



# Examinations Policy & Procedures 2020-2021

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## Key staff involved in the exams policy

Role	Name(s)
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SENCo	Sarah Williams
Deputy SENCo	Rachel Brandreth
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## Purpose of the policy

The centre is committed to ensuring that the exams management and administration process is run effectively and efficiently and in compliance with JCQ regulations and AO requirements. This exam policy will ensure that:

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

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

This policy will be communicated to all relevant centre staff.

The exams policy can be found on the school's website:

[www.qphs.co.uk /about us/policies and documents](http://www.qphs.co.uk/about-us/policies-and-documents)

## Roles and responsibilities overview

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

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

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

### Head of centre responsibilities

The 'head of centre' is the most senior operational officer in the organisation. This may be the headteacher of a school, the principal of a college, the Chief Executive Officer of an Academy Trust or the Managing Director of a company or training provider. It is the responsibility of the head of centre to ensure that all staff comply with the instructions in this booklet.

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

### Head of centre

- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:
  - General regulations for approved centres (GR)
  - Instructions for conducting examinations (ICE)
  - Access Arrangements and Reasonable Adjustments (AA)
  - Suspected Malpractice – Policies and Procedures (SM)
  - Instructions for conducting non-examination assessments (NEA) (and the instructions for conducting coursework)
  - A guide to the special consideration process (SC)
- Ensures the centre has appropriate accommodation to support the size of the cohorts being taught including appropriate accommodation for candidates requiring access arrangements for exams and assessments

- Takes responsibility for responding to the National Centre Number Register annual update (administered on behalf of the JCQ member awarding bodies by OCR [ocr.org.uk/administration/stage-1-preparation/ncn-annual-update/](http://ocr.org.uk/administration/stage-1-preparation/ncn-annual-update/)) by the end of October each year confirming they are both aware of and adhering to the latest version of the JCQ regulations and signs and returns the head of centre's declaration which is then kept on file for inspection purposes

### **National Centre Number Register**

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

### **Recruitment, selection and training of staff**

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

### **Internal governance arrangements**

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

### **Escalation Process**

The escalation process is included in Appendix 11 at the end of this document.

- Has in place a member of the senior leadership team who will provide support and guidance to the examinations officer and ensure that the integrity and security of examinations and assessments is maintained throughout an examination series
- Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the EO
- Makes sure that a teacher, a tutor or a senior member of centre staff who teaches the subject being examined, is not an invigilator during an examination

### **Delivery of qualifications**

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

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

### **Public liability**

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

### **Security of assessment materials**

- Takes all reasonable steps to maintain the integrity of the examinations/assessments, including the security of all assessment materials, by ensuring:
  - the location of the centre's secure storage facility in a secure room solely assigned to examinations for the purpose of administering secure examination materials
  - appropriate arrangements are in place to ensure that confidential materials are only handed over to authorised members of centre staff
  - access to the secure room and secure storage facility is restricted to the authorised two to six keyholders (ensuring only persons authorised by the head of centre and the exams officer are allowed access to the centre's secure storage facility as one of the two to six key holders)
  - the relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk
  - that arrangements are in place to check that the correct question paper packets are opened by authorised members of centre staff
- Makes arrangements to receive, check and store question papers and examination material safely and securely at all times and for as long as required in accordance with the current JCQ publication Instructions for conducting examinations
- Makes arrangements to receive and issue material received from the awarding bodies to staff and candidates, and notify them of any advice and instructions relevant to the examinations and assessments
- Allows candidates access to relevant pre-release materials on, or as soon as possible after, the date specified by the awarding bodies
- Obtains written approval from the relevant awarding body before permitting a third party to deliver any part of a qualification including assessments
- Through taking an ethical approach and working proactively to avoid malpractice among students and staff takes all reasonable steps to prevent the occurrence of any malpractice (which includes maladministration) before, during the course of and after examinations have taken place
- Ensures irregularities are investigated and informs the awarding bodies of any cases of alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, are reported to the awarding body immediately
- Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place (that allow the senior leadership team to act immediately in the event of an emergency or staff absence)

### **Exam contingency plan**

The exams contingency plan is included in Appendix 1 at the end of this document.

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

### **Internal appeals procedures**

The internal appeals procedures is included in Appendix 2 at the end of this document.



- Ensures the centre's equalities policy demonstrating the centre's compliance with relevant legislation is in place and details the processes followed in respect of identifying the need for, requesting and implementing access arrangements

### **Equalities policy**

The school's equalities policy is located on the school's website.

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

### **Complaints and appeals procedure**

The complaints and appeals policy is located in Appendix 3 to this document.

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

### **Child protection/safeguarding policy**

The school's safeguarding policy is located on the school's website.

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

### **Data protection policy**

The school's data protection policy is located on the school's website.

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

### **Access arrangements policy**

Access arrangements policy is located on the school's website.

### **Conflicts of Interest**

- Ensures the relevant awarding bodies are informed of any Conflict of Interest where
  - ♦ a member of centre staff is taking a qualification at the centre which includes internally assessed components/units and taken at the centre as a last resort where unable to find an alternative centre
  - ♦ a candidate is being taught and prepared for a qualification which includes internally assessed components/units by a member of centre staff with a personal connection to the candidate.
- Maintains records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected by the above and where
  - ♦ a member of the office staff has a personal connection to a candidate being entered for exams and assessment at the centre or at another centre
  - ♦ a member of staff is taking a qualification at the centre which does not include internally assessed components/units (taken at the centre as a last resort where unable to find an alternative centre)
- a member of centre staff is taking a qualification at another centre
- Ensures the relevant awarding bodies are informed of any declaration/conflict of interest where a candidate is being taught, prepared, entered or sitting exams where a relevant member of centre staff has a personal connection to the candidate, whether at this centre or another examination centre.

- Ensures other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials are briefed on the requirements for maintaining the integrity and confidentiality of the exam materials
- Ensures members of centre staff do not forward e-mails and letters from awarding body or JCQ personnel without prior consent to third parties or upload such correspondence onto social media sites and applications
- Ensures members of centre staff do not advise parents/candidates to contact awarding bodies/JCQ directly nor provide them with addresses/email addresses of awarding body examining/assessment or JCQ personnel

### **Centre inspections**

- Co-operates with the JCQ Centre Inspection Service, an awarding body or a regulatory authority when subject to an inspection, an investigation or an unannounced visit, and takes all reasonable steps to comply with all requests for information or documentation made by an awarding body or regulatory authority as soon as is practical
- Allows all venues used for examinations and assessments, paperwork and secure storage facilities to be open to inspection
- Understands the JCQ Centre Inspector will identify themselves with a photo ID card and must be accompanied throughout their tour of the premises, including inspection of the centre's secure storage facility

### **Exams officer**

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

### **Senior leaders (SLT)**

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

- General regulations for approved centres
- Instructions for conducting examinations
- Access Arrangements and Reasonable Adjustments
- Suspected Malpractice – Policies and Procedures

- Instructions for conducting non-examination assessments (and the instructions for conducting coursework)
- A guide to the special consideration process

### **Special educational needs co-ordinator (SENCo/Deputy SENCo)**

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

### **Curriculum Team Leaders (CTL)**

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

### **Teaching staff**

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

### **Invigilators**

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

### **Reception staff**

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

### **Site staff**

- Support the EO in relevant matters relating to exam rooms and resources and the security of exam parcels.

### **Candidates**

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

## **The exam cycle**

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

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

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

## **Planning: roles and responsibilities**

### **Information sharing**

#### **Head of centre**

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

#### **Exams officer**

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

### **Information gathering**

#### **Exams officer**

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

#### **Curriculum Team Leaders**

- Responds (or ensures teaching staff respond) to requests from the EO on information gathering
- Meets the internal deadline for the return of information
- Informs the EO of any changes to information in a timely manner minimising the risk of late or other penalty fees being incurred by an awarding body
- Notes the internal deadlines in the annual exams plan and directs teaching staff to meet these

### **Access arrangements**

#### **Head of centre**

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

#### **SEnCo/Deputy SEnCo**

- Assesses candidates (or works with the appropriately qualified assessor as appointed by the head of centre) to identify access arrangements requirements
- Gathers evidence to support the need for access arrangements for a candidate
- Liaises with teaching staff to gather evidence of normal way of working of an affected candidate



- Determines candidate eligibility for arrangements or adjustments that are centre-delegated
- Gathers signed personal data consent, privacy notice and data protection confirmation from candidates where required
- Applies for approval through *Access arrangements online* (AAO) via the Centre Admin Portal (CAP), where required or through the awarding body where qualifications sit outside the scope of AAO
- Keeps relevant paperwork and evidence on file for JCQ inspection purposes (if documentation kept electronically, alternative format must be available in case of IT failure at the time of a JCQ inspection).
- Employs good practice in relation to the Equality Act 2010
- Liaises with the EO regarding exam time arrangements for access arrangement candidates
- Ensures staff appointed to facilitate access arrangements for candidates are appropriately trained and understand the rules of the particular arrangement(s) and keeps a record of the content of training provided to facilitators for the required period
- Works with EO to ensure invigilators/facilitators fully understand the respective role and what is and what is not permissible in the exam room
- Provides and annually reviews a centre policy on the use of word processors in exams and assessments

### **Word processor policy (exams)**

The word processor policy is included in Appendix 4 at the end of this document.

- Ensures criteria for candidates granted separate invigilation within the centre is clear, meets JCQ regulations and best meets the needs of individual candidates and remaining candidates in main exam rooms

### **Separate invigilation policy**

In the case of separate invigilation, the candidate's difficulties are established within the centre and known to the SENCo/Deputy SENCo or a senior member of staff with pastoral responsibilities. They must ensure that the proposed access arrangement does not disadvantage or advantage the candidate.

Separate invigilation reflects the candidate's normal way of working in internal school tests and mock examinations as a consequence of a long term medical condition or long term social, mental or emotional needs. Where candidates are subject to separate invigilation the regulations and guidance within the JCQ publication *Access Arrangements and Reasonable Adjustments* must be adhered to.

#### **Senior Leaders, Curriculum Team Leaders, Teaching staff**

- Support the SENCo/Deputy SENCo in determining and implementing appropriate access arrangements
- Provide a statement for inspection purposes which details the criteria the centre uses to award and allocate word processors for examinations

### **Internal assessment and endorsements**

#### **Head of centre**

##### **Controlled assessments, coursework and non-examination assessments**

- Ensures arrangements are in place to co-ordinate and standardise all marking of centre- assessed components and ensures that candidates' centre-assessed work is produced, authenticated and

marked, or assessed and quality assured in accordance with the awarding bodies' instructions (including where relevant, private candidates)

- Ensures that teaching staff, in accordance with awarding bodies' instructions, return all subject-specific forms by the required date
- Provides fully qualified teachers to mark non-examination assessments
- Ensures an **internal appeals procedure** relating to internal assessment decisions is in place for a candidate to appeal against and request a review of the centre's marking (see Roles and responsibilities overview)
- Ensures a **non-examination assessment policy** is in place for GCE and GCSE qualifications which include components of non-examination assessment (For CCEA GCSE centres this would be a controlled assessment policy)

## **Non-examination assessment policy**

The non-examination policy is included in Appendix 5 at the end of this document.

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

### **Senior leaders**

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

### **Curriculum Team Leaders**

- Ensures teaching staff delivering legacy GCE unitised AS and A-level qualifications (which include elements of coursework) and Entry Level or Project qualifications follow JCQ Instructions for conducting coursework and the specification provided by the awarding body
- Ensures teaching staff delivering GCE & GCSE specifications (which include components of non-examination assessment) follow JCQ Instructions for conducting non-examination assessments and the specification provided by the awarding body
- For other qualifications, ensures teaching staff follow appropriate instructions issued by the awarding body
- Ensures teaching staff inform candidates of their centre assessed marks as a candidate may request a review of the centre's marking before marks are submitted to the awarding body

### **Teaching staff**

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

### **Exams officer**

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

## **Invigilation**

### **Head of centre**

- Ensures relevant support is provided to the EO in recruiting, training and deploying a team of invigilators
- Ensures, if contracting supply staff to act as invigilators that such persons are competent and fully trained, understanding what is and what is not permissible
- Determines if additional invigilators will be deployed in timed Art exams in addition to the subject teacher to ensure the supervision of candidates is maintained at all times

### **Exams officer**

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

## **Entries: roles and responsibilities**

### **Estimated entries**

#### **Exams officer**

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

### **Estimated entries collection and submission procedure**

EO asks Curriculum Team Leaders for information as and when necessary.

- Makes candidates aware of the JCQ Information for candidates – Privacy Notice at the start of a vocational qualification or when entries are being processed for a general qualification

#### **Curriculum Team Leaders**

- Provides information requested by the EO to the internal deadline
- Informs the EO immediately of any subsequent changes to information

### **Final entries**

#### **Exams officer**

- Requests final entry information from CTLs in a timely manner to ensure awarding body external deadlines for submission can be met
- Informs CTLs of subsequent deadlines for making changes to final entry information without charge
- Confirms with CTLs final entry information that has been submitted to awarding bodies
- Ensures as far as possible that entry processes minimise the risk of entries or registrations being missed reducing the potential for late or other penalty fees being charged by awarding bodies

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

## **Final entries collection and submission procedure**

Final entries are printed off and given to CTLs to check, make amendments, sign and return to EO by the specified date.

### **Curriculum Team Leaders**

- Provides information requested by the EO to the internal deadline
- Informs the EO immediately, or at the very least prior to the deadlines, of any subsequent changes to final entry information, which includes
  - changes to candidate personal details
  - amendments to existing entries
  - withdrawals of existing entries
- Checks final entry submission information provided by the EO and confirms information is correct

## **Entry fees**

Entry fees are payable from the exam budget, all invoices are checked by the EO and signed off by SLT. Departments are charged late or higher late fees incurred for entries made after the deadline. Resit fees are paid by students and only refunded if withdrawn by the published deadline.

## **Late entries**

### **Exams officer**

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

### **Curriculum Team Leaders**

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

## **Re-sit entries**

CTLs need to notify EO of any potential resits. EO to notify deadline date of resit entries and of payments where applicable.

## **Private candidates**

The school will only accept private candidates who attended the school previously; this ensures all relevant details have been obtained. Students will be charged for their exam entries with the addition of a £3 administration fee per examination. The fees must be paid before the awarding bodies deadlines, otherwise a late fee will be charged. Any access arrangement and reasonable adjustments required by a private candidate will be referred to the SENCo/Deputy SENCo.

### **Teaching staff**

- Identify any affected candidates to the EO prior to the internal deadline set by the EO

## **Candidate statements of entry**

### **Exams officer**

- Provides candidates with statements of entry for checking

### **Teaching staff**

- Ensure candidates check statements of entry and notify EO of any errors or omissions

### **Candidates**



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

## **Pre-exams: roles and responsibilities**

### **Access arrangements**

#### **SENCo/Deputy SENCo**

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

### **Briefing candidates**

#### **Exams officer**

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

### **Access to scripts, reviews of results and appeals procedures**

- Candidates are informed before they sit their exams of
- when, where and with whom they will have the opportunity to discuss their results
- the post-results services that will be made available to them by awarding bodies
- how they request a service
- the deadlines that have to be met
- the fees that will be charged
- how they are informed of the outcome of their request
- the internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support a review of results or an appeal

### **Dispatch of exam scripts**

#### **Exams officer**

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

## **Estimated grades**

### **Curriculum Team Leaders**

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

### **Exams officer**

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

## **Internal assessment and endorsements**

### **Head of centre**

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

### **SENCo/Deputy SENCo**

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

### **Teaching staff**

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

### **Curriculum Team Leaders**

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

### **Exams officer**

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

### **Candidates**

- Authenticate their work as required by the awarding body

## **Invigilation**

### **Exams officer**

- Trains new invigilators on appointment and updates experienced invigilators annually and provides them with a copy of the annually updated ICE document.
- Deploys invigilators effectively to exam rooms throughout an exam series (including the provision of a roving invigilator where a candidate and invigilator [acting as a practical assistant, reader or scribe] are accommodated on a 1:1 basis to enter the room at regular intervals in order to observe the conducting of the exam, ensuring all relevant rules are being adhered to and supporting the practical assistant/reader and/or scribe in maintaining the integrity of the exam)
- Allocates invigilators to exam rooms (or where supervising candidates due to a timetable clash) according to the required ratios
- Liaises with the SENCo/Deputy SENCo regarding the facilitation and invigilation of access arrangement candidates

### **SEnCo/Deputy SEnCo**

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

### **Invigilators**

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

## **JCQ inspection visit**

### **Exams officer or Senior leader**

- Will accompany the Inspector throughout a visit

### **SEnCo/Deputy SEnCo or relevant Senior leader** (in the absence of the SENCo/Deputy SENCo)

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

## **Seating and identifying candidates in exam rooms**

### **Exams officer**

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

## **Candidate Identification Procedure**

At the start of each examination a senior member of staff, Key Stage Leader or Curriculum Team Leader will help identify candidates and make sure they are sat at the correct desk. Each desk has a name card. In addition there will be a booklet of a copy of all candidates' names and photographs in the invigilators' box. Any private/external or a transferred candidate who is not known to the school or college must show photographic documentary evidence to prove that he/she is the same person who entered/registered for the examination/assessment, e.g. passport or photographic driving licence. EO to carry out these checks. Where it is impossible to identify a candidate due to the wearing of religious clothing, such as a veil, the candidate should be approached by a member of staff of the same gender and taken to a private room where they should be politely asked to remove the religious clothing for identification purposes. Centres must inform candidates in advance of this procedure and well before their first examination.

Invigilators must be informed of those candidates with access arrangements and which particular arrangement has been awarded.

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

## **Invigilators**

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

## **Security of exam materials**

### **Exams officer**

- Confirms appropriate arrangements are in place to ensure that confidential materials are only handed over to those authorised by the head of centre
- Ensures only persons authorised by the head of centre and the exams officer are allowed access to the centre's secure storage facility as one of the two to six key holders.
- Has a process in place to demonstrate the receipt, secure movement and secure storage of confidential exam materials within the centre
- Ensures a log is kept at the initial point of delivery recording confidential materials received and signed for by authorised staff within the centre and that appropriate arrangements are in place for confidential materials to be immediately transferred to the secure storage facility.
- Ensures the secure storage facility contains only current and live confidential material (including live confidential exam stationery provided by the awarding body for the use of candidates in their assessment)
- Ensures the integrity and security of any electronic question paper is maintained during the downloading, printing and collating process (ensuring printing is carried out in an area that can be controlled to prevent unauthorised personnel accessing live assessment materials and ensuring only authorised members of centre staff have access to electronic question papers)

### **Reception staff**

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

### **Teaching staff**

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

## **Timetabling and rooming**

### **Exams officer**

- Produces a master centre exam timetable for each exam series
- Identifies and resolves candidate exam timetable clashes according to the regulations (only applying overnight supervision arrangements as a last resort, once all other options have been exhausted and according to the centre's policy).

## **Overnight supervision arrangements policy**

Overnight supervision arrangements should only be applied as a last resort and once all other options have been fully explored and discussed with the candidate, their parents and the Head of Centre. If overnight supervision does take place then JCQ regulations must be followed and the candidate, their parents, persons supervising must be made aware of these regulations. Appropriate arrangements must be put in place to ensure that the candidate does not have advance warning of the content of the examination which has been deferred to the following morning. This means the candidate must not meet or communicate with anyone who may have knowledge of the content of that examination. Also the candidate must not use any form of electronic communication/storage device e.g. telephone (mobile or landline), email, internet, social media. The candidate should also not have access to any television or radio as they could report key reports of the day's examinations.

The JCQ Overnight Supervision and Overnight Supervision Declaration forms must be completed before the overnight supervision is to commence. The JCQ Overnight Supervision form is completed online



using the Centre Admin Portal (CAP). The JCQ Overnight Supervision Declaration form is downloaded from the Centre Admin Portal (CAP) for signing by the candidate, the supervisor and the head of centre.

- Identifies exam rooms and specialist equipment requirements
- Allocates invigilators to exam rooms (or where supervising candidates due to an exam timetable clash) according to required ratios
- Liaises with site staff to ensure exam rooms are set up according to JCQ and awarding body requirements
- Liaises with the SENCo/Deputy SENCo regarding rooming of access arrangement candidates

#### **SEnCo/Deputy SEnCo**

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

#### **Site staff**

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

### **Alternative site arrangements**

#### **Exams officer**

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

### **Centre consortium arrangements**

#### **Exams officer**

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

#### **Curriculum Team Leaders**

- Informs the EO of any joint teaching arrangements in place and where the centre is acting as the consortium co-ordinator

### **Transferred candidate arrangements**

#### **Exams officer**

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

### **Internal exams**

#### **Exams officer**

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

### **SENCo/Deputy SENCo**

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

### **Teaching staff**

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

## **Exam time: roles and responsibilities**

### **Access arrangements**

#### **Exams officer**

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

### **Candidate absence**

#### **Candidate absence policy**

Before the exam any known absences are reported to the EO by centre staff as soon as they are aware of the absence. EO to ask attendance officer or Sixth Form administrator or reception to make every effort to contact parents/carers of the missing candidate to establish whether candidate can make the examination before it is too late. Once examination has started attendance officer checks all exam rooms to pick up on any absences and makes contact with home.

If there is a medical reason for the absence then the school will require medical evidence or the completion of Form 14 (especially if special consideration is to be applied for).

Parents with students with persistent unauthorised absences will be sent a bill. Students will have been informed of the charging policy on their statements of exam entries.

#### **Invigilators**

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

#### **Candidates**

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

#### **Candidate behaviour**

See *Irregularities* below.

#### **Candidate belongings**

See *Unauthorised items* below.

### **Candidate late arrival**

#### **Exams officer**

- Ensures that candidates who arrive very late for an exam are reported to the awarding body through CAP to timescale
- Warns candidates that their script may not be accepted by the awarding body

### **Invigilators**

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

### **Candidate late arrival policy**

A candidate who arrives after the start of the examination may be allowed to enter the examination room and sit the examination and be given full amount of time. Latecomers are accompanied to the examination hall by the EO or SLT member in order to minimise disruption. The latecomer will be asked for a reason for their lateness and advised strongly to come in on time. Persistent lateness will be reported to SLT who will decide on a course of action.

Candidates who arrive one hour after the published time will be warned that their scripts may not be accepted by the awarding body.

## **Conducting exams**

### **Head of centre**

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

### **Exams officer**

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

## **Dispatch of exam scripts**

### **Exams officer**

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

## **Exam papers and materials**

### **Exams officer**

- Organises exam question papers and associated confidential resources in date order in the secure storage facility
- Attaches erratum notices received to relevant exam question paper packets
- Collates attendance registers and examiner details in date order
- Regularly checks mail or email inbox for updates from awarding bodies
- In order to avoid potential breaches of security, ensures prior to question paper packets being opened that two members of centre staff check the day, date, time, subject, unit/component and tier of entry if appropriate, immediately before a question paper packet is opened
- Ensures this additional/second check (which takes place in the secure room if a question paper packet has to be split or in the designated exam room if not) is recorded.
- Where allowed by the awarding body, only releases exam papers and materials to teaching departments for teaching and learning purposes after the published finishing time of the exam, or until any timetable clash candidates have completed the exam

## **Exam rooms**

### **Head of centre**

- Ensures that on the day of the exam, relevant internal tests, mock exams, revision or coaching sessions for the exam candidates will not be held in the designated exam room(s)
- Ensures only authorised centre staff (who have not taught the subject being examined) are present in exam rooms to perform permitted tasks
- Ensures the centre's policy relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates

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

### **Food and drink in exam rooms**

The food and drink policy is included in Appendix 6 at the end of this document

### **Policy on candidates leaving the exam room temporarily**

If a candidate needs to leave the exam room temporarily, they must be accompanied by a member of centre staff. This must not be the candidate's subject teacher or a subject expert for the examination in question. If an invigilator accompanies the student they must ensure that the ratio of invigilators to candidates in the exam room does not fall below JCQ requirements. If that is the case the invigilator will summon assistance from the EO. Invigilators will make a note of the departure and return time and who they went with. If the candidate returns to the room and has been under exam conditions during their temporary absence they will be allowed the full amount of their remaining time where possible, with exception of short toilet breaks which will not be compensated for time lost.

### **Exams officer**

- Ensures exam rooms are set up and conducted as required in the regulations
- Provides invigilators with appropriate resources to effectively conduct exams
- Briefs invigilators on exams to be conducted on a session by session basis (including the arrangements in place for any transferred candidates and access arrangement candidates )
- Ensures sole invigilators have an appropriate means of summoning assistance (if this is a mobile phone, instructs the invigilator that this must be on silent mode)
- Ensures invigilators understand that they must be vigilant and remain aware of incidents or emerging situations, looking out for malpractice or candidates who may be in distress recording any incidents or issues on the exam room incident log
- Ensures invigilators understand how to deal with candidates who may need to leave the exam room temporarily and how this should be recorded on the exam incident log
- Provides authorised exam materials which candidates are not expected to provide themselves
- Ensures invigilators and candidates are aware of the emergency evacuation procedure
- Ensures invigilators are aware of arrangements in place for a candidate with a disability who may need assistance if an exam room is evacuated

### **Senior leaders**

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

### **Emergency evacuation policy**

The emergency evacuation policy is included in Appendix 7 at the end of this document.

### **Site staff**

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



### **Invigilators**

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

### **Candidates**

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

## **Irregularities**

### **Head of centre**

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

## **Managing behaviour in exam rooms procedure**

In external examinations any student causing disruption will be warned that they must cease the disruptive behaviour or they will be removed from the exam room. If the behaviour continues candidate must be removed from the exams hall and accompanied to a member of SLT. If candidate is not complying seek assistance from EO. In internal examinations any disruptive behaviour will be reported to SLT who will decide on an appropriate course of action.

Any suspected cases of malpractice should be reported immediately to the EO. EO will contact SLT immediately.

Candidate should be warned that their behaviour will be reported to the awarding body who may decide to penalise them, which could include disqualification.

### **Senior leaders**

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

### **Exams officer**

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

### **Invigilators**

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

## **Malpractice**

*See Irregularities above.*

## **Special consideration**

### **Senior leaders**

- Provide signed evidence to support eligible applications for special consideration

**Exams officer**

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

**Special consideration policy**

The special consideration policy is included as an appendix at the end of this document.

**Candidates**

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

**Unauthorised items**

Where there may be concerns that students have mobile phones in their possession, the school may scan students entering the examination room with a metal detector.

**Arrangements for unauthorised items taken into the exam room**

In the examination room candidates must not have access to items other than those stated in the instructions on the question paper, the stationery list or the specification for that subject. Any unauthorised items that have been taken into the examination room must be placed out of reach of the candidates (and not under their desks) before the examination starts. This would normally be at the front of the examination room or a similar arrangement that enables the invigilator to control access to the items. The invigilator, prior to the examination starting, must ensure that candidates have removed their wrist watches, placing them on their desks. The invigilator must also ensure students do not have in their possession any mobile phones or smart watches. Any phones or watches that are handed in before the exam starts must be put in a numbered zipped bag. The numbered ticket must be given to the candidate. These items must then be taken to the TALS office where they are to be kept securely and returned to their owner upon presentation of the numbered ticket. If a student loses their ticket the EO must be informed.

**Invigilators**

- Are informed of the arrangements through training

**Internal exams****Exams officer**

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

**Invigilators**

- Conduct internal exams as briefed by the EO

## Results and post-results: roles and responsibilities

### Internal assessment

#### Curriculum Team Leaders

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

### Managing results day(s)

#### Senior leaders

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

#### Exams officer

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

#### Results day programme

Students are informed of the date and time results can be collected. If students are unable to attend in person they may leave a stamped self-addressed with the EO. Results will not be given out by telephone, by email or to a third party without previous written consent given to the EO.

#### Site staff

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

### Accessing results

#### Head of centre

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

#### Exams officer

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

### Post-results services

#### Head of centre

- Ensures an internal appeals procedure is available where candidates disagree with any centre decision not to support a clerical re-check, a review of marking, a review of moderation or an appeal

- Ensures that senior members of centre staff are available immediately after the publication of results
- Understands that if the centre has concerns about one of its component/subject cohorts, then requests for reviews of marking should be submitted for all candidates believed to be affected (candidate consent is required as marks and subject grades may be lowered, confirmed or raised).

#### **Exams officer**

- Provides information to candidates (including private candidates) and staff on the services provided by awarding bodies and the fees charged (see also above *Briefing candidates* and *Access to scripts, enquiries about results and appeals procedures*)
- Publishes internal deadlines for requesting the services to ensure the external deadlines can be effectively met
- Provides a process to record requests for services to collect candidate informed consent (after the publication of results) and fees where relevant
- Submits requests to awarding bodies to meet the external deadline for the particular service
- Tracks requests to conclusion and informs candidates and relevant centre staff of outcomes
- Updates centre results information, where applicable

#### **Teaching staff**

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

#### **Candidates**

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

### **Analysis of results**

#### **SLT, Support Operations Manager, Exams Officer**

Provides analysis of results to appropriate centre staff

- Provides results information to external organisations where required
- Undertakes the secondary school and college (key stage 4/16-18) performance tables June and September checking exercise

### **Certificates**

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

#### **Issue of certificates procedure**

Students are notified in various letters about when and how to collect certificates. Certificates should be collected in person and not by a third party unless written authorisation is given to the EO beforehand.

#### **Candidates**

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

#### **Retention of certificates policy**

The school retains examination certificates for a maximum of six years after the date of issue. After this time they are shredded by an external company.



## **Exams review: roles and responsibilities**

### **Exams officer**

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

### **Senior leaders**

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

## **Retention of records: roles and responsibilities**

### **Exams officer**

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

### **Exams archiving policy**

The exams archiving policy is included in Appendix 9 at the end of this document.

### **BTEC registration and certification policy**

The BTEC registration and certification policy is included in Appendix 11 at the end of this document.

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## Appendix 1

# Exam contingency plan 2020/21

### Key staff involved in contingency planning

Role	Name(s)
Head of centre	Lyndsay Watterson
Support Operations Manager	Dave Helsby
Exams officer	Joanna Moore
SENCo	Sarah Williams
Deputy SENCo	Rachel Brandreth
SLT members	Clare Scanlon, Matt Yeoman

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## Purpose of the plan

This plan examines potential risks and issues that could cause disruption to the exams process at Queen's Park High School. By outlining actions/procedures to be invoked in case of disruption it is intended to mitigate the impact these disruptions have on our exam process. Alongside internal processes, this plan is informed by the Ofqual *Exam system contingency plan: England, Wales and Northern Ireland* which provides guidance in the publication *What schools and colleges and other centres should do if exams or other assessments are seriously disrupted and the JCQ Joint Contingency Plan in the event of widespread disruption to the Examination System..* This plan also confirms Queen's Park High School is compliant with the JCQ regulation (section 5.3, *General Regulations for Approved Centres 2020-2021*) that the centre "has in place a written examination contingency plan which covers all aspects of examination administration. This will allow members of the senior leadership team to act immediately in the event of an emergency or staff absence". The examination contingency plan should reinforce procedures in the event of the centre being unavailable for examinations or on results days, owing to an unforeseen emergency.



## Possible causes of disruption to the exam process

### Exam officer extended absence at key points in the exam process (cycle)

#### Criteria for implementation of the plan

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

##### Planning

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

##### Entries

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

##### Pre-exams

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

##### Exam time

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

##### Results and post-results

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

#### Centre actions to mitigate the impact of the disruption

SLT and Support Operations Manager to nominate a 'deputy' to cover the role/task. This would usually be someone from the TALS team. Extra help could be called upon from other exams staff from other schools within the Learning Trust and experienced invigilators.

Refer to [www.theexams.office.org](http://www.theexams.office.org) for detailed instructions on all examination procedures.

Telephone or email the examination boards' exam officers' contact for advice.

### SENCo/Deputy SENCo extended absence at key points in the exam cycle

#### Criteria for implementation of the plan

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

##### Planning

- ♦ candidates not tested/assessed to identify potential access arrangement requirements centre fails to recognise its duties towards disabled candidates as defined under the terms of the Equality Act 2010

- ♦ evidence of need and evidence to support normal way of working not collated

Pre-exams approval for access arrangements not applied for to the awarding body centre-delegated arrangements not put in place

<ul style="list-style-type: none"> <li>♦ <i>modified paper requirements not identified in a timely manner to enable ordering to meet external deadline</i></li> <li>♦ <i>staff (facilitators) providing support to access arrangement candidates not allocated and trained</i></li> </ul> <p><i>Exam time</i></p> <ul style="list-style-type: none"> <li>♦ <i>access arrangement candidate support not arranged for exam rooms</i></li> </ul>
<p><u>Centre actions to mitigate the impact of the disruption</u></p> <p>SLT to nominate a 'deputy' to cover the role/task.  SLT to appoint/nominate a qualified assessor to test candidates in place of the SENCO/Deputy SENCO.  Extra help could be called upon from other experienced staff from other schools within the Learning Trust.  Nominate TA to arrange student support in examinations.</p>

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

<p><u>Criteria for implementation of the plan</u></p> <p>Key tasks not undertaken including:</p> <ul style="list-style-type: none"> <li>♦ Early/estimated entry information not provided to the exams officer on time; resulting in pre-release information not being received</li> <li>♦ 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</li> <li>♦ Non-examination assessment tasks not set/issued/taken by candidates as scheduled</li> <li>♦ Candidates not being informed of centre assessed marks before marks are submitted to the awarding body and therefore not being able to consider appealing internal assessment decisions and requesting a review of the centre's marking</li> <li>♦ Internal assessment marks and candidates' work not provided to meet awarding body submission deadlines.</li> </ul>
<p><u>Centre actions to mitigate the impact of the disruption</u></p> <p>Curriculum Team Leaders and/or deputies should take responsibility for any missing entries, coursework mark and any assessment marks in the absence of a member of teaching staff.  Any supply staff should be briefed as part of their induction on arrangements for assessment and examinations and then should be monitored by another faculty member.  Exam entries should be made on time to meet deadlines to avoid late fees. Amendments can be made at a later date.  In exceptional circumstances apply to the exam board for an extension to coursework/assessment deadlines.</p>

### **Invigilators - lack of appropriately trained invigilators or invigilator absence**

<p><u>Criteria for implementation of the plan</u></p> <ul style="list-style-type: none"> <li>♦ Failure to recruit and train sufficient invigilators to conduct exams</li> <li>♦ Invigilator shortage on peak exam days</li> <li>♦ Invigilator absence on the day of an exam</li> </ul>
<p><u>Centre actions to mitigate the impact of the disruption</u></p> <p>Annual training sessions to be organised for all invigilators (new and experienced).  In case of absence –  check availability of other invigilators  check with cover if they have any free staff  check with other schools within the Learning Trust  arrange for supply cover through an agency</p>

### **Exam rooms - lack of appropriate rooms or main venues unavailable at short notice**

#### Criteria for implementation of the plan

- ♦ Exams officer unable to identify sufficient/appropriate rooms during exams timetable planning
- ♦ Insufficient rooms available on peak exam days
- ♦ Main exam venues unavailable due to an unexpected incident at exam time

#### Centre actions to mitigate the impact of the disruption

All large exam rooms to be provisionally booked for exams at the start of the school year.  
Any problems with rooming – SLT and/or Support Operations Manager to facilitate.

### **Failure of IT systems**

#### Criteria for implementation of the plan

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

#### Centre actions to mitigate the impact of the disruption

Make entries etc in advance of deadlines. Any last minute problems phone the exam board directly for help.

IT support to be aware of and present on exam results days to ensure smooth running of the downloads.

IT support to make sure that there are back up/fail safe plans in place for any eventuality.

### **Emergency evacuation of the exam room (or centre lock down)**

#### Criteria for implementation of the plan

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

#### Centre actions to mitigate the impact of the disruption

Follow the Invacuation, Lockdown and Evacuation procedures. If circumstances allow keep exam candidates separate from other students.

Make sure all staff including invigilators are aware of these procedures.

Telephone the examination boards for advice when circumstances allow.

Apply for special consideration for candidates.

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

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

#### Centre actions to mitigate the impact of the disruption

If possible see if the centre can be opened for examination candidates only.

Use alternative venues (eg share facilities with others within the Learning Trust, other educational establishments or other public buildings).

Notify exam candidates of the situation.

**Candidates unable to take examinations because of a crisis – centre remains open .**

Criteria for implementation of the plan

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

Centre actions to mitigate the impact of the disruption

If possible see if the crisis can be resolved with the school's help.

Phone examination board for advice.

If applicable, use alternative venue in agreement with relevant awarding body.

If applicable, centre may offer candidate an opportunity to sit any missed examinations at the next available series

Apply for special consideration to the examination boards if candidate is eligible.

**Centre unable to open as normal during the examination period including centre being unavailable owing to an unforeseen emergency**

Criteria for implementation of the plan

*Centre unable to open as normal for scheduled examinations*

Centre actions to mitigate the impact of the disruption

If possible see if the crisis can be resolved for examination candidates.

Use alternative venues in agreement with relevant awarding bodies.

Notify exam candidates of the situation.

Apply for special consideration to the examination boards if applicable.

If applicable, centre may offer candidate an opportunity to sit any missed examinations at the next available series.

**Disruption in the distribution of examination papers**

Criteria for implementation of the plan

*Disruption to the distribution of examination papers to the centre in advance of examinations*

Centre actions to mitigate the impact of the disruption

A log book is kept on reception and all exam parcels are logged and the Examinations Officer contacted immediately.

All exam parcels to be kept in secure location/storage.

Check the contents of the exam boxes against the packing note and alert the appropriate Awarding Bodies of any discrepancies and follow their instructions.

Check you have the right amount of papers for the exam cohort.

If there is a problem with the exam papers on the day of the examination, immediately phone the exam board and follow their instructions. If exam board sends an electronic copy is sent this must be received, stored and copied under secure conditions.



### **Disruption to the transportation of completed examination scripts**

#### Criteria for implementation of the plan

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

#### Centre actions to mitigate the impact of the disruption

Centre must ensure safe storage of all scripts until collection. All parcels should be logged. Make sure the parcels are collected by Parcelforce who should scan every parcel and sign the dispatch log. Inform the Parcelforce exam line when a collection has been missed and schedule the next collection. If taking an exam coursework parcel to the main Post Office, make sure you get proof of posting. All dispatch options should comply with JCQ Instructions for Conducting Examinations and all parcels should be kept secure until collection.

### **Assessment evidence is not available to be marked**

#### Criteria for implementation of the plan

*Large scale damage to or destruction of completed examination scripts/assessment evidence before it can be marked*

*Completed examination scripts/assessment evidence does not reach awarding organisations.*

#### Centre actions to mitigate the impact of the disruption

Notify Awarding Bodies immediately.  
Check if there are copies of the assessments.  
Apply for special consideration if applicable.  
Where marks cannot be generated by awarding organisations candidates may need to retake the affected assessment in a subsequent assessment series.

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

#### Criteria for implementation of the plan

*Centre is unable to access or manage the distribution of results to candidates, or to facilitate post-results services*

#### Centre actions to mitigate the impact of the disruption

Centre to make arrangements to access its results at an alternative site in agreement with the relevant awarding bodies.  
Centre to notify students how/when/where they will get their results or post results services.  
Centre to contact the relevant awarding organisation if electronic post results requests are not possible.

## Further guidance to inform and implement contingency planning

### Ofqual

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

#### 1. Contingency planning

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

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

##### 1.1 Covid specific guidance

- Guidance for schools Covid-19 from the Department for Education in England (subject to frequent updates as the situation changes)
- Responsibility for autumn GCSE, AS and A level exam series from the Department for Education in England
- Action for FE Colleges from the Department for Education in England
- Public health guidance to support autumn exams from the Department for Education
- Education and childcare: coronavirus from Welsh Government
- Covid-19 - guidance for school and educational settings from Department of Education in Northern Ireland

##### 1.2 General contingency guidance

- Emergency planning and response from the Department for Education in England
- Opening and closing local-authority-maintained schools from the Department for Education in England
- Exceptional closure days from the Department of Education in Northern Ireland
- Checklist - exceptional closure of schools from the Department of Education in Northern Ireland
- School closures from NI Direct
- Opening schools in extremely bad weather - guidance for schools from the Welsh Government
- Procedures for handling bomb threats from the National Counter Terrorism Security Office.

#### 2. Disruption to assessments or exams

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

- the exam or assessment cannot take place
- a student misses an exam or loses their assessment due to an emergency, or other event, outside of the student's control
- JCQ Joint Contingency Plan for the Examination system in England, Wales and Northern Ireland

#### 3. Steps you should take

##### 3.1 Exam planning

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

##### 3.2 In the event of disruption

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

### **3.3 After the exam**

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

### **4. Steps the awarding organisation should take**

#### **4.1 Exam planning**

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

Ensure that the arrangements in place with centres and other third parties enable them to deliver and award qualifications in accordance with their conditions of recognition.

#### **4.2 In the event of disruption**

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

#### **4.3 After the exam**

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

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

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

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

See also:

- JCQ's guidance on special considerations

#### **6. Wider communications**

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

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

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

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

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

In the event of widespread sustained national disruption, the government departments will communicate with regulators, awarding organisations and centres prior to a public announcement. Regulators will provide advice to government departments on implications for exam timetables.

The governments' view across England, Wales and Northern Ireland is education should continue in 2020/21 with schools remaining open and that examinations and assessments will go ahead in both autumn 2020 and summer 2021. As education is devolved, in the event of any widespread sustained national disruption to examinations or assessments, national government departments will communicate with regulators, awarding organisations and centres prior to a public announcement. Regulators will provide advice to government departments on implications for exam timetables.

[Ofqual guidance extract above taken directly from the **Exam system contingency plan: England, Wales and Northern Ireland - What schools and colleges and other centres should do if exams or other assessments are seriously disrupted**, <https://www.gov.uk/government/publications/exam-system-contingency-plan-england-wales-and-northern-ireland/what-schools-and-colleges-should-do-if-exams-or-other-assessments-are-seriously-disrupted>]

## JCQ

15.1 The qualification regulators, JCQ and government departments responsible for education have prepared and agreed information for schools and colleges in the event of examinations being seriously disrupted. This jointly agreed information will ensure consistency of response in the event of major disruption to the examinations system affecting significant numbers of candidates. Further information may be found at: <https://www.gov.uk/government/publications/exam-system-contingency-plan-england-wales-and-northern-ireland/what-schools-and-colleges-should-do-if-exams-or-other-assessments-are-seriously-disrupted>

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

15.3 Centres should prepare plans for any disruption to examinations as part of their general emergency planning. It is important to ensure that relevant centre staff are familiar with the plan. Consideration should be given as to how these arrangements will be communicated to candidates, parents and staff should disruption to examinations occur.

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

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

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

In the event that there is national disruption to a day of examinations in summer 2021, the awarding bodies will liaise with the qualification regulators and the government departments to agree the most appropriate option for managing the impact. As a last resort the affected examinations will be rescheduled. Although every effort would be taken to keep the impact to a minimum, it is possible that there could be more than one timetable date affected following the disruption, up to and including the contingency day. Centres will be alerted if it was agreed to reschedule the examinations and the affected candidates will be expected to make themselves available in such circumstances. The decision regarding the re-scheduling of examinations will always rest with the awarding body. The centre must conduct the examination on the scheduled date unless instructed to do otherwise by the awarding body.

Where candidates choose not to be available for the rescheduled examination(s) for reasons other than those traditionally covered by special consideration, they will not be eligible for enhanced grading arrangements. Centres must therefore ensure candidates and parents are aware of this contingency arrangement so that they may take it into account when making their plans for the summer. However, the awarding bodies will not insist upon candidates being available throughout the entire timetable period as a matter of course.



JCQ guidance taken directly from JCQ *Instructions for Conducting Examinations 2020-2021*  
<http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations>, section 15,  
Contingency planning

*JCQ Joint Contingency Plan* <http://www.jcq.org.uk/exams-office/other-documents>

*General Regulations for Approved Centres* <http://www.jcq.org.uk/exams-office/general-regulations>

Guidance notes on *alternative site* arrangements <http://www.jcq.org.uk/exams-office/online-forms>

*Guidance notes concerning transferred candidates* <http://www.jcq.org.uk/exams-office/online-forms>

*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**

*Emergency planning and response: Severe weather; Exam disruption*

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

Opening and closing local-authority-maintained schools [www.gov.uk/government/publications/school-organisation-maintained-schools](http://www.gov.uk/government/publications/school-organisation-maintained-schools)

*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>

*Statutory guidance on school closures* <https://www.gov.uk/government/publications/school-organisation-maintained-schools>

## **National Counter Terrorism Security Office**

Procedures for handling bomb threats [www.gov.uk/government/publications/bomb-threats-guidance/procedures-for-handling-bomb-threats](http://www.gov.uk/government/publications/bomb-threats-guidance/procedures-for-handling-bomb-threats)

## Appendix 2

# Internal appeals procedures 2020/21

### Key staff involved in internal appeals procedures

Role	Name(s)
Head of centre	Lyndsay Watterson
SLT members	Clare Scanlon, Matt Yeoman, Dave Helsby
Exams officer	Joanna Moore

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

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

This procedure confirms Queen's Park High School's compliance with JCQ's *General Regulations for Approved Centres 2020-2021*, section 5.7 that the centre has in place "a written internal appeals procedure relating to internal assessment decisions and to ensure that details of this procedure are communicated, made widely available and accessible to all candidates" and that the centre "must inform candidates of their centre assessed marks. A candidate is allowed to request a review of the centre's marking before marks are submitted to the awarding body."

### Deadlines for the submission of marks

Date	Qualification	Details
7 <sup>th</sup> May*	GCSE	English Language
15 <sup>th</sup> May*	GCSE	Computer Science, Drama, P.E., French, Spanish
15 <sup>th</sup> May*	GCE	Biology, Chemistry, Criminology, Drama, English Language, English Literature, Geography, History, Media, Physics
31 <sup>st</sup> May*	GCSE, GCE	Art & Design, Photography, Art 3D.
5 <sup>th</sup> July*	BTEC	BTEC, Performing Arts, Sport.

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

Queen's Park High School's ensures that all centre staff follow a robust *Non-examination assessment policy* (for the management of GCE and GCSE non-examination assessments). This policy details all procedures relating to non-examination assessments for GCE, GCSE, EPQ and BTEC including the marking and quality assurance processes which relevant teaching staff are required to follow.

Candidates' work will be marked by staff who have appropriate knowledge, understanding and skill, and who have been trained in this activity. Queen's Park High School is committed to ensuring that work produced by candidates is authenticated in line with the requirements of the awarding body. Where a number of subject teachers are involved in marking candidates' work, internal moderation and standardisation will ensure consistency of marking.

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

Queen's Park High School will

1. ensure that candidates are informed of their centre assessed marks so that they may request a review of the centre's marking before marks are submitted to the awarding body.
2. inform candidates that they will need to explain on what grounds they wish to request a review of an internally assessed mark as a review will only focus on the quality of their work in meeting the published assessment criteria
3. inform candidates that they may request copies of materials (for example, a copy of their marked work, the relevant specification, the mark scheme and any other associated subject-specific documents) to assist them in considering whether to request a review of the centre's marking of the assessment.
4. having received a request for copies of materials, promptly make them available to the candidate (or for some marked assessment materials, such as art work and recordings, inform the candidate that these will be shared under supervised conditions) within two days.
5. inform candidates they will not be allowed access to original assessment material unless supervised
6. provide candidates with sufficient time in order to allow them to review copies of materials and reach a decision, informing candidates that if their decision is to request a review they will need to explain what they believe the issue to be
7. provide a clear deadline for candidates to submit a request for a review of the centre's marking. Requests will not be accepted after this deadline. Requests must be made in writing within two calendar days of receiving copies of the requested materials by completing the internal appeals form.
8. allow three calendar days for the review to be carried out, to make any necessary changes to marks and to inform the candidate of the outcome, all before the awarding body's deadline.
9. ensure that the review of marking is carried out by an assessor who has appropriate competence, has had no previous involvement in the assessment of that candidate and has no personal interest in the review.
10. instruct the reviewer to ensure that the candidate's mark is consistent with the standard set by the centre.
11. inform the candidate in writing of the outcome of the review of the centre's marking.

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

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

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

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

This procedure confirms Queen's Park High School's compliance with JCQ's *General Regulations for Approved Centres 2020-2021*, section 5.13 that the centre has in place *"a written internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support a clerical check, a review of marking, a review of moderation or an appeal..."*

Full details of post-results services, internal deadlines for requesting a service and fees charged are provided by the exams officer. If the centre or a candidate (or their parent/carer) has a concern and believes a result may not be accurate, a review of the result may be requested.

### **Reviews of Results (RoRs)**

- Service 1 – clerical re-check – this is the only service that can be requested for objective/multiple choice tests
- Service 2 – review of marking
- Priority Service 2 – review of marking – this is only available for externally assessed GCE A level specifications
- Service 3 – review of moderation (this service is not available to an individual candidate)

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

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

1. Where a place a university or college is at risk, consider supporting a request for a Priority Service 2 review of marking
2. In all other instances, consider accessing the script by:
  - a) (where the service is made available by the awarding body) requesting a priority copy of the candidate's script to support a review of marking by the awarding body deadline or
  - b) (where the option is made available by the awarding body) viewing the candidate's marked script online to consider if requesting a review of marking is appropriate
3. Collect informed written consent/permission from the candidate to access their script
4. On access to the script, consider if it is felt that the agreed mark scheme has been applied correctly in the original marking and if the centre considers there are any errors in the marking
5. Support a request for the appropriate RoR service (clerical re-check or review of marking) if any error is identified]
6. Collect informed written consent from the candidate to request the RoR service before the request is submitted
7. Where relevant, advise an affected candidate to inform any third party (such as a university or college) that a review of marking has been submitted to an awarding body]

Written candidate consent (informed consent via candidate email is acceptable) is required in all cases before a request for a RoR service 1 or 2 (including priority service 2) is submitted to the awarding body. Consent is required to confirm the candidate understands that the final subject grade and/or mark awarded following a clerical re-check or a review of marking, and any subsequent appeal, may be lower than, higher than, or the same as the result which was originally awarded. Candidate consent must only be collected after the publication of results.

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

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

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

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

If the school makes the decision not to support a review of results and the candidate (or their parent/carer) believes there are grounds to appeal against the centre's decision, an appeal should be submitted in writing against the decision to the Examinations Officer or Head of Centre using the Internal Appeals Procedure Form. This form must be submitted at least five working days before the awarding body's deadline. The appeal will be considered by a panel consisting of a member of the Senior Leadership Team and a Governor who were not involved in the original decision. The panel must meet within three working days of the appeal so that there is still time for the post results service to be applied for. The appellant will be informed of the outcome of their appeal before the internal deadline for submitting a RoR.

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

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

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



## Internal appeals form

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

FOR CENTRE USE ONLY	
Date received	
Reference No.	

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

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

Please state the grounds for your appeal below

*(If applicable, tick below)*

- ☐ Where my appeal is against an internal assessment decision I wish to request a review of the centre's marking
- If necessary, continue on an additional page if this form is being completed electronically or overleaf if hard copy being completed*

Appellant signature:

Date of signature:

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

## Complaints and appeals log

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

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

[illegible]

## Further guidance to inform and implement appeals procedures

### JCQ publications

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

### Ofqual publications

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

## Appendix 3

# Complaints and appeals procedure (exams) 2020/21

Key staff involved in the complaints and appeals procedure

Role	Name(s)
Head of centre	Lyndsay Watterson
SLT members	Clare Scanlon, Matt Yeoman, Dave Helsby
Exams officer	Joanna Moore

## **Purpose of the procedure**

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

## **Grounds for complaint**

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

## **Teaching and learning**

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

## **Access arrangements**

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

## **Entries**

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

## **Conducting examinations**

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

## **Results and Post-results**

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



## **Complaints and appeals procedure**

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

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

### **How to make a formal complaint**

- A formal complaint should be submitted in writing by completing a complaints and appeals form.
- Forms are available from Exams Officer
- Completed forms should be returned to Exams Officer
- Forms received will be logged by the centre and acknowledged within 3 calendar days

### **How a formal complaint is investigated**

- The head of centre will further investigate or appoint a member of the senior leadership team (who is not involved in the grounds for complaint and has no personal interest in the outcome) to investigate the complaint and report on the findings and conclusion
- The findings and conclusion will be provided to the complainant within 2 working weeks

### **Appeals**

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

- Any appeal must be submitted in writing by completing a complaints and appeals form.
- Forms received will be logged by the centre and acknowledged within 3 calendar days
- The appeal will be referred to Chair of Governors for consideration
- The Chair of Governors will inform the appellant of the final conclusion in due course

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

Name of complainant/appellant

**name** different to complainant/appellant

Candidate name if different to complainant/appellant

**Please state the grounds for your complaint/appeal below**

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

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

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

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

Complainant/appellant signature:

Date of signature:

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

## Complaints and appeals log

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

Ref No.	Date received	Complaint or Appeal	Outcome	Outcome date

## Appendix 4

# Word processor policy (exams) 2020/21

### Key staff involved in awarding and allocating word processors for exams

Role	Name(s)
SENCo	Sarah Williams
Deputy SENCo	Rachel Brandreth
Exams officer	Joanna Moore
Support Operations Manager	Dave Helsby

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

References in this policy to AA and ICE relate to/are directly taken from the Access Arrangements and Reasonable Adjustments 2020-2021 and 1 publications.

## Introduction

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

(AA 4.2.1)

The purpose of an access arrangement is to ensure, where possible, that barriers to assessment are removed for a disabled candidate preventing him/her from being placed at a substantial disadvantage as a consequence of persistent and significant difficulties.

The integrity of the assessment is maintained, whilst at the same time providing access to assessments for a disabled candidate.

(AA 4.2.2)

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

(AA 4.2.3)

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

(AA 4.2.1)

The SENCo/Deputy SENCo must ensure that the proposed access arrangement does not disadvantage or advantage a candidate.

(AA 4.2.7)

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

## Purpose of the policy

This policy details how Queen's Park High School complies with AA (chapter 4) Adjustments for candidates with disabilities and learning difficulties and (chapter 5.8) Word processor and ICE (sections 14.20 -25) when awarding and allocating a candidate the use of word processor in examinations.

The term 'word processor' is used to describe for example, the use of a computer, laptop or tablet.

## The use of a word processor

The centre will

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



- planning and organisational problems when writing by hand
- poor handwriting (AA 5.8.4)
- only permit the use of a word processor where the integrity of the assessment can be maintained (AA 4.2.1)
- not grant the use of a word processor where it will compromise the assessment objectives of the specification in question (AA 4.2.2)
- consider on a subject-by-subject basis if the candidate will need to use a word processor in each specification (AA 4.2.3)
- consider the needs of the candidate at the start of the candidate's course leading to a qualification based on evidence gathered that firmly establishes the candidate's needs and 'normal way of working' in the classroom, internal tests/exams, mock exams etc. and confirm arrangements in place before the candidate takes an exam or assessment (AA 4.2.4)
- provide access to word processors to candidates in non-examination assessment components as standard practice unless prohibited by the specification (AA 5.8.2)

The centre will not

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

## Exceptions

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

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

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

A candidate using a word processor is usually accommodated in main venue with the main cohort.

In compliance with the regulations the centre

- provides a word processor with the spelling and grammar check facility/predictive text disabled (switched off) unless an awarding body's specification says otherwise (ICE 14.20)
- (where a candidate is to be seated with the main cohort without the use of a power point) checks the battery capacity of the word processor before the candidate's exam to ensure that the battery is sufficiently charged for the entire duration of the exam (ICE 14.21)
- ensures the candidate is reminded to ensure that their centre number, candidate number and the unit/component code appear on each page as a header or footer e.g. 12345/8001 – 6391/01 (ICE 14.22)

If a candidate is using the software application Notepad or Wordpad these do not allow for the insertion of a header or footer. In such circumstances once the candidate has completed the examination and printed off their typed script, they are instructed to handwrite their details as a header or footer. The candidate must be supervised throughout this process that they are solely performing this task and not re-reading their answers or amending their work in any way.

- ensures the candidate understands that each page of the typed script must be numbered, e.g. page 1 of 6 (ICE 14.23)
- ensures the candidate is reminded to save their work at regular intervals. (or where possible, an IT technician will set up 'autosave' on each laptop/tablet)
- instructs the candidate to use a minimum of 12pt font and double spacing in order to assist examiners when marking (ICE 14.24) (ICE 14.25)

The centre will ensure the word processor

- is only used in a way that ensures a candidate's script is produced under secure conditions
- is not used to perform skills which are being assessed
- is not connected to an intranet or any other means of communication
- is in good working order at the time of the exam
- is accommodated in such a way that other candidates are not disturbed and cannot read the screen
- is used as a typewriter, not as a database, although standard formatting software is acceptable and is not connected to an intranet or any other means of communication
- is cleared of any previously stored data
- does not give the candidate access to other applications such as a calculator (where prohibited in the examination), spreadsheets etc.
- does not include graphic packages or computer aided design software unless permission has been given to use these
- does not have any predictive text software or an automatic spelling and grammar check enabled unless the candidate has been permitted a scribe or is using speech recognition technology (a scribe cover sheet must be completed), or the awarding body's specification permits the use of automatic spell checking
- does not include speech recognition technology unless the candidate has permission to use a scribe or relevant software
- is not used on the candidate's behalf by a third party unless the candidate has permission to use a scribe

### **Portable storage medium**

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

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

### **Printing the script after the exam is over**

The centre will ensure

- the word processor is either connected to a printer so that a script can be printed off, or have the facility to print from a portable storage medium
- the candidate is present to verify that the work printed is their own
- a word processed script is attached to any answer booklet which contains some of the answers
- a word processor cover sheet (Form 4) is completed and included with the candidate's typed script (according to the relevant awarding body's instructions)

### The criteria Queen's Park High School uses to award and allocate word processors for examinations

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

#### **The use of word processors**

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

Needs 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

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

- on a temporary basis as a consequence of a temporary injury at the time of the assessment
- where a subject within the curriculum is delivered electronically and the centre provides word processors to all candidates

#### **Arrangements for the use of word processors at the time of the assessment**

Appropriate exam-compliant word processors will be provided by the IT department in liaison with the SENCo/Deputy SENCo and the exams officer. In exceptional circumstances where the number of appropriate word processors may be insufficient for the cohort of candidates approved to use them in an exam session, the cohort will be split into two groups. One group will sit the exam earlier than or later than the awarding body's published start time. The security of the exam will be maintained at all times and candidates will be supervised in line with section 7 of ICE.

## Appendix 5

# Non-examination assessment policy 2020/21

### Key staff involved in the conduct of non-examination assessments

Role	Name(s)
Head of centre	Lyndsay Watterson
Quality assurance lead/Lead internal verifier	Clare Scanlon
SEnCo	Sarah Williams
Deputy SEnCo	Rachel Brandreth
Exams officer	Joanna Moore

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## What does this policy affect?

This policy affects the delivery of subjects of GCE and 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 is not limited to, internal assessment. Externally marked and/or externally set practical examinations taken at different times across centres are classified as 'NEA'.*

[Definition taken directly from the JCQ publication Instructions for conducting non-examination assessments, This publication is further referred to in this policy as ICNEA.]

## Purpose of the policy

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

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

*The policy will need to cover all types of non-examination assessment*

## What are non-examination assessments?

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

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

- *task setting;*
- *task taking;*
- *task marking.*

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

### The basic principles

#### Head of centre

- Returns an online 'Head of Centre declaration' at the time of National Centre Number Register annual update to confirm awareness of and that relevant centre staff are adhering to the latest version of NEA
- Ensures the centre's *non-examination assessment policy* is fit for purpose
- Ensures the centre's *internal appeals procedures* clearly detail the procedure to be followed by candidates (or their parents/carers) appealing against internal assessment decisions (centre assessed marks) and requesting a review of the centre's marking

#### Senior leaders

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



## **Quality assurance (QA) lead/Lead internal verifier**

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

## **Curriculum Team Leader**

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

## **Subject teacher**

- Understands and complies with the general instructions as detailed in ICNEA
- Where these may also be provided by the awarding body, understands and complies with the awarding body's specification for conducting non-examination assessments, including any subject-specific instructions, teachers' notes or additional information on the awarding body's website
- Marks internally assessed work to the criteria provided by the awarding body
- Ensures the exams officer is provided with relevant entry codes for subjects to the internal deadline for entries

## **Exams officer**

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

## **Task setting**

### **Subject teacher**

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

## **Issuing of tasks**

### **Subject teacher**

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

## **Task taking**

### **Supervision**

#### **Subject teacher**

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

### **Advice and feedback**

#### **Subject teacher**

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

### **Resources**

#### **Subject teacher**

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

### **Word and time limits**

#### **Subject teacher**

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

### **Collaboration and group work**

#### **Subject teacher**

- Unless stated otherwise in the awarding body's specification, and where appropriate, allows candidates to collaborate when carrying out research and preparatory work
- Ensures that it is possible to attribute assessable outcomes to individual candidates

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

## **Authentication procedures**

### **Subject teacher**

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

## **Presentation of work**

### **Subject teacher**

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

## **Keeping materials secure**

### **Subject teacher**

- When work is being undertaken by candidates under formal supervision, ensures work is securely stored between sessions (if more than one session)
- When work is submitted by candidates for final assessment, ensures work is securely stored
- Follows secure storage instructions
- Takes sensible precautions when work is taken home for marking
- Stores internally assessed work, including the sample returned after awarding body moderation, securely until the closing date for reviews of results or until the outcome of a review or any subsequent appeal has been completed
- If post-results services have not been requested, returns internally assessed work to candidates (if requested by a candidate) after the deadline for requesting a review of results for the relevant series
- If post-results services have been requested, returns internally assessed work to candidates (if requested by a candidate) once the review of results and any subsequent appeal has been completed
- Reminds candidates of the need to keep their own work secure at all times and not share completed or partially completed work on-line, on social media or through any other means (the JCQ document Information for candidates – social media should be brought to the attention of candidates)

- Where work is stored electronically, liaises with the IT Manager to ensure the protection and back-up of candidates' work and that appropriate arrangements are in place to restrict access to it between sessions
- Understands that during the period from the submission of work for formal assessment until the deadline for requesting a review of results, copies of work may be used for other purposes, provided that the originals are stored securely as required

### **IT Manager**

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

## **Task marking – externally assessed components**

### **Conduct of externally assessed work**

#### **Subject teacher**

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

#### **Exams officer**

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

### **Submission of work**

#### **Subject teacher**

- Provides the attendance register to a Visiting Examiner

#### **Exams officer**

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

## **Task marking – internally assessed components**

### **Marking and annotation**

#### **Head of centre**

- Ensures where a teacher is teaching, preparing and assessing a candidate with whom they have a close relationship e.g. members of their family (which includes step-family, foster family

and similar close relationships) or close friends and their immediate family (e.g. son/daughter), a conflict of interest is declared to the awarding body and the marked work of the child submitted for moderation, whether it is part of the moderation sample or not

### **Curriculum Team Leader**

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

### **Subject teacher**

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

### **Internal standardisation**

#### **Quality assurance (QA) lead/Lead internal verifier**

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

### **Subject teacher**

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

### **Consortium arrangements**

#### **Curriculum Team Leader**

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

### **Subject teacher**

- Provides marks to the exams officer to the internal deadline

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

### **Exams officer**

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

### **Submission of marks and work for moderation**

#### **Subject teacher**

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

#### **Exams officer**

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

## **Storage and retention of work after submission of marks**

### **Subject teacher**

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

### **Exams officer**

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

## **External moderation – the process**

### **Subject teacher**

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

### **External moderation – feedback**

### **Curriculum Team Leader**

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

### **Exams officer**

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

## **Access arrangements**

### **Subject teacher**

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

### **Special educational needs coordinator (SENCo)/Deputy SENCo**

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

## **Special consideration and loss of work**

### **Subject teacher**

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

### **Exams officer**

- Refers to/directs relevant staff to the JCQ publication A guide to the special consideration process
  - Where a candidate is eligible, submits an application for special consideration via the awarding body's secure extranet site to the prescribed timescale
  - Where application for special consideration via the awarding body's secure extranet site is not applicable, submits the required form to the awarding body to the prescribed timescale
  - Keeps required evidence on file to support the application
- Refers to/directs relevant staff to Form 15 – JCQ/LCW and where applicable submits to the relevant awarding body

## **Malpractice**

### **Head of centre**

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

### **Subject teacher**

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

### **Exams officer**

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



## **Post-results services**

### **Head of centre**

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

### **Curriculum Team Leader**

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

### **Subject teacher**

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

### **Exams officer**

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

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

### **Head of centre**

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

### **Quality assurance (QA) lead/Lead internal verifier**

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

### **Curriculum Team Leader**

- Confirms understanding of the *Practical Skills Endorsement for the A Level Sciences designed for use in England* and ensures any relevant JCQ/awarding body instructions are followed
- Ensures where the centre intends to enter candidates for the first time for one or more of the A level subjects, the relevant awarding body will be contacted at the beginning of the course
- Undertakes any training provided by the awarding body on the implementation of the practical endorsement
- Disseminates information to subject teachers ensuring the standards can be applied appropriately
- Liaises with all relevant parties in relation to arrangements for and conduct of a monitoring visit

### **Subject teacher**

- Ensures all the JCQ/awarding body requirements/instructions in relation to the endorsement are known, understood and followed
- Ensures the required arrangements for practical activities are in place
- Provides all the required centre records
- Ensures candidates provide the required records
- Provides any required information to the subject lead regarding the monitoring visit
- Assesses candidates using Common Practical Assessment Criteria (CPAC)
- Applies for an exemption where a candidate cannot access the practical endorsement due to a substantial impairment
- Follows the awarding body's instructions for the submission of candidates *Pass* or *Not Classified* assessment outcome/provides assessment outcomes to the exams officer to the internal deadline

### **Exams officer**

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

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

### **Head of centre**

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

### **Quality assurance (QA) lead/Lead internal verifier**

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

### **Curriculum Team Leader**

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

### **Subject teacher**

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

**Exams officer**

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

**Private candidates****Curriculum Team Leader/Exams Officer**

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

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

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
Centre staff malpractice	<p>Records confirm that relevant centre staff are familiar with and follow:</p> <ul style="list-style-type: none"> <li>the current JCQ publication <i>Instructions for conducting non-examination assessments</i></li> </ul> <p>the JCQ document <i>Notice to Centres - Sharing NEA material and candidates' work</i> - <a href="http://www.jcq.org.uk/exams-office/non-examination-assessments">http://www.jcq.org.uk/exams-office/non-examination-assessments</a></p>	EO
Candidate malpractice	<p>Records confirm that candidates are informed and understand they must not:</p> <ul style="list-style-type: none"> <li>submit work which is not their own</li> <li>make available their work to other candidates through any medium</li> <li>allow other candidates to have access to their own independently sourced material</li> <li>assist other candidates to produce work</li> <li>use books, the internet or other sources without acknowledgement or attribution</li> <li>submit work that has been word processed by a third party without acknowledgement</li> <li>include inappropriate, offensive or obscene material</li> </ul> <p>Records confirm that candidates have been made aware of the JCQ documents <i>Information for candidates - non-examination assessments</i> and <i>Information for candidates – Social Media</i> - <a href="https://www.jcq.org.uk/exams-office/information-for-candidates-documents">https://www.jcq.org.uk/exams-office/information-for-candidates-documents</a> and understand they must not post their work on social media</p>	EO
<b>Task setting</b>		
Awarding body set task: IT failure/corruption of task details where set task details accessed from the awarding body online	<p>Awarding body key date for accessing/downloading set task noted prior to start of course</p> <p>IT systems checked prior to key date</p> <p>Alternative IT system used to gain access</p> <p>Awarding body contacted to request direct email of task details</p>	Subject teacher IT Tech EO
Centre set task: Subject teacher fails to meet the assessment criteria as detailed in the specification	<p>Ensures that subject teachers access awarding body training information, practice materials etc.</p> <p>Records confirmation that subject teachers understand the task setting arrangements as defined in the awarding body's specification</p> <p>Samples assessment criteria in the centre set task</p>	CTL WAT CTL
Candidates do not understand the marking criteria and what they need to do to gain credit	<p>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</p> <p>Records confirm all candidates understand the marking criteria</p> <p>Candidates confirm/record they understand the marking criteria</p>	Subject teacher CTL
Subject teacher long term absence during the task setting stage	See centre's exam contingency plan - Teaching staff extended absence at key points in the exam cycle	
<b>Issuing of tasks</b>		
Awarding body set task not issued to candidates on time	<p>Awarding body key date for accessing set task as detailed in the specification noted prior to start of course</p> <p>Course information issued to candidates contains details when set task will be issued and needs to be completed by</p> <p>Set task accessed well in advance to allow time for planning, resourcing and teaching</p>	Subject teacher
The wrong task is given to candidates	Ensures course planning and information taken from the awarding body's specification confirms the correct task will be issued to candidates. Awarding body guidance sought where this issue remains unresolved	Subject teacher EO

Subject teacher long term absence during the issuing of tasks stage	<i>See centre's exam contingency plan - Teaching staff extended absence at key points in the exam cycle</i>	
A candidate (or parent/carer) expresses concern about safeguarding, confidentiality or faith in undertaking a task such as a presentation that may be recorded	<i>Ensures the candidate's presentation does not form part of the sample which will be recorded Contacts the awarding body at the earliest opportunity where unable to record the required number of candidates for the monitoring sample</i>	Subject teacher  EO
<b>Task taking</b>		
<b>Supervision</b>		
Planned assessments clash with other centre or candidate activities	<i>Assessment plan identified for the start of the course Assessment dates/periods included in centre wide calendar</i>	WAT EO
Rooms or facilities inadequate for candidates to take tasks under appropriate supervision	<i>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)</i>	WAT  Subject teacher  EO
Insufficient supervision of candidates to enable work to be authenticated	<i>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</i>	WAT
A candidate is suspected of malpractice prior to submitting their work for assessment	<i>Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (section 9 Malpractice) are followed An internal investigation and where appropriate internal disciplinary procedures are followed</i>	Subject teacher  SLT
Access arrangements were not put in place for an assessment where a candidate is approved for arrangements	<i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 2), to determine the process to be followed to apply for special consideration for the candidate</i>	Subject teacher  EO
<b>Advice and feedback</b>		
Candidate claims appropriate advice and feedback not given by subject teacher prior to starting on their work	<i>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</i>	WAT  CTL  Subject teacher
Candidate claims no advice and feedback given by subject teacher during the task-taking stage	<i>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</i>	WAT  CTL  Subject teacher
A third party claims that assistance was given to candidates by the subject teacher over and above that allowed in the regulations and specification	<i>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</i>	SLT

Candidate does not reference information from published source	<i>Candidate is advised at a general level to reference information before work is submitted for formal assessment Candidate is again referred to the JCQ document Information for candidates: non-examination assessments Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion</i>	Subject teacher
Candidate does not set out references as required	<i>Candidate is advised at a general level to review and re-draft the set out of references before work is submitted for formal assessment Candidate is again referred to the JCQ document Information for candidates: non-examination assessments Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion</i>	Subject teacher
Candidate joins the course late after formally supervised task taking has started	<i>A separate supervised session(s) is arranged for the candidate to catch up</i>	Subject teacher
Candidate moves to another centre during the course	<i>Awarding body guidance is sought to determine what can be done depending on the stage at which the move takes place</i>	EO
An excluded pupil wants to complete his/her non-examination assessment(s)	<i>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</i>	EO
<b>Resources</b>		
A candidate augments notes and resources between formally supervised sessions	<i>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</i>	Subject teacher IT Tech
A candidate fails to acknowledge sources on work that is submitted for assessment	<i>Candidate's detailed record of his/her own research, planning, resources etc. is checked to confirm all the sources used, including books, websites and audio/visual resources Awarding body guidance is sought on whether the work of the candidate should be marked where candidate's detailed records acknowledges sources appropriately Where confirmation is unavailable from candidate's records, awarding body guidance is sought and/or a mark of zero is submitted to the awarding body for the candidate</i>	Subject teacher
<b>Word and time limits</b>		
A candidate is penalised by the awarding body for exceeding word or time limits	<i>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</i>	Subject teacher
<b>Collaboration and group work</b>		
Candidates have worked in groups where the awarding body specification states this is not permitted	<i>Records confirm the awarding body specification has been checked to determine if group work is permitted Awarding body guidance sought where this issue remains unresolved</i>	Subject teacher
<b>Authentication procedures</b>		
A teacher has doubts about the authenticity of the work submitted by a candidate for internal assessment  Candidate plagiarises other material	<i>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 Candidates confirm/record that they understand what they need to do to comply with the regulations for non-examination assessments as outlined in the JCQ document Information for candidates: non-examination assessments The candidate's work is not accepted for assessment</i>	Subject teacher WAT CTL

	<i>A mark of zero is recorded and submitted to the awarding body</i>	
Candidate does not sign their authentication statement/declaration	<i>Records confirm that candidates have been issued with the current JCQ document Information for candidates: non-examination assessments Candidates confirm/record they understand what they need to do to comply with the regulations as outlined in the JCQ document Information for candidates: non-examination assessments Declaration is checked for signature before accepting the work of a candidate for formal assessment</i>	Subject teacher
Subject teacher not available to sign authentication forms	<i>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</i>	WAT
<b>Presentation of work</b>		
Candidate does not fully complete the awarding body's cover sheet that is attached to their worked submitted for formal assessment	<i>Cover sheet is checked to ensure it is fully completed before accepting the work of a candidate for formal assessment</i>	Subject teacher
<b>Keeping materials secure</b>		
Candidates work between formal supervised sessions is not securely stored	<i>Records confirm subject teachers are aware of and follow current JCQ publication Instructions for conducting non-examination assessments Regular monitoring/internal audit ensures subject teacher use of appropriate secure storage</i>	Subject teacher CTL
Adequate secure storage not available to subject teacher	<i>Records confirm adequate/sufficient secure storage is available to subject teacher prior to the start of the course Alternative secure storage sourced where required</i>	CTL
<b>Task marking – externally assessed components</b>		
A candidate is absent on the day of the examiner visit for an acceptable reason	<i>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</i>	Subject teacher EO
A candidate is absent on the day of the examiner visit for an unacceptable reason	<i>The candidate is marked absent on the attendance register</i>	Subject teacher
Candidates work produced electronically is not securely stored	<i>Records confirm subject teachers are aware of and follow current JCQ publication Instructions for conducting non-examination assessments Internal processes and regular monitoring/internal audit by IT Manager ensures:</i> <ul style="list-style-type: none"> <li><i>• access to this material is restricted permissions/username/password)</i></li> <li><i>• appropriate security safeguards are in place (user permissions, firewall, anti-virus)</i></li> <li><i>• an effective back-up strategy is employed so that an up to date archive of candidates' evidence is maintained back up 2x daily, encrypted back up stored in 2 locations)</i></li> </ul> <i>any sensitive digital media is encrypted (according to awarding body guidance to ensure that the method of encryption is suitable) to ensure the security of the data stored within it (EO, IT and staff work together)</i>	IT Support EO
<b>Task marking – internally assessed components</b>		
A candidate submits little or no work	<i>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</i>	Subject teacher
A candidate is unable to finish their work for unforeseen reason	<i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 5), to determine eligibility and the process to be followed for shortfall in work</i>	Subject teacher EO
The work of a candidate is lost or damaged	<i>Relevant staff are signposted to the JCQ publication Instructions for conducting non-examination assessments (section 8), to determine eligibility and the process to be followed for lost or damaged work</i>	Subject teacher EO

Candidate malpractice is discovered	<i>Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (section 9 Malpractice) are followed Investigation and reporting procedures in the current JCQ publication Suspected Malpractice in Examinations and Assessments are followed Appropriate internal disciplinary procedures are also followed</i>	Subject teacher SLT
A teacher marks the work of a candidate with whom they have a close relationship e.g. members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter)	<i>A conflict of interest is declared by informing the awarding body that a teacher is preparing/teaching said 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</i>	EO
An extension to the deadline for submission of marks is required for a legitimate reason	<i>Awarding body is contacted to determine if an extension can be granted. Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 5), to determine eligibility and the process to be followed for non-examination assessment extension</i>	EO
After submission of marks, it is discovered that the wrong task was given to candidates	<i>Awarding body is contacted for guidance Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 2), to determine eligibility and the process to be followed to apply for special consideration for candidates</i>	Subject teacher EO
A candidate wishes to appeal/request a review of the marks awarded for their work by their teacher	<i>Candidates are informed of the marks they have been awarded for their work prior to the marks being submitted to the awarding body Records confirm candidates have been informed of their marks Candidates are informed that these marks are subject to change through the awarding body's moderation process Candidates are informed of their marks to the timescale identified in the centre's internal appeals procedure and prior to the internal deadline set by the exams officer for the submission of marks Through the candidate exam handbook, candidates are made aware of the centre's internal appeals procedures and timescale for submitting an appeal/request for a review of the centre's marking prior to the submission of marks to the awarding body</i>	Subject teacher EO WAT
Deadline for submitting work for formal assessment not met by candidate	<i>Records confirm deadlines given and understood by candidates at the start of the course Candidates confirm/record deadlines known and understood Depending on the circumstances, awarding body guidance sought to determine if the work can be accepted late for marking providing the awarding body's deadline for submitting marks can be met Decision made (depending on the circumstances) if the work will be accepted late for marking or a mark of zero submitted to the awarding body for the candidate</i>	Subject teacher CTL SLT
Deadline for submitting marks and samples of candidates work ignored by subject teacher	<i>Internal/external deadlines are published at the start of each academic year. Reminders are issued through senior leaders/Curriculum Team Leaders as deadlines approach Records confirm deadlines known and understood by subject teachers Where appropriate, internal disciplinary procedures are followed</i>	SLT/CTL
Subject teacher long term absence during marking period	<i>See centre's exam contingency plan (Teaching staff extended absence at key points in the exam cycle)</i>	



## Appendix 6

# Food and drink policy (exams) 2020/21

### Key staff involved policy

Role	Name(s)
Head of Centre	Lyndsay Watterson
Exams officer	Joanna Moore
Support Operations Manager	Dave Helsby

## **Food and drink in the exams room.**

The only drink allowed is water. The only exception will be students who have a medical need (and there is evidence to support this need) and who have cleared this with the Examinations Officer.

Bottles must be

- see-through
- small
- plastic not glass
- clear in colour
- no labels
- no writing or logos
- small screw cap top (to avoid spillages)
- contain water only

If you are using a reusable water bottle it must follow the above criteria. Any bottles with larger cap sizes will need to be checked.

Food is not allowed in the exam room. The only exception will be students who have a medical need (and there is evidence to support this need) and who have cleared the items with the Examinations Officer.

## Appendix 7

# Emergency evacuation procedures (exams) 2020/21

### Key staff involved in contingency planning

Role	Name(s)
Head of centre	Lyndsay Watterson
Support Operations Manager	Dave Helsby
SEnCo	Sarah Williams
Deputy SEnCo	Rachel Brandreth
Exams Officer	Joanna Moore

## Purpose of the policy

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

## When is an emergency evacuation required?

An emergency evacuation is required where it is unsafe for candidates to remain in the exam room. This might include a fire in the exam room, the fire alarm sounding to warn of fire, bomb alert or other serious threat. In exceptional situations, where candidates might be severely disadvantaged or distressed by remaining in the exam room, the emergency evacuation procedure may also need to be followed. This might include situations where there is severe disruption in the exam room, serious illness of a candidate or invigilator or similarly serious incidents.

As each incident may be different, advice will be sought from the relevant awarding body as soon as it is safe to do so, particularly where the centre is concerned about the security of the examination(s). (ICE 25.4)

Where candidates are unable to return to the building to complete the examination, the relevant awarding body will be contacted immediately for advice. The awarding bodies have procedures in place to ensure that candidates are not disadvantaged where they are unable to complete the examination due to circumstances beyond their control. (ICE 24.5)

## Emergency evacuation of an exam room

### Roles and responsibilities

#### Head of centre

- Ensures the emergency evacuation policy for exams is fit for purpose and complies with relevant health and safety regulation
- Ensures any instructions from relevant local or national agencies are referenced and followed where applicable, including information from the National Counter Terrorism Security Office on the *Procedures for handling bomb threats*
- Where safe to do so, ensures candidates are given the opportunity to sit exams for their published duration.

#### 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

#### Special educational needs coordinator (SENCo)/ Deputy SENCo

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

## **Exams officer**

- Ensures invigilators are trained in emergency evacuation procedures and how an incident and actions taken must be recorded
- Ensures candidates are briefed prior to exams taking place, on what will happen in the event of an emergency in the exam room (assembly or tutor time power point)
- Provides invigilators with a copy of the emergency evacuation procedure for every exam room
- Provides a standard invigilator announcement for each exam room which includes appropriate instructions for candidates about emergency procedures and what will happen if the fire alarm sounds
- Provides an exam room incident log in each exam room
- Liaises with the SENCo and other relevant staff prior to each exam where different procedures or assistance may need to be provided for a disabled candidate
- Briefs invigilators prior to each exam where different procedures or assistance may need to be provided for a disabled candidate
- Ensures appropriate follow-up is undertaken after an emergency evacuation reporting the incident to the awarding body and the actions taken through the special considerations process.

## **Invigilators**

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

## **Other relevant centre staff**

- Support the senior leader, SENCo, exams officer and invigilators in ensuring the safe emergency evacuation of exam rooms

## **Recording details**

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

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

Further details could include a report on the candidates' behaviour throughout the interruption/evacuation, and a judgement on the impact on candidates after the interruption/evacuation.

## Emergency evacuation procedure

Invigilators are trained in this 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.

Emergency evacuation procedure
<b>Actions to be taken</b> (as detailed in current JCQ <a href="#">Instructions for conducting examinations</a> section 25 <b>Emergencies</b> )
Stop the candidates from writing
Collect the attendance register (in order to ensure all candidates are present)
Evacuate the examination room in line with the instructions given by the appropriate authority
Advise candidates to leave all question papers and scripts in the examination room Candidates must be advised to close their answer booklet
Ensure candidates leave the room in silence
Make sure that the candidates are supervised as closely as possible while they are out of the examination room to make sure there is no discussion about the examination
Make a note of the time of the interruption and how long it lasted
Allow the candidates the remainder of the working time set for the examination once it resumes
If there are only a few candidates, consider the possibility of taking the candidates (with question papers and scripts) to another place to finish the examination (Candidate must be given the opportunity to sit the examination for its published duration)
Make a full report of the incident and of the action taken, and send to the relevant awarding body
<b>Additional centre-specific actions to be taken</b>
Sport Hall – evacuation via the fire exit to the field. Go to exams assembly point.
Main Hall – evacuate via nearest fire exit
Assembly Room – evacuate via mains staircase and then via reception.
Other examination rooms – evacuate via nearest fire exit.

## Appendix 8

# Special consideration policy 2020/21

### Key staff involved in the special consideration process

Role	Name(s)
Head of centre	Lyndsay Watterson
SENCo	Sarah Williams
Deputy SENCo	Rachel Brandreth
Exams officer	Joanna Moore
SLT member(s)	Clare Scanlon, Matt Yeoman

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## What is special consideration?

*“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.*

*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 jeopardize the standard of the examination.”*

*JCQ A guide to the special consideration process. This document is further referred to in this policy as SC.*

## Purpose of the policy

The purpose of this policy is to identify roles and responsibilities in the special consideration process and confirms that Queen’s Park High School will submit any applications for special consideration where candidates meet the published criteria.

## Eligibility for special consideration

### Roles and responsibilities

#### Head of centre

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

#### Exams officer

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

#### Teaching staff and/or SENCo/Deputy SENCo

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

#### Candidates (or parents/carers)

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

## Applying for special consideration

Where eligible, special consideration will be applied for 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.

Some examples are provided below.

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

- the candidate will be kept comfortable and under supervision from the required time while appropriate arrangements are put in place for the candidate to take the exam in the best possible conditions
- a judgement will be made on how the candidate's situation or disposition affected performance in the exam
- where appropriate and where eligible, special consideration will be applied for
- 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.
- Where a candidate takes multiple exams (three or more exams) timetabled for the same day and the total duration for those papers is more than 6 hours for GCE exams or 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.
- Where a candidate may be affected by a minor disturbance in the exam room caused by another candidate (momentary bad behaviour, mobile phone ringing etc.), special consideration cannot be applied for.

If a candidate is absent for acceptable reasons, and the centre can support this, special consideration will be applied for if the exam missed is in the terminal series and the *minimum requirements for enhanced grading in cases of acceptable absence* can be met. 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

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

- other certification
- coursework/non-examination assessment extensions
- shortfall in work (coursework/non-examination assessment)
- lost or damaged work (non-examination assessment components)
- candidates taking an incorrect or defective question paper
- candidates undertaking the wrong controlled assessment or non-examination assessment assignment

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

## Processing applications for special consideration

### Roles and responsibilities

#### Head of centre

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

## **Senior leadership team**

- Produce signed evidence in support of all eligible applications

## **Exams officer**

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

## **Teaching staff and/or SENCo**

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

## **Candidates (or parents/carers)**

- Will be asked to provide any required medical or other evidence that may be required to support an application for special consideration

## **Submitting applications for special consideration**

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

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

## **Timetabled written exams**

- For GCE and GCSE qualifications, applications for individual candidates will be submitted online by logging into the relevant awarding body secure extranet site and following the links to special consideration
- The processes for submitting a single application to cover all exams 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 SC 6 will be followed
- For other qualifications, applications will be submitted online where the awarding body's secure system accepts these
- The paper form 10 Application for special consideration will only be completed and submitted to the awarding body where the online system does not accept applications for a particular qualification
- For groups of candidates, applications will be made online where the awarding body's secure system accepts group applications or form 10 will be completed
- The paper form 14 Self certification for candidates who have missed an examination will only be completed by a candidate where circumstances warrant this and will not be used where the centre knows the candidate was ill

## **Internally assessed work**

- Where appropriate, applications will be made online where the awarding body's secure system accepts them or form 10 will be completed and submitted to the awarding body
- Where a short extension to a deadline is being requested an application will be submitted online or by direct email, dependent on the awarding body
- Where an application relates to a shortfall in work, this will be submitted online or by completing form 10, dependent on the awarding body

### **Post assessment adjustments – vocational qualifications**

- Where relevant and eligible, form 10 form VQ/SC *Application for special consideration Vocational qualifications* will be completed and submitted to the awarding body

### **Private candidates**

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

### **Late applications**

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

## Appendix 9

# Exam archiving policy 2020/21

### Purpose of the policy

The purpose of this policy is to: identify exams-related information/records held by the exams office, identify the retention period, determine the action required at the end of the retention period and the method of disposal, inform/supplement the centre-wide records management policy.

### Key staff involved in the exams archiving process

Role	Name(s)
Exams Officer	Joanna Moore
Support Operations Manager	Dave Helsby
Head of Centre	Lyndsay Watterson
SENCo	Sarah Williams
Deputy SENCo	Rachel Brandreth
Finance Manager	Lesley Carding

<b>Record type</b>	<b>Record(s) description (where required)</b>	<b>Retention information/period</b>	<b>Action at end of retention period (method of disposal)</b>
Access arrangements information	Access arrangements for candidate, including evidence and Data Protection sheet	To be kept by SENCO/DeputySENCo but with EO access at exam time.	Confidential waste/shredding
Alternative site arrangements	Any hard copy information generated an alternative site arrangement. Notifications submitted online via CAP.		Confidential waste/shredding
Attendance register copies		To be retained until the deadline for EARs or the resolution of any outstanding enquiries/appeals.	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.	To be recycled
Candidates' scripts	Any scripts returned to the centre through the Access to Scripts (ATS) service.	To be logged and kept securely until given to candidate or teacher. Unwanted scripts to be disposed of in a confidential manner but no earlier than the awarding body's deadline.	Confidential waste/shredding
Candidates' work	Non-examination assessment work returned to the centre by the awarding body at the end of the moderation period	To be logged on return to the centre and immediately returned to subject staff as records owner. To be stored safely and securely along with work that did not form part of the moderation sample until deadline for review of moderation or appeal or malpractice investigation has passed.	Returned to candidates or safe disposal
Centre consortium arrangements for centre assessed work	Any hard copy information generated or relating to consortium arrangements for centre assessed work. Applications submitted online via CAP.	To be retained until the deadline for EARs or the resolution of any outstanding enquiries/appeals.	Confidential waste/shredding

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Certificates	Candidate certificates issued by awarding bodies.	Keep certificates secure. Give to students as soon as possible. retain all unclaimed certificates under secure conditions for a minimum of 12 months from the date of issue and a maximum of six years.	Confidential waste/shredding
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	A record of certificates that have been destroyed should be retained for four years from their date of destruction.	Confidential waste/shredding
Certificate issue information	A record of certificates that have been issued.	To be kept securely in exam certificate cupboard.	Confidential waste/shredding
Confidential materials initial point of delivery log	Logs recording awarding body confidential exam materials received by an authorised member of staff at the initial point of delivery and the secure movement of packages by an authorised member of staff to the secure room for transferal to the centre's secure storage facility.	To be kept at reception	Confidential waste/shredding
Confidential materials: receipt, secure movement and secure storage logs	Logs recording confidential exam materials received (including encrypted materials received via email or downloaded from an awarding body's secure extranet site), checked and placed in the secure storage facility by the exams officer (or other authorised member of centre staff) throughout the period the materials are confidential	To be retained at least until the deadline for EARs or the resolution of any outstanding enquiries/appeals.	Confidential waste/shredding
Conflict of Interest records	Records demonstrating the management of Conflicts of Interest	To be retained at least until the deadline for EARs or the resolution of any outstanding enquiries/appeals.	Confidential waste/shredding
Dispatch logs	Proof of dispatch of exam script packages to awarding body examiners covered by the <a href="#">DfE</a> (Standards & Testing Agency) yellow label service	To be retained at least until the deadline for EARs or the resolution of any outstanding enquiries/appeals.	Confidential waste/shredding

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Entry information	Any hard copy information relating to candidates' entries.	To be retained at least until the deadline for EARs or the resolution of any outstanding enquiries/appeals.	Confidential waste/shredding
Exam question papers	Question papers for timetabled written exams.	Issued to subject staff once all the candidates in the centre have completed the exam.	
Exam room checklists	Checklists confirming exam room conditions and invigilation arrangements for each exam session.	To be retained at least until the deadline for EARs or the resolution of any outstanding enquiries/appeals.	Confidential waste/shredding
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms for each exam session.	To be retained at least until the deadline for EARs or the resolution of any outstanding enquiries/appeals.	Confidential waste/shredding
Exam stationery	Awarding body exam stationery provided solely for the purpose of external exams.	Unused stationery to be returned to the centre's secure storage facility until needed for a future examination. Surplus stationery must not be used for internal school tests, mock examinations and non-examination assessments. Any surplus or out-dated stationery will be confidentially destroyed	Confidential waste/shredding
Examiner reports		To be immediately provided to curriculum team leaders as records owner.	Confidential waste/shredding
Finance information	Copy invoices for exams related fees.	Check information and keep securely at least until the end of the financial year.	Confidential waste/shredding
Invigilation arrangements	See <i>Exam room checklists</i>		
Invigilator and facilitator training records		A record of the content of the training given to invigilators and those facilitating access arrangements must be retained on file until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential waste/shredding



Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
JCQ publications	Any hard copy publications provided by JCQ.	To be retained until the current academic is finished and an update is provided. Digital copies to be distributed to relevant staff and students.	Hard copies to be recycled. Digital copies to be deleted once new copies arrive.
Moderator reports		To be immediately provided to curriculum team leaders as records owner.	Confidential waste/shredding
Moderation returns logs	Logs recording the return of candidates' work to the centre by the awarding body at the end of the moderation period		Confidential waste/shredding
Overnight supervision information	The JCQ Overnight Supervision form is completed online using CAP. The JCQ Overnight Supervision Declaration form is downloaded from CAP for signing by the candidate, the supervisor and the head of centre	To be retained for JCQ inspection purposes.	Confidential waste/shredding
Post-results services: confirmation of candidate consent information	Hard copy or email record of required candidate consent	To be kept for at least 6 months after receipt.	Confidential waste/shredding
Post-results services: requests/outcome information	Any hard copy information relating to a post-results service requests submitted to an awarding body for a candidate and outcome information from the awarding body.	To be kept for at least 6 months after receipt.	Confidential waste/shredding
Post-results services: tracking logs	Logs to tracking resolution of all post-results service requests submitted to awarding bodies.	To be kept for at least 6 months after receipt.	Confidential waste/shredding
Private candidate information	Any hard copy information relating to private candidates' entries.	To be retained at least until the deadline for EARs or the resolution of any outstanding enquiries/appeals.	Confidential waste/shredding
Proof of postage candidates' work	Proof of postage of candidates' work submitted to awarding body moderators/examiners/markers	To be retained at least until the deadline for EARs or the resolution of any outstanding enquiries/appeals.	Confidential waste/shredding

<b>Record type</b>	<b>Record(s) description (where required)</b>	<b>Retention information/period</b>	<b>Action at end of retention period (method of disposal)</b>
Resolving timetable clashes information	Any hard copy information relating to the resolution of a candidate's clash of timetabled exam papers	To be kept until end of examination period	Confidential waste/shredding
Results information	Broadsheets of results	Records for current year plus previous 6 years to be retained as a minimum.	Confidential waste/shredding
Seating plans	Plans showing the seating arrangements of all candidates for every exam taken.	To be retained at least until the deadline for EARs or the resolution of any outstanding enquiries/appeals.	Confidential waste/shredding
Special consideration information	Any hard copy information relating to a special consideration request and supporting evidence submitted to an awarding body for a candidate and signed evidence produced by a senior leader in support of the application.	All applications must be supported by signed evidence produced by a member of the senior leadership team. The centre must retain this evidence until after the publication of results. (Reference <u>SC 6</u> )	Confidential waste/shredding
Suspected malpractice reports/outcomes	Any hard copy information relating to a suspected or actual malpractice investigation/report submitted to an awarding body and outcome information from the awarding body.	To be retained at least until the deadline for EARs or the resolution of any outstanding enquiries/appeals.	Confidential waste/shredding
Transferred candidate arrangements	Any hard copy information relating to a transferred candidate arrangement. Applications submitted online via CAP.	To be retained at least until the deadline for EARs or the resolution of any outstanding enquiries/appeals.	Confidential waste/shredding
Very late arrival reports/outcomes	Any hard copy information relating to a candidate arriving very late to an exam. Reports submitted online via CAP.	To be retained at least until the deadline for EARs or the resolution of any outstanding enquiries/appeals.	Confidential waste/shredding

## Appendix 10

# BTEC Registration and Certification Policy 2020/21

### Key staff involved in the BTEC Registration and Certification Policy

Role	Name(s)
Head of Centre	Lyndsay Watterson
Quality Nominee	Clare Scanlon
Exams Officer	Joanna Moore

### The purpose of this policy is:

- To register individual learners to the correct programme within agreed timescales.
- To claim valid learner certificates within agreed timescales.
- To construct a secure, accurate and accessible audit trail to ensure that individual learner registration and certification claims can be tracked to the certificate which is issued for each learner.

### In order to do this, this centre will:

- register each learner within the awarding body requirements
- provide a mechanism for programme teams to check the accuracy of learner registrations
- make each learner aware of their registration status
- inform the awarding body of withdrawals, transfers or changes to learner details
- ensure that certificate claims are timely and based solely on internally verified assessment records
- audit certificate claims made to the awarding body
- audit the certificates received from the awarding body to ensure accuracy and completeness
- keep all records safely and securely for five years post certification.

## Appendix 11

# Escalation Process 2020/21

This process is reviewed annually to ensure compliance with current regulations

### Key staff involved

Role	Name(s)
Head of centre	Lyndsay Watterson
Support Operations Manager	Dave Helsby
Exams officer	Joanna Moore
SLT members	Clare Scanlon, Matt Yeoman

## Purpose of the process

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

## Before examinations (Planning)

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

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

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

## Main duties and responsibilities relate to:

- Centre status
- Confidentiality
- Communication
- Recruitment, selection and training of staff
- Internal governance arrangements
- Delivery of qualifications
- Public liability
- Conflicts of interest
- Controlled assessments, coursework and non-examination assessments
- Security of assessment materials
- National Centre Number Register
- Centre inspections
  - Additional JCQ publication for reference:
  - Centre Inspection Service Changes
- Policies

### Specific JCQ publications for reference:

- General Regulations for Approved Centres (section 5)
- Instructions for conducting examinations (section 25)
- Access Arrangements and Reasonable Adjustments (section 5)

- Personal data, freedom of information and copyright

### Additional JCQ publication for reference:

- Information for candidates – Privacy Notice

## **Before examinations (Entries and Pre-exams)**

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

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

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

### **Main duties and responsibilities relate to:**

- Access arrangements and reasonable adjustments
- Entries

Additional JCQ publications for reference:

- Key dates in the examination cycle
- Guidance Notes for Transferred Candidates
- Alternative Site guidance notes
- Guidance notes for overnight supervision of candidates with a timetable variation

- Centre assessed work

Additional JCQ publication for reference:

- Guidance Notes – Centre Consortium Arrangements

- Candidate information

Additional JCQ publications for reference:

- Information for candidates documents
- Exam Room Posters

## **During examinations (Exam time)**

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

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

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

### **Main duties and responsibilities relate to:**

- Conducting examinations and assessments

Additional JCQ publication for reference:

- Guidance Notes – Very Late Arrival

- Malpractice

- Retention of candidates' work

## **After examinations (Results and Post-Results)**

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

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

- General Regulations for Approved Centres (section 5)

### **Main duties and responsibilities relate to:**

#### ➤ Results

Additional JCQ publication for reference:

- Release of Results notice

#### ➤ Post-results services and appeals

Additional JCQ publications for reference:

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

#### ➤ Certificates