, retain candidates' work securely until the closing date for enquiries about results. In the event that an enquiry is submitted, retain candidates work securely until the outcome of the enquiry and any subsequent appeal has been conveyed to the centre.

xi. Ask the appropriate special educational needs coordinator (SENCo) for any assistance required for the administration and management of access arrangements.

12.1.4 **Exams Officer**

i. Enter students for individual units, whether assessed by controlled assessment, external exam or on-screen test, before the deadline for final entries.

ii. Enter students' 'cash-in' codes for the terminal exam series.

iii. Where confidential materials are directly received by the exams office, to be responsible for receipt, safe storage and safe transmission, whether in CD or hard copy format.

iv. Download and distribute mark sheets for teaching staff to use, and collect and send mark sheets to awarding bodies before deadlines.

v. On the few occasions where controlled assessment cannot be conducted in the classroom arrange suitable accommodation where controlled assessment can be carried out, at the direction of the senior leadership team.

12.1.5 **Special Educational Needs Coordinator (SENCo)**

i. Ensure access arrangements have been applied for.

ii. Work with teaching staff to ensure requirements for support staff are met.

iii. Develop new assessment tasks or contextualize sample awarding body assessment tasks to meet local circumstances, in line with awarding body specifications and control requirements.

iv. Follow the requirements for supervision as set out in the awarding body specification at the specified level of control, only permitting assistance to students as the specification allows.

v. Domain assessors need to work with assessors to standardise the marking of internally assessed units for each line of learning.

vi. Where an assessor will not be supervising the controlled assessment, he or she **must** arrange for a suitable person to do so, in line with the awarding body specification.

vii. Ensure that learners and assessors sign authentication forms on completion of an assessment.

viii. Mark assessments according to the mark schemes and guidance provided by the awarding bodies. Submit the marks through the relevant exams office to awarding bodies when required, keeping a record of the marks awarded.

ix. Retain learners work securely between assessment sessions (if more than one).

x. Post-completion, retain learners' work securely until the closing date for enquiries about results. In the event that an enquiry is submitted, retain learners' work securely until the outcome of the enquiry and any subsequent appeal has been conveyed to the Centre.

xi. Ask the Centre special educational needs coordinator for any assistance required for the administration and management of access arrangements.

12.2 The Use of ICT in Coursework and Controlled Assessment

12.2.1 What if Candidates' Work is in an Electronic Format?

Candidates' preparatory work may be in an electronic format. The work they are producing for assessment may also be in an electronic format. Centres must take steps to ensure that they meet the requirements for secure storage described above. This may involve collecting memory sticks for secure storage between sessions or restricting candidates' access to specific areas of the Centre's IT network.

12.2.2 Are Candidates Allowed to Use Their Own Computers or Other Electronic Devices?

They are, however, additional precautions must be taken if the Centre permits candidates to use their own devices, either to store preparatory work and/or to write up their work. In these circumstances, the Centre is responsible for establishing and implementing a procedure to ensure compliance with the requirements for secure storage described above.

12.3 The Storage of Coursework and Controlled Assessment (in Paper and Electronic Formats) - Keeping Materials Secure

12.3.1 What Constitutes Secure Storage in The Context of Controlled Assessment?

Secure storage is defined as a securely locked cabinet or cupboard (where work is stored in hard copy format). Where candidates are producing artefacts (e.g. Art and Design or Design and Technology) secure storage may be defined as a classroom, studio or workshop which is locked or supervised from the end of one session to the start of the next.

12.3.2 Is Secure Storage of Candidates' Work Required Throughout The Task-Taking Stage?

No. When candidates are undertaking research, data collection or other preparatory work under limited control (limited supervision), secure storage is not required at this stage.

12.3.3 When Does The Requirement for Secure Storage of Candidates' Work Come Into Play?

Secure storage is required from the point at which candidates embark on producing work for assessment. All work that will be submitted for assessment must always be collected at the end of each session and stored securely between sessions.

12.3.4 Does the Requirement for Secure Storage Extend to Candidates' Preparatory Work?

Yes, if the work for assessment is being produced under high control (formal supervision).

High Control (Formal Supervision)	From the point at which candidates embark on producing work for assessment, they are not permitted to amend or augment their preparatory work. All work must, therefore be collected at the end of each session and stored securely between sessions i.e. work for assessment and preparatory work.
Medium Control (Informal Supervision)	Work produced for assessment must be collected at the end of each session and stored securely between sessions. The requirement does not extend to preparatory work unless the specification or subject specific guidance states otherwise. Candidates are allowed to continue to undertake preparatory work under limited control (limited supervision) beyond the point at which they embark on producing work for assessment.

12.3.5 Are Teachers Allowed to Take Work Home To Mark?

Yes, provided that they take sensible precautions regarding its security.

12.3.6 When Can Marked Work Be Removed From Secure Storage?

i. Internally assessed work that is not required for moderation purposes and work returned to centres after moderation must be stored securely until all possible post-results services have been exhausted.

ii. If post-results services have not been requested, internally assessed work may be returned to candidates after the deadline for enquiries about results for the relevant series. If post-results services have been requested, internally assessed work may be returned once the enquiry about results and any subsequent appeal is complete.

12.3.7 **When Can Preparatory Work Be Removed From Secure Storage?**

Preparatory work should remain in secure storage until marks have been submitted to the awarding body.

13. Additional Information

13.1 **Procedure to Verify the Identity of All Candidates**

i. Candidate name cards with candidate number are located on each exam desk ahead of the start of any exam.

ii. A register is taken with all students' allocated seats shown, and identity checked on entry to and seating in the exam room.

13.2 **Overseas Students:** managing overseas students is the responsibility of the senior leadership team.

13.3 **Contingency Planning:** contingency planning for exams administration is the responsibility of the senior leadership team and is set out in Appendix 1.

13.4 **Private Candidates**

i. Managing private candidates is the responsibility of the Senior Leadership Team.

ii. Where relevant and eligible, form VQ/SC *Application for Special Consideration Vocational Qualifications* will be completed and submitted to the awarding body.

13.5 **Estimated Grades:** directors of learning are responsible for submitting estimated grades to the exams officer when requested.

13.6 **Managing Invigilators**

i. External staff are used to invigilate examinations.

ii. These invigilators will be used for internal exams and external exams.

iii. Recruitment of invigilators is the responsibility of the exams office and Senior Leadership Team.

iv. Securing the necessary Disclosure and Barring Service (DBS) clearance for new invigilators is the responsibility of the Centre administration.

v. DBS fees for securing such clearance are paid by the Centre.

vi. Invigilators are timetabled and briefed by the Exams Officer.

vii. Invigilators rates of pay are set by the Senior Leadership Team.

13.7 **Plagiarism in Examinations - Guidance**

https://www.jcq.org.uk/exams-office/malpractice/plagiarism-in-assessments---guidance-for-teachersassessors

i. This guidance note is written for the staff of assessment centres who have responsibility for supervising and/or marking candidates' coursework or portfolio work. It is one of three similar guides produced by the Joint Council for Qualifications, the others being targeted at candidates, and the staff of Awarding Bodies, including moderators and examiners. These guidance notes can be found on the Joint Council Website http://www.jcq.org.uk/

ii. An analysis of the statistics for malpractice in examinations shows that the incidence of plagiarism is rising. This has been recorded by Awarding Bodies and is a concern of the universities as well.

iii. The effect of this rise in plagiarism is to call into question the integrity of examinations generally and, especially those assessment components such as coursework where plagiarism can be undertaken most easily. If coursework is to remain as a viable assessment method, it is the duty of all who are preparing and assessing candidates for examinations as well as those who have an interest in the setting, marking and administration of examinations, to do whatever they can to address and seek to reverse the rise of plagiarism.

Defining Plagiarism

i. Before considering what steps can be taken to counter this practice, it is necessary to have a clear idea of what plagiarism is.

ii. There are many definitions of plagiarism, but they all have in common the idea of taking someone else's intellectual effort and presenting it as one's own. The Joint Council's *Guidelines for Dealing with Instances of Suspected Malpractice* defines plagiarism as: "The failure to acknowledge sources properly and/or the submission of another person's work as if it were the candidate's own."

iii. Mostly, plagiarism refers to copying from published texts whether these are in print or on the internet, but it can also refer to copying from manufactured artefacts, or essays or pieces of work previously submitted for examinations.

iv. A strict interpretation of the term "work" in the above definition would include the original ideas, as well as the actual words or artefacts produced by another. Unless the candidate has submitted an extensive and unacknowledged paraphrase (amounting to more than 50% of the total) of another person's writings, however, the Awarding Bodies will not include paraphrasing under the definition of plagiarism. Instead markers should reflect the incidence of any paraphrasing in the way they apply the mark scheme. On the other hand, plagiarism will cover the direct and unacknowledged translation of foreign language texts into English.

v. It should be noted that in the context of the Joint Council Awarding Bodies, plagiarism does not include collusion that is, working collaboratively with other candidates; neither does it include copying from another candidate in the same examination session. Both of these are defined as different forms of malpractice.

vi. By virtue of its definition, plagiarism is restricted to those examination components where students undertake examination work in unsupervised conditions, such as coursework, pre-release work, or the compilation of research notes which can be used in the examination. It can also occur when candidates are permitted to annotate texts and bring these into the examination room.

Why Plagiarism is on The Increase?

The reasons why candidates plagiarise are varied, but among them are:

i. The candidate's lack of awareness of the regulations.

ii. The candidate's failure to allow sufficient time to produce the work.

iii. The greater pressures on students to succeed.

iv. The increased number of coursework components in examinations.

v. The candidate's lack of skill in using source material and/or acknowledging the use of material.

vi. The greater availability of information on the internet and ease with which this can be copied.

vii. The encouragement to use the internet freely as a source of information, together with the student's failure to keep accurate records of web pages accessed.

viii. The growth of websites providing coursework, either by facilitating the swapping of students' work, or by providing, for a fee, finished pieces of coursework.

ix. The idea of a quick solution or short cut appeals to some candidates; particularly if the task does not interest them.

x. The candidates plagiarise the work of others because they think their production of coursework during the course will not be monitored.

Preventing Plagiarism

If you are teacher or assessor entering candidates for a qualification with a coursework component, you must accept the obligation to authenticate the work which is submitted for assessment. You must confirm that the work produced is solely that of the candidate concerned. You must not accept work which is not the candidate's own. If plagiarism is discovered prior to the signing of a declaration of authentication the incident need not be reported to the Awarding Body, but you should deal with the matter in accordance with your own centre's procedures.

In order to prevent plagiarism you:

i. Should consider incorporating an awareness raising session on academic honesty in the induction process for new students.

ii. Must ensure that each candidate is issued with an individual copy of Notice to Candidates: Coursework and Portfolios (JCQ document).

Must ensure that each candidate understands the contents of the leaflet; particularly the meaning of plagiarism and what penalties may be applied.

iii. Should reinforce to a candidate the significance of their signature on the form which states they have understood and followed the coursework and portfolio requirements for the subject.

iv. Could require students to sign a declaration that they have understood what plagiarism is, and that it is forbidden, in the learning agreement that is signed at enrolment in some centres.

v. Should make clear what is and what is not acceptable in respect of plagiarism and the use of sources, including the use of websites. It is unacceptable to simply state Internet, just as it would be unacceptable to state Library rather than the title of the book, name of the author, the chapter and page reference. It is similarly unacceptable to list search engines such as Google, Ask Jeeves etc. Candidates must provide details of any web pages from which they are quoting or paraphrasing. Some suggestions on acceptable forms of referencing can be found at the end of this guide.

vi. Should teach the conventions of using footnotes and bibliographies to acknowledge sources. There is no one standard way of acknowledging sources but the use of inverted commas, indented quotations, acknowledgement of the author, line/page number, title of source, indicate that the candidate is using a source. Teachers and students should be aware that when acknowledging sources clarity ensures that there is no suspicion of plagiarism;

vii. Should teach the use of quotation marks when sources are quoted directly (a suggested guideline for the need to put items in quotation marks would be the use of more than six words in unchanged form).

viii. Should set reasonable deadlines for submission of work and provide reminders.

ix. Should give time for sufficient work to be done in class under direct supervision to allow the teacher to authenticate each candidate's whole work with confidence.

x. Should examine intermediate stages in the production of work in order to ensure that the work is underway in a planned and timely manner.

xi. Should introduce classroom activities that use the level of knowledge/understanding achieved during the coursework thereby making the teacher confident that the student understands the material.

xii. Could ask students to make a short verbal presentation to the rest of the group on their work.

xiii. Should explain the importance of the candidate producing work which is their own and stress to them and to their parents/carers the penalties of malpractice.

xiv. Must take care to ensure that work undertaken in previous years' examinations by other students is not submitted as their own by candidates for the current examination. The safe keeping of such earlier work is of great importance, and its issue to candidates for reference purposes should be carefully monitored.

xv. Must not accept, without further investigation, work which you suspect has been plagiarised; to do so encourages the spread of this practice.

Dealing with Plagiarism

i. There are three steps in the process for dealing with plagiarism, keeping watch, confirmation and reporting.

ii. There are a number of clues that point to the possibility of plagiarism, and you should remain alert to the possibility of spotting these.

Keeping Watch on Content

i. You should check a candidate's work for acknowledgement of sources as the work is being completed. Particular care should be taken when candidates submit work without completing intermediate stages.

ii. Varying quality of content is one of the most obvious pointers. Well-written passages containing detailed analyses of relevant facts alternating with poorly constructed and irrelevant linking passages ought to give rise to suspicion.

iii. Another practice is for candidates to write the introduction and conclusion to an assignment to make it fit the question, and then fill in the middle with work which has been lifted from elsewhere.

iv. If the work is not focused on the topic, but presents a well-argued account of a related matter, this could be a sign that it has been used elsewhere. The same applies if parts of the work do not fit well together in developing the response to the assignment.

v. When candidates submit completed work without intermediate stages this can be an indication that the work is not the candidate's own.

vi. Dated expressions, and references to past events as being current can also be indications of work which has been copied from out-of-date sources. Keeping watch on vocabulary, spelling and punctuation

vii. The use of a mixture of English and American vocabulary or spellings can be a sign that the work is not original.

viii. If the piece contains specialised terminology, jargon, obscure or advanced words, the teacher should ask if this is typical of this level of candidate and reasonable, or is it because the candidate did not write the passage.

ix. Is the style of punctuation regular and consistent?

x. Keeping watch on style and tone

xi. Look for differences in the style or the tone of writing. If a candidate uses material from textbooks alongside items from popular magazines the change of tone between the two should be marked.

xii. Look at level of sophistication of the sentence structure. Is this the sort of language that can be expected from the candidate? Is the use of language consistent, or does it vary? Does a change in style reflect a change in authorship at these points?

Keeping Watch on Presentation

Look at the presentation of the piece. If it is typed, are the size and style of font uniform? What about the use of headers and sub-headers? Are the margins consistent throughout? Does the text employ references and if so is the style of referencing consistent? Are there any references, for example, to

figures, tables or footnotes, which don't make sense (because they have not been copied)? Lack of references in a long, well-written section could indicate that it had been copied from an encyclopaedia or similar general knowledge source. Look out for quotations that run on beyond the part which has been acknowledged.

Confirmation

i. If you suspect that an assignment has been plagiarised, the next step is to try to locate the source.

ii. The easiest method is to type a four to six word phrase from the text (preferably one with an unusual phrase in it) directly into a search engine such as Google and perform an "exact phrase search". If the article was copied from the free, visible web there is a good chance this approach will find it, particularly if a few search engines are tried. Another method is to look through the web-sites that students use, as these are common sources for essays and assignments. Examiners should familiarise themselves with the websites that offer essay distribution or writing services. A list is of these is given at the end of this article, but as new sites frequently open this list does not claim to be comprehensive or up-to-date. Use a search engine to find other similar sites. Once on the site a quick search may be all that is needed to locate the source of a suspect piece. If it does not come up through these searches, the piece may have been taken from the "invisible web", that is, from articles which are not separately indexed to a search engine, although the site itself is. Sites run by newspapers, magazines, online encyclopaedias, subject specific sites, and those sites providing help with essays tend to fall into this category, and would have to be searched individually, but again the use of a few well-chosen words in a "find" tool could produce results.

iii. Computer programmes to detect plagiarism have been available commercially for some time. While at first they were very slow and inefficient, they are now greatly improved, and their use is increasing. There are two basic types. The first type requires software to be installed on the user's machine. This compares a student's essay to a defined bank of essays such as an institution's own record of previous students' work. The second and more sophisticated approach compares a submitted essay to the whole of the web and beyond. The most successful of these tools is called "Turnitin" which is web-based and thus requires no installation. The manufacturers claim that all work submitted to their web-site: "is checked against three databases of content:

- Both a current and extensively archived copy of the publicly accessible Internet (more than 4.5 billion pages updated at a rate of 40 million pages per day);
- Millions of published works, including the ProQuest commercial database, ABI/Inform, Periodical Abstracts, Business Dateline, and tens of thousands of electronic books including the Gutenburg Collection of Literary Classics;
- Millions of student papers already submitted to Turnitin" www.turnitin.com

iv. A report is then produced which identifies any text that is found to be unoriginal and links it to its original source. The Joint Information Systems Committee (JISC) offers a similar UK based service. See the bibliography below for contact details.

v. In addition to the ability to locate original sources, the use of computer-based detection systems is a powerful deterrent to those who otherwise might be tempted to commit plagiarism. If plagiarism is suspected, conducting a viva voce with the candidate may help a teacher to assess whether the work is that of the student. If an investigation is inconclusive the work in question could be removed and replaced by alternative work whose authenticity is not in doubt. Alternatively the candidate could be given another piece of work to complete under controlled conditions in the centre. This would provide a standard by which to judge the other work.

Reporting

i. If your suspicions are confirmed and the candidate has not signed the declaration of authentication, your centre need not report the malpractice to the appropriate Awarding Body. Centres can resolve the matter themselves prior to the signing of the declarations. Teachers must not accept work which is not the candidate's own.

ii. Ultimately the Head of the Centre has the responsibility for ensuring that candidates do not submit plagiarised work. If plagiarism is detected by the centre and the declaration of authentication has been signed, the case must be reported to the Awarding Body. The procedure is detailed in *Guidance for Dealing with Instances of Suspected Malpractice in Examinations*; this document is published by JCQ.

iii. If plagiarism is suspected by an Awarding Body's moderator or examiner or has been reported by a candidate or member of the public, full details of the allegation will be reported to the centre. The Head of Centre will be asked to conduct an investigation into the alleged malpractice and to submit a written report. The form contained in the document *Guidance for Dealing with Instances of Suspected Malpractice in Examinations* (JCQ/M/01) should be used as a basis for this report.

iv. The Awarding Body will then consider the case and, if necessary, impose a sanction in line with the penalties given in the document *Guidance for Dealing with Instances of Suspected Malpractice in Examinations.* The sanctions applied to a candidate committing plagiarism range from a warning regarding future conduct to the candidate being barred from entering for one or more examinations for a set period of time.

Guidance on Referencing:

i. A reference in the text, or as a footnote, should show at least the name of the author, the year of publication and the page number: For example: (Morrison, 2000, pg.29.)

ii. Candidates must also include a bibliography at the end of their work, which lists details of publications that have been used to research their project. For example: Morrison, A. (2000) "Mary, Queen of Scots", London: Weston Press.

iii. For material taken from web pages, the reference must show the precise web page, not the search engine used to locate it. This can be copied from the address line. For example: http://www.bbc.co.uk/schools/16/sosteacher/history/49766.shtml

iv. For individual works found through the internet, the reference should show the details as in (b), above, plus the URL and the date accessed. For example: Airey, C. (2004). The State of Play Today [Online] 6th Edition. Available: http://classics.mit.edu/Plato/republic.html [20th September 2001].

Bibliography, Resources and Recommended Browsing

i. J Barrie Thompson and Simon Stobart: University Research, Plagiarism and the Internet: Problems and Possible Solutions; Published in the proceedings of the Sixth International Conference ETHICOMP 2002; Lisbon: ISBN 972-839, pp607-710.

Useful sites: http://virtualsalt.com/antiplag.htm / http://www.plagiarism.org

13.8 **Malpractice**

i. The Head of Centre is responsible for investigating suspected malpractice.

ii. JCQ guidance is always followed. See JCQ *Suspected Malpractice: Policies and Procedures*

13.9 **Exam Days**

i. The Exams Officer will book all exam rooms after liaison with other users and make the question papers, other exam stationery and materials available for the invigilator.

ii. Site management is responsible for setting up the allocated rooms.

iii. The lead invigilator will start all exams in accordance with JCQ guidelines.

iv. Subject staff may be present at the start of the exam to assist with identification of candidates but must not advise on which questions or sections are to be attempted. Directors of Learning or a member of SLT can help in organisation of students outside the exam rooms to ensure a prompt, orderly start.

v. In practical exams subject teachers may be on hand in case of any technical difficulties.

vi. 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 Directors of Learning at the end of the exam session.

vii. After an exam, the Exams Officer will arrange for the safe dispatch of completed examination scripts to the awarding bodies.

13.10 **Candidates (including Private Candidates)**

i. The Exams Officer will provide written information to candidates in advance of each exam series.

ii. The centre's published rules on acceptable dress, behaviour and candidates' use of mobile phones and other electronic devices apply at all times.

iii. Candidates' personal belongings remain their own responsibility and the centre accepts no liability for their loss or damage.

iv. In an exam room candidates must not have access to items other than those clearly allowed in the instructions on the question paper, the stationery list, or the specification for that subject. No mobile phones, watches or electronic communication or storage devices.

v. Disruptive candidates are dealt with in accordance with JCQ guidelines. Candidates are expected to stay for the full exam time at the discretion of the Exams Officer or Senior Invigilator.

vi. Note: candidates may only leave the exam room for a genuine purpose and are required to return immediately to the exam room. They must be accompanied by a member of staff at all times.

vii. The Exams Officer is responsible for handling late or absent candidates on exam day or subsequently. This is done in line with JCQ guidelines and expectations.

viii. For clash candidates, the supervision of candidates, identifying a secure venue and arranging overnight supervision is the responsibility of the Exams Officer.

ix. 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 Exams Officer, or the exam invigilator, to that effect.

x. The candidate must support any special consideration claim with appropriate evidence within three days of the exam, for example by providing a letter from the candidate's doctor.

xi. The Exams Officer will then forward a completed special consideration form to the relevant awarding body within seven days of the exam.

viii. **Private candidates: a**ny private candidate entered by the centre must liaise with the Exams Officer (not the awarding body) regarding any application for special consideration.

13.11 **Internal Assessment**

It is the duty of Directors of Learning to ensure that all internal assessment is ready for despatch at the correct time. The Exams Officer will assist by keeping a record of each despatch, including the **recipient details and the date and time sent.**

13.12 **Marks and Appeals**

Marks for all internally assessed work and estimated grades are provided to the Exams Officer by the Curriculum Leaders and Directors of Learning.

13.13 **Appeals against Internal Assessments**

The process for managing appeals against internal assessments is detailed in a separate appeals policy, available from the Exams Officer. See Appendix 3.

13.14 **Results, Enquiries about Results (EARS) and Access to Scripts (ATS)**

i. Candidates will receive individual result slips on results days, in person at the centre. r by post to their home addresses, or via email.

ii. Arrangements for the centre to be open on results days are made by the Principal.

iii. The provision of staff on results days is the responsibility of the Principal.

13.15 **EARs**

i. EARs may be requested by centre staff or candidates if there are reasonable grounds for believing there has been an error in marking. The candidate's consent is required before any EAR is requested.

ii. If a result is queried, the Exams Officer, teaching staff and Head of Centre will investigate the feasibility of asking for a re-mark at the centre's expense.

iii. When the centre does not support a candidate's or parent's request for an EAR, 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.

13.16 **ATS**

i. After the release of results, candidates may ask subject staff to request the return of papers within three days' scrutiny of the results.

ii. Centre staff may also request scripts for investigation or for teaching purposes. For the latter, the consent of candidates must be obtained.

iii. Re-marks cannot be applied for once a script has been returned.

iv. The cost of EARs will be paid by the Centre.

13.17 **Certificates**

i. Certificates are collected and signed for.

ii. Certificates can be collected on behalf of a candidate by third parties, provided they have been authorised to do so.

iii. The Centre retains certificates for a minimum of 12 months as specified by section 5.14 of JCQ publication GR.

Appendix 1

Examinations Contingency Plan

1. Causes Of Potential Disruption To The Exam Process

i. Exam Officer / SENCo / teaching staff extended absence at key points in the exam cycle.

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

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

iv. Failure of IT systems/Cyber Attack

v. Centre closed for an extended period.

vi. Disruption to the distribution / transportation of examination papers.

vii. Assessment evidence is not available to be marked.

viii. Centre unable to distribute results as normal.

2. Purpose of the Plan

This plan examines potential risks and issues that could cause disruption to the management and administration of the exam process at the Academy. By outlining actions / procedures to be invoked in cases of disruption, the Academy intends to mitigate the impact these disruptions have on the exam process.

Alongside internal processes, this plan is informed by scenarios contained in the *Joint Contingency Plan in the Event of Widespread Disruption to The Examination System in England, Wales and Northern Ireland.*

This plan complies with JCQ general regulations in that each Centre agrees to *"have in place a written examination contingency plan / examinations policy which covers all aspects of examination administration. This will allow members of the senior leadership team to have a robust contingency plan in place, minimising risk to examination administration, should the examinations officer be absent at a crucial stage of the examination cycle."*

Implementing the plan will safeguard the interests of candidates while maintaining the integrity of the examination system and safeguarding qualification standards. The contingencies covered have been implemented on several occasions in response to localised issues in other centres. They would be applied on a larger scale in response to any widespread disruption at a national level. The priority when implementing contingencies will be to maintain three principles:

i. delivering assessments to published timetables;

ii. delivering results to published timetables;

iii. complying with regulatory requirements in relation to assessment, marking and standards.

3. Plans to Manage the Causes of Potential Disruption to the Exam Process

3.1 Exam Officer Extended Absence At Key Points In The Exam Cycle

Criteria for Implementation of the Plan

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

i. **Planning**

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

ii. **Entries**

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

iii. **Pre-Exams**

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

iv. **Exam Time**

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

v. **Results and Post-Results**

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

Centre Actions:

i. Appoint an interim acting Exams Officer with exams experience at least at invigilator level.

ii. Have one additional member of staff exams trained

iii. Ensure that staff have regular Arbor training and access to support as required

iv. Vice Principal with responsibility for the leadership of exams to oversee and ensure that all actions are in place.

3.2 **SENCo Extended Absence at Key Points in the Exam Cycle**

Criteria for Implementation of the Plan

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

i. **Planning**

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

ii. **Pre-Exams**

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

iii. **Exam Time**

- access arrangement candidate support not arranged for exam rooms

Centre Actions:

i. Vice Principal T&L, Learning Support/Senior Progress Coach step into SENCo role for Access Arrangement requirements.

ii. Timely communication between SENCo and Exams Officer about access arrangement requirements and staffing required.

iii. Exam Access Arrangement tests completed well in advance e.g. Year 10.

iv. SLT to receive fortnightly updates from the SENCo to ensure regular communication and understanding of progress to secure access arrangements for those students who need this.

3.3 Teaching Staff Extended Absence at Key Points in the Exam Cycle

Criteria for Implementation of the Plan

Key tasks not undertaken including:

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

ii. Final entry information not provided to the exams officer on time; resulting in:

- candidates not being entered for exams/assessments or being entered late
- late or other penalty fees being charged by awarding bodies

iii. Internal assessment marks and candidates' work not provided to meet submission deadlines

Centre Actions:

i. Half termly data tracking ensures that a regular understanding of student data is available.

ii. Data & Exams Manager works to secure subject specialist support as required during staff absence.

iii. Support from United Learning Tusti s available as required to support assessments and QA in subject areas if needed.

iv. Curriculum Leader to take responsibility while teacher absent and in the absence of the CL the SLT Line Manager.

3.4 **Invigilators - Lack of Appropriately Trained Invigilators or Invigilator Absence**

Criteria for Implementation of the Plan

i. Failure to recruit and train sufficient invigilators to conduct exams

ii. Invigilator shortage on peak exam days

iii. Invigilator absence on the day of an exam

Centre Actions:

i. Regular adverts are placed to employ invigilators as needed each year,

ii. Sharing the exams timetable with SLT to show invigilator bookings,

iii. Use of support staff to cover invigilator absence and add additionally.

iv. Regular training for invigilators and support staff to ensure adequate coverage of readers / scribes.

v. Using support staff / agency staff to cover invigilator absence.

3.5 **Exam Rooms - Lack of Appropriate Rooms or Main Venues Unavailable at Short Notice**

Criteria for Implementation of the Plan

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

ii. Insufficient rooms available on peak exam days

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

Centre Actions:

i. Room booking system in place on Arbor.

ii. System for room bookings to be communicated to staff.

iii. Ability to re-room and use more venues is already in place.

iv. Due to the nature of the school building exams can be moved to different locations/rooms or Wembrook Primary School if an area becomes unsuitable for exams at short notice.

3.6 **Failure of IT Systems**

Criteria for Implementation of the Plan

i. MIS system failure at final entry deadline.

ii. MIS system failure during exams preparation.

iii. MIS system failure at results release time.

iv. Failure of ICT network during an on screen assessment.

Centre Actions

i. Relocation of exams to a different building or another school (Wembrook Primary School.

ii. Immediate contact to be made with IT Services.

iii. Urgent requests to be logged at Academy specific support portal and also called through.

iv. Students to be supervised and technical support sought immediately, recording of time without ICT access logged and reported to the exam board as per requirements, and special consideration requested if applicable.

3.7 **Disruption of Teaching Time - Centre Closed for an Extended Period**

Criteria for Implementation of the Plan

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

ii. The Centre to communicate with parents, carers and students about the potential for disruption to teaching time and plans to address this.

Centre Actions

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

ii. It is the responsibility of the academies to prepare students, as usual, for examinations.

iii. The academy should plan to facilitate teaching and learning to another academy in the cluster.

iv. Guidance on emergency planning, with advice on severe weather, is available on the Department for Education website: https://www.gov.uk/government/publications/emergency-planning-and-response-for-education-childcare-and-childrens-social-care-settings/emergency-planning-and-response-for-education-childcare-and-childrens-social-care-settings

3.8 **Candidates Unable to Take Examinations Because Of a Crisis - Centre Remains Open**

Criteria for Implementation of the Plan

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

ii. The Centre to communicate with relevant awarding organisations at the outset to make them aware of the issue. The Centre to communicate with parents, carers and candidates regarding solutions to the issue.

Centre Actions:

i. If candidates are unable to attend examination centre to take examinations as normal. The academy can liaise with candidates to identify whether the examination can be sat at an alternative venue in agreement with the relevant awarding organisations. JCQ guidance on alternative site arrangements can be accessed through the JCQ website -

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

ii. The academy can offer candidates an opportunity to sit any examinations missed at the next available series.

iii. The academy can apply to awarding organisations for special consideration for candidates where they have met the minimum requirements. Candidates are only eligible for special consideration if they have been fully prepared and have covered the whole course but are affected by adverse circumstances beyond their control.

iv. JCQ guidance on special consideration can be accessed through the JCQ website:

https://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration

3.9 **Centre Unable to Open As Normal During the Exams Period**

Criteria for Implementation of the Plan

Centre is unable to open as normal for scheduled examinations.

A centre which is unable to open as normal for examinations must inform each awarding organisation with which examinations are due to be taken as soon as is possible

Centre Actions:

i. If an academy is unable to open as normal for scheduled examinations it must inform each awarding organisation with which examinations are due to be taken as soon as is possible.

ii. The responsibility for deciding whether it is safe for the academy to open lies with the Principal (Head of Centre). The Principal is responsible for taking advice or following instructions from relevant local or national agencies in deciding whether they are able to open.

iii. The academy should open for examinations and examination candidates only if possible.

iv. The academy should use alternative venues in agreement with relevant awarding organisations (e.g. share facilities with other centres or use other public building, if possible).

v. The academy may offer candidates an opportunity to sit any examinations missed at the next available series.

vi. The academy can apply to awarding organisations for special consideration for candidates where they have met the minimum requirements.

3.10 **Disruption in the Distribution and Collection of Examination Papers**

Criteria for Implementation of the Plan

Disruption to the distribution of examination papers to the Centre in advance of examinations

The Centre to communicate with awarding organisations to organise alternative delivery of papers.

Centre Actions:

i. If the distribution of examination papers to centres in advance of Examinations is disrupted.

- The awarding organisations to source alternative couriers for delivery of hardcopies.
- The awarding organisations would provide the academy with electronic access to examination papers via a secure external network. Awarding organisations would fax examination papers to centres if electronic transfer is not possible. The Examinations Officer must ensure that copies are received, made and stored under secure conditions.

ii. Disruption to the transportation of completed examination scripts - if there is a delay in normal collection arrangements for completed examination scripts:

- The academy will seek advice from awarding organisations and normal collection agency regarding collection. The Academy must not to make arrangements for transportation without approval from awarding organisations.

- The academy must ensure secure storage of completed examination scripts until they can be collected.

3.11 **Cyber Attack**.

Criteria for Implementation of the Plan

Where it is identified that a cyber-attack may compromise any aspect of the delivery of examinations

Centre Actions:

i. Exams Officer will work with IT and make contact with the relevant Awarding Body to seek further guidance.
ii. Senior Leaders will monitor the situation and take any action required as directed by the Awarding Bodies.
iii. If the school system is significantly compromised for an exam that requires ICT for completion, the school may need to transport students to an alternative venue.
iv. The school may need to hire support from an outside agency to check the systems are 'clean' for exams to resume and we are safe[r] from future attacks.

The Academy will ensure that all contingencies are completed in line with JCQ Joint Qualifications Contingency guidance.

4. Additional Contingencies and Guidance

4.1 **Assessment Evidence Is Not Available To Be Marked**

If due to large scale damage to or destruction of completed examination scripts/assessment evidence before it can be marked.

i. The awarding organisations should generate candidate marks for affected assessments based on other appropriate evidence of candidate achievement as defined by the awarding organisations in consultation with the regulators.

ii. The candidates should retake affected assessment at subsequent assessment window.

4.2 **Disruption to the Scanning Process - Where Completed Examination Scripts Are Being Scanned In Preparation for Onscreen Marking**

If the examination boards scanning process is disrupted, resulting in a risk to the delivery of results by scheduled dates.

i. The awarding organisations should implement their existing contingency plans for disruption to onscreen marking process

ii. The awarding organisations should revert to traditional form of marking

iii. The awarding organisations should recruit, train or re-standardise qualified new markers.

4.3 **Markers Unable To Mark Examination Scripts According To Marking Schedules**

If the examination board markers are unable to mark examination scripts resulting in a risk to the delivery of results by scheduled dates.

i. The awarding organisations should re-allocate scripts to available markers

ii. The awarding organisations to recruit, train or re-standardise qualified new markers and prioritisation of marking to be based on results dates.

4.4 **Difficulty in Meeting Planned Schedule or Unable, To Issue Results Inability of Awarding Organisations Either Meet Planned Schedule for Issue of Results, or To Issue Results As Planned Due to A Systems Failure**

If the awarding organisation(s) face delay in meeting the planned schedule for issuing results:

i. The awarding body should establish priorities for processing results, implement existing contingency plans for disruption to the schedule for issuing results.

ii. If awarding organisation(s) face difficulty in issuing results as planned due to a systems failure, in consultation with regulators, assess the level of disruption and consider alternative

options for issuing results dependent upon the nature of the particular systems failure, the awarding organisations and regulators to liaise with relevant organisations (i.e. UCAS, CAO) regarding process of candidate progression to further and higher education.

4.5 **Awarding Organisations Unable To Issue Accurate Results**

Due to system error/failure or attack on systems means significant numbers of results cannot be validated as accurate or are issued and found to be inaccurate.

i. The candidates, academy and stakeholders will be informed of any incorrect results

ii. The awarding organisations will re-validation results

iii. The awarding organisations to re-issue results, via alternative format if necessary.

4.6 **Centres Are Unable to Distribute Results as Normal**

If the academy is unable to access or manage the distribution of results to candidates, or to facilitate post results services.

The Academy should contact the awarding organisations about alternative options:

i. The Academy will make arrangements to access its results at an alternative site.

ii. The Academy will make arrangements to coordinate access to post results services from an alternative site.

iii. The academy will share facilities with other centres where possible.

4.7 **Summary of Responsibilities In The Event Of Disruption to Examinations**

i. Preparing plans for any disruption to exams as part of centres' general emergency planning.

ii. Preparing candidates for examinations.

iii. Ensuring examinations and assessments are taken under the conditions prescribed by awarding organisations.

iv. Ensuring, where relevant, that assessment materials and candidate work are stored under secure conditions.

v. Deciding whether the centre can open for examinations as scheduled and informing relevant awarding organisations if the centre is unable to open.

vi. Exploring the opportunities for alternative arrangements if the centre cannot open for examinations and agreeing such arrangements with the awarding organisations.

vii. Assessing and liaising with awarding organisations in the event of disruption to the transportation of papers. Further guidance to inform and implement contingency planning

5. Further Guidance to Inform and Implement Contingency Planning

Ofqual

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

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

JCQ

General regulations

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

Guidance on *alternative site arrangements*

Appendix 2

https://www.jcq.org.uk/knowledge-hub/alternative-site-guidance-note/

Instructions for conducting examinations

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

A guide to the special consideration process

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

GOV.UK

Emergencies and severe weather: schools and early years settings

https://www.gov.uk/emergencies-and-severe-weather-schools-and-early-years-settings

Teaching time lost due to severe weather conditions

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

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

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

Non-Examination Assessment Procedure

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

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

Purpose of the Procedure

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

i. Cover procedures for planning and managing non-examination assessments.
ii. Define staff roles and responsibilities with respect to non-examination assessments.
iii. Manage risks associated with non-examination assessments.

Non-Examination Assessments

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

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

i. task setting;
ii. task taking;
iii. task marking.

Appendix 2

Procedures for Planning and Managing Non-Examination Assessments Identifying Staff Roles and Responsibilities

Head of Centre:

i. Ensures that the centre's *non-examination assessment policy* is fit for purpose

ii. Ensures that the centre's *internal appeals procedures* clearly detail the procedure to be followed by candidates (or their parents/carers) appealing against an internal assessment decision

Senior leaders

i. Ensure the correct conduct of non-examination assessments which comply with NEA and awarding body subject specific instructions

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

Quality Assurance Lead / Lead internal verifier

i. Confirms with subject heads that appropriate awarding body forms and templates for non-examination assessments are used by teachers and candidates

ii. Ensures appropriates procedures are in place to internally standardise/verify the marks awarded by subject teachers in line with awarding body criteria

iii. Ensures appropriate centre-devised templates are provided to capture/record relevant information given to candidates by subject teachers

iv. Ensures appropriate centre-devised templates are provided to capture/record relevant information is received and understood by candidates

v. 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

i. Ensures subject teachers understand their role and responsibilities within the non-examination assessment process

ii. Ensures NEA and relevant awarding boy subject specific instructions are followed in relation to the conduct of non-examination assessments

iii. Works with the QA lead/Lead internal verifier to ensure appropriate procedures are followed to internally standardise/verify the marks awarded by subject teachers

Subject Teacher

i. Understands and complies with the general instructions as detailed in JCQ NEA guidance and complies with the JCQ AI Use in Assessments: Protecting the Integrity of Qualifications

ii. Where these may also be provided by the awarding body, understands and complies with the specific instructions, teachers' notes or additional information on the awarding body's website

iii. Marks internally assessed work to the criteria provided by the awarding body

iv. Ensures the exams officer is provided with relevant entry codes for subjects (whether the entry for the internally assessed component forms part of the overall entry code or is made as a separate component/unit entry code) to the internal deadline for entries.

Exams Officer

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

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Task Setting

Subject Teacher

i. Selects tasks from a choice provided by the awarding body OR designs tasks where this is permitted by criteria set out within the subject specification

ii. Makes candidates aware of the criteria used to assess their work

Issuing of Tasks

Subject Teacher

i. Determines when set tasks are issued by the awarding body

ii. Identifies date(s) when tasks should be taken by candidates

iii. Accesses set tasks in sufficient time to allow planning, resourcing and teaching and ensures that materials are stored securely at all times

iv. Ensures requirements for legacy specification tasks and new specification tasks are distinguished between

Task Taking - Supervision

Subject Teacher

i. Checks the awarding body's subject-specific requirements ensuring candidates take tasks under the required conditions and supervision arrangements

ii. Ensures there is sufficient provision to enable the work of a candidate to be authenticated

iii. Ensures there is sufficient supervision to ensure the work a candidate submits is their own

iv. Where candidates may work in groups, keeps a record of each candidate's contribution

v. Ensures candidates are aware of the JCQ documents *Information for candidates – non-examination assessments* and *Information for candidates – Social Media*

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

Task Taking - Advice and feedback

Subject Teacher

i. As relevant to the subject/component, advises candidates on relevant aspects before candidates begin working on a task

ii. When reviewing candidates' work, unless prohibited by the specification, provides oral and written advice at a general level to candidates

iii. Allow candidates to revise and re-draft work after advice has been given at a general level

iv. Records any assistance given beyond general advice and take it into account in the marking or submit it to the external examiner

v. Ensures when work has been assessed, candidates are not allowed to revise it

Task Taking - Resources

Subject Teacher

i. Refers to the awarding body's specification and/or associated documentation to determine if candidates have restricted/unrestricted access to resources when planning and researching their tasks

ii. Ensures conditions for any formally supervised sessions are known and put in place

iii. Ensures conditions for any formally supervised sessions are understood and followed by candidates

iv. Ensures candidates understand that they are not allowed to introduce improved notes or new resources between formally supervised sessions

v. Ensures that where appropriate to include references, candidates keep a detailed record of their own research, planning, resources etc.

Task Taking - Word and time limits

Subject Teacher

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

Task Taking - Collaboration and Group Work

Subject Teacher

i. Unless stated otherwise in the awarding body's specification, and where appropriate, allows candidates to collaborate when carrying out research and preparatory work

ii. Ensures that where an assignment requires written work to be produced, each candidate writes up their own account of the assignment

iii. Assesses the work of each candidate individually

Task Taking - Authentication Procedures

Subject Teacher

i. 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.

ii. Keeps signed candidate declarations on file until the deadline for enquiries about results has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.

iii. Provides signed candidate declarations where these may be requested by a JCQ Centre Inspector.

iv. 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 on NEA and informs the Exams Officer.

Task Taking - Presentation of work

Subject Teacher

i. Instructs candidates to present work as detailed in NEA unless the awarding body's specification gives different subject-specific instructions.

ii. 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.

Task Taking - Keeping Materials Secure

Subject Teacher

i. When work is being undertaken by candidates under formal supervision, ensures work is securely

stored between sessions (if more than one session)

ii. When work is submitted by candidates for final assessment, ensures work is securely stored

iii. Secure storage instructions are followed

iv. Takes sensible precautions when work is taken home for marking

v. Stores internally assessed work, including the sample returned after awarding body moderation, securely until the closing date for enquiries about results or until the outcome of an enquiry or any subsequent appeal has been conveyed to the centre

vi. Reminds candidates of the need to keep their own work secure at all times and not share completed or partially completed work online, on social media or through any other means

vii. Liaises with the IT Manager to ensure that appropriate arrangements are in place to restrict access between sessions to candidate's work where work is stored electronically

IT Manager

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

Task Marking - Externally Assessed Components

Conduct of Externally Assessed Work

Subject Teacher

i. Liaises with the exams officer regarding arrangements for the conduct of an externally assessed non-examination component of a specification.

ii. Liaised with the Visiting Examiner where this may be applicable to any externally assessed component.

Exams Officer

i. Arranges timetabling, rooming and invigilation where this is applicable to any externally assessed non-examination component of a specification.

ii. Conducts the externally assessed component within the window specified by the awarding body.

iii. Conducts the externally assessed component according to the JCQ publication *Instructions for conducting examinations.*

Submission of Work

Subject Teacher

i. Provides the attendance register to a Visiting Examiner.

Exams Officer

i. Provides the attendance register to the subject teacher where the component may be assessed by a Visiting Examiner.

ii. Ensures the awarding body's attendance register for any externally assessed component is completed correctly to show candidates who are present and any who may be absent.

iii. Where candidates' work must be despatched to an awarding body's examiner, ensures the completed attendance register accompanies the work.

iv. Keeps a copy of the attendance register until after the deadline for enquiries about results for the exam series.

v. Packages the work as required by the awarding body and attaches the examiner address label.

vi. Despatches the work to the awarding body's instructions by the required deadline.

Appendix 2

Task Marking - Internally Assessed Components

Marking and Annotation

Subject Teacher

i. Marks candidates' work in accordance with the marking criteria provided by the awarding body.

ii. 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.

iii. Informs candidates of their marks which could be subject to change by the awarding body moderation process.

iv. Ensures candidates are informed in a timely manner to enable an internal appeal to be submitted by a candidate and the outcome known before final marks are submitted to the awarding body.

Internal Standardisation

Quality Assurance Lead / Lead Internal Verifier

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

Subject Teacher

i. Indicates on work (or cover sheet) the date of marking.

ii. Marks to common standards.

Consortium Arrangements

Subject Head / Lead

i. Ensures a consortium co-ordinator is nominated (where this may be required) as the consortium lead.

ii. Liaises with the exams officer to ensure form JCQ/CCA is submitted to the awarding body for each exam series affected.

iii. Ensures procedures for internal standardisation as a consortium are followed.

Subject Teacher

i. Provides marks to the exams officer to the internal deadline.

ii. Provides the moderation sample to the exams officer to the internal deadline.

Exams Officer

i. Arranges completion of form JCQ/CCA *Centre consortium arrangements for centre-assessed work.*

ii. Submits from JCQ/CCA to the deadline for each exam series affected.

iii. Submits marks to the awarding body deadline.

iv. Where relevant, liaises with other consortium exams officers to arrange despatch of a single moderation sample to the awarding body deadline.

v. Where relevant (as the consortium lead), retains all candidates' work in the consortium until after the deadline for enquiries about results for the exam series.

Appendix 2

Submission of Marks and Work for Moderation

Subject Teacher

i. Provides marks to the exams officer to the internal deadline.

ii. Provides the moderation sample to the exams officer to the internal deadline.

iii. Provides a teacher declaration of authentication to the exams officer confirming the requirements have been met.

Exams Officer

i. 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 and ensures mark input is checked before submission to avoid transcription errors.

ii. 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.

iii. Ensures that for postal moderation:

- Work is despatched in packaging provided by the awarding body.
- Moderator label(s) provided by the awarding body are affixed to the packaging.
- Proof of despatch is obtained and kept on file until the successful issue of final results.

iv. Through the subject teacher, ensures the moderator is provided with authentication of candidates' work, confirmation that internal standardisation has been undertaken has been undertaken and any other subject-specific information where this may be required.

Storage and Retention of Work after Submission of Marks

Subject Teacher

i. Keeps a record of names and candidate numbers for candidates whose work was included in the moderation sample.

ii. Retains all marked candidates' work (including any sample returned after moderation) under secure conditions until after the deadline for enquiries about results.

iii. Takes steps to protect any work stored electronically from corruption and has a back-up procedure in place.

iv. Retains evidence of work where retention may be a problem (for example, photos of artefacts etc.).

Exams Officer

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

External Moderation - Feedback

Subject Head / Lead

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

Exams officer

i. Accesses or signposts moderator reports to the relevant staff.

ii. Takes remedial action, if necessary, where feedback may relate to Centre administration.

Appendix 2

Access Arrangements

Subject Teacher

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

Special Educational Needs Coordinator (SENCo)

i. Follows the regulations and guidance in the JCQ publication *Access Arrangements and Reasonable Adjustments*

ii. Where arrangements do not undermine the integrity of the qualifications and is the candidate's normal way of working, will ensure access arrangements are in place and awarding body approval, where required, has been obtained prior to assessments taking place.

iii. Makes subject teachers aware of any access arrangements for eligible candidates which need to be applied to assessments.

iv. Work with subject teachers to ensure requirements for access arrangement candidates requiring the support of a facilitator in assessments are met.

v. Ensures that staff acting as an access arrangement facilitator are fully trained in their role.

Special Consideration

Subject Teacher

i. Understands that a candidate may be eligible for special consideration in assessments in certain situations where a candidate:

- is absent;
- produces a reduced quantity of work;
- work has been lost.

ii. Liaises with the exams officer when special consideration may need to be applied for a candidate taking assessments

Exams officer

i. Refers to/directs relevant staff to the JCQ publication *A Guide to the Special Consideration Process.*

ii. Where a candidate is eligible, submits an application for special consideration via the awarding body's secure extranet site to the prescribed timescale.

iii. 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.

iv. Keeps required evidence on file to support the application.

Malpractice

Head of Centre

i. Understands the responsibility to report to the relevant awarding body any suspected cases of malpractice involving candidates, teachers, invigilators or other administrative staff.

ii. Is familiar with the JCQ publication *Suspected Malpractice in Examinations and Assessments: Policies and Procedures.*

Subject Teacher

i. Is aware of the JCQ *Notice to Centres – Teachers sharing assessment material and candidates' work.*

ii. Ensures the candidates understand the JCQ document *Information for candidates – Social Media.*

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Exams Officer

i. Signposts the JCQ publication *Suspected Malpractice in Examinations and Assessments: Policies and Procedures* to the Head of Centre.

ii. Signposts the JCQ *Notice to Centres – Teachers sharing assessment material and candidates' work* to subject heads.

iii. Signposts candidates to the relevant JCQ information for candidates' documents.

iv. Where required, supports the head of centre in investigating and reporting incidents of suspected malpractice.

Enquiries about Results

Head of Centre

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

Subject Head / Lead

i. Provides relevant support to subject teachers making decisions about enquiries about results.

Subject Teacher

i. Provides advice and guidance to candidates on their results and post-results services available.

ii. Provides the exams officer with the original sample or relevant sample of candidates' work that may be required for an enquiry about results to the internal deadline.

iii. Supports the exams officer in collecting candidate consent where required.

Exams Officer

i. Is aware of the individual post-results services available for externally assessed and internally assessed components of non-examination assessments as detailed in the JCQ publication *Post Results Services, Information and guidance for centres.*

ii. Provides/signposts relevant centre staff and candidates post-results services information.

iii. Ensures any requests for post-results services that are available to non-examination assessments are submitted online via the awarding body secure extranet site to deadline.

iv. Collects candidate consent where required.

Spoken Language Endorsement for GCSE English Language specifications

Head of Centre

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

Quality Assurance Lead / Lead Internal Verifier

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

Subject Head / Lead

i. Confirms understanding of the *Spoken Language Endorsement for GCSE English Language specifications designed for use in England.*

ii. Ensures the required task setting and task taking instructions are followed by subject teachers.

iii. Ensures subject teachers assess candidates, either live or from recordings, using the common assessment criteria.

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

Subject Teacher

i. Ensures all the requirements in relation to the endorsement are known and understood.

ii. Follows the required task setting and task taking instructions.

iii. Assesses candidates, either live or from recordings, using the common assessment criteria.

iv. Provides audio-visual recordings of the presentations of a sample of candidates for monitoring purposes.

v. 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

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

Appendix 2

Management of Issues and Potential Risks Associated With Non-Examination Assessments

Issue / Risk	Centre Actions to Manage Issue / Mitigate Risk	Action By
Task Setting		
Awarding body set task: IT failure/corruption of task details where set task details accessed from the awarding body online.	• Awarding body key date for accessing/downloading set task noted prior to start of course. • IT systems checked prior to key date. • Alternative IT systems checked prior to date. • Awarding body contacted to request direct email of task details.	IT Manager and Exams Officer
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 task set.	SLT link
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.	SLT link
Subject teacher long term absent during the task setting stage.	• See centre's exam contingency plan - *Teaching staff extended absence at key points in the exam cycle*	SLT link
Issuing of Tasks		
Task for legacy specification given to candidates undertaking new specification.	• Ensures subject teachers take care to distinguish between requirements/tasks for legacy specifications and requirements/tasks for new specifications. • Awarding body guidance sought where this issue remains unsolved.	SLT link Subject head/lead
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.	SLT link Subject head/lead

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Issue / Risk	Centre Actions to Manage Issue / Mitigate Risk	Action By
	• Course information issued to candidates contains details when set task will be issued and needs to be completed by. • Set task accessed well in advance to allow time for planning, resourcing and teaching.	
The wrong task is given to candidates.	• Ensures course planning and information taken from the awarding body's specification confirms the correct task will be issued to candidates. • Awarding body guidance sought where this issue remains unsolved.	SLT link Subject head/lead
Subject teacher long term absence during the issuing of tasks stage.	• See Centre's exam contingency plan: *Teaching staff extended absence at key points in the exam cycle.*	SLT link Subject head/lead
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 link
Rooms or facilities inadequate for candidates to take tasks under appropriate supervision.	• Timetabling organised to allocate appropriate rooms and IT facilities for the start of the course. • Staggered sessions arranged where IT facilities insufficient for number of candidates. • Whole cohort to undertake written task in large exam venue at the same time (exam conditions do not apply).	SLT link Subject head/lead
Insufficient supervision of candidates to enable work to be authenticated.	• Confirm subject teachers are aware of and follow the current JCQ publication *Instructions for conducting non-examination assessments* and any other specific instructions detailed in the awarding body's specification in relation to the supervision of candidates. • Confirm subject teachers understand their role and responsibilities as detailed in the centre's non-examination assessment policy.	Exams officer to send out policy
A candidate is suspected of malpractice prior to submitting their work for assessment.	• Instructions and processes in the current JCQ publication *Instructions for conducting non-examination assessments (Malpractice)* are followed.	Exams officer/ Subject head / lead / Head of Centre
Access arrangements were not put in place for	• Relevant staff are signposted to the JCQ publication *A guide to the special consideration*	Exams officer/SENCo

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Issue / Risk	Centre Actions to Manage Issue / Mitigate Risk	Action By
an assessment where a candidate is approved for arrangements.	*process* to determine the process to be followed to apply for special consideration for the candidate.	
Advice and Feedback		
Candidate claims appropriate advice and feedback not given by subject teacher prior to starting on their work.	• Ensures a centre-wide process is in place for subject teachers to record all information provided to candidates before work begins as part of the centre's quality assurance procedures. • Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity. • Full records kept detailing all information and advice given to candidates prior to starting on their work as appropriate to the subject and component. • Candidate confirms/records advice and feedback given prior to starting on their work.	SLT link/Subject head/lead/Teaching Staff
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.	SLT link/Subject head/lead/Teaching staff
A third party claims that assistance was given to the 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/Head of Centre/Exams officer
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.*	Teaching staff

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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.	Teaching staff
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.	Exams officer to transfer
An excluded pupil wants to complete his/her non-examination assessment(s).	• The awarding body specification is checked to determine if the specification is available to a candidate outside mainstream education. • If so, arrangements for supervision, authentication and marking are made separately for the candidate.	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.	Teaching staff
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 the candidate's detailed records do not 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.	Teaching staff
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.	Teaching staff

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Issue / Risk	Centre Actions to Manage Issue / Mitigate Risk	Action By
	• Where limits are for guidance only, candidates are discouraged from exceeding them. • Candidates confirm/record any information provided to them on word or time limits is known and understood.	
Collaboration and Group Work		
Candidates have worked in groups where the awarding body specification states this is not permitted.	• Records confirm the awarding body specification has been checked to determine if 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.	SLT link
Authentication Procedures		
A teacher has doubts about the authenticity of the work submitted by a candidate for internal assessment - suspected plagiarism..	• Records confirm subject staff have been made aware of the JCQ document *Teachers sharing assessment material and candidates' work.* • Records confirm that candidates have been issued with the current JCQ document *Information for candidates: non-examination assessments.* • The candidate's work is not accepted for assessment. • A mark of zero is recorded and submitted to the awarding body.	SLT link / Subject head / lead / Exams Officer
Candidate does not sign their authentication / declaration.	• Records confirm that candidates have been issued with the current JCQ document *Information for candidates: non examination assessments.* • Declaration is checked for signature before accepting the work of a candidate for formal assessment.	Teaching staff
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.	SLT link
Presentation of Work		
Candidate does not fully complete the awarding body's cover sheet that is attached to their work	• Cover sheet is checked to ensure it is fully completed before accepting the work of a candidate for formal assessment.	Subject head / lead

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Issue / Risk	Centre Actions to Manage Issue / Mitigate Risk	Action By
submitted for formal assessment.		
Keeping Materials Secure		
Candidates work between formal supervised sessions is not securely stored.	• Records confirm subject teachers are aware of and follow current JCQ publication *Instructions for conducting non-examination assessments.* • Regular monitoring ensures subject teacher use of appropriate secure storage.	Secure storage in each department is overseen by Subject head / lead
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 link
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; the candidate is marked absent on the attendance register.	Teacher in charge of Examiner visit / Exams Officer
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.	Teacher in charge / Exams Officer
A candidate is unable to finish their work for unforeseen reason.	• Relevant staff are signposted to the JCQ publication *A guide to the special consideration process* to determine eligibility and the process to be followed for shortfall in work.	Exams Officer
The work of a candidate is lost or damaged.	• Relevant staff are signposted to the JCQ publication *A guide to the special consideration process* to determine eligibility and the process to be followed for lost or damaged work.	Exams Officer
Candidate malpractice is discovered.	• Instructions and processes in the current JCQ publication *Instructions for conducting non-*	SLT link / Exams Officer

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Issue / Risk	Centre Actions to Manage Issue / Mitigate Risk	Action By
	examination assessments (Malpractice) are followed. • Investigation and reporting procedures in the current JCQ publication *Suspected Malpractice in Examinations and Assessments* are followed. • Appropriate internal disciplinary procedures are also followed.	
A teacher marks the work of his/her own child.	• A conflict of interest is declared by informing the awarding body that a teacher is teaching his/her own child at the start of the course. • Marked work of said child is submitted for moderation whether part of the sample requested or not.	Exams Officer
An extension to the deadline for submission of marks is required for a legitimate reason.	• Awarding body is contacted to determine if an extension can be granted. • Relevant staff are signposted to the JCQ publication *A guide to the special consideration process* to determine eligibility and the process to be followed for non-examination assessment extension.	Exams Officer
After submission of marks, it is discovered that the wrong task was given to candidates.	• Awarding body is contacted for guidance. • Relevant staff are signposted to the JCQ publication *A guide to the special consideration process* to determine eligibility and the process to be followed to apply for special consideration for candidates.	Exams Officer
A candidate wishes to appeal 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 at least two weeks prior to the internal deadline set by the exams officer for submission of marks. • Candidates are made aware of the centre's internal appeals procedures and timescale for submitting an appeal prior to the submission of marks to the awarding body.	Teaching staff / Exams Officer / appeals procedure on school website
Deadline for submitting work for formal	• Records confirm deadlines given and understood by candidates at the start of the course.	Teaching staff

Appendix 2

Issue / Risk	Centre Actions to Manage Issue / Mitigate Risk	Action By
assessment not met by candidate.	• Candidates confirm/record deadlines known and understood. • Depending on the circumstances, awarding body guidance sought to determine if the work can be accepted late for marking providing the awarding body's deadline for submitting marks can be met. • Decision made (depending on the circumstances) if the work will be accepted late for marking or a mark of zero submitted to the awarding body for the candidate.	
Deadline for submitting marks and samples of candidates work ignored by subject teacher.	• Internal/external deadlines are published at the start of each academic year. • Reminders are issued through senior leaders/subject heads as deadlines approach. • Records confirm deadlines known and understood by subject teachers. • Where appropriate internal disciplinary procedures are followed.	SLT link / Exams Officer
Subject teacher long term absence during the marking period.	• See centre's *exam contingency plan (Teaching staff extended absence at key points in the exam cycle).*	SLT link / Exams Officer

Appendix 3

Internal Appeals Process

The Academy is committed to promoting quality, consistency, accuracy, and fairness in assessment and thus in awarding. The Academy aims to ensure that:

i. Internal assessments are conducted by staff who have the appropriate knowledge, understanding and skills;
ii. Assessment evidence provided by candidates has been produced and authenticated according to the requirements of the specification for each subject;
iii. The consistency of the internal assessment is secured through internal standardisation as necessary;
iv. Staff responsible for internal standardisation and/or assessment attend any compulsory training sessions.

This Policy details the procedure regarding appeals by students relating to internal / controlled assessment decisions made by an academy submitted to awarding bodies. It outlines how appeals may be made to the academy regarding the procedures followed but does not cover the actual marks or grades submitted by the academy to the awarding body.

Any concerns about the procedures used in assessing internally marked work for public exams (e.g. coursework/portfolio/projects/performance) should be discussed with the subject teacher and / or Head of Department in the first instance. If this fails to resolve the concerns, these should be brought to the attention of the Exams Officer as soon as possible.

Each awarding body specifies detailed criteria for the internal assessment of work. After work has been assessed internally it is moderated by the awarding body to ensure consistency between Centres. Such moderation frequently changes the marks awarded for internally assessed work and the final judgement on marks awarded lies with the awarding body. This is outside the control of the academy and is not covered by this internal appeals policy.

Appeals Procedure

The Examinations Officer manages the appeals process.

A written appeal must be received by the Examinations Officer no more than 14 days after the deadline for coursework marks to be sent to the relevant awarding body. The appeal must state the details of the complaint and the reasons for the appeal. All supporting evidence should be included with the appeals notice.

An enquiry into the internal assessment will be conducted by the Examinations Officer, Head of Department for the relevant subject area and a member of the Leadership Team, unless any of these individuals have been directly involved in the original internal assessment process. The panel will include a review of the procedures used by the academy to award marks for internal/controlled assessment and will consider whether the procedures conform to the published requirements of the awarding body. This will be undertaken within 14 days of receipt of the written appeal.

Wherever possible, appeals will be considered and resolved by the date of the last externally assessed paper of the examination series. Any difficulties in meeting this deadline will be raised with the awarding body.

The teacher making the assessment will be asked to respond to the appeal in writing and a copy will be sent to the appellant.

The Examinations Officer will convey the outcome of the appeal and clear reasons for the outcome in writing to the appellant within 5 working days of the final decision. Any changes made to the assessment of the candidate's work and any steps taken to further protect the interest of the candidates at the School will be confirmed.

Candidates will be able to obtain access to:

i. the breakdown of marks awarded to them for an internal assessment;

ii. all comments recorded by the School relating to their internally assessed work;

iii. any relevant communications with the awarding body;

iv. information if available at the time of the appeal as to whether the work was sampled by the awarding body;

v. the moderated mark given by the awarding body if known;

vi. relevant awarding body procedures for the conduct of internal assessment.

The academy will maintain a written record of all appeals and subsequent decisions. The awarding bodies will be informed of any change to an internally assessed mark as a result of an appeal, of any implications for the conduct of the examination or for the issue of results at the academy. Full details of any appeal will be available to the awarding body on request.

Enquiries about Results (EAR)

Each awarding body publishes procedures for appeals against its decisions. The Exams Officer will provide copies of these procedures and offer advice to candidates.

Appeals against a grade or a result of an external examination have to be lodged by the academy. The Head of Department will decide whether the academy should support an EAR, taking into consideration knowledge of the exam system and their professional judgement.

The candidate will be required to acknowledge that their grade may be confirmed, raised or lowered and will be responsible for paying the relevant fee at the time of the request where the academy does not uphold a request for such an enquiry.

Where the student wishes to challenge the decision not to hold an enquiry or consequent appeal, a similar procedure to that stated above will be carried out.

Appendix 3

Internal Appeals Form

FOR CENTRE USE ONLY	
Date Received	
Reference No.	

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

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

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

Name of Appellant		**Candidate Name** (where different to the appellant)	
Awarding Body		**Exam Paper Code**	
Subject		**Exam Paper Title**	

Please state the grounds for your appeal below:

(If applicable, tick below)

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

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

Appellant signature: Date of signature:

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

Appendix 3

Appeal / Complaints Log

On receipt, all appeals will be assigned a reference number and logged.

The outcome of any reviews of the Centre's marking will be made known to the head of Centre and will be logged as a complaint. A written record will be kept and made available to the awarding body upon request. Should the review of the Centre's marking bring any irregularity in procedures to light, the awarding body will be informed immediately.

Ref. No.	Date Received	Complaint or Appeal	Outcome	Outcome Date

Appendix 3

Further Guidance to Inform and Implement Appeals Procedures

JCQ

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

Ofqual

- GCSE (9 to 1) qualification-level conditions and requirements
  https://www.gov.uk/government/publications/gcse-9-to-1-qualification-level-conditions
- GCSE (A* to G) qualification-level conditions and requirements
  https://www.gov.uk/government/publications/gcse-a-to-g-qualification-level-conditions-and-requirements
- GCE qualification-level conditions and requirements
  https://www.gov.uk/government/publications/gce-qualification-level-conditions-and-requirements
- Pre-reform GCE qualification-level conditions and requirements
  https://www.gov.uk/government/publications/gce-qualification-level-conditions-for-pre-reform-qualifications

Appendix 4

Complaints Procedure

Purpose of The Procedure

That the Centre has in place *"a written complaints and appeals procedure which will cover general complaints regarding the centre's delivery or administration of a qualification."*

Grounds for Complaint

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

Teaching and Learning

i. 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).

ii. Pre-release / advance material / set task issued by the awarding body not provided on time to an exam candidate.

iii. The taking of an assessment, which contributes to the final grade of the qualification, not conducted according to the JCQ / awarding body instructions.

iv. The marking of an internal assessment, which contributes to the final grade of the qualification, not undertaken according to the requirements of the awarding body (complainant should refer to the Centre's internal appeals procedure).

v. Centre fails to adhere to its internal appeals procedure.

vi. Candidate not informed of their Centre assessed marks prior to marks being submitted to the awarding body.

vii. 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.

viii. Candidate not given sufficient time to review materials to make a decision whether to request a review of Centre assessed marks.

Access Arrangements

i. Candidate not assessed by the Centre's appointed assessor.

ii. Candidate not involved in decisions made regarding their access arrangements.

iii. Candidate did not consent to personal data being shared electronically (by the non-acquisition of a signed Privacy Notice).

iv. Candidate not / inadequately informed of the arrangements in place and the subjects or components of subjects where the arrangements would not apply.

v. Exam information not appropriately adapted for a disabled candidate to access it.

vi. Adapted equipment put in place failed during exam / assessment.

vii. Approved access arrangement(s) not put in place at the time of an exam / assessment.

viii. Appropriate arrangements not put in place at the time of an exam/assessment as a consequence of a temporary injury or impairment.

Entries

i. Failure to clearly explain a decision of early entry for a qualification to candidate (or parent/carer).

ii. Candidate not entered / entered late (incurring a late entry fee) for a required exam / assessment.

iii. Candidate entered for a wrong exam/assessment.

iv. Candidate entered for a wrong tier of entry.

Conducting Examinations

i. Failure to adequately brief candidate on exam timetable/exam regulations prior to exam/assessment taking place.

ii. Room in which exam held did not provide candidate with appropriate conditions for taking the exam.

iii. Inadequate invigilation in exam room.

iv. Failure to conduct exam according to the regulations.

v. Online system failed during (online) exam / assessment.

vi. Disruption during exam/assessment.

vii. Alleged, suspected or actual malpractice incident not investigated / reported.

viii. Eligible application for special consideration for a candidate not submitted / not submitted to timescale.

ix. Failure to inform / update candidate on the outcome of a special consideration application.

Results and Post-Results

i. 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.

ii. Candidate not having access to a member of senior staff after the publication of results to discuss / make decision on the submission of an enquiry.

iii. Candidate request for return of work after moderation and work not available / disposed of earlier than allowed in the regulations.

iv. Candidate (or parent / carer) unhappy with a result (complainant to refer via the Exams Officer to awarding body post-results services).

v. Candidate (or parent / carer) unhappy with a Centre decision not to support a clerical check, a review of marking, a review of moderation or an appeal (complainant to refer via the Exams Officer to the Centre's internal appeals procedure)

vi. Centre applied for the wrong post-results service/for the wrong exam paper for a candidate.

vii. Centre missed awarding body deadline to apply for a post-results service.

viii. Centre applied for a post-results service for candidate without gaining required candidate consent/ permission.

How to Make a 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, the Academy would encourage 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

i. A complaint should be submitted in writing by completing a complaints and appeals form.

ii. Forms are available from the Head of Centre / Examinations Officer.

iii. Completed forms should be returned to the Head of Centre / Examinations Officer.

iv. Forms received will be logged by the Centre and acknowledged within 2 calendar days.

How a Formal Complaint Is Investigated

i. 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.

ii. The findings and conclusion will be provided to the complainant within 2 working weeks.

Appeals

Following the outcome, if the complainant remains dissatisfied with the outcome of the investigation they can submit an appeal.

i. Any appeal must be submitted to the Head of Centre, in writing using the appeals form.

ii. Forms received will be logged by the Centre and acknowledged within 2 calendar days

iii. The appeal will be referred to the Company Secretary who will convene an appeal panel constituted of Raising Achievement Board members.

iv. The appeal process thereafter will follow the appeal process set out in the Academy's general Complaints Policy.

Appendix 4

Complaints and Appeals Form

FOR CENTRE USE ONLY	
Date received	
Reference No.	

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

☐ Complaint / appeal relating to the Centre's delivery of a qualification

☐ Complaint / appeal relating to the Centre's administration of a qualification

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

Please state the grounds for your complaint / appeal below.

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

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

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

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

Complainant / appellant signature: Date of signature:

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

Appendix 5

Archiving Procedure

Record Type	Record(s) Description (where required)	Retention Information / Period	Action at End of Retention Period (Method of Disposal)
Access Arrangements Information	Any hard copy information kept by the EO relating to an access arrangement candidate.	To be returned to SENCo as records owner at end of the candidate's final exam series.	Confidential destruction
Attendance Register Copies		To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential waste/shredding
Awarding Body Administrative Information	Any hard copy publications provided by awarding bodies.	To be retained until the current academic year update is provided.	Confidential destruction
Candidates' Work	Non-examination assessment work (including controlled assessment, coursework, and portfolios) returned to the Centre after awarding body moderation.	To be immediately returned to subject staff as records owner. To be stored safely and securely along with work that did not form part of the moderation sample (including materials stored electronically) until after the deadline for EARs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series.	Returned to candidates or safe disposal
Certificates		Unclaimed/uncollected certificates to be retained securely for a minimum of 12 months from date of issue.	Confidential destruction
Certificate Destruction Information	A record of unclaimed certificates that have been destroyed.	To be retained for 4 years from the date of certificate destruction.	Confidential destruction
Certificate Issue Information	A record of certificates that have been issued to candidates.		Confidential destruction
Confidential Materials Delivery Logs	A log recording confidential materials delivered by awarding bodies to the centre and issued to authorised staff.		Confidential destruction

Appendix 5

Record Type	Record(s) Description (where required)	Retention Information / Period	Action at End of Retention Period (Method of Disposal)
Confidential Materials Tracking Logs	A log to track materials taken from or returned to secure storage throughout the time the material is confidential.		Confidential destruction
Dispatch Logs	Proof of dispatch of exam script packages to awarding body examiners covered by the DfE (Standards & Testing Agency) yellow label service.		Confidential destruction
Entry Information	Any hard copy information relating to candidates' entries.		Confidential destruction
Exam Question Papers	Question papers for timetabled written exams.	Issued to teaching staff after the published finishing time of the exam and only when all candidates in the centre have completed the exam. Instructions issued by an individual awarding body relating to the use of question papers for vocational qualifications after the examination has taken place are followed.	Confidential destruction
Exam Room Checklists	Checklists confirming room conditions and invigilation arrangements for each exam room.	To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential destruction
Exam Room Incident Logs	Logs recording any incidents or irregularities in exam rooms.		Confidential destruction
Exam Stationery		When awarding body or JCQ common stationery is considered surplus or is out-of-date it will be disposed of.	Confidential disposal
Examiner Reports		To be immediately provided to Head of Department as records owner.	

Appendix 5

Record Type	Record(s) Description (where required)	Retention Information / Period	Action at End of Retention Period (Method of Disposal)
Finance information	Copy invoices for exams-related fees.	To be returned to finance department as records owner at the end of the academic year.	
Invigilation Arrangements	See *Exam room checklists*		
JCQ Publications	Any hard copy publications provided by JCQ.	To be retained until the current academic year update is provided.	
Moderator Reports		To be immediately provided to head of department as records owner.	Confidential destruction
Overnight Supervision Information	Copy of JCQ form *Timetable variation and confidentiality declaration for overnight supervision* for any candidate eligible for these arrangements.	To be retained for JCQ inspection purposes for the relevant exam series.	
Post-Results Services: Confirmation of Candidate Consent Information	Hard copy or email record of candidate consent for an EAR or ATS request to be submitted to an awarding body	EAR consent to be retained for at least six months following the outcome of the enquiry or any subsequent appeal. ATS consent to be retained for at least six months from the date consent given.	
Post-Results Services: Requests / Outcome Information	Any hard copy information relating to a post-results service request (EARs, appeals, ATS) submitted to an awarding body for a candidate and outcome information from the awarding body.		
Post-Results Services: Scripts Provided By ATS Service	Copies of exam scripts (or an electronic image of the script) returned to the centre by the awarding body/copies downloaded by the centre where the awarding body provides online access to scripts.	Where copies of scripts are retained by the centre, they must be securely stored (including any electronic versions) until they are no longer required.	Confidential disposal

Appendix 5

Record Type	Record(s) Description (where required)	Retention Information / Period	Action at End of Retention Period (Method of Disposal)
Post-Results Services: Tracking Logs	A log tracking to resolution all post-results service requests submitted to awarding bodies.		Confidential destruction
Private Candidate Information	Any hard copy information relating to private candidates' entries.		Confidential destruction
Proof of Postage - Candidate Work	Proof of postage of sample of candidates' work to awarding body moderators.		Confidential destruction
Resolving Clashes Information	Any hard copy information relating to the resolution of a candidate's clash of exam papers or a timetable variation.		Confidential destruction
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 destruction
Seating Plans	Plans showing the seating arrangements of all candidates for every exam taken.	To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential destruction
Special Consideration Information	Any hard copy information relating to a special consideration request and supporting evidence submitted to an awarding body for a candidate.	Evidence supporting an on-line special consideration application and evidence supporting a candidate's absence from an exam must be kept until after the publication of results.	Confidential destruction
Suspected Malpractice Reports / Outcomes	Any hard copy information relating to a suspected malpractice investigation/report submitted to an awarding body and outcome information from the awarding body.	To be retained as per HR/JCQ requirements for the case.	Confidential destruction
Transfer of Credit Information	Any hard copy information relating to a GCE AS transfer of credit arrangement (for a legacy unitised GCE AS specification)	To be retained until the issue of the GCE A level result for the candidate.	Confidential destruction

Appendix 5

Record Type	Record(s) Description (where required)	Retention Information / Period	Action at End of Retention Period (Method of Disposal)
	application submitted to an awarding body for a candidate.		
Transferred Candidate Information	Any hard copy information relating to an application for a transferred candidate arrangement submitted to an awarding body for a candidate.	To be retained until the transfer arrangements are confirmed by the awarding body.	Confidential destruction
Very Late Arrival Reports / Outcomes	Any hard copy information relating to a very late arrival report submitted to an awarding body for a candidate and outcome information from the awarding body.		Confidential destruction

Appendix 6

Lockdown Procedures

1. Introduction

These procedures set out the measures to be taken at the Academy in the event of a centre lockdown during the conducting of examinations.

A lockdown may be required in the following situations:

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

These procedures have been developed in line with Gov.UK's Developing Dynamic Lockdown Procedures guidance.

With regard to conducting lock downs before, during or after an examination, will be:

i. the welfare and safety of exam candidates and centre staff engaged in the conducting of examinations;
ii. maintaining the integrity and security of the examinations/assessments process;
iii. how to achieve an effective lockdown;
iv. how to let people know what's happening;
v. training staff engaged/involved in the conducting of examinations;
vi. STAY SAFE principles (Run-hide-tell).

2. Roles and Responsibilities

Head of Centre

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

Senior Leadership Team (SLT)

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

Appendix 6

Exams Officer

i. To train invigilators in the centre's lockdown procedure;

ii. Where safe/possible, to liaise with SLT/invigilators in all exam rooms during a lockdown;

iii. To assist with lockdown training for staff and students where applicable to the conducting of examinations.

Invigilators

i. To be aware of the centre's lockdown procedure;

ii. To complete attendance registers as soon as possible so candidates can be identified in the event of a lockdown;

iii. Where safe/possible, to communicate with the exams officer during a lockdown to confirm the situation in a particular exam room.

3. Lockdown Procedure - Before an Examination

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

i. A member of SLT will be present around exam room areas.

ii. Candidates will be instructed to enter the exam room immediately.

iii. Candidates will be instructed to remain silent, hide under exam desks or sit against a wall/around a corner but not near the door.

iv. Where safe/possible, the SLT member will communicate (via mobile phone / walkie-talkie) the situation to the exams officer (ensuring that all mobile phones / walkie- talkies are on 'silent' mode);

v. The Exams Officer will collate the information from all exam rooms and forward this to the head of centre immediately.

Invigilators will:

i. lock all windows and close all curtains/blinds;

ii. switch off all lights;

iii. lock all doors and/or use tables, or any other furniture, to barricade the entrance to the examination room;

iv. take an attendance register/head count if possible;

v. if the threat is a chemical or toxic release instruct candidates to cover their nose and mouth (their own clothing can be used) and attempt to use anything to hand to seal up cracks around doors and any vents into the room.

4. Lockdown Procedure - During an Examination

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

Invigilators will:

i. tell candidates to stop writing immediately and turn their papers over;

ii. collect the attendance register;

iii. make a note of time when the examination was suspended;

iv. instruct candidates to remain silent, leave all examination materials on their desks and hide under exam desk;

v. where safe/possible, communicate (via mobile phone / walkie-talkie) the situation to the exams officer (ensuring that all mobile phones / walkie-talkies are on 'silent' mode);

vi. lock all windows and close all curtains/blinds;

vii. switch off all lights;

viii. lock all doors and/or use tables, or any other furniture, to barricade the entrance to the examination room;

ix. if the threat is a chemical or toxic release instruct candidates to cover their nose and mouth (their own clothing can be used) and attempt to use anything to hand to seal up cracks around doors and any vents into the room.

Where safe/possible, the exams officer will collate the information from all exam rooms and forward this to the head of centre immediately.

The head of centre will make informed decisions on alerting parents/carers, awarding bodies and emergency services.

If appropriate, where safe/possible, and following centre policy, the exams officer (or invigilators in the absence of the Exams Officer) will initiate the emergency evacuation procedure.

The Exams Officer will collect all examination papers and materials for safe/secure storage following advice from the appropriate awarding bodies.

5. Lockdown Procedure - After an Examination

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

Invigilators will:

i. stop dismissing candidates from the exam room;

ii. instruct candidates who have left the room to re-enter the exam room;

iii. instruct candidates to remain silent and hide under examination tables;

iv. where safe/possible, communicate (via mobile phone / walkie-talkie) the situation to the exams officer (ensuring that all mobile phones /walkie-talkies are on 'silent' mode);

v. lock all windows and close all curtains/ blinds;

vi. switch off all lights;

vii. lock all doors and/or use tables, or any other furniture, to barricade the entrance to the exam room;

viii. (if the threat is a chemical or toxic release) instruct candidates to cover their nose and mouth (their own clothing can be used) and attempt to use anything to hand to seal up cracks around doors and any vents into the room;

Where safe / possible, the Exams Officer will collate the information from all exam rooms and forward this to the Head of Centre immediately.

6. Ending a Lockdown

The lockdown will be ended by either:

i. the sound of a defined alarm; or

ii. the identification / authorisation of the Emergency Services / SLT / Head of Centre entering each exam room.

A specific word or phrase may be used to confirm that the instruction to end the lockdown is genuine.

Invigilators will undertake a head count / register and confirm attendance with the Exams Officer / SLT.

Where applicable and if advised to do so by SLT / Head of Centre, and following JCQ guidelines, if there is sufficient time remaining, candidates may restart their examination.

Invigilators will then:

i. ask candidates to return to their desks, remind them they are under exam conditions and allow a settling down period;

ii. recalculate the revised finish time(s) to allow for the full exam time;

iii. tell the candidates to turn their papers over and re-start their exam;

iv. amend the revised finish time(s) on display to candidates;

v. note how long the lockdown lasted on the exam room incident log (to later inform a report to the awarding bodies and where relevant, any Centre-wide lockdown recording form/log).

The Exams Officer will:

i. provide a report of the incident for awarding bodies (via the special consideration process or as advised by awarding bodies);

ii. safely / securely store all collected exam papers and materials pending awarding body advice / guidance;

Where applicable / possible / available, SLT / Exams Officer will:

i. negotiate any alternative exam sittings with the awarding bodies;

ii. offer, arrange and provide support services to staff and candidates.

At the earliest opportunity SLT / Head of Centre will prepare a communication to parents / carers advising them of events (including relevant actions and outcomes).

Where possible, exams staff and candidates will be invited to attend an assembly lead by the Head of Centre to discuss the lockdown and offer ongoing support. If this is not possible, communications will be provided via a Centre text / email / newsletter and information uploaded to the Centre website.