



**Caldew School**  
**Exams Policy 2020-2021**

Due to the cancellation of the 2021 examination series, there are significant changes to this policy. These are listed below as a COVID amendment. The school's procedures for awarding grades are in line with the Ofqual and JCQ documentation and are set out in the Centre Policy.

Ofqual:

[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/972387/6768-](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/972387/6768-)

[4 Information for heads of centre heads of department and teachers on the submission of teacher assessed grades- summer 2021.pdf](#)

JCQ:

<https://www.jcq.org.uk/wp-content/uploads/2021/04/JCQ-Guidance-on-the-Determination-of-Grades-for-A-AS-Levels-and-GCSEs-Summer-2021.pdf>

<b>Exams Policy Section</b>	<b>Amendment</b>
Roles & Responsibilities	Additional responsibilities due to new procedures are in Centre Policy.
Internal Assessment & Endorsements	Our procedures are in line with JCQ guidance and our Centre Policy <a href="https://www.jcq.org.uk/wp-content/uploads/2021/04/JCQ-Guidance-on-the-Determination-of-Grades-for-A-AS-Levels-and-GCSEs-Summer-2021.pdf">https://www.jcq.org.uk/wp-content/uploads/2021/04/JCQ-Guidance-on-the-Determination-of-Grades-for-A-AS-Levels-and-GCSEs-Summer-2021.pdf</a>
Pre-exam Roles & Responsibilities	Suspended as no exams are taking place
Exam Time Roles & Responsibilities	Suspended as no exams are taking place
Special Consideration	Special Consideration will be applied in line with JCQ guidance and as outlined in our Centre Policy. <a href="https://www.jcq.org.uk/wp-content/uploads/2020/09/Guide_to_spec_con_process_2021_FINAL.pdf">https://www.jcq.org.uk/wp-content/uploads/2020/09/Guide_to_spec_con_process_2021_FINAL.pdf</a> <a href="https://www.jcq.org.uk/wp-content/uploads/2021/04/Special-consideration-%E2%80%93-Summer-2021.pdf">https://www.jcq.org.uk/wp-content/uploads/2021/04/Special-consideration-%E2%80%93-Summer-2021.pdf</a>
Unauthorised materials	Suspended as no exams are taking place
Post-Results Appeals	Revised in line with Centre Policy and pending JCQ guidance
Exam Contingencies	Adopted for assessment. Additional contingency plan: student missing assessment (individual variation recorded; appropriate adjustment e.g. done at home; review of evidence; opportunities for further assessment.)
Internal appeals	Does not apply for 2021
Disability policy	Extended from exams to assessments
Access arrangements	Extended from exams to assessments
Use of Word Processors in Exams	Extended from exams to assessments
Controlled Assessment Policy	No external moderation of Controlled Assessment for 2021
Non-Exam Assessment Policy	No external moderation of Controlled Assessment for 2021; adjustments in line with JCQ guidance: <a href="https://www.jcq.org.uk/wp-content/uploads/2021/03/Notice-to-Centres-NEA-June-2021-v2-1.pdf">https://www.jcq.org.uk/wp-content/uploads/2021/03/Notice-to-Centres-NEA-June-2021-v2-1.pdf</a>
Emergency Evacuation	Suspended as no exams are taking place

## Contents

Purpose of the policy .....	5
Roles and responsibilities overview .....	5
Contingency Plan .....	6
Internal Appeals Procedure .....	6
Disability Policy (specific to exams) .....	7
Complaints and Appeals Procedure .....	7
Access Arrangement Policy .....	7
Planning: roles and responsibilities .....	9
Information sharing .....	9
Information gathering .....	9
Access arrangements .....	9
Use of Word Processors in Exams .....	10
Internal assessment and endorsements .....	10
Controlled Assessment Policy .....	10
Non-examination Assessment Policy .....	10
Invigilation .....	11
Entries: roles and responsibilities .....	11
Estimated entries .....	11
Estimated entries collection and submission procedure .....	11
Final entries .....	11
Final entries collection and submission procedure .....	12
Late entries .....	12
Candidate statements of entry .....	12
Pre-exams: roles and responsibilities .....	12
Access arrangements .....	12
Briefing candidates .....	13
Access to scripts, enquiries about results (EARs) and appeals procedures .....	13
Dispatch of exam scripts .....	13
Estimated grades .....	13
Internal assessment and endorsements .....	14
Invigilation .....	14
JCQ inspection visit .....	15
Seating and identifying candidates in exam rooms .....	15
Verifying candidate identity procedure .....	15
Security of exam materials .....	15
Timetabling and rooming .....	16

Alternative site arrangements .....	16
Transferred candidate arrangements .....	16
Internal exams .....	16
Exam time: roles and responsibilities .....	17
Access arrangements .....	17
Candidate absence .....	17
Candidate absence policy .....	17
Candidate late arrival .....	17
Candidate late arrival policy .....	17
Conducting exams .....	18
Dispatch of exam scripts .....	18
Exam papers and materials .....	18
Exam rooms .....	18
Food and drink in exam rooms .....	18
Emergency Procedures .....	19
Lockdown .....	19
Irregularities .....	19
Managing behaviour .....	19
Malpractice .....	20
Special consideration .....	20
Unauthorised materials .....	20
Arrangements for unauthorised materials taken into the exam room .....	20
Internal exams .....	20
Results and post-results: roles and responsibilities.....	20
Internal assessment .....	20
Managing results day(s) .....	21
Results day programme .....	21
Accessing results .....	21
Post-results services.....	21
Certificates .....	22
Issue of certificates procedure.....	22
Retention of certificates policy .....	22
Retention of records: roles and responsibilities .....	22
Exams archiving policy .....	22
Appendices.....	23
Appendix 1 – Exam Contingency Plan.....	23
Appendix 2 – Internal Appeals Procedure .....	29
Appendix 3 – Disability Policy (specific to exams) .....	31
Appendix 4 – Complaints and appeals procedure .....	36

Appendix 5 – Access Arrangement Policy.....	38
Appendix 6- Use of Word Processors in Exams .....	40
Appendix 7 – Controlled Assessment Policy .....	40
Appendix 8 – Non-examination Assessment Policy.....	41
Appendix 9 – Emergency Evacuation Policy .....	56
Appendix 10 – Special Consideration Policy .....	58
Appendix 11- BTEC Policies & Procedures.....	64

## Purpose of the policy

Caldew School is committed to ensuring that the exams management and administration process is run effectively and efficiently. This exam policy will ensure that:

- ▶ all aspects of the centre's exam process is documented and other relevant exams-related policies, procedures and plans are signposted
- ▶ 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 in accordance with JCQ and awarding body regulations, guidance and instructions, ensuring

*"... the integrity and security of the examination/assessment system is maintained at all times and is not brought into disrepute."*

[JCQ *General Regulations for Approved Centres* (GR) 1]

- ▶ 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.

## Roles and responsibilities overview

*"The head of centre is responsible to the awarding bodies for making sure all examinations/assessments are conducted according to awarding body and JCQ instructions, and the qualification specifications issued by the awarding bodies."*

### *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 in Examinations and Assessments (SMEA)
  - Instructions for conducting non-examination assessments (NEA) (and the instructions for conducting controlled assessment and coursework)
- ▶ Ensures the centre has appropriate accommodation to support the size of the cohorts being taught
- ▶ Ensures the National Centre Number Register Annual Update (administered on behalf of the JCQ member awarding bodies by OCR) is responded to by the end of October confirming they are both aware of and adhering to the latest version of the JCQ regulations and instructions for conducting examinations and approves the Head of Centre formal declaration
- ▶ Ensures the exams officer attends appropriate training events offered by awarding bodies, MIS providers and other external providers to enable the exam process to be effectively managed and administered
- ▶ Ensures a named member of staff acts as the Special Educational Needs Co-ordinator (SENCo)
- ▶ Ensures centre staff are supported and appropriately trained to undertake key tasks within the exams process
- ▶ Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the Exams Officer

- ▶ Ensures *“that a teacher who teaches the subject being examined, or a senior member of teaching staff who has had overall responsibility for the candidates preparation for the examination, is not an invigilator during the timetabled written examination or on-screen test...”* [ICE 6]
- ▶ Ensures security within the examination process is managed according to JCQ and awarding body regulations, guidance and instructions including
  - ▶ the location of the centre’s secure storage unit is in an area solely assigned to examinations
  - ▶ 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
- ▶ Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place (that allows the HoC to act immediately in the event of an emergency or staff absence)

See [Appendix 1- Contingency Plan](#)

*“It is the responsibility of the head of centre to ensure that his/her 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 must be readily available for inspection purposes; (The examination contingency plan should also reinforce procedures in the event of the centre being unavailable for examinations owing to an unforeseen emergency.)*

[GR 5]

- ▶ Ensures required internal appeals procedures are in place

See [Appendix 2- Internal Appeals Procedure](#)

*“The centre agrees to... have in place and be readily available for inspection purposes, a written internal appeals procedure relating to internal assessment decisions and to ensure that details of this procedure are communicated, made widely available and accessible to all candidates”*

[GR 5.8]

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

[GR 5.14]

- ▶ Ensures a disability policy for exams showing the centre’s compliance with relevant legislation is in place

See [Appendix 3- Disability Policy \(specific to exams\)](#)

*“The head of centre/senior leadership team agrees to... recognise its duties towards disabled candidates as defined under the terms of the Equality Act 2010†. This must include a duty to explore and provide access to suitable courses, submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates. A written disability policy setting out how the centre seeks to comply with the Equality Act 2010† and fully supporting disabled candidates must be available for inspection purposes. †or any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect*

[GR 5.4]

- ▶ Ensures a *complaints and appeals procedure* covering general complaints regarding the centre’s delivery or administration of a qualification is in place

See [Appendix 4- Complaints and Appeals Procedure](#)

*“The centre agrees to... 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.”*

[GR 5.7]

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

See Separate Policy Document

*“It is the responsibility of the head of centre to ensure that his/her centre... has in place a written child protection/safeguarding policy, including Disclosure and Barring Service (DBS) clearance, which satisfies current legislative requirements...”*

[GR 5.3]

- ▶ Ensures the centre has a data protection policy in place

Please see Separate Data Protection Document

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

See [Appendix 5- Access Arrangement Policy](#)

*“...with its obligations in respect of identifying the need for, requesting and implementing access arrangements.”*

[GR 5.5]

*“The head of centre/senior leadership team agree to... have a written process in place to not only check the qualification(s) of their specialist assessor(s) but that the assessment process is administered correctly;”*

[GR 5.4]

- ▶ Ensures the appropriate steps are taken where a candidate being entered for exams is related to a member of centre staff
- ▶ 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 such as Facebook
- ▶ Ensures members of centre staff do **not** advise parents/candidates to contact awarding bodies/JCQ directly

*“The examinations officer or quality assurance co-ordinator is the person appointed by a head of centre to act on behalf of the centre in matters relating to the administration of awarding body examinations and assessments.”*

*Exams officer*

- ▶ Understands the contents of annually updated JCQ publications including:
  - General regulations for approved centres
  - Instructions for conducting examinations
  - Suspected Malpractice in Examinations and Assessments
  - Post-results services (PRS)
- ▶ 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 training provided to invigilators for the required period
- ▶ Ensures awarding bodies are notified before the associated entries are submitted, where a candidate is being taught and prepared for examinations and assessments by a relative or where a relative of exams office staff is being entered for examinations and assessments

*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 in Examinations and Assessments
  - Instructions for conducting non-examination assessments (and the instructions for conducting controlled assessment and coursework)

*Special educational needs co-ordinator (SENCo)*

- ▶ Is familiar with 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 the administration of the assessment process
- ▶ Presents when requested by a JCQ Centre Inspector, evidence of the assessor's qualification

*Subject Leaders*

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

*Invigilators*

- ▶ Attend 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 Exams Officer in dealing with exam-related deliveries and dispatches with due regard to the security of confidential materials

### *Site staff*

- ▶ Support the Exams Officer in relevant matters relating to exam rooms and resources

### *Candidates*

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

## 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 controlled assessment and 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

#### *Subject Leaders*

- ▶ Responds (or ensures teaching staff respond) to requests from the Exams Officer on information gathering
- ▶ Meets the internal deadline for the return of information
- ▶ Informs the Exams Officer 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
- ▶ Ensures a written process is in place to not only check the qualification(s) of their assessor(s) but that the assessment process is administered correctly
- ▶ Ensures the SENCo is fully supported in effectively implementing access arrangements and reasonable adjustments once approved

#### *SENCo*

- ▶ Assesses candidates (or works with the appointed access arrangements assessor) 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 **data protection notices** from candidates where required
- ▶ Applies for **approval** through *Access arrangements online* (AAO), where required or through the awarding body where qualifications sit outside the scope of AAO
- ▶ Keeps relevant paperwork and evidence on file for JCQ inspection purposes
- ▶ Employs good practice in relation to the Equality Act 2010
- ▶ Liaises with the Exams Officer 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 training provided to facilitators for the required period
- ▶ Provides and annually reviews a centre policy on the **use of word processors** in exams and assessments  
(See Appendix 6- Use of Word Processors in Exams)
- ▶ 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

## Internal assessment and endorsements

### Head of centre

- ▶ Ensures an **internal appeals procedure** relating to internal assessment decisions is in place for a candidate (or parent/carer) to appeal against and request a review of the centre's marking (see Roles and responsibilities overview)
- ▶ Ensures a policy for the **management of controlled assessment** is in place for legacy GCSE qualifications still being delivered which include elements of controlled assessment

[See Appendix 7- Controlled Assessment Policy](#)

- ▶ Ensures a **non-examination assessment policy** is in place for new GCE and GCSE qualifications which include components of non-examination assessment (For CCEA GCSE centres this would be a controlled assessment policy)

[See Appendix 8- Non-examination Assessment Policy](#)

*"The centre agrees to... have in place and be available for inspection purposes, a written policy with regard to the management of GCE and GCSE non-examination assessments; (For CCEA GCSE centres this would be a written controlled assessments policy.)"*

[GR\_5.8]

- ▶ Ensures irregularities are investigated and any cases of suspected malpractice reported to the awarding body and Senior Leaders, as required

### 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

### Subject Leaders

- ▶ Ensures teaching staff delivering legacy GCSE qualifications (which contain elements of controlled assessment) follow JCQ *Instructions for conducting controlled assessments* and the specification provided by the awarding body
- ▶ Ensures teaching staff delivering new 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 (controlled assessments, 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 Exams Officer in recruiting, training and deploying a team of invigilators
- ▶ Ensures, if contracting supply staff to act as invigilators or to facilitate an access arrangement, 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

#### *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 an annual training event for new invigilators and an update event for invigilators on the conduct of exams
- ▶ 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 made aware of the Equality Act 2010 and are trained in disability issues
- ▶ 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 Subject Leaders in a timely manner to ensure awarding body external deadlines for submission can be met

### Estimated entries collection and submission procedure

#### *Subject Leaders*

- ▶ Provides information requested by the Exams Officer to the internal deadline
- ▶ Informs the Exams Officer immediately of any subsequent changes to information

### Final entries

### *Exams officer*

- ▶ Requests final entry information from Subject Leaders in a timely manner to ensure awarding body external deadlines for submission can be met
- ▶ Informs Subject Leaders of subsequent deadlines for making changes to final entry information without charge
- ▶ Confirms with Subject Leaders 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

## Final entries collection and submission procedure

### *Subject Leaders*

- ▶ Provides information requested by the Exams Officer to the internal deadline
- ▶ Informs the Exams Officer 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 Exams Officer and confirms information is correct

## 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

### *Subject Leaders*

- ▶ Minimises the risk of late entries by
  - ▶ meeting internal deadlines identified by the Exams Officer for making final entries

## Candidate statements of entry

### *Exams officer*

- ▶ Provides candidates with statements of entry for checking

### *Teaching staff*

- ▶ Ensure candidates check statements of entry and return any relevant confirmation required to the Exams Officer

### *Candidates*

- ▶ Confirm entry information is correct or notify the Exams Officer of any discrepancies

## Pre-exams: roles and responsibilities

### Access arrangements

#### *SENCo*

- ▶ Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access for candidates where they are disabled within the meaning of the Equality Act (unless a temporary emergency arrangement is required at the time of an exam)
- ▶ 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
- ▶ 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 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, enquiries about results (EARs) and appeals procedures)**

EARs may be requested by Subject Leaders or candidates if there are reasonable grounds for doing so. Candidates written consent must be gained. Candidates must be made aware that marks can go up as well as down. Candidates will be given information on the costs if applicable and procedures involved.

All requests must be made within the timeframe set by the JCQ.

*“The centre agrees to... have in place written procedures for how it will deal with candidates’ access to scripts, enquiries about results and appeals to the awarding bodies and to ensure that details of these procedures are made widely available and accessible to all candidates. Candidates must be made aware of the arrangements for post-results services before they sit any examinations and the accessibility of senior members of centre staff immediately after the publication of results...”*

[GR 5.14]

*“The centre agrees to... treat all candidates equally, including private candidates, throughout the examination process. This would also extend to post-results services and appeals.”*

[GR 5.6]

## 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

### *Subject Leaders*

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

### *Exams officer*

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

## Internal assessment and endorsements

### *Head of centre*

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

### *SENCo*

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

### *Teaching staff*

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

### *Subject 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 Exams Officer to the internal deadline
- ▶ Ensures teaching staff provide required samples of work for moderation and sample recordings for monitoring to the Exams Officer to the internal deadline

### *Exams officer*

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

### *Candidates*

- ▶ Authenticate their work as required by the awarding body

## Invigilation

### *Exams officer*

- ▶ Provides an invigilation handbook and/or trains/updates invigilator annually
- ▶ Deploys invigilators effectively to exam rooms throughout an exam series (including the provision of a roving invigilator to regularly enter and observe the rooms where a candidate and invigilator [acting as a practical assistant, reader or scribe] are accommodated on a 1:1 basis)
- ▶ Allocates invigilators to exam rooms (or where supervising candidates due to a timetable variation) according to the required ratios
- ▶ Liaises with the SENCo regarding the facilitation and invigilation of access arrangement candidates

## SENCo

- ▶ Liaises with the Exams Officer 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

- ▶ Will accompany the Inspector throughout the visit

*“A senior member of staff or a member of the exams office must be available to accompany the Inspector throughout the course of his or her centre visit, including inspection of the centre’s secure storage facility.”*

[ICE Introduction]

## Seating and identifying candidates in exam rooms

### Exams officer

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

### (Verifying candidate identity procedure)

A Senior member of staff (who has been authorised by the Head of Centre) will be present outside the Examination Hall at the start of the examinations, to assist with identification of candidates.

*“The centre agrees to... have in place written procedures to verify the identity of all candidates at the time of the examination or assessment...”*

[GR 5.10]

*...A private, external or 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...*

*...In cases 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.*

*Once identification has been established, the candidate should replace, for example, their veil and proceed as normal to sit the examination.”*

[ICE 9]

- ▶ Ensures invigilators are aware of the procedure
- ▶ Provides seating plans for exam rooms according to JCQ and awarding body requirements

### Invigilators

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

## Security of exam materials

### Exams officer

- ▶ Has a process in place to record confidential materials delivered to the centre and issued to authorised staff
- ▶ Has in place a recording system to track confidential materials taken from or returned to secure storage throughout the time the material is confidential

- ▶ Receives, checks and securely stores question papers and other exam materials according to JCQ and awarding body requirements

#### *Reception staff*

- ▶ Follow the process to record confidential materials delivered to the centre and issued to authorised staff

#### *Teaching staff*

- ▶ Adhere to the recording system to track 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 clashes (only applying overnight supervision arrangements in rare and exceptional circumstances and as a last resort)
- ▶ Identifies exam rooms and specialist equipment requirements
- ▶ Allocates invigilators to exam rooms (or where supervising candidates due to a timetable variation) according to required ratios
- ▶ Liaises with site staff to ensure exam rooms are set up according to JCQ and awarding body requirements
- ▶ Liaises with the SENCo regarding rooming of access arrangement candidates

#### *SENCo*

- ▶ Liaises with the Exams Officer 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 Exams Officer 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 using the JCQ *Alternative Site* form of any alternative sites that will be used to conduct timetabled examination components of the qualifications listed in the JCQ regulations

### Transferred candidate arrangements

#### *Exams officer*

- ▶ Liaises with the host or entering centre, as required
- ▶ Processes requests to the awarding body deadline
- ▶ Where relevant (for an internal candidate) informs the candidate of the arrangements that have been made for their transferred candidate arrangements

### Internal exams

#### *Exams officer*

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



### *SENCo*

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

### *Teaching staff*

- ▶ Provide exam papers and materials to the Exams Officer
- ▶ Support the SENCo in making appropriate arrangements for access arrangement candidates

## Exam time: roles and responsibilities

### Access arrangements

#### *Exams officer*

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

### Candidate absence

#### Candidate absence policy

Candidates absent from examinations would receive a telephone call home from a member of the office staff to find out the circumstances as soon as possible.

#### *Invigilators*

- ▶ 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 late arrival

#### *Exams officer*

- ▶ Ensures that candidates who arrive very late for an exam are reported to the awarding body as soon as practically possible after the exam has taken place
- ▶ Warns candidates that their work may not be accepted by the awarding body

#### *Invigilators*

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

#### Candidate late arrival policy

Candidates arriving late for an exam will be allowed into the exam if the exam is still taking place. The examinations officer or an invigilator would need to accompany the student to the exam hall. Before they enter the exam hall they would be asked to remove any unauthorised items mobile phones etc. They would be given any instructions with regards to the examination.

If candidates arrive very late then the Form JCQ/VLA must be completed and admitted. The candidate must be warned that the examination board may not accept their script.

If a student was persistently late SLT/Heads of Year would be informed.

*"Advice: it is good practice for a centre to have a policy for late and absent candidates.*

*Invigilators must be made aware of this policy...*

*Centres should have their own internal procedures for dealing with candidates who persistently arrive late for examinations.*

*The exams officer may need to liaise with a senior member of staff who has pastoral responsibilities."*

[ICE 14]

## 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 secure storage
- ▶ Attaches erratum notices received to relevant exam question paper packets
- ▶ Collates attendance registers and examiner details in date order
- ▶ Regularly checks mail or inbox for updates from awarding bodies
- ▶ In order to avoid potential breaches of security, ensures prior to question paper packets being opened that another member of staff or an invigilator checks the time, date and paper details
- ▶ 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 clash candidates have completed the exam

## Exam rooms

### *Head of centre*

- ▶ Ensures that prior to exams commencing, revision or coaching sessions for candidates will not be held in the designated exam room(s)
- ▶ Ensures only authorised centre staff are present in exam rooms
- ▶ Ensures information relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates

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

Water is allowed in the examination hall as long as it is in a see through bottle free from labels. No food is allowed in the exam hall.

### *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)
- ▶ Ensures sole invigilators have an appropriate means of summoning assistance

- ▶ Ensures invigilators understand how to deal with candidates who may need to leave the exam room temporarily
- ▶ 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

### See Appendix 9- Emergency Procedures

#### Lockdown

In the event of a lockdown during internal and external examinations, the students' safety remains paramount and will be considered above all examination regulations. All efforts will be made to ensure that the examination remains under strict control. The exam hall will be secured following the usual lockdown protocol. Invigilators should switch radios to channel 3 and await instructions.

#### *Site staff*

- ▶ Ensure exam rooms are available and set up as requested by the Exams Officer
- ▶ 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 as instructed in training/update events and briefing sessions

#### *Candidates*

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

#### Irregularities

#### *Head of centre*

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

#### Managing behaviour

*"The head of centre has the authority to remove a candidate from the examination room, but should only do so if the candidate would disrupt others by remaining in the room."*

[ICE 17]

#### *Senior leaders*

- ▶ Ensure support is provided for the Exams Officer 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

#### *Exams officer*

- ▶ Processes appropriate requests 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

See [Appendix 10](#)- Special Consideration Policy

#### *Candidates*

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

### Unauthorised materials

#### **Arrangements for unauthorised materials taken into the exam room**

Students are not to take any phones/electronic equipment into the examination hall, they must be left in students lockers or handed into the School Office and collected after the examination. Students are not allowed to take any bags into the examination hall and these must be left in the students lockers.

*“...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.*

#### *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 Exams Officer

## Results and post-results: roles and responsibilities

### Internal assessment

#### *Subject 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 enquiries 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**

Examination results will be issued on Results Day. A letter will be sent home to students detailing collection times. Staff will be available to assist students on results day. Results can be issued to a parent/carer on results day if written consent is provided from the student, detailing who will be collecting the results and photographic ID is provided on the day. Results can also be posted home if written request is received prior to results day and a stamped address envelope is also provided.

### *Site staff*

- ▶ Ensure the centre is open and accessible to centre staff and candidates, as required

## Accessing results

### *Exams officer*

- ▶ Informs candidates in advance of when and how results will be released to them
- ▶ 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 check, a review of marking, a review of moderation or an appeal
- ▶ Understands that in the event of an awarding body initiating an *extended review of marking*, candidates' 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 and collect candidate informed consent (**after** the publication of results) and fees where relevant
- ▶ Submits requests to awarding bodies to meet the external deadline
- ▶ 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
- ▶ Examinations Officer will gain relevant candidate informed consent
- ▶ Senior Leaders will identify the budget to which fees should be charged

### *Candidates*

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

## Certificates

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

### Issue of certificates procedure

Candidates are informed when the Certificates can be collected.

Certificates may be collected on behalf of candidates if written authorisation is provided and ID evidence is provided on collection of certificates.

### Retention of certificates policy

The Centre retains certificates for one year. Any requests for replacement certificates will be payable by the candidate not the centre.

## 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

Controlled assessment can be collected from the school by candidates from November.

After this date all Controlled Assessments will be stored and then disposed of accordingly.

# Appendices

## Appendix 1 – Exam Contingency Plan

### Purpose of the Plan

This plan examines potential risks and issues that could cause disruption to the exams process at Caldew 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 *Exam system contingency plan: England, Wales and Northern Ireland* which provides guidance in the publication *What schools and colleges and other centres should do if exams or other assessments are seriously disrupted*.

This plan also confirms Caldew School is compliant with the JCQ regulation (section 5.3, *General Regulations for Approved Centres 2017-2018*) 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*.

### 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
- ▶ 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

- ▶ Head teacher's PA will deputise for Exams Officer
- ▶ Exams Officer Line Manager to liaise with invigilation team regarding schedules.
- ▶ Exams Officer Line Manager to liaise with Subject Leaders regarding entries.

1. 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
- ▶ modified paper requirements not identified in a timely manner to enable ordering to meet external deadline
- ▶ staff providing support to access arrangement candidates not allocated and trained

Exam time

- ▶ access arrangement candidate support not arranged for exam rooms

Centre actions to mitigate the impact of the disruption

- ▶ SENCo to liaise with Exams Officer and Exams Officer Line Manager regarding absence
- ▶ Exams Officer to liaise with examination boards

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

Criteria for implementation of the plan

Key tasks not undertaken including:

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

Final entry information not provided to the exams officer on time; resulting in candidates not being entered for exams/assessments or being entered late/late or other penalty fees being charged by awarding bodies

Non-examination assessment tasks not set/issued/taken by candidates as scheduled

Candidates not being informed of centre assessed marks before marks are submitted to the awarding body and therefore not being able to consider appealing internal assessment decisions and requesting a review of the centre's marking

Internal assessment marks and candidates' work not provided to meet awarding body submission deadlines

Centre actions to mitigate the impact of the disruption

- ▶ Exams Officer to communicate with remaining teaching staff/Subject Leaders/deputy Subject Leaders
- ▶ Exams Officer to communicate with Examination Boards for further guidance.

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

Criteria for implementation of the plan

Failure to recruit and train sufficient invigilators to conduct exams

Invigilator shortage on peak exam days

Invigilator absence on the day of an exam

Centre actions to mitigate the impact of the disruption

- ▶ Invigilator recruitment and training is done well in advance.



- ▶ Never working to the minimum ratio requirements for invigilators.
- ▶ Examination Officer to cover the role/task.

4. 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

- ▶ Prioritise rooming for examinations
- ▶ Explore alternative local venues (ensure request to relocate has been approved by exam board).

5. 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

- ▶ Exams Officer and IT Support Engineer to liaise with examination boards.
- ▶ Exams Officer, in consultation with SLT will make entries from another venue directly to the Examination boards.

6. 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

- ▶ SLT to manage all such incidents whilst in communication with Exams Officer to make sure all JCQ requirements are fully met.
- ▶ Exams Officer to prepare invigilators as part of training
- ▶ Contact exam boards for further guidance/advice (See contact numbers on evacuation procedures)
- ▶ See lock down policy and evacuation policy for further information.

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

Criteria for implementation of the plan

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

Centre actions to mitigate the impact of the disruption

- ▶ Head of Centre/SLT to take the necessary action in collaboration with other local schools/organisations in order for teaching and learning to be resumed.

8. 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

- ▶ Special consideration may be applied for.
- ▶ If students are unable to come into school, home invigilation to be arranged (after arranging with examinations board).

9. Centre unable to open as normal during the exams period

Criteria for implementation of the plan

Centre unable to open as normal for scheduled examinations (including centre being unavailable for examinations owing to an unforeseen emergency)

Centre actions to mitigate the impact of the disruption

- ▶ Inform Examinations Board.
- ▶ Consider special considerations.
- ▶ Explore alternative local venues (ensure request to relocate has been approved by exam board).

10. 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

- ▶ Inform the examination board.

11. Disruption to the transportation of completed examination scripts

Criteria for implementation of the plan

Delay in normal collection arrangements for completed examination scripts

Centre actions to mitigate the impact of the disruption

- ▶ Exams Officer to secure exam papers in the secure area until the courier collects the papers.
- ▶ Contact the courier/exam board to resolve the issue.

12. Assessment evidence is not available to be marked

Criteria for implementation of the plan

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

Centre actions to mitigate the impact of the disruption

- ▶ Exam Officer to contact Examination Boards.

13. Centre unable to distribute results as normal

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

- ▶ Exam Officer to liaise with Examination Boards.
- ▶ Seek support from another centre.

**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 as part of your emergency planning and make sure your staff are aware of these plans.

**2. Disruption to assessments or exams**

In the absence of any instruction from the relevant awarding organisation, the school or college should assume that any exam or timetabled assessment should take place if it is possible for it to do so. This may mean having to locate alternative premises.

If the exam or assessment cannot take place, or if a student misses an exam or loses their assessment due to an emergency or other event outside the control of the school or college, you should discuss alternative arrangements with your awarding organisation.

**2.1 The school or college should consider the following steps**

**Exam planning**

1. Review your contingency plan well in advance of each exam series.
2. Ensure that copies of question papers are received and stored under secure conditions.

**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 the school or college is able to open.
3. Identify whether the exam can be sat at an alternative venue, in agreement with the relevant awarding organisation.
4. Where accommodation is limited, prioritise students whose progression will be severely delayed if they do not take their exams when planned.
5. Communicate with parents, carers and students regarding any changes to the exam timetable.
6. Advise students, where appropriate, to sit exams in the next available series.

**After the exam**

1. Consider whether students may be eligible for special consideration.
2. Ensure that scripts are stored under secure conditions.
3. 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.

**2.2 The awarding organisation should take the following steps**

**Exam planning**

1. Establish, maintain and at all times comply with an up to date written contingency plan.
2. Ensure that the arrangements that are in place with schools and colleges enable them to deliver and award qualifications in accordance with its conditions of recognition.

**In the event of disruption**

1. Take all reasonable steps to mitigate any negative effect, in relation to its qualifications, arising from any disruption.
2. Provide effective guidance to any of its centres responsible for delivering qualifications on its behalf.
3. Ensure that where an assessment is required to 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 a negative effect on students, standards or public confidence.

### **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.

### **2.3 When a student misses an exam or is disadvantaged by the disruption**

If you feel that the performance of all or some of your students has been negatively affected by the disruption you should ask your awarding organisation about applying for special consideration. The decision about what special consideration is, or is not appropriate, is for awarding organisations to make. Their decisions might be different, for different qualifications and for different subjects. However, we encourage awarding organisations to adopt a consistent approach, including between learners, schools or colleges, and awarding organisations, when dealing with a number of similar cases.

[Ofqual guidance extract taken directly from the **Exam system contingency plan: England, Wales and Northern Ireland - What schools and colleges and other centres should do if exams or other assessments are seriously disrupted**, sections 1 and 2

<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**

#### **Contingency planning**

The qualifications 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.

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.

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.

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.

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>

[JCQ guidance taken directly from JCQ Instructions for conducting examinations

<http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations>, page iv]

General regulations for approved centres

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

Guidance on alternative site arrangements

<http://www.jcq.org.uk/exams-office/forms>

Guidance on transferred candidate arrangements

<https://www.jcq.org.uk/exams-office/entries>

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>

Teaching time lost due to severe weather conditions

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

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

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

Statutory guidance on school closures

<https://www.gov.uk/government/publications/school-organisation-maintained-schools>

## Appendix 2 – Internal Appeals Procedure

### Purpose of the Policy

Caldew School is committed to ensuring that whenever its staff assesses students' work for external qualification, this is done fairly, consistently and in accordance with the specification for the qualification concerned. Assessments are conducted by staff who have appropriate knowledge, understanding and skills, and who have been trained in this activity. The centre is committed to ensuring that assessment evidence provided by candidates is produced and authenticated according to the requirements of the relevant specifications for each subject. Where a set of work is divided between staff, internal moderation and standardisation will ensure consistency.

If a student feels that this may not have happened in relation to his/her work, s/he may make use of this appeals procedure. Note that appeals may only be made against the process that led to the assessment and not against the mark or grade submitted by the centre for moderation by the awarding body.

### Procedure for candidates

In accordance with the Joint Council for Qualifications (JCQ) directives, this procedure outlines the process candidates must follow should they wish to consider requesting a review of marking with regards to GCSE controlled assessment, GCE coursework, or GCE and GCSE non-examination assessments.

1. Candidates will be informed of their centre assessed marks by their class teacher, verbally. The teacher **will not** be able to tell a candidate the grade that the mark converts into, and a candidate **must not** ask for any indication of such a grade.

2. Candidates may request copies of 'materials' to assist them in considering whether to request a review of the centre's marking of a specified assessment. This **must** be made in writing, to the Headteacher. The 'materials' may include:

- A copy of the marked work (not the original)
- A copy of the relevant specification, or direction as to where to find it electronically
- A copy of associated subject-specific documents (e.g. assessment grids, candidate assessment forms)

Caldew School will make these 'materials' available promptly upon receipt of any such request.

3. Having reviewed the 'materials', a candidate may make a request for a review of marking for a specified assessment. This **must** be made in writing to the Headteacher, to arrive no later than **2 weeks prior to the coursework submission date (subject dependent)**.

4. The request for a marking review **must** also specify:

- In which subject the candidate would like the marking to be reviewed
- The reason/s as to why they wish to request a review, including any evidence to support their view that the centre's mark is incorrect

5. Any request received that does not explain the reason for requesting a review of marking **will not** be considered.

6. Any request received after the deadline **will not** be considered due to the external submission deadline.

7. A 'third party' reviewer will be assigned either from within the school's team of subject specialists, or from colleagues within neighbouring schools. These personnel will have the necessary educational expertise with regards to assessment procedures within secondary education. They will not have had any previous involvement in the assessment of the work.

8. The reviewer will be tasked with ensuring that the candidate's mark is consistent with the standard set in the department concerned.

9. If there is still a discrepancy between the original and reviewed mark, a third opinion will be sought. The Headteacher will inform the candidate of the outcome of the review in writing.

After each candidates work has been internally assessed and moderated, it is then externally moderated by the awarding body to ensure consistency in marking between centres. The external moderation process may lead to mark changes, which is outside the control of Caldew School and is not covered by this procedure.

#### **Procedure for centre staff**

This applies to all GCSE controlled assessment, GCE coursework, GCE, BTEC and GCSE non-examination assessments.

A published procedure will outline the process for candidates wishing to request a review of the centre's marking. This will be available via the Caldew School website. The following procedure is for school staff:

1. The single agreed deadline for all internal marking is (to be inserted by the individual department)

\_\_\_\_\_

2. The single agreed deadline for all internal moderation of marking is (to be inserted by the individual department) \_\_\_\_\_

3. All pupils **must** be given their raw mark/s for their centre assessed work, **but not any suggested grade**, by their class teacher verbally. Pupils will be instructed that they are not allowed to ask for a suggested grade.

4. The deadline for candidates to request, in writing to the Headteacher, materials to assist them in considering whether to request a review of the marking in a subject is **3 weeks prior to the final external coursework submission deadline**.

5. Upon receipt of such a request, the respective Subject Leader will provide (within 24 hours) the candidate with materials that may include:

A copy of the marked work (not the original)

- A copy of the relevant specification, or direction as to where to find it electronically
- A copy of associated subject-specific documents (e.g. assessment grids, candidate assessment forms)

6. The deadline for requesting a review of the centre's marking is **2 weeks prior to the final external coursework submission deadline**.

a. This must be done in writing to the Headteacher, and must specify:

- i. In which subject the candidate would like the marking to be reviewed
- ii. The reason/s why they wish to request a review, including any evidence to support their view that the centre's mark is incorrect

7. Any request received after the above deadline will not be considered.

8. A 'third party' reviewer will be assigned either from within the school's team of subject specialists, or from colleagues within neighbouring schools. These personnel will have the necessary educational expertise with regards to assessment procedures within secondary education. They will not have had any previous involvement in the assessment of the work.

9. The reviewer will be tasked with ensuring that the candidate's mark is consistent with the standard set in the department concerned.

10. If there is still a discrepancy between the original and reviewed mark, a third opinion will be sought. The Headteacher will inform the candidate of the outcome of the review in writing.

## Appendix 3 – Disability Policy (specific to exams)

### Purpose of the policy

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

*“recognise its duties towards disabled candidates as defined under the terms of the Equality Act 2010<sup>†</sup>. This must include a duty to explore and provide access to suitable courses, submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates...*

*†or any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect”*

[GR5.4]

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

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

## **The Equality Act 2010 definition of disability**

A definition is provided on page 4 of the current JCQ publication *Adjustments for candidates with disabilities and learning difficulties* [Access Arrangements and Reasonable Adjustments](#).

## **Identifying the need for access arrangements**

### **Roles and responsibilities**

#### **Head of centre**

- ▶ Is familiar with the entire contents, refers to and directs relevant centre staff to the annually updated JCQ publications including [GR](#) and [AA](#)

#### **Senior leaders**

- ▶ Are familiar with the entire contents of the annually updated JCQ publications including [GR](#) and [AA](#)

#### **Special Educational Needs coordinator (SENCo)**

- ▶ Has full knowledge and understanding of the contents, refers to and directs relevant centre staff to the annually updated JCQ publication [AA](#)
- ▶ Ensures that all assessments carried out and arrangements put in place comply with JCQ and awarding body regulations and guidance.
- ▶ Ensures arrangements put in place for exams/assessments reflect a candidate's normal way of working.
- ▶ Presents when requested by a JCQ Centre Inspector, evidence of the assessor's qualification.
- ▶ Provides information to evidence the normal way of working of a candidate.
- ▶ Completes appropriate documentation as required by the regulations of JCQ and the awarding body.

#### **Teaching staff**

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

#### **Support staff** (for example, (Higher Level/ Senior) Teaching Assistants)

- ▶ Ensures arrangements put in place for exams/assessments reflect a candidate's normal way of working.

#### **Assessor of candidates with learning difficulties**

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

- ▶ Has detailed understanding of the current JCQ publication [AA](#)

## **Requesting access arrangements**

### **Roles and responsibilities**

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

- ▶ Determines if the arrangements identified for a candidate require prior approval from the awarding body before the arrangements are put in place or if approval is centre-delegated
- ▶ Presents the files when requested by the JCQ Centre Inspector.



- ▶ Ensures where form 8 is required to be completed, the original form is signed by hand and dated as required **prior** to approval being sought and that the original form is provided for processing and inspection purposes
- ▶ Ensures the names of all other assessors, who are assessing candidates studying qualifications as listed on page 2 of AA, are entered into AAO to confirm their status including any professionals working outside the centre
- ▶ Maintains a file for each candidate that will include:
  - ▶ completed JCQ/awarding body application forms and evidence forms
  - ▶ appropriate evidence to support the need for the arrangement where required
  - ▶ appropriate evidence to support normal way of working within the centre
  - ▶ in addition, for those qualifications listed on page 2 of AA (where approval is required), a print out of the AAO approval and a signed data protection notice (which provides candidate consent to their personal details being shared)

#### **Exams officer**

- ▶ Is familiar with the entire contents of the annually updated JCQ publication GR and is aware of information contained in AA where this may be relevant to the Exams Officer role
- ▶ Ensures that where approval is required that this is applied for by the awarding body deadline.

#### **Implementing access arrangements and the conduct of exams**

#### **Roles and responsibilities**

##### **External assessments**

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

##### **Head of centre**

- ▶ Supports the SENCo, the exams officer and other relevant centre staff in ensuring appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams

##### **Special Educational Needs coordinator (SENCo)**

- ▶ Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access for candidates where they are disabled within the meaning of the Equality Act (unless a temporary emergency arrangement is required at the time of an exam)
- ▶ Appoints appropriate centre staff as facilitators to support candidates (practical assistant, prompter, Oral Language Modifier, reader, scribe or Sign Language Interpreter)
- ▶ Ensures facilitators supporting candidates are appropriately trained and understand the rules of the particular access arrangement(s)
- ▶ Ensures a record of the training given to those facilitating an access arrangement for a candidate under examination conditions is kept and retained on file until the deadline for enquiries about results has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later

#### **Exams officer**

- ▶ Is familiar with and follows the *Checklist for heads of centre and examination officers – The Equality Act 2010 and conduct of examinations* provided in the current ICE (page 44)

- ▶ Ensures a record of the training given to those facilitating an access arrangement for a candidate under examination conditions is kept and retained on file until the deadline for enquiries about results has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later
- ▶ Ensures invigilators supervising access arrangement candidates are trained in their role and understand the invigilation arrangements required for access arrangement candidates as detailed in ICE 7 and 8
- ▶ Ensures facilitators supporting candidates are appropriately trained and understand the rules of the particular access arrangement(s)

#### **Other relevant centre staff**

- ▶ Support the SENCo and the exams officer to ensure appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams

#### **Internal assessments**

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

*“Externally marked and/or externally set practical examinations taken at different times across centres are classified as ‘NEA’.”*

[ICE]

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

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

#### **Teaching staff**

- ▶ Support the SENCo in implementing appropriate access arrangements for candidates

#### **Internal exams**

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

#### **Special Educational Needs coordinator (SENCo)**

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

#### **Teaching staff**

- ▶ Support the SENCo in implementing appropriate access arrangements for candidates

#### **Facilitating access - examples**

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

On a candidate by candidate basis, consideration is given to

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

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

Example of candidate need(s)	Arrangements explored	Centre actions
A medical condition which prevents the candidate from taking exams in the centre	Alternative site for the conduct of examinations Supervised rest breaks	<p><i>SENCo gathers evidence to support the need for the candidate to take exams at home</i></p> <p><i>Progress Leader provides written statement for file to confirm the need</i></p> <p><i>Approval confirmed by SENCo; AAO approval for both arrangements not required</i></p> <p><i>Progress Leader has discussion with candidate to confirm the arrangements should be put in place</i></p> <p><i>Exams Officer submits appropriate 'Alternative site for the conduct of exams form'</i></p> <p><i>Exams Officer provides candidate with exam timetable and JCQ information for candidates</i></p> <p><i>Progress Leader confirms with candidate the information is understood</i></p> <p><i>Progress Leader agrees with candidate that prior to each exam will call to confirm fitness to take exam</i></p> <p><i>Exams Officer allocates invigilator(s) to candidate's timetable; confirms time of collection of exam papers and materials</i></p> <p><i>Invigilator monitors candidate's condition for each exam and records any issues on incident log</i></p> <p><i>Invigilator records rest breaks (time and duration) on incident log and confirms set time given for exam</i></p> <p><i>Invigilator briefs Exams Officer after each exam on how candidate's performance in exam may have been affected by his/her condition</i></p> <p><i>Exams Officer discusses with Progress Leader if candidate is eligible for special consideration (candidate present but disadvantaged)</i></p> <p><i>Exams Officer processes request(s) for special consideration where applicable; incident log(s) provides supporting evidence</i></p> <p><i>Progress Leader informs candidate that special consideration has been requested</i></p>
Persistent and significant difficulties in accessing written text	Reader/computer reader 25% Extra time Separate invigilation within the centre	<p><i>Confirms candidate is disabled within the meaning of the Equality Act 2010</i></p> <p><i>Papers checked for those testing reading</i></p> <p><i>Computer reader/examination reading pen sourced for use in papers (or sections of papers) testing reading OR up to 50% extra time awarded</i></p> <p><i>Original Form 8, signed by hand and dated, with Sections A, B and C completed; kept on file with body of supporting</i></p>

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

## Appendix 4 – Complaints and appeals procedure

### Purpose of the procedure

This procedure confirms Caldew School's compliance with JCQ's *General Regulations for Approved Centres 2017-2018, section 5.7* that the centre has in place "...a written complaints and appeals procedure which will cover general complaints regarding the centre's delivery or administration of a qualification."

### Grounds for complaint

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

### Teaching and learning

- ▶ Quality of teaching and learning, for example
  - ▶ Non-subject specialist teacher without adequate training/subject matter expertise utilised on a long-term basis
  - ▶ Teacher lacking knowledge of new specification/incorrect core content studied/taught
  - ▶ Core content not adequately covered
  - ▶ Inadequate feedback for a candidate following assessment(s)
- ▶ Pre-release/advance material/set task issued by the awarding body not provided on time to an exam candidate
- ▶ The taking of an assessment, which contributes to the final grade of the qualification, not conducted according to the JCQ/awarding body instructions
- ▶ The marking of an internal assessment, which contributes to the final grade of the qualification, not undertaken according to the requirements of the awarding body (complainant should refer to the centre's *internal appeals procedure*)

- ▶ Centre fails to adhere to its *internal appeals procedure*
- ▶ Candidate not informed of his/her centre assessed marks prior to marks being submitted to the awarding body
- ▶ Candidate not informed of his/her centre assessed marks in sufficient time to request/appeal a review of marking prior to marks being submitted to the awarding body
- ▶ Candidate not given sufficient time to review materials to make a decision whether to request a review of centre assessed marks

#### **Access arrangements**

- ▶ Candidate not assessed by the centre's appointed assessor
- ▶ Candidate not involved in decisions made regarding his/her access arrangements
- ▶ Candidate did not consent to personal data being shared electronically (by the non-acquisition of a signed Data Protection Notice)
- ▶ Candidate 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 (online) exam/assessment
- ▶ Disruption during exam/assessment
- ▶ Alleged, suspected or actual malpractice incident not investigated/reported
- ▶ Eligible application for special consideration for a candidate not submitted/not submitted to timescale
- ▶ Failure to inform/update candidate on the outcome of a special consideration application

#### **Results and Post-results**

- ▶ Before exams, candidate not made aware of the arrangements for post-results services and the accessibility of senior members of centre staff after the publication of results
- ▶ Candidate not having access to a member of senior staff after the publication of results to discuss/make decision on the submission of an 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 check, a review of marking, a review of moderation or an appeal (complainant to refer via head teacher 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 his/her parent/carer) has a general concern or complaint about the centre's delivery or administration of a qualification he/she is following, the school's general complaints procedure should be followed.

## Appendix 5 – Access Arrangement Policy

### What are access arrangements and reasonable adjustments?

#### Access arrangements

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

#### Reasonable adjustments

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

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

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

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

#### Purpose of the policy

The purpose of this policy is to confirm that Caldew School complies with its *“...obligation to identify the need for, request and implement access arrangements...”*

The policy is annually reviewed to ensure that arrangements are carried out in accordance with the current edition of the JCQ publication *Adjustments for candidates with disabilities and learning difficulties Access Arrangements and Reasonable Adjustments’.*

#### Disability policy (exams)

A large part of the access arrangements policy is covered in the Disability policy (exams) (see [Appendix 3](#)) which covers staff roles and responsibilities in identifying the need for, requesting and implementing access arrangements and the conduct of exams. The access arrangements policy further covers the assessment process and related issues in more detail.

#### The assessment process

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

### **The qualification(s) of the current assessor(s)**

The Specialist Assessor (Ruth Coates) has undertaken updated Level 7 training on access arrangements as required by JCQ.

### **Checking the qualification(s) of the assessor(s)**

A copy of the qualification(s) is given to the SENCO and are held on file by the Examination Officer.

### **How the assessment process is administered**

#### Exam Access

All Year 7 exams take place in classrooms, allowing teachers to support as appropriate and necessary.

In Year 8, as in Year 7, most exams take place in classrooms. English, Maths and Science exams are done in the sports hall, with appropriate access arrangements put in place where needed/ possible.

From Year 9 to 13 – identified students are formally assessed by the specialist assessor. Please see PATOSS certificate (Held by Exams Officer). The Exams Officer follows the JCQ Exam Access Guidelines.

Students with Exam Access are listed on the SEN Register

### **Recording evidence of need**

The specialist assessor maintains a file of evidence for each student requiring access arrangements.

### **Gathering evidence to demonstrate normal way of working**

Arrangement(s) put in place which reflect the support given to the candidate in the centre:

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

This is commonly referred to as 'normal way of working'. For candidates with learning difficulties this is typically the background information recorded within Section A of Form 8 by the SENCO or the assessor working within the centre.

The only exception to this is where an arrangement is put in place as a consequence of a temporary injury or impairment .

### **Processing access arrangements**

#### **Arrangements requiring awarding body approval**

*Access arrangements online* (AAO) is a tool provided by JCQ member awarding bodies for centres to apply for required access arrangement approval for the qualifications. This tool also provides Caldew School with the option of ordering modified papers for those qualifications listed.

AAO is accessed by logging in to any of the awarding body secure extranet sites. A single application is required for each candidate regardless of the awarding body used.

## Centre-delegated access arrangements

Candidates who require just extra time go into the main exam room, where they are allocated specific seats so they can carry on without disturbance.

## Separate invigilation within the centre

Candidates who require Separate Invigilation need evidence in the form of Medical and/or Outside Agency documentation approved by SENCo/Exam Officer, which also shows that this is normal practice during exam periods.

## Appendix 6- Use of Word Processors in Exams

The use of word processors in relation to exams needs to be granted on the basis of need, rather than preference.

Students will be considered to have use of a word processor if they have the following:

- Totally illegible handwriting
- A physical disability which affects handwriting
- A medical condition which affects handwriting
- A sensory impairment
- A learning difficulty which has a substantial and long term adverse effect on their ability to write legibly

Cases must be referred to the teacher in charge of exam access arrangement (Ruth Coates). Examples of handwriting difficulties must be provided and will be assessed as well as evidence from staff.

It is important that there is genuine 'need' for use of a word processor. This has to be recorded and presented to the inspecting body if requested.

## Appendix 7 – Controlled Assessment Policy

Caldew School the school is committed to ensuring that whenever its staff assesses students' work for external qualification, this is done fairly, consistently and in accordance with the specification for the qualification concerned. Assessments should be conducted by staff that has appropriate knowledge, understanding and skills. Students' work should be produced and authenticated according to the requirements of the examination board. Where a set of work is divided between staff, consistency should be assured by internal moderation and standardisation. If students believe that this may not have happened in relation to his/her work, he/she may make use of the appeals procedure. **Note that appeals may only be made against the process that led to the assessment and not against the mark or grade.**

1. It is the responsibility of each Subject Leader to obtain the Controlled Assessment task details from the exam boards.
2. The Subject Leader should in discussion with their SLT link choose the most appropriate time for the controlled assessment to take place. This date should be checked **against the school calendar and the Assistant Head with the overview of** examination purposes and processes **should be informed.** The Examinations Officer should also be made aware.
3. The Controlled Assessment may take place during timetabled class time. If extra time is required beyond normal lesson time, then this should be discussed with the Assistant Head with the overview of examination purposes and processes.
4. Departments must plan when and how the assessment will take place, taking into account the accommodation and resources required. The Examinations Officer should be notified when high level controlled assessment is taking place.



5. Relevant display materials must be removed or covered up.
6. All staff must be aware of the relevant level of control permitted (high, medium or low) as this will determine the level of permitted supervision e.g. high control means that students are under exam conditions.
7. All assessment materials must be locked in a suitable secure cabinet at the end of each session.
8. Separate user accounts for exam use must be used for high control level work. These must have no access to internet or e-mail and must only be accessible during the controlled sessions. If work is saved on memory sticks these must be collected in after each session and locked away as in 7 above.
9. If a student is absent, the teacher must allow that student the chance to make up the time if necessary.
10. For long absences, special consideration should be applied for.
11. Entries for Controlled Assessment must be made at the appropriate time.
12. Attendance records from assessment sessions should be kept by the class teacher.
13. Work may be handwritten in black ink or word processed. Printouts, charts and videos can be included where appropriate.
14. Where the specification permits students to work with others, e.g. during collection of data, any descriptions of the joint work must be in each candidate's own words.
15. Where work is assessed by the teacher and externally moderated by the exam board, standardisation of marking must take place in the school if more than one teacher is involved in the assessing.
16. If suspected malpractice occurs, the Examinations Officer must be informed.
17. If a student's work is lost within the school, this must be reported to the exam board.
18. Authentication forms must be signed by the teachers and candidates.
19. Access arrangements do apply to Controlled Assessment.
20. The assessment marks must be submitted to the exam board by the appropriate date.
21. Candidates' work must be securely stored as in 7 and 8 above until all results have been verified.
22. Re-sits of Controlled Assessment may be allowed in the next exam session.
23. After the results are published, it may be possible to request a re-moderation of the work.

## Appendix 8 – Non-examination Assessment Policy

### What does this policy affect?

This policy affects the delivery of subjects of reformed 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’.”*

[ICE]

### 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*

[NEA 1]

## What are non-examination assessments?

*“Non-examination assessments measure subject-specific knowledge and skills that cannot be tested by timed written papers. There are three assessment stages and rules which apply to each stage. These rules often vary across subjects. The stages are:*

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

[NEA 1]

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

### The basic principles

#### Head of centre

- ▶ Ensures that 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
- ▶ Where applicable, liaise with all relevant parties in relation to arrangements for and conduct of the monitoring visit for GCSE (9-1) Computer Science

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

- ▶ Confirms with Subject 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.

#### Subject Leaders

- ▶ Ensures subject teachers understand their role and responsibilities within the non-examination assessment process
- ▶ Ensures NEA and relevant awarding body subject specific instructions are followed in relation to the conduct of non-examination assessments (including endorsements)
- ▶ Works with the QA lead/Lead internal verifier to ensure appropriate procedures are followed to internally standardise/verify the marks awarded by subject teachers
- ▶ Understands the arrangements that the centre needs to put in place where the centre might accept private candidates (including distance learners and home educated students) for components of non-examination assessment

#### Subject teacher

- ▶ Understands and complies with the general instructions as detailed in NEA

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

#### **Exams officer**

- ▶ Signposts the annually updated JCQ publication *Instructions for conducting non-examination assessments* 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 from a choice 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
- ▶ Ensures requirements for legacy specification tasks and new specification tasks are distinguished between

#### **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
- ▶ Where candidates may work in groups, keeps a record of each candidate's contribution
- ▶ Ensures candidates are aware of the 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
- ▶ When reviewing candidates' work, unless prohibited by the specification, provides oral and written advice at a general level to candidates
- ▶ Allow candidates to revise and re-draft work after advice has been given at a general level if allowed.

- ▶ 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 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 enquiries about 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 the exams officer

## Presentation of work

### Subject teacher

- ▶ Obtains informed consent at the beginning of the course from parents/carers if videos or photographs/images of candidates will be included as evidence of participation or contribution
- ▶ Instructs candidates to present work as detailed in [NEA](#) unless the awarding body's specification gives different subject-specific instructions

- ▶ Instructs candidates to add their candidate number, centre number and the component code of the assessment as a header/footer on each page of their work

### **Keeping materials secure**

#### **Subject teacher**

- ▶ When work is being undertaken by candidates under formal supervision, ensures work is securely stored between sessions (if more than one session)
- ▶ When work is submitted by candidates for final assessment, ensures work is securely stored
- ▶ Follows secure storage instructions as defined in NEA 4.8
- ▶ Takes sensible precautions when work is taken home for marking
- ▶ Stores internally assessed work, including the sample returned after awarding body moderation, securely until the closing date for enquiries about results or until the outcome of an enquiry or any subsequent appeal has been conveyed to the centre
- ▶ 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.

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

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

#### **Subject teacher**

- ▶ Liaises with the exams officer regarding arrangements for the conduct of any externally assessed non-examination component of a specification
- ▶ Liaises with the Visiting Examiner where this may be applicable to any externally assessed component

#### **Exams officer**

- ▶ Arranges timetabling, rooming and invigilation where 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
- ▶ Conducts the externally assessed component according to the JCQ publication *Instructions for conducting examinations*

#### **Submission of work**

#### **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 enquiries about results for the exam series
- ▶ Packages the work as required by the awarding body and attaches the examiner address label
- ▶ Despatches the work to the awarding body's instructions by the required deadline

#### **Subject teacher**

- ▶ Provides the attendance register to a Visiting Examiner

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

#### **Marking and annotation**

#### **Subject teacher**

- ▶ Attends awarding body training as required to ensure familiarity with the mark scheme/marking process
- ▶ Marks candidates' work in accordance with the marking criteria provided by the awarding body
- ▶ Annotates candidates' work as required to facilitate internal standardisation of marking and enable external moderation to check that marking is in line with the assessment criteria
- ▶ Informs candidates of their marks which could be subject to change by the awarding body moderation process
- ▶ Ensures candidates are informed to the timescale 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
  - ▶ making final adjustments to marks prior to submission
  - ▶ retaining work and evidence of standardisation

#### **Subject teacher**

- ▶ after most marking has been completed, holds a standardisation meeting to make final adjustments
- ▶ Indicates on work (or cover sheet) the date of marking
- ▶ Marks to common standards

#### **Subject Leaders**

- ▶ Supports staff not familiar with the mark scheme (e.g. NQTs, supply staff etc.)

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

#### **Subject teacher**

- ▶ 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 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

#### **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

### **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 until after the deadline for enquiries about results
- ▶ Takes steps to protect any work stored electronically from corruption and has a back-up procedure in place
- ▶ Retains evidence of work where retention may be a problem (for example, photos of artefacts etc.)

#### **Exams officer**

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

### **External moderation - feedback**

#### **Subject Leaders**

- ▶ Checks moderator reports and ensures that any remedial action, if necessary, is undertaken before the next examination 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 to ensure any access arrangements for eligible candidates are applied to assessments

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

- ▶ Follows the regulations and guidance in the JCQ publication *Access Arrangements and Reasonable Adjustments*
- ▶ 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**

#### **Subject teacher**

- ▶ Understands that a candidate may be eligible for special consideration in assessments in certain situations where a candidate
  - ▶ is absent
  - ▶ produces a reduced quantity of work
  - ▶ work has been lost
- ▶ Liaises with the exams officer when special consideration may need to be applied for a candidate taking assessments

## 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

## 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 in Examinations and Assessments: 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 - Teachers sharing assessment material and candidates' work*
- ▶ 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 - Teachers sharing assessment material and candidates' work* to subject heads
- ▶ Signposts candidates to the relevant JCQ information for candidates documents
- ▶ Where required, supports the head of centre in investigating and reporting incidents of alleged, suspected or actual malpractice

## Enquiries about results

### Head of centre

- ▶ 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 clerical check, a review of marking, a review of moderation or an appeal

### Subject Leaders

- ▶ Provides relevant support to subject teachers making decisions about enquiries about 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 an enquiry about results to the internal deadline
- ▶ Supports the exams officer in collecting candidate consent where required

## 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
- ▶ Collects candidate consent where required

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

### **Head of centre**

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

### **Subject Leaders**

- ▶ Ensures the appropriate arrangements are in place for internal standardisation of assessments
- ▶ Confirms understanding of the *Spoken Language Endorsement for GCSE English Language specifications designed for use in England*
- ▶ 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 the storage and submission of recordings

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

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
<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><i>Awarding body key date for accessing/downloading set task noted prior to start of course</i></p> <p><i>IT systems checked prior to key date</i></p> <p><i>Alternative IT system used to gain access</i></p> <p><i>Awarding body contacted to request direct email of task details</i></p>	Exams Officer and IT Manager
Centre set task: Subject teacher fails to meet the assessment criteria as detailed in the specification	<p><i>Ensures that subject teachers access awarding body training information, practice materials etc.</i></p> <p><i>Records confirmation that subject teachers understand the task setting arrangements as defined in the awarding body's specification</i></p> <p><i>Samples assessment criteria in the centre set task</i></p>	Subject Leader
Candidates do not understand the marking criteria and what they need to do to gain credit	<p><i>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</i></p> <p><i>Records confirm all candidates understand the marking criteria</i></p> <p><i>Candidates confirm/record they understand the marking criteria</i></p>	Subject Teacher checked by Subject Leader
Subject teacher long term absence during the task setting stage	<p><i>See centre's exam contingency plan - Teaching staff extended absence at key points in the exam cycle</i></p>	Subject Leader to liaise with SLT
<b>Issuing of tasks</b>		
Task for legacy specification given to candidates undertaking new specification	<p><i>Ensures subject teachers take care to distinguish between requirements/tasks for legacy specifications and requirements/tasks for new specifications</i></p> <p><i>Awarding body guidance sought where this issue remains unresolved</i></p>	Subject Leader
Awarding body set task not issued to candidates on time	<p><i>Awarding body key date for accessing set task as detailed in the specification noted prior to start of course</i></p> <p><i>Course information issued to candidates contains details when set task will be issued and needs to be completed by</i></p> <p><i>Set task accessed well in advance to allow time for planning, resourcing and teaching</i></p>	Exams Officer and Subject Leader
The wrong task is given to candidates	<p><i>Ensures course planning and information taken from the awarding body's specification confirms the correct task will be issued to candidates</i></p> <p><i>Awarding body guidance sought where this issue remains unresolved</i></p>	Subject Leader
Subject teacher long term absence during the issuing of tasks stage	<p><i>See centre's exam contingency plan - Teaching staff extended absence at key points in the exam cycle</i></p>	Subject Leader /SLT

<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>	Exams Officer and Subject Leader
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>	Exams Officer or Subject Leader
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>	Subject Leader
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>	Head of Centre after being made aware by Subject Leader
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>	SENCO and Exams officer
<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>	Subject Leader
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</i>	Subject Leader

	<p><i>Full records kept detailing all advice and feedback given to candidates during the task-taking stage as appropriate to the subject and component</i></p> <p><i>Candidate confirms/records advice and feedback given during the task-taking stage</i></p>	
A third party claims that assistance was given to candidates by the subject teacher over and above that allowed in the regulations and specification	<p><i>An investigation is conducted; candidates and subject teacher are interviewed and statements recorded where relevant</i></p> <p><i>Records as detailed above are provided to confirm all assistance given</i></p> <p><i>Where appropriate, a suspected malpractice report is submitted to the awarding body</i></p>	Head of Centre
Candidate does not reference information from published source	<p><i>Candidate is advised at a general level to reference information before work is submitted for formal assessment</i></p> <p><i>Candidate is again referred to the JCQ document</i></p> <p><i>Information for candidates: non-examination assessments</i></p> <p><i>Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion</i></p>	Subject Teacher to inform Subject Leader and Exams Officer
Candidate does not set out references as required	<p><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</i></p> <p><i>Candidate is again referred to the JCQ document</i></p> <p><i>Information for candidates: non-examination assessments</i></p> <p><i>Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion</i></p>	Subject Teacher
Candidate joins the course late after formally supervised task taking has started	<p><i>A separate supervised session(s) is arranged for the candidate to catch up</i></p>	Subject Teacher
Candidate moves to another centre during the course	<p><i>Awarding body guidance is sought to determine what can be done depending on the stage at which the move takes place</i></p>	Exams Officer
An excluded pupil wants to complete his/her non-examination assessment(s)	<p><i>The awarding body specification is checked to determine if the specification is available to a candidate outside mainstream education</i></p> <p><i>If so, arrangements for supervision, authentication and marking are made separately for the candidate</i></p>	Exams Officer
<b>Resources</b>		
A candidate augments notes and resources between formally supervised sessions	<p><i>Preparatory notes and the work to be assessed are collected in and kept secure between formally supervised sessions</i></p> <p><i>Where memory sticks are used by candidates, these are collected in and kept secure between formally supervised sessions</i></p> <p><i>Where work is stored on the centre's network, access for candidates is restricted between formally supervised sessions</i></p>	Exams Officer and invigilator

<p>A candidate fails to acknowledge sources on work that is submitted for assessment</p>	<p><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</i></p> <p><i>Awarding body guidance is sought on whether the work of the candidate should be marked where candidate's detailed records acknowledges sources appropriately</i></p> <p><i>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></p>	<p>Subject Teacher</p>
<p><b>Word and time limits</b></p>		
<p>A candidate is penalised by the awarding body for exceeding word or time limits</p>	<p><i>Records confirm the awarding body specification has been checked to determine if word or time limits are mandatory</i></p> <p><i>Where limits are for guidance only, candidates are discouraged from exceeding them</i></p> <p><i>Candidates confirm/record any information provided to them on word or time limits is known and understood</i></p>	<p>Subject Teacher</p>
<p><b>Collaboration and group work</b></p>		
<p>Candidates have worked in groups where the awarding body specification states this is not permitted</p>	<p><i>Records confirm the awarding body specification has been checked to determine if group work is permitted</i></p> <p><i>Awarding body guidance sought where this issue remains unresolved</i></p>	<p>Subject Teacher</p>
<p><b>Authentication procedures</b></p>		
<p>A teacher has doubts about the authenticity of the work submitted by a candidate for internal assessment</p> <p>Candidate plagiarises other material</p>	<p><i>Records confirm subject staff have been made aware of the JCQ document Teachers sharing assessment material and candidates' work</i></p> <p><i>Records confirm that candidates have been issued with the current JCQ document Information for candidates: non-examination assessments</i></p> <p><i>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</i></p> <p><i>The candidate's work is not accepted for assessment</i></p> <p><i>A mark of zero is recorded and submitted to the awarding body</i></p>	<p>Subject teacher / Subject Leader and Exams Officer to inform Head of Centre</p>
<p>Candidate does not sign their authentication statement/declaration</p>	<p><i>Records confirm that candidates have been issued with the current JCQ document Information for candidates: non-examination assessments</i></p> <p><i>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</i></p> <p><i>Declaration is checked for signature before accepting the work of a candidate for formal assessment</i></p>	<p>Subject Teacher</p>
<p>Subject teacher not available to sign authentication forms</p>	<p><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></p>	<p>Subject Leader</p>

<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
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</i> <i>Regular monitoring ensures subject teacher use of appropriate secure storage</i>	Subject Teacher
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</i> <i>Alternative secure storage sourced where required</i>	Subject Leader
<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</i> <i>If not, eligibility for special consideration is explored and a request submitted to the awarding body where appropriate</i>	Exams Officer
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>	Exams Officer
<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</i> <i>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 to raise with Exams Officer
The work of a candidate is lost or damaged	<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 lost or damaged work</i>	Subject Teacher informs Exams Officer
Candidate malpractice is discovered	<i>Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (section 9 Malpractice) are followed</i> <i>Investigation and reporting procedures in the current JCQ publication Suspected Malpractice in Examinations and Assessments are followed</i>	Head of Centre and Exams Officer

	<i>Appropriate internal disciplinary procedures are also followed</i>	
A teacher marks the work of his/her own child	<i>A conflict of interest is declared by informing the awarding body that a teacher is teaching his/her own child at the start of the course Marked work of said child is submitted for moderation whether part of the sample requested or not</i>	Head of Centre
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>	Subject Leader to inform Exams Officer
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>	Head of Centre
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>	Exams Officer
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 Leader
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/subject heads as deadlines approach</i>	Head of Centre and Exams Officer

	<i>Records confirm deadlines known and understood by subject teachers</i> <i>Where appropriate, internal disciplinary procedures are followed</i>	
Subject teacher long term absence during the marking period	<i>See centre's exam contingency plan (Teaching staff extended absence at key points in the exam cycle)</i>	Subject Leader

## Appendix 9 – Emergency Evacuation Policy

### Purpose of the policy

This policy details how Caldew 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.

### 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

##### 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)

- ▶ 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



- ▶ Provides invigilators with a copy of the emergency evacuation procedures for every exam room
- ▶ Provides a standard invigilator announcement for each exam which includes appropriate information for candidates regarding what will happen if the fire alarm sounds
- ▶ Provides an exam room incident log in each exam room
- ▶ Liaises with the SENCo and other relevant staff prior to each exam where different procedures or assistance may need to be provided for a disabled candidate
- ▶ 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 consideration* process

### **Invigilators**

- ▶ By attending training, ensure they understand what to do in the event of an emergency in the exam room
- ▶ Follow the actions required in the emergency evacuation procedure issued to them for 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

### **Other relevant centre staff**

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

## 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 the current JCQ <i>Instructions for conducting examinations</i> section 18, <i>Emergencies</i> )
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 should 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 full working time set for the examination.
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
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>
If practical, for a very small exam, exam papers can be collected and brought out. If not practical, they remain on the desks.
Candidates should assemble on the yard, where they will be kept together as a group. Their presence will be checked against the attendance register/ seating plan. They must not return to their forms for an attendance check.
SLT will support supervision of candidates on the yard

## Appendix 10 – Special Consideration Policy

### 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](#) section 1]

### Purpose of the policy

The purpose of this policy is to identify roles and responsibilities in the special consideration process and confirms that Caldwel School agrees to “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

- ▶ 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."* [SC 2]

1. Where a candidate may arrive for an exam and is clearly unwell, extremely distressed and/or may have sustained an injury that requires emergency access arrangements to be put in place:
  - ▶ the candidate will be kept comfortable and under supervision from the required time while appropriate arrangements are put in place for him/her to take the exam in the best possible conditions
  - ▶ a judgement will be made on how the candidate's situation or disposition affected performance in the exam
  - ▶ where appropriate and where eligible, special consideration will be applied for
2. Where candidates may be affected by a major disturbance in the exam room (emergency evacuation etc.), special consideration will be applied for on behalf of all candidates.
3. Where a candidate takes multiple exams (three or more exams) timetabled for the same day and the total duration for those papers is more than 6 hours for GCE exams (AS, A2, A-level) 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.
4. Where a candidate may be affected by a minor disturbance in the exam room caused by another candidate (momentary bad behaviour, mobile phone ringing etc.), special consideration cannot be applied for.

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

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:

- ▶ requesting an honorary certificate
- ▶ a short extension to controlled assessment/coursework/non-examination assessment deadlines
- ▶ submitting a reduced quantity of controlled assessment/coursework/non-examination assessment (shortfall in work)
- ▶ lost or damaged work
- ▶ candidates taking an incorrect or defective question paper
- ▶ candidates undertaking the wrong controlled assessment assignment

Where a candidate may be eligible for special consideration (a post assessment adjustment) in a vocational qualification, the centre will follow the 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 where a candidate may be a relative of the exams officer, the application will be authorised by an alternative member of centre staff

#### **Exams officer**

- ▶ Ensures applications will be processed as required by the awarding bodies
- ▶ Keeps evidence to support applications on file until after the publication of results
- ▶ 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.

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* will be followed
- ▶ For other qualifications, applications are submitted online where the awarding body's secure system accepts these.

- ▶ The paper form 10 *JCQ/SC Application for special consideration* will only be completed and submitted to the awarding body where the online system does not accept applications for a particular qualification
- ▶ 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 *JCQ/ME Self certification for candidates who have missed an examination* will only be completed by a candidate where circumstances warrant this and will not be used where the centre knows the candidate was ill

#### 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
- ▶ Where an application relates to lost or damaged work, this will be submitted online or by completing form 15 *JCQ/LCW Notification of lost centre assessed work*, dependent on the awarding body

#### Post assessment adjustments – vocational qualifications

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

#### Private candidates

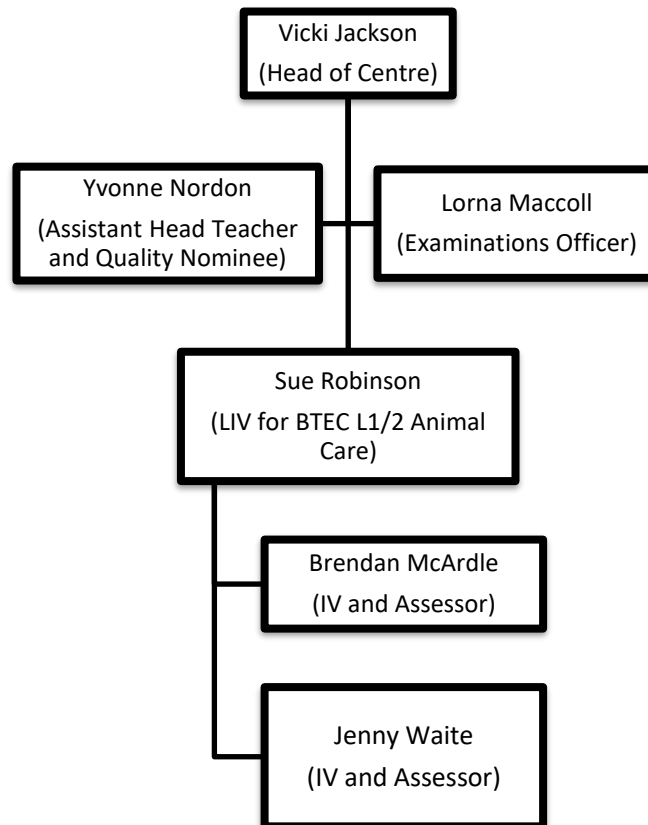
- ▶ Any private candidate entered by the centre must liaise with the exams officer (not the awarding body) regarding any application for special consideration

# Appendix 11- BTEC Policies & Procedures

## Purpose of the Policy

This policy provides additional information on the policies and procedures of the BTEC programmes completed by students at Caldey School. Where appropriate, reference will be made to overarching policies and procedures within the main exam policy.

## BTEC Organisational Diagram



## Registration & Certification Policy

Aim:

- ▶ To register individual learners to the correct programme within agreed timescales
- ▶ To register individual learners to the correct external assessment 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, the centre will:

- ▶ register each learner within the awarding body requirements
- ▶ provide a mechanism for programme teams to check the accuracy of learner registrations and external assessment entries
- ▶ 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 three years post certification

### **Procedures**

These procedures are in place to enable us to comply with the registration and certification requirements of Pearson and prevent inaccurate or false registrations, external assessment entries, or certification.

### **Overall responsibilities**

- ▶ Exams Officer: responsible for timely, accurate and valid registration, transfer, withdrawal and certificate claims for learners
- ▶ Programme Leader (PL): responsible for ensuring learner details held by Pearson are accurate and that an audit trail of learner attendance, assessment and achievement is accessible
- ▶ Lead Internal Verifier (LIV): responsible for ensuring that an audit trail of learner assessment and achievement is accessible and supports certification claims.
- ▶ Quality Nominee (QN): responsible for coordinating and monitoring registration and certification procedures within the Centre
- ▶ Senior Leadership (SLT): responsible for ensuring registration and certification policy and procedures are regularly reviewed, disseminated to staff and overseeing the registration, transfer, withdrawal and certificate claims for learners to ensure that awarding body deadlines are met

### **Registration procedure:**

- ▶ September - Exams Officer contacts Heads of Department to check what courses are being taught to year 10, 11, 12 and 13.
- ▶ Prior to October half term - Exams Officer emails Lead IV with a copy of their current registrations for courses for year 11 and 13 to check they are for the correct course and for the correct students.
- ▶ Prior to October half term – Exams Officer emails Lead IV to request names of year 10 and 12 students to be registered on the courses indicated to the Exams Officer in September.
- ▶ Prior to the 1<sup>st</sup> November deadline students are registered and a copy of the registration listing report is sent to Lead IV.
- ▶ During the course of the year, if students leave school or drop out of courses, students are consulted before being withdrawn in Edexcelonline.

### **Certification procedure:**

- ▶ During June Lead IV notify the Exams Officer in writing of any claims they wish to be made. They provide a list of students, the exact name of the unit they wish to claim and the level being claimed for each unit e.g. Pass, Merit etc. They sign a form, as recommended at a QA inspection visit, that confirms that the units being claimed have been completed, verified and are ready to be claimed.
- ▶ Any Level 3 claims are made by the 1<sup>st</sup> July in order to ensure results reach UCAS on time.
- ▶ The Exams Officer makes the claims online and send a copy of the confirmation report to the Lead IV.
- ▶ Any errors are corrected online if possible or if certification has already taken place by contacting Pearson directly.

- ▶ When certificates arrive in the centre a copy of the List of Student Awards and Course Assessment report are passed on to the Lead IVs.
- ▶ When students collect certificates they are asked to sign for them.

#### **Audit procedure:**

- ▶ Quality Nominee to review implementation of procedures at key points throughout each academic year for all active BTECs.

#### **Discovery of inaccurate, early/late and fraudulent registrations and certifications procedure:**

- ▶ Where any inaccurate, early/late and fraudulent registrations or certification claims are discovered, Quality Nominee to escalate to Head of Centre (Head Teacher).

#### **BTEC Assessment Policy**

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

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

- ▶ ensure that learners are provided with assignments that are fit for purpose, to enable them to produce appropriate evidence for assessment
- ▶ produce a clear and accurate assessment plan at the start of the programme/academic year
- ▶ provide clear, published dates for handout of assignments and deadlines for assessment
- ▶ assess learner's evidence using only the published assessment and grading criteria
- ▶ ensure that assessment decisions are impartial, valid and reliable
- ▶ not limit or 'cap' learner achievement if work is submitted late
- ▶ develop assessment procedures that will minimise the opportunity for malpractice
- ▶ maintain accurate and detailed records of assessment decisions
- ▶ maintain a robust and rigorous internal verification procedure
- ▶ provide samples for standards verification as required by the awarding organisation
- ▶ monitor standards verification reports and undertake any remedial action required
- ▶ share good assessment practice between all BTEC programme teams
- ▶ ensure that BTEC assessment methodology and the role of the assessor are understood by all BTEC staff
- ▶ provide resources to ensure that assessment can be performed accurately and appropriately.

#### **Procedures**

- ▶ **Learner induction:** should inform learners about all aspects of assessment and progress monitoring. Reference should be made to national standards, assessment deadlines, the need for authentic work, and learner appeals
- ▶ **Assignment design:** should have a practical vocational focus and reference the unit grading criteria. A variety of assessment methods is encouraged. A schedule of assignments and assessment dates should be planned and monitored during delivery of the programme
- ▶ **Assessment Plan:** At the start of the programme the assessment plan needs to be agreed and signed off by the Lead Internal Verifier. The assessment plan is an important document which is required for standards verification. At the start of the Standards Verification process, the



Standards Verifier will request a copy. The plan should include:

- A list of all Assessors and the units they are assessing
- A list of all Internal Verifiers and when Internal Verification will take place o Confirmation of the learners registered on the programme
- ▶ **Assessment of learner work:** should be to the published unit assessment and grading criteria only. The punitive 'capping' or limiting of grades is not allowed
- ▶ **Tracking assessment:** a secure audit trail must be maintained, comprising assessment decisions; internal verification documentation for assignments and learner work; and unit achievement for the programme. These records will be held securely for 3 years after certification
- ▶ **Certification claims:** need to be based on accurate, audited records.

### **BTEC Internal Verification Policy**

- ▶ To ensure there is an accredited Lead Internal Verifier in each principal subject area
- ▶ To ensure that Internal Verification is valid, reliable and covers all Assessors and programme activity.
- ▶ To ensure that the Internal Verification procedure is open, fair and free from bias
- ▶ To ensure that there is accurate and detailed recording of Internal Verification decisions.

### **In order to do this, the centre will ensure that:**

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

### **Procedures**

- ▶ Staff briefing: all Assessors, Lead Internal Verifiers and Internal Verifiers require regular briefing on BTEC processes
- ▶ Verification schedules: annually agreed to cover all Assessors, units and assignments. Schedules should be drawn up at the beginning of the programme and monitored through the year
- ▶ Internal Verification of assignments: carried out before use to ensure that they are fit for purpose, and that any recommendations are acted upon. Documented records of effective internal verification must be kept
- ▶ Internal Verification of assessment decisions: must verify a sufficient sample of Assessor grading decisions to ensure accuracy. Assessors do not internally verify their own work. Assessor feedback and support should be given

- ▶ Internal Verification records: must be correctly maintained and kept securely for 3 years after certification. We recommend that you use our standard templates for Internal Verification available on our website
- ▶ Standards Verification: you should have in place monitoring and review procedures for Standards Verification outcomes. Procedures are required to deal with unsuccessful standards verification samples.

## **BTEC Appeals Policy**

Aim:

- ▶ To enable the learner to enquire, question or appeal against an assessment decision
- ▶ To attempt to reach agreement between the learner and the Assessor at the earliest opportunity To standardise and record any appeal to ensure openness and fairness
- ▶ To facilitate a learner's ultimate right of appeal to the Awarding Body, where appropriate
- ▶ To protect the interests of all learners and the integrity of the qualification.

**In order to do this, the centre will:**

- ▶ inform the learner at induction, of the Appeals Policy and procedure
- ▶ record, track and validate any appeal
- ▶ forward the appeal to the Awarding Body when a learner considers that a decision continues to disadvantage her/him after the internal appeals process has been exhausted
- ▶ keep appeals records for inspection by the Awarding Body for a minimum of 18 months
- ▶ have a staged appeals procedure
- ▶ will take appropriate action to protect the interests of other learners and the integrity of the qualification, when the outcome of an appeal questions the validity of other results
- ▶ monitor appeals to inform quality improvement.

## **Procedures for Internal Appeals:**

See [Appendix 2](#)- Internal Appeals Policy

## **Appealing External Assessment**

In the first instance talk to the leader of your BTEC Programme. He or she should then contact the exams officer. Your teacher will keep you informed of the progress of your appeal. This should be done with 5 working days.

## **BTEC Assessment Malpractice Policy**

Aim:

- ▶ To identify and minimise the risk of malpractice by staff or learners
- ▶ To respond to any incident of alleged malpractice promptly and objectively
- ▶ To standardise and record any investigation of malpractice to ensure openness and fairness
- ▶ To impose appropriate penalties and/or sanctions on learners or staff where
- ▶ Incidents (or attempted incidents) of malpractice are proven
- ▶ To protect the integrity of this centre and BTEC qualifications.

In order to do this, the centre will:

- ▶ seek to avoid potential malpractice by using the induction period and the learner handbook to inform learners of the centre's policy on malpractice and the penalties for attempted and actual incidents of malpractice
- ▶ show learners the appropriate formats to record cited texts and other materials or information sources
- ▶ ask learners to declare that their work is their own
- ▶ ask learners to provide evidence that they have interpreted and synthesised appropriate information and acknowledged any sources used
- ▶ conduct an investigation in a form commensurate with the nature of the malpractice allegation. Such an investigation will be supported by the Head of Centre / Principal / CEO and all personnel linked to the allegation. The investigation will follow the procedure as outlined in the JCQ document Suspected Malpractice in Examinations and Assessments.
- ▶ make the individual fully aware at the earliest opportunity of the nature of the alleged malpractice and of the possible consequences should malpractice be proven
- ▶ give the individual the opportunity to respond to the allegations made
- ▶ inform the individual of the avenues for appealing against any judgment made
- ▶ document all stages of any investigation.
- ▶ Where malpractice is proven, penalties will follow the procedure as outlined in the JCQ document Suspected Malpractice in Examinations and Assessments.

## Procedures

- ▶ Addressing learner malpractice:
- ▶ Promote positive and honest study practices
  - Learners should declare that work is their own: check the validity of their work
  - Use learner induction and handbook to inform about malpractice and outcomes
  - Ensure learners use appropriate citations and referencing for research sources
  - Assessment procedures should help reduce and identify malpractice
- ▶ Addressing staff malpractice:
  - Staff BTEC induction and updating should include BTEC requirements
  - Use robust Internal Verification and audited record keeping
  - Audit learner records, assessment tracking records and certification claims
- ▶ Dealing with malpractice:
  - Inform the individual of the issues and of the possible consequences
  - Inform the individual of the process and appeals rights
  - Give the individual the opportunity to respond
  - Investigate in a fair and equitable manner
  - Inform Pearson of any malpractice or attempted acts of malpractice, which have compromised assessment. Pearson will advise on further action required
- ▶ Penalties should be appropriate to the nature of the malpractice under review
- ▶ Gross misconduct should refer to learner and staff disciplinary procedures.

## Definition of Malpractice by Learners

This list is not exhaustive and other instances of malpractice may be considered by this centre at its discretion:

- ▶ plagiarism of any nature
- ▶ collusion by working collaboratively with other learners to produce work that is submitted as individual learner work
- ▶ copying (including the use of ICT to aid copying)

- ▶ deliberate destruction of another's work
- ▶ fabrication of results or evidence
- ▶ false declaration of authenticity in relation to the contents of a portfolio or coursework
- ▶ impersonation by pretending to be someone else in order to produce the work for another or arranging for another to take one's place in an assessment/examination/test.

### **Definition of Malpractice by Centre Staff**

This list is not exhaustive and other instances of malpractice may be considered by this centre at its discretion:

- ▶ improper assistance to candidates
- ▶ inventing or changing marks for internally assessed work (coursework or portfolio evidence) where there is insufficient evidence of the candidates' achievement to justify the marks given or assessment decisions made
- ▶ failure to keep candidate coursework/portfolios of evidence secure
- ▶ fraudulent claims for certificates
- ▶ inappropriate retention of certificates
- ▶ assisting learners in the production of work for assessment, where the support has the potential to influence the outcomes of assessment, for example where the assistance involves centre staff producing work for the learner
- ▶ producing falsified witness statements, for example for evidence the learner has not generated
- ▶ allowing evidence, which is known by the staff member not to be the learner's own, to be included in a learner's assignment/task/portfolio/coursework
- ▶ facilitating and allowing impersonation
- ▶ misusing the conditions for special learner requirements, for example where learners are permitted support, such as an amanuensis, this is permissible up to the point where the support has the potential to influence the outcome of the assessment
- ▶ falsifying records/certificates, for example by alteration, substitution, or by fraud
- ▶ fraudulent certificate claims, that is claiming for a certificate prior to the learner completing all the requirements of assessment.