**2018**

THE GROVE SCHOOL

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Examination Policy

**Examinations**

# Purpose

* 1. The core purpose of The Grove School is to raise standards of achievement by unlocking the potential of both staff and students.
  2. The purpose of this policy is to ensure that:
* all aspects of the centre 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 exam progress clearly understand their roles and responsibilities.

# Rationale

2.1. The school must have a clear set of guidelines covering all types of examinations carried out at The Grove. This is seen as fundamental to the successful planning, preparation and execution of all examination procedures.

# Aims

3.1. The aim of this policy is to ensure that:

* All centre staff involved in the exams process clearly understand their roles and responsibilities
* Exam candidates understand the exams process and what is expected of them.
* All exams and assessments are conducted in accordance with JCQ and awarding body regulations, guidance and instructions, this ensuring that the integrity and security of the examination/assessment system is maintained at all times and is not bought into disrepute.

1. **Roles and Responsibilities – Exam overview**

4.1 **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 (EO) 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 EO
* 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 for Exam Contingency Plan**

* Ensures required internal appeals procedures are in place

**See Appendix 2 for Internal Appeal Proceedure**

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

**See Appendix 3 for Access Arrangements and Disability Policy (exams)**

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

**See ‘Complaints Policy’, available on our school website**

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

**See ‘Child Protection Policy’, available on our school website**

* Ensures the centre has a data protection policy in place
* Ensures the centre has documented processes in place relating to access arrangements and reasonable adjustments

**See Appendix 3 for Access Arrangements and Disability Policy**

* Ensures staff are only entered for qualifications through the centre as a last resort where entry through another centre is not available
* 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/carers or candidates to contact awarding bodies/JCQ directly

4.2 **Senior Leadership Team (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)

4.3 **Exams Officer (EO)**

* 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

4.4 **Special educational needs and disability co-ordinator (SENDCo)**

* 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

4.5 **Director of Studies (DoS)**

* Ensures teaching staff undertake key tasks, as detailed in this policy, within the exams process (exam cycle) and meet internal deadlines set by the EO and SENCDo
* 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

4.6 **Teaching Staff**

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

4.7 **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

4.8 **Reception staff**

* Support the EO in dealing with exam-related deliveries and dispatches with due regard to the security of confidential materials

4.9 **Site staff**

* Support the EO in relevant matters relating to exam rooms and resources

4.10 **Candidates**

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

# The exam cycle

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

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

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

# Planning: roles and responsibilities

**Information sharing**

6.1 **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)

6.2 **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**

6.3 **Exams Officer**

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

6.4 **Director of Studies**

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

**Access arrangements**

6.5 **Head of Centre**

* Ensures there is appropriate accommodation for candidates requiring access arrangements in the centre
* Ensures a writtenprocess is in place to not only check the qualification(s) of their assessor(s) but that the assessment process is administered correctly
* Ensures the SENCDo is fully supported in effectively implementing access arrangements and reasonable adjustments once approved

6.6 **SENDCo**

* 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
* Employs good practice in relation to the Equality Act 2010
* Liaises with the EO regarding exam time arrangements for access arrangement candidates
* Ensures staff appointed to facilitate access arrangements for candidates are appropriately trained and understand the rules of the particular arrangement(s) and keeps a record of the 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 4 for Work processor policy**

* 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

6.7 **SLT, DoS and teaching staff**

* Support the SENDCo in identifying and implementing appropriate access arrangements
* Senior leaders provide a statement for inspection purposes which details the criteria the centre uses to award and allocate word processors for examinations

6.8 **Exams officer**

* 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

**Internal assessment and endorsements**

6.9 **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 5 for 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 acontrolled assessment policy)

**See Appendix 6 for Non-examination Assessment Policy**

* Ensures irregularities are investigated and any cases of suspected malpractice reported to the awarding body, as required

6.10 **SLT**

* 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

6.11 **DoS**

* Ensures teaching staff delivering legacy GCSE qualifications (which contain elements of controlled assessment) follow JCQ [*Instructions for conducting controlled assessment*](http://www.jcq.org.uk/exams-office/controlled-assessments/)*s*and the specification provided by the awarding body
* Ensures teaching staff delivering legacy GCE unitised AS and A-level qualifications and (which include elements of coursework) Entry Level or Project qualifications follow JCQ [*Instructions for conducting coursework*](http://www.jcq.org.uk/exams-office/coursework) 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*](http://www.jcq.org.uk/exams-office/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
* Ensure teaching staff apply for Recognition of Prior Learning for internally assessed parts of Pearson vocational qualifications

**See Appendix 7 for Recognition of Prior Learning Policy**

6.12 **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
* Ensure Recognition of Prior Learning is applied for as necessary

6.13 **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**

6.14 **Head of Centre**

* Ensures relevant support is provided to the EO in recruiting, training and deploying a team of invigilators
* Ensures, if contracting supply staff to act as invigilators 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

6.15 **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
* For Quality Assurance, arrange for all new invigilators to be observed during their first live test session of BCS examination, and annually thereafter.

# Entries: roles and responsibilities

**Estimated entries**

7.1 **Exams officer**

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

7.2 **DoS**

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

**Final entries**

7.3 **Exams officer**

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

7.4 **DoS**

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

**Entry fees**

7.5 Fees for examination entries for internal candidates are paid for by the centre.

7.6 Any late fees, amendments fees or re-sit fees that are incurred due to the request of a Director of Study or teacher will be charged to the faculty

7.7 Any late fees, amendment fees or re-sit fees that are incurred due to the request of a candidate or parent/carer will be charged to the parent/carer.

**Late entries**

7.8 **Exams officer**

* Has clear entry procedures in place to minimise the risk of late entries
* Charges any late or other penalty fees as listed above

7.9 **DoS**

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

**Private candidates**

7.10 Where private candidates are accepted, the candidate is responsible for all examination entry fees along with fees for any additional invigilation needed.   An administration fee is also charged to the private candidate in order to process examination entries

**Transfer of credit**

7.11 **Exams officer**

* Provides information to relevant centre staff/candidates on transferring credit for GCE AS qualifications
* Meets the awarding body deadline for requesting transfer of credit

7.12 **Teaching staff**

* Identify affected candidates to the EO

**Candidate statement of entry**

7.13 **Exams officer**

* Provides candidates with statements of entry for checking

7.14 **Teaching staff**

* Ensure candidates check statements of entry and return any relevant confirmation required to the EO

7.15 **Candidates**

* Notify the EO of any discrepancies

# Pre-exams: roles and responsibilities

**Access arrangements**

8.1 **SENDCo**

* 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**

8.2 **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
* arrangements for post-results service

**Dispatch of exams scripts**

8.3 **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**

8.4 **DoS**

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

8.5 **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**

8.6 **Head of Centre**

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

8.7 **SENDCo**

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

8.8 **Teaching staff**

* Support the SENDCo 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

8.9 **DoS**

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

8.10 **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

8.11 **Candidates**

* Authenticate their work as required by the awarding body

**Invigilation**

8.12 **Exams officer**

* Provides invigilators with annual updates and training
* 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 according to the required ratios
* Liaises with the SENDCo regarding the facilitation and invigilation of access arrangement candidates

8.13 **SENDCo**

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

8.14 **Invigilators**

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

**JCQ inspection visit**

8.15 **Exams officer OR SLT**

* Will accompany the Inspector throughout the visit

**Seating and identifying candidates in exam rooms**

8.16 **Exams officer**

* Ensures a procedure is in place to verify candidate identity including private candidates
* Candidates are identified by the use of information cards on examination desks.
* These cards are placed onto the examination desks, in accordance with the seating plan, by invigilators prior to candidates entering the examination room
* In addition, photos on candidates for each exam session are printed and placed into the invigilators information folder, kept in each exam room
* 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.  This will be done when they sign into the centre and prior to entering the examination room.
* Provides seating plans for exam rooms according to JCQ and awarding body requirements

8.17 **Invigilators**

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

**Security of exam materials**

8.18 **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

8.19 **Reception staff**

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

8.20 **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**

8.21 **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 SENDCo regarding rooming of access arrangement candidates

8.22 **SENDCo**

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

8.23 **Site staff**

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

**Alternative site arrangements**

8.24 **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**

8.25 **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**

8.26 **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

8.27 **SENDCo**

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

8.27 **Teaching staff**

* Provide exam papers and materials to the EO by the deadline provided
* Support the SENDCo in making appropriate arrangements for access arrangement candidates

# Exam time: roles and responsibilities

**Access arrangements**

9.1 **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**

9.2 If a candidate is not present at the start of an examination, the EO will liaise with the centre attendance officer in order to make contact with home to establish the reason for absence

9.3 If a candidate arrives more than an hour after the awarding body’s published start time for an examination it is the decision of the Head of Centre as to whether or not the candidate can still sit their examination.

9.4 If the decision is granted for the candidate to sit their examination, the EO will inform the candidate that the awarding body may not accept their examination script.  The candidate should still be given the full time allocation for their examination.

9.5 The EO will complete JCQ ‘Very late arrival’ form to be submitted to the awarding body along within seven days of the examination.

9.6 If a candidate is absent from the examination for medical reasons, a doctors note may be required as evidence.  Where possible, the EO will apply for special consideration to the awarding body for the candidate.

9.7 If a candidate is absent from the examination for an unauthorised reason, the candidate may be charged for their examination.

9.8 If a candidate is unable to sit their examination, it is the responsibility of the parent/carers to contact the centre prior to the start time of the examination, stating the reason for absence.

**Candidate very late arrival**

9.9 **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

9.10 **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 lo

**Conducting exams**

9.11 **Head of Centre**

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

9.12 **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**

9.13 **Exams officer**

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

**Exam papers and materials**

9.14 **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.  Internal practice is that examination papers can be released to faculties at end of the school day when the examination is sat.

**Exam rooms**

9.15 **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
* Drinks are permitted into the examination room by candidates providing all labels are removed from drink containers

9.16 **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

9.17 **SLT**

* 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 8 for emergency evacuation procedure**

9.18 **Site staff**

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

9.19 **Invigilators**

* Conduct exams in every exam room as instructed in training/update events and briefing sessions

9.20 **Candidates**

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

**Irregularities and malpractice**

9.21 **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

9.22 **SLT**

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

9.23 **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

9.24 **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)

**Special Consideration**

9.25 **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 9 for Special consideration policy**

9.26 **Candidates**

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

**Unauthorised materials**

* 1. Candidates will be provided with somewhere to store their belongings while they are sitting their examination, which may be within the examination room.
  2. Candidates personal belongings are not allowed at examination desks, other than their examination materials and drink
  3. If unauthorised items, as identified by JCQ, are taken into the examination room they must be placed out of reach of the candidate before the examination starts
  4. Candidates who are wearing a wrist watch must remove this item and place it onto their examination desk

9.31 **Invigilators**

* Are informed of the arrangements through training

**Internal exams**

9.32 **Exams officer**

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

9.33 **Invigilators**

* Conduct internal exams as briefed by the EO

# Results and post-results: roles and responsibilities

**Internal assessment**

10.1 **DoS**

* 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)**

10.2 **SLT**

* 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

10.3 **Exams officer**

* Works with senior leaders to ensure procedures for managing the main summer results day(s) (a results day programme) are in place
* Publish results day arrangements to candidates prior to the summer holidays, including how candidates can be sent their results or a representative collect them on their behalf if they are not available.

10.4 **Site staff**

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

**Accessing results**

10.5 **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

10.6 **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

10.7 **Teaching staff**

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

10.8 **Candidates**

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

**Certificates**

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

10.10 **Exam officer**

* Receive certificates from awarding bodies and store securely
* Sort certificates into individual candidate envelopes
* Create a signing form for candidates to sign once they have collected their certificates
* Any certificates not collected after 12 months of issue can be returned to the awarding bodies or dispose of confidentially

10.11 **Candidates**

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

# Review: roles and responsibilities

11.1 **Exams officer**

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

11.2 **SLT**

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

# Retention of records: roles and responsibilities

12.1 **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

**See appendix 10 for Exams Archiving policy**

Signed:

Date:

Review date:

**Appendices:**

1. **Exam Contingency Plan**

**Purpose of the plan**

This plan examines potential risks and issues that could cause disruption to the management and administration of the exam process at Grove School. By outlining actions/procedures to be followed in case of disruption it is intended to mitigate the impact these disruptions have on our exam process.

Alongside internal processes, this plan is informed by information contained in the Joint contingency plan for the examination system in England, Wales and Northern Ireland where it is stated that “Centres should prepare plans for any disruption to examinations as part of their general emergency planning. It is important to ensure that relevant centre staff are familiar with the plan.

**Causes of potential disruption to the exam process**

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

Criteria for implementation of the plan

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

Planning

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

Entries

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

Pre-exams

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

Exam time

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

Results and post-results

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

Centre actions

* SLT to nominate a ‘deputy’ to cover the role / task.
* Extra help could be called on from an assigned Lead Invigilator.
* Extra Hours should be allocated to the deputy to ensure there are sufficient hours to cover the work required.
* Extra help could be sought by networking with staff from other local centres.
* Refer to www.theexamsoffice.org for detailed instructions on all exam procedures.
* Always report long term absence to the awarding bodies
* Potential to buy in help from the Local Authority SITTS service

**2. SENDCo extended absence at key points in the exam cycle**Criteria for implementation of the plan

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

Planning

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

Pre-exams

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

Exam time

* access arrangement candidate support not arranged for exam rooms

Centre actions

* SLT to nominate a ‘deputy’ to cover the role / task – this would usually be the assistant SENDCo.
* SLT to appoint qualified assessor to test candidates in place of the SENDCo.
* Approval from exam boards and exam arrangements could be passed to the Exams Officer
* Assistant SENDCo to arrange student support during all exams.

**3. 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
* Internal assessment marks and candidates’ work not provided to meet submission deadlines

Centre actions

* DoS/DDoS should take responsibility for any missing entries, coursework marks and any assessment marks in the absence of a member of teaching staff.
* Entries must be made on time to meet deadlines and avoid late fees. Amendments can always be made at a later date to confirm final entries.

**4. 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

* Check availability of other invigilators who said they were available for that slot
* Check with cover to see if there are any cover supervisors available
* See if it is possible to amalgamate any of the access arrangement rooms to release an invigilator
* As a last resort, call upon DoS or SLT to invigilate

**5. 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 expected incident at exam time

Centre actions

* A rooming plan for exams should be determined at the beginning of the academic year.
* Room bookings must be made early enough in advance to ensure there are sufficient rooms for exam students.
* If there is an emergency on the day, the free room timetable must be checked first and moves made accordingly.
* If all students are in exams at any one time, then the rooms used by that Year group in that period should be free and can be booked for exams.
* If no possibility of any free rooms, refer to SLT for advice.

**6. 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

* All Exam entries should be made well in advance of the deadline to avoid this issue in the first place. If the entries are left to the last minute and there is an IT failure, firstly ring the relevant exam boards to explain. If an extension is offered this must be received in writing.
* Try to access SIMS remotely through another computer
* Check that the IT technician is aware of the exam results days to ensure smooth running of downloads

**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

* Where there is disruption to teaching time and students miss teaching and learning, it remains the responsibility of centre to prepare students, as usual, for examinations.
* In the case of modular courses, may advise candidates to sit examinations in an alternative series.
* Centre should have plans in place to facilitate alternative methods of learning

**8. 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

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

**Centre actions**

* Centre to open for examinations and examination candidates only, if possible.
* Centre to use alternative venues in agreement with relevant awarding organisations (e.g. share facilities with other centres or use other public building, if possible)
* Centre may offer candidates an opportunity to sit any examinations missed at the next available series.
* Centre to apply to awarding organisations for special consideration for candidates where they have met the minimum requirements.

**9. Exam Papers not arrived in time / Students issued with wrong exam papers**

Criteria for implementation of the plan

* Candidates are unable to sit exam due to wrong paper being delivered.
* Examination papers not delivered to school on time.

Centre actions

* Centre will check all exam papers upon arrival in school and will alert the appropriate Awarding Bodies of any discrepancies.
* If this happens on the day of the exam, contact the Awarding Bodies immediately. Awarding organisations to provide centres with electronic access to examination papers via a secure external network.
* he Examinations Officer would need to ensure that copies are received, made and stored under secure conditions

**10. 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

* In the first instance centres to seek advice from awarding bodies and normal collection agency regarding collection. Centre should not to make their own arrangements for transportation without approval from awarding bodies.
* Centre must ensure secure storage of completed examination papers until collection.
* All exams scripts must be stored in the secure Exams Office

**11. 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

* Centre to notify Awarding Bodies
* Centre to make arrangements to access its results at an alternative site (Possible to access from home)
* Centre to make arrangements to coordinate access to post results services from an alternative site
* Centre to share facilities with other centres if this is possible.

1. **Internal Appeals Procedure**

**Appeals against internal assessment decision (centre assessed marks)**

This procedure confirms Grove School's compliance with JCQ’s General Regulations for Approved Centres 2017-2018, section 5.8 that the centre has in place “a written internal appeals procedure relating to internal assessment decisions and to ensure that details of this procedure are communicated, made widely available and accessible to all candidates” and that the centre “must inform candidates of their centre assessed marks as a candidate is allowed to request a review of the centre’s marking before marks are submitted to the awarding body.”

Certain components of GCSE and GCE qualifications (GCSE controlled assessments, GCE coursework, GCE and GCSE non-examination assessments) that contribute to the final grade of the qualification are internally assessed (marked) by the subject teacher. The marks awarded (the internal assessment decisions) are then submitted by the deadline set by the awarding body for external moderation.

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

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

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

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

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

Grove School will inform candidates that they may request copies of materials (for example, a copy of their marked work, the relevant specification, the mark scheme and any other associated subject-specific documents) to assist them in considering whether to request a review of the centre’s marking of the assessment.

Grove School will, having received a request for copies of materials, promptly make them available to the candidate within 5 working days.

Grove School will provide candidates with sufficient time in order to allow them to review copies of materials and reach a decision.

Requests for reviews of marking must be made in writing within 2 working days of receiving copies of the requested materials by completing the internal appeals form.

Grove School will allow 5 working days for the review to be carried out, to make any necessary changes to marks and to inform the candidate of the outcome, all before the awarding body’s deadline.

Grove School will ensure that the review of marking is carried out by an assessor who has appropriate competence, has had no previous involvement in the assessment of that candidate and has no personal interest in the review.

Grove School will instruct the reviewer to ensure that the candidate’s mark is consistent with the standard set by the centre.

The candidate will be informed in writing of the outcome of the review of the centre’s marking.

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

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

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

This procedure confirms Grove School compliance with JCQ’s General Regulations for Approved Centres 2017-2018, section 5.14 that the centre has in place “a written internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support a clerical check, a review of marking, a review of moderation or an appeal...”

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

Candidates are also informed of the arrangements for post-results services before they sit any exams and the accessibility of senior members of centre staff immediately after the publication of results through information published by the examinations officer.

If the centre or a candidate (or his/her parent/carer) has a concern and believes a result may not be accurate, an enquiry about the result may be requested.

Enquiries about results (EARs) offers three services.

Service 1 – clerical re-check

Service 2 – review of marking

Service 3 – review of moderation (this service is not available to an individual candidate)

Written candidate consent (informed consent via candidate email is acceptable) is required in all cases before a request for an EAR service 1 or 2 is submitted to the awarding body as with these services candidates’ marks and subject grades may be lowered. Candidate consent can only be collected after the publication of results.

If a concern is raised about a particular examination result, the exams officer or head of centre will investigate the feasibility of requesting an enquiry supported by the centre.

Where the centre does not uphold a request from a candidate, the candidate may pay the appropriate EAR fee to the centre, and a request will be made to the awarding body on the candidate’s behalf.

If the candidate (or his/her parent/carer) believes there are grounds to appeal against the centre’s decision not to support an enquiry, an internal appeal can be submitted to the centre by completing the internal appeals form at least 5 working days prior to the internal deadline for submitting an EAR. The appellant will be informed of the outcome of his/her appeal before the internal deadline for submitting an EAR

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

Where the head of centre is satisfied after receiving the EAR outcome, but the candidate (or his/her parent/carer) believes there are grounds for a preliminary appeal to the awarding body, a further internal appeal may be made to the head of centre. Following this, the head of centre’s decision as to whether to proceed with a preliminary appeal will be based upon the acceptable grounds as detailed in the JCQ Appeals Booklet. Candidates or parents/carers are not permitted to make direct representations to an awarding body, with the exception of candidates entered for awards with BCS, who have the right to appeal directly to BCS if they are unsatisfied with the outcome of an appeal within the school. This appeal must be received by BCS within 20 working days of the result being given to the learner.

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

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| --- | --- | --- |
| **Internal appeals form** | **FOR CENTRE USE ONLY** | |
| Date received |  |
| Please tick box to indicate the nature of your appeal and complete all white boxes on the form below | Reference No. |  |

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

|  |  |  |  |
| --- | --- | --- | --- |
| **Name of appellant** |  | **Candidate name**  if different to appellant |  |
| **Awarding body** |  | **Exam paper code** |  |
| **Subject** |  | **Exam paper title** |  |
| **Please state the grounds for your appeal below**                *(If applicable, tick below)*   * Where my appeal is against an internal assessment decision I wish to request a review of the centre’s marking   *If necessary continue on an additional page if this form is being completed electronically or overleaf if hard copy being completed* | | | |
| Appellant signature:                                                                  Date of signature: | | | |

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

**Complaints and appeals log**

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

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

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| **Ref No.** | **Date received** | **Complaint or Appeal** | **Outcome** | **Outcome date** |
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1. **Disability Policy (exams)**

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

**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
* Ensures the quality of the access arrangements process within the centre
* Ensures staff roles, responsibilities and processes in identifying, requesting and implementing access arrangements for candidates (including private candidates) are clearly defined and documented
* Ensures an appropriately qualified assessor(s) is appointed and that evidence of the qualification(s) of the person(s) appointed is held on file

SLT

* Are familiar with the entire contents of the annually updated JCQ publications including GR and AA

Special educational needs and disability coordinator (SENDCo)

* Has full knowledge and understanding of the contents, refers to and directs relevant centre staff to the annually updated JCQ publication AA
* Ensure a statement is provided which details the criteria the centre uses to award and allocate word processors for exams
* Leads on the access arrangements process to facilitate access for candidates
* 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 within the centre
* Presents when requested by a JCQ Centre Inspector, evidence of the assessor’s qualification
* Works with teaching staff, relevant support staff and the exams officer to ensure centre-delegated and awarding body approved access arrangements are put in place for candidates taking internal and external exams/assessments
* Provide information to evidence the normal way of working of a candidate

Teaching staff

* Inform the SENCo of any support that might be needed by a candidate
* Ensures the qualified assessor(s) has access to the assessment objectives for the relevant specification(s) a candidate is undertaking

Support staff

* Provide comments/observations to support the SENCo in painting a holistic picture of need confirming normal way of working for a candidate

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
* Ensures the assessment process is administered in accordance with the regulations
* Conducts appropriate assessments to identify the need(s) of a candidate
* Provides appropriate evidence to confirm the need(s) of a candidate
* Completes appropriate documentation as required by the regulations of JCQ and the awarding body

**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
* Ensures appropriate and required evidence is held on file to confirm validation responses in AAO including the completion of JCQ Form 8 (Application for access arrangements – Profile of learning difficulties), where required, and a body of evidence to substantiate the candidate’s normal way of working within the centre
* 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
* Liaises with teaching staff regarding any appropriate modified paper requirements for candidates

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 EO role
* Follows guidance in AA Section 8 to process approval applications for access arrangements for those qualifications listed on page 2 of AA
* Applies for approval where this is required, through Access arrangements online (AAO), or through the awarding body where qualifications sit outside the scope of AAO
* Ensures 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
* Confirms by ticking the ‘Confirmation’ box prior to submitting the application for approval that the ‘malpractice consequence statement’ has been read and accepted
* Makes an awarding body referral through AAO where the initial application for approval may not be approved by AAO, where it is deemed by the centre that the candidate does meet the criteria for the arrangement(s)
* Ensures that arrangements, and approval where required, are in place before a candidate takes his/her first exam or assessment (which is externally assessed or internally assessed/externally moderated)
* Ensures that where approval is required that this is applied for by the awarding body deadline
* 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)
* Presents the files when requested by a JCQ Centre Inspector
* Liaises with the SENDCo to ensure arrangements are in place to either order a non-interactive electronic (PDF) question paper or to open question paper packets in the secure room within 90 minutes of the published starting time for the exam where the centre is permitted to modify a timetabled written component exam paper (copy on coloured paper, enlarge to A3 or copy to single sided print)
* Following the appropriate process (AAO for those qualifications listed on page 74 of AA; JCQ Form 7 or Form VQ/EA), orders published modified papers, by the awarding body’s deadline for the exam series, where these may be required for a candidate

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

Roles and responsibilities

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 SENDCo, 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
* Is familiar with the Checklist for heads of centre and examination officers – The Equality Act 2010 and conduct of examinations provided in the current ICE (page 44)
* Appoints appropriate centre staff as facilitators to support candidates (practical assistant, prompter, Oral Language Modifier, reader, scribe or Sign Language Interpreter)

SENDCo

* 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 and ensures the candidate understands what will happen at exam time
* Ensures that prior to any arrangements being put in place checks are made that arrangements do not impact on any assessment criteria/competence standards being tested
* Ensures that any arrangements put in place do not unfairly disadvantage or advantage disabled candidates
* Liaises with the exams officer (EO) regarding facilitation and invigilation of access arrangement candidates in exams
* 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
* Ensures the facilitator is known by or introduced to the candidate prior to exams
* Ensures a facilitator acting as a prompter is aware of the appropriate way to prompt depending on the needs of the candidate
* Liaises with the EO to ensure that invigilators are made aware of the Equality Act 2010 and are trained in disability issues
* Liaises with the EO where a facilitator may be required to support a candidate requiring an emergency (temporary) access arrangement at the time of exams
* Makes modifications that are permitted by the centre (a question paper copied onto coloured paper, an A4 to A3 enlarged paper or a paper printed on single sheets or where a question paper may need to be scanned into PDF format where a candidate is approved the use of a computer reader) that may be required and either accesses a non-interactive electronic (PDF) question paper or opens the exam question paper packet in the secure room no earlier than 90 minutes prior to the published start time of the exam

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 exam information (JCQ information for candidates documents, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it
* Liaises with other relevant centre staff regarding the provision of appropriate rooming and equipment that may be required to facilitate access for disabled candidates to exams
* Ensures 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 cover sheets, where these are required by the arrangement are completed as required by facilitators
* Liaises with the SENDCo regarding the facilitation and invigilation of access arrangement candidates
* Liaises with the SENDCo regarding rooming of access arrangement candidates
* Ensures appropriate seating arrangements are in place where different arrangements may need to be made for a candidate to facilitate access to his/her exams
* Ensures invigilators are briefed prior to each exam session of the arrangements in place for a disabled candidate in their exam room
* Checks in advance of dated exams/assessments that modified paper orders have arrived (and if not will contact the awarding body to ensure that papers are available when required)
* Understands that where permitted/approved, secure exam question paper packets may need to be opened early where preparation is required by the facilitator (Oral Language Modifier, Live Speaker, Sign Language Interpreter only)
* Ensures that the facilitator only has access to the papers 60 minutes prior to the published start time of the exam
* Provides cover sheets prior to the start of an exam where required for particular access arrangements and ensures that these have been fully completed before candidates’ scripts are dispatched to examiners/markers
* prints pre-populated cover sheets from AAO where this is required for those qualifications listed on page 2 of AA
* Has a process in place to deal with emergency (temporary) access arrangements as they arise at the time of exams in terms of rooming and invigilation
* Liaises with the SENCo where a facilitator may be required to support a candidate requiring an emergency (temporary) access arrangement at the time of exams
* Where required for emergency (temporary) access arrangements, applies for approval through AAO or through the awarding body where qualifications sit outside the scope of AAO

Other relevant centre staff

* Support the SENCo and the exams officer to ensure appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams
* Staff responsible for IT or other specialist equipment that may need to be provided or adapted for a candidate
* Site staff responsible for rooms and non-specialist equipment (chairs, tables, clocks etc.) used for exams that may need to be adapted for a candidate
* Senior staff responsible for the centre’s emergency evacuation procedures and the arrangements that may need to be in place for a candidate with a disability who may need assistance when an exam room is evacuated

**Internal assessments**

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

Roles and responsibilities

SENDCo

* Liaises with teaching staff to implement appropriate access arrangements for candidates
* Ensures centre-delegated and awarding body approved arrangements are in place prior to a candidate taking his/her first formal supervised assessment
* Ensures candidates are aware of the access arrangements that are in place for their assessments
* Ensures facilitators supporting candidates are appropriately trained and understand the rules of the particular access arrangement(s)
* Ensures cover sheets are completed as required by facilitators
* Liaises with the teacher where a facilitator may be required to support a candidate requiring an emergency (temporary) access arrangement at the time of his/her formal supervised assessment

Teaching staff

* Support the SENDCo in implementing appropriate access arrangements for candidates
* Provide the SENDCo with assessment schedules to ensure arrangements are put in place when required
* Liaise with the SENDCo regarding assessment materials that may need to be modified for a candidate

**Internal exams**

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

Roles and responsibilities

SENDCo

* Liaises with teaching staff to implement appropriate access arrangements for candidates

Teaching staff

* Support the SENDCo in implementing appropriate access arrangements for candidates
* Provide exam materials that may need to be modified for a candidate
* Provide the SENDCo with internal exam timetable to ensure arrangements are put in place when required

1. **Access Arrangements policy**

**Purpose of the policy**

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

[JCQ General Regulations for Approved Centres, 5.5]

This publication is further referred to in this policy as GR.

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’.

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 appointed by the head of centre. The assessor is appropriately qualified as required by JCQ regulations in AA 7.3. The qualifications held but the current assessor are:

* PGCE in Specific Leanring difficulties (Dyslexia)
* National Award for Special Educational Needs Coordination
* The Dyslexia Guild – Assessment Practicing Certificate

The Centre’s process for checking these qualifications is for a copy ot be held in file in the exam’s office along with the Access Arrangements.

**How the assessment process is administered**

Exam Access Assessment processes are administered with regard to the equality

Act 2010 regulations and SEN code of Practice (2014). The Centre makes every attempt to identify students needing exam access arrangements as early as possible. Need is identified from a variety of sources including:

* Arrangements in place at a previous school
* Parent/carer referrals
* Subject teacher referrals
* Outcome of screening tests

Candidates identified as potentially requiring access arrangements are tested on a termly basis, with priority given to exam candidates.

**Recording of need**

Teaching staff work with the SENDco to identify students who may have exam access needs. A referral form is available for staff to submit, detailing the areas for concern, interventions that are currently in place, supporting evidence and recommendations for exam access arrangements. Once candidates have been identified, the SENDCo will complete appropriate screening tests.

**Gathering information to demonstrate normal way of working**

Students with exam access arrangements should have these arrangements in class tests, mock exams and internal assessments. The access arrangement(s) put in place for a student may also reflect the support given to the student in the

* in the classroom (where appropriate);
* working in small groups for reading and/or writing;
* literacy support lessons

**Processing access arrangements**

Arrangements requiring awarding body approval

* The exams officer is responsible for processing access arrangements for candidates by using Access arrangements online (AAO), a tool provided by JCQ member awarding bodies for centres to apply for required access arrangement approval for qualifications
* Applications must be submitted by the awarding bodies deadline
* All evidence to support the application must be gathered by the SENDCo before the application is made
* Submitted applications must be printed and kept on file along with the evidence to support the application. This file is kept securely within the exams office

1. **Word processor policy**

**Purpose of the policy**

This policy details how the centre manages and administers the use of word processors (including laptops and tablets) in examinations and assessments.

**Principles for using a word processor**

Grove School complies with AA chapter 4 Adjustments for candidates with disabilities and learning difficulties regulations and guidance as follows:

(AA 4.2.1)

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

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

(AA 4.2.2)

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

(AA 4.2.3)

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

(AA 4.2.4)

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

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

(AA 4.2.5)

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

in the classroom (where appropriate); or

* working in small groups for reading and/or writing; or
* literacy support lessons; or
* literacy intervention strategies; and/or
* in internal school tests/examinations
* mock examinations

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

**The use of a word processor**

Grove School complies with AA chapter 5 Access arrangements available as follows:

(AA 5.8.1)

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

Only grants the use of a word processor to a candidate where it is their normal way of working (see 4.2.5 above) within the centre

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

(The above also extends to the use of electronic braillers and tablets)

(AA 5.8.2)

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

(AA 5.8.3)

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

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

(AA 5.8.4)

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

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

**Word processors and their programmes**

Grove School complies with ICE 8.8 Word processors instructions by ensuring:

* word processors are used as a type-writer, not as a database, although standard formatting software is acceptable
* word processors have been cleared of any previously stored data, as must any portable storage medium used
* an unauthorised memory stick is not permitted for use by a candidate
* where required, candidates are provided with a memory stick, which has been cleared of any previously stored data, by a nominated member of centre staff
* word processors are in good working order at the time of the examination
* word processors are accommodated in such a way that other candidates are not disturbed and cannot read the screen
* where a candidate using a word processor is accommodated separately, a separate invigilator is used
* word processors are either connected to a printer so that a script can be printed off, or have the facility to print from a portable storage medium
* documents are printed after the examination is over
* candidates are present to verify that the work printed is their own
* word processed scripts are inserted in/attached to any answer booklet which contains some of the answers (and according to instructions issued by the individual awarding body)
* word processors are used to produce scripts under secure conditions, and if they are not then the centre is aware that they may be refused by the awarding body
* word processors are not used to perform skills which are being assessed
* word processors are not connected to an intranet or any other means of communication.
* candidates are not given access to other applications such as a calculator (where prohibited in the examination), spreadsheets etc when using a word processor
* graphic packages or computer aided design software is not included on a word processor unless permission has been given to use these
* predictive text software or an automatic spelling and grammar check is disabled unless the candidate has been permitted a scribe or is using voice recognition technology (the script must have a completed scribe cover sheet included), or the awarding body's specification permits the use of automatic spell checking
* voice recognition technology is not included on word processors unless the candidate has permission to use a scribe or relevant software
* word processors are not used on the candidate's behalf by a third party unless the candidate has permission to use a scribe

**Laptops and tablets**

Grove School further complies with ICE 8.8 instructions by ensuring:

* tablets used during examinations/assessments are designed to run for a long period of time once fully charged and are 'free-standing'
* the battery capacity of all laptops and/or tablets is checked before the candidate's examination(s) with the battery sufficiently charged for the entire duration of the examination
* candidates with fully charged laptops or tablets are given the opportunity to be seated within the main examination hall without the need for separate invigilation and power points
* candidates are reminded that their centre number, candidate number and the unit/component code must appear on each page as a header or footer
* candidates using Notepad or Wordpad software (which do not allow for the insertion of a header or footer) are instructed to handwrite their details as a header or footer once they have finished the examination and printed off their typed script; candidates are also supervised to ensure that they are solely performing this task and not re-reading their answers or amending their work in any way
* candidates are instructed to appropriately number each page
* candidates are instructed to use a minimum 12pt font and double spacing
* invigilators remind candidates to save their work at regular intervals
* where it is possible 'autosave' is set up on each laptop/tablet
* candidates are present at the end of the examination when their script is printed off so they can verify that the work printed is their own

**Accommodating word processors in examinations**

Candidates using word processors (including laptops or tablets) are internally accommodated in the following manner:

* Where placed in a main exam hall, students are seated next to a power source and where other candidates would not be affected by their use of a word processor
* The candidate using a word processor would not have any other candidate seated behind them, where their screen could be seen
* Candidates are given a clear memory stick in order to save their work for printing once the exam is complete.
* At the start of the exam, candidates are advised to regularly save their work
* At the end of the exam, candidates are escorted to the exam office to have their work printed and to verify that the work completed is their own.

Invigilation arrangements relating to the use of word processors include the following:

* At the end of the examination, an invigilator would escort the candidate to the exams office in order for their work to be printed from the memory stick.
* The candidate must then verify that the work printed is their own and must sign each printed sheet and put their candidate number at the top of each sheet.
* If there are any technical issues with the word processor during the exam, the invigilator would contact the exam officer in order to get technical support

**Criteria used to award and allocate word processors for examinations**

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

Awarding word processors

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

Exceptions might include where a candidate has, for example:

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

Allocating word processors

Appropriate exam-compliant word processors will be allocated by the IT department in liaison with the SENCo and the exams officer. In exceptional circumstances where the number of appropriate word processors may be insufficient for the cohort of candidates approved to use them in an exam session, the cohort will be split into two groups. One group will sit the exam earlier than or later than the published start time. The security of the exam will be maintained at all times and candidates will be supervised in line with section 2.11 of ICE.

1. **Controlled assessment policy**

**Purpose of the policy**

This purpose of this policy is to:

* identify staff responsibilities in planning and managing GCSE controlled assessments; [Taken from JCQ GCSE controlled assessments - Outlining staff responsibilities (editable template)]
* examine potential risks and issues relating to the implementation of controlled assessment for GCSE qualifications and how these might be managed and mitigated through forward planning and remedial actions. [Taken from JCQ GCSE controlled assessments - Risk management process (editable template)]

This policy complies with JCQ’s 2016/17General Regulations 5.8 in that the centre is required to “have in place, and be available for inspection purposes, a written policy with regard to the management of GCSE controlled assessments”.

This policy does not cover specific instructions for conducting controlled assessments which are provided by JCQ and awarding bodies.

**Outlining staff responsibilities - GCSE controlled assessments**

Head of centre and SLT

* To manage risks associated with controlled assessment
* Define staff role and responsibilities with respect to controlled assessment
* To oversee procedure for planning and managing controlled assessments
* Report any malpractice or suspected malpractice to the awarding body as soon as possible

Directors of Study

* Ensuring teaching staff are accountable for the safe and secure conduct of controlled assessments and aware of their responsibilities. Ensure assessments comply with JCQ guidelines and awarding bodies’ subject-specific instructions.
* At the start of the academic year, begin coordinating with teaching staff to schedule controlled assessments and organize for these to be published on the school electronic calendar.
* Decide on the awarding body and specification for a particular GCSE.
* Standardise internally the marking of all teachers involved in assessing an internally assessed component.
* Ensure that individual teachers fully understand the requirements of the awarding body's specification, are familiar with the relevant teachers' notes and any other subject specific instructions.
* Where appropriate, develop new assessment tasks or adapt sample awarding body assessment tasks to meet local circumstances, in line with the awarding body’s specification and control requirements.
* Ensure that teaching staff are aware of the risks and manage the risks associated with controlled assessment.
* Ensure that staff are aware of the specified levels of control associated with controlled assessment.

Teaching staff

* Understand and comply with the general guidelines detailed within the JCQ publication Instructions for conducting controlled assessments.
* Understand and comply with the awarding body’s specification for conducting controlled assessments, including any subject-specific instructions, teachers’ notes or additional information on the awarding body’s website.
* Supply to the exams office details of all unit codes for controlled assessments.
* Obtain confidential materials/tasks set by awarding bodies in sufficient time to prepare for the assessment(s) and ensure that such materials are stored securely at all times.
* Supervise assessments (at the specified level of control). Undertake the tasks required under the regulations, only permitting assistance to candidates as the specification allows.
* Ensure that candidates and supervising teachers sign authentication forms on completion of an assessment.
* Mark internally assessed components using the mark scheme provided by the awarding body. Submit marks to the awarding body by the published deadline, keeping a record of the marks awarded.
* Retain candidates’ work securely between assessment sessions (if more than one).
* Post-completion, retain candidates’ work securely until the closing date for enquiries about results. In the event that an enquiry is submitted, retain candidates’ work securely until the outcome of the enquiry and any subsequent appeal has been conveyed to the Centre.
* Liaise with the SENDCo to ensure that access arrangements for identified candidates are in place for their controlled assessment
* Ask the appropriate special educational needs coordinator (SENDCo) for any assistance required for the administration and management of access arrangements.
* Advises candidates on sources of information; relevance of information concepts; structure of the response (for example chapter titles and content); techniques of data collection; techniques of data presentation; skills for analysis and evaluation; health and safety considerations; security of their work.
* Must not provide model answers or writing frames specific to the task (such as outlines, paragraph headings or section headings) unless the specification or subject specific guidance specifies otherwise

Exams officer

* Where confidential materials are directly received by the exams office, to be responsible for receipt, safe storage and safe transmission, whether in CD or hard copy format.
* Download and distribute marksheets for teaching staff to use.
* In exceptional circumstances where controlled assessments cannot be conducted in the classroom, arrange suitable accommodation where controlled assessments can be carried out at the direction of the senior leadership team.

Special educational needs coordinator/additional learning support

* Ensure access arrangements have been applied for.
* Work with teaching staff to ensure requirements for support staff are met.
* Ensure that students who are eligible have the require access arrangement for their controlled assessment

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| **Risk Management Process** |  |  |
| **Example risks and issues** | **Possible remedial action** | |
| **Forward planning** | ***Action*** | **Staff** |
| **Timetabling** |
| Controlled assessment schedule clashes with other activities | Plan/establish priorities well ahead (e.g. at the start of the academic year) | Plan dates in consultation with school calendar – negotiate with other parties | Director of Studies |
| Too many controlled assessments close together across GCSE subjects | Plan controlled assessments so they are spaced over the duration of the course | Space controlled assessments to allow candidates some time between them | Exams Officer |
| **Accommodation** |
| Insufficient space in classrooms for candidates | Once the size of the cohort is known at the start of the year, flag instances where regular classroom space may not be suitable to conduct controlled assessments | Use more than one classroom or multiple sittings where necessary | Director of Studies |
| Insufficient facilities for all candidates | Careful planning ahead and booking of rooms / centre facilities |  | Exams Officer |
| **Downloading awarding body set tasks** | |
| IT system unavailable on day of assessment | Download tasks well ahead of scheduled assessment date in all cases | Book IT equipment well ahead and download tasks before scheduled date of assessment | Exams Officer |
| Teaching staff unable to access task details | Test secure access rights ahead of controlled assessment schedule every year and every session | Ensure teaching staff have access rights for the correct area of awarding body secure extranet sites well ahead of the controlled assessment schedule | Exams Officer |
| Loss of task details in transmission | Download tasks well ahead of scheduled assessment date | Contact awarding body and ask for replacement task; download again | Exams Officer |

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| **Example risks and issues** | **Possible remedial action** | | **Staff** |
| **Forward planning** | ***Action*** |
| **Withdrawal of centre approval status by awarding body** | |  | | |
| Candidates unable to take qualification of a particular awarding body | Ensure all procedures are in place to comply with awarding body requirements | Seek guidance from the awarding body to see how we could re-gain approval status  If not able to rectify, seek an alternative qualification for candidates to take of a similar subject | Exams Officer and Director of Studies | |
| **Absent candidates** | | | |
| Candidates absent for all or part of assessment (various reasons) | Plan alternative session(s) for candidates |  | Director of Studies |
| **Control levels for task taking** | | | |
| The assessment is undertaken under incorrect level of control (time, resources, supervision and collaboration) | Ensure teaching staff know what level is applicable and understand what is involved. Provide training if required | Seek guidance from the awarding body | Director of Studies |

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| **Example risks and issues** | **Possible remedial action** | | **Staff** |
| **Forward planning** | ***Action*** |
| **Supervision** | | | |
| Student study diary/plan not provided or completed\* | Ensure teaching staff are aware of the need for study diary/plans to be completed early in course | Ensure candidates start, continue and complete study diary/plans that are signed after every session | Director of Studies |
| Teaching staff do not understand that the supervision of controlled assessments is their responsibility | Ensure teaching staff fully understand the nature of controlled assessments and their role in supervising assessments |  | Director of Studies |
| A suitable supervisor has not been arranged for an assessment where teaching staff are **not** supervising | A suitable supervisor must be arranged for any controlled assessment session where a teacher is not supervising, in line with the awarding body’s specification |  | Exams Officer |

**Non-examination assessment policy**

**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

**What are non-examination assessments?**

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

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

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

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

The basic principles

Head of centre

* 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

Director of Studies

* Ensure the correct conduct of non-examination assessments (including endorsements) which comply with NEA and awarding body subject-specific instructions
* Ensure that candidates are aware of when their assessment will be taking place at the start of the course
* 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 (Director of Studies)

* Ensure that appropriate awarding body forms and templates for non-examination assessments (including endorsements) are used by teachers and candidates
* Ensure appropriate procedures are in place to internally standardise/verify the marks awarded by subject teachers in line with awarding body criteria
* Ensure appropriate centre-devised templates are provided to capture/record relevant information given to candidates by subject teachers
* Ensure 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.
* 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)
* 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
* 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
* Advises candidates on sources of information; relevance of information concepts; structure of the response (for example chapter titles and content); techniques of data collection; techniques of data presentation; skills for analysis and evaluation; health and safety considerations; security of their work.
* Must not provide model answers or writing frames specific to the task (such as outlines, paragraph headings or section headings) unless the specification or subject specific guidance specifies otherwise
* Advises candidates on sources of information; relevance of information concepts; structure of the response (for example chapter titles and content); techniques of data collection; techniques of data presentation; skills for analysis and evaluation; health and safety considerations; security of their work.
* Must not provide model answers or writing frames specific to the task (such as outlines, paragraph headings or section headings) unless the specification or subject specific guidance specifies otherwise
* 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
* Liaises with the IT technician to ensure that appropriate arrangements are in place to restrict access between sessions to candidates’ work where work is stored electronically

IT technician

* Ensures appropriate arrangements are in place to restrict access between sessions to candidates’ work where work is stored electronically

Task marking – externally assessed components

Conduct of externally assessed work

Subject teacher

* 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

Subject teacher

* Provides the attendance register to a Visiting Examiner

Exams officer

* Provides the attendance register to the subject teacher where the component may be assessed by a Visiting Examiner
* Ensures the awarding body’s attendance register for any externally assessed component is completed correctly to show candidates who are present and any who may be absent
* Where candidates’ work must be dispatched 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
* Dispatches the work to the awarding body’s instructions by the required deadline

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
* Where a teacher teaches their own child, the centre must declare the conflict of interest and submit the marked work for moderation, whether or not it is part of the moderation sample.

Internal standardisation

Quality assurance (QA) lead (Director of Studies)

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

Subject teacher

* Indicates on work (or cover sheet) the date of marking
* Marks to common standards

Submission of marks and work for moderation

Subject teacher

* Provides marks to the exams officer to the internal deadline, ensuring that they have been checked carefully to minimise errors. This includes both additional and transcription errors
* Submits the requested samples of candidates’ work to the exams officer by the internal deadline, keeping a record of the work submitted.
* Ensures that moderators receive the correct sample of work to review
* 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
* 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
* 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

Director of Studies

* 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 SENDCo to ensure any access arrangements for eligible candidates are applied to assessments

Special educational needs coordinator (SENDCo)

* Ensure that any access arrangements are applied for in advance of the NEAs
* 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

Director of Studies

* 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

Practical Skills Endorsement for the A Level Sciences 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 prescribed practical activities
* Ensures new lead teachers undertake the required training provided by the awarding body on the implementation of the practical endorsement
* Ensures relevant centre staff liaise with all relevant parties in relation to arrangements for and conduct of the monitoring visit

Director of Studies

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

Subject teacher

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

Exams officer

* Follows the awarding body’s instructions for the submission of candidates Pass or Not Classified assessment

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

Quality assurance (QA) lead (Director of Studies)

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

Director of Studies

* 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** |
| **Task setting** | | |
| Awarding body set task: IT failure/corruption of task details where set task details accessed from the awarding body online | *Awarding body key date for accessing/downloading set task noted prior to start of course*  *IT systems checked prior to key date*  *Alternative IT system used to gain access*  *Awarding body contacted to request direct email of task details* | Exams officer |
| Centre set task: Subject teacher fails to meet the assessment criteria as detailed in the specification | *Ensures that subject teachers access awarding body training information, practice materials etc.*  *Records confirmation that subject teachers understand the task setting arrangements as defined in the awarding body’s specification*  *Samples assessment criteria in the centre set task* | Director of Studies |
| Candidates do not understand the marking criteria and what they need to do to gain credit | *A simplified version of the awarding body’s marking criteria described in the specification that is not specific to the work of an individual candidate or group of candidates is produced for candidates*  *Records confirm all candidates understand the marking criteria*  *Candidates confirm/record they understand the marking criteria* | Director of Studies |
| Subject teacher long term absence during the task setting stage | *See centre’s exam contingency plan -* *Teaching staff extended absence at key points in the exam cycle* | Director of Studies |
| **Issuing of tasks** | | |
| Task for legacy specification given to candidates undertaking new specification | *Ensures subject teachers take care to distinguish between requirements/tasks for legacy specifications and requirements/tasks for new specifications*  *Awarding body guidance sought where this issue remains unresolved* | Director of Studies |
| Awarding body set task not issued to candidates on time | *Awarding body key date for accessing set task as detailed in the specification noted prior to start of course*  *Course information issued to candidates contains details when set task will be issued and needs to be completed by*  *Set task accessed well in advance to allow time for planning, resourcing and teaching* | Director of Studies |
| The wrong task is given to candidates | *Ensures course planning and information taken from the awarding body’s specification confirms the correct task will be issued to candidates*  *Awarding body guidance sought where this issue remains unresolved* | Director of Studies |
| Subject teacher long term absence during the issuing of tasks stage | *See centre’s exam contingency plan - Teaching staff extended absence at key points in the exam cycle* | Director of Studies |
| **Task taking** | | |
| **Supervision** | | |
| Planned assessments clash with other centre or candidate activities | *Assessment plan identified for the start of the course*  *Assessment dates/periods included in centre wide calendar* | Exams officer |
| Rooms or facilities inadequate for candidates to take tasks under appropriate supervision | *Timetabling organised to allocate appropriate rooms and IT facilities for the start of the course*  *Staggered sessions arranged where IT facilities insufficient for number of candidates*  *Whole cohort to undertake written task in large exam venue at the same time (exam conditions do not apply)* | Exams officer |
| Insufficient supervision of candidates to enable work to be authenticated | *Confirm subject teachers are aware of and follow the current JCQ publication Instructions for conducting non-examination assessments and any other specific instructions detailed in the awarding body’s specification in relation to the supervision of candidates*  *Confirm subject teachers understand their role and responsibilities as detailed in the centre’s non-examination assessment policy* | Director of Studies |
| A candidate is suspected of malpractice prior to submitting their work for assessment | *Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (section 9 Malpractice) are followed*  *An internal investigation and where appropriate internal disciplinary procedures are followed* | Director of Studies |
| Access arrangements were not put in place for an assessment where a candidate is approved for arrangements | *Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 2), to determine the process to be followed to apply for special consideration for the candidate* | Director of Studies |
| **Advice and feedback** | | |
| Candidate claims appropriate advice and feedback not given by subject teacher prior to starting on their work | *Ensures a centre-wide process is in place for subject teachers to record all information provided to candidates before work begins as part of the centre’s quality assurance procedures*  *Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity*  *Full records kept detailing all information and advice given to candidates prior to starting on their work as appropriate to the subject and component*  *Candidate confirms/records advice and feedback given prior to starting on their work* | Director of Studies |
| Candidate claims no advice and feedback given by subject teacher during the task-taking stage | *Ensures a centre-wide process is in place for subject teachers to record all advice and feedback provided to candidates during the task-taking stage as part of the centre’s quality assurance procedures*  *Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity*  *Full records kept detailing all advice and feedback given to candidates during the task-taking stage as appropriate to the subject and component*  *Candidate confirms/records advice and feedback given during the task-taking stage* | Director of Studies |
| A third party claims that assistance was given to candidates by the subject teacher over and above that allowed in the regulations and specification | *An investigation is conducted; candidates and subject teacher are interviewed and statements recorded where relevant*  *Records as detailed above are provided to confirm all assistance given*  *Where appropriate, a suspected malpractice report is submitted to the awarding body* | Head of Centre |
| Candidate does not reference information from published source | *Candidate is advised at a general level to reference information before work is submitted for formal assessment*  *Candidate is again referred to the JCQ document Information for candidates: non-examination assessments*  *Candidate’s detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion* | Director of Studies |
| Candidate does not set out references as required | *Candidate is advised at a general level to review and re-draft the set out of references before work is submitted for formal assessment*  *Candidate is again referred to the JCQ document Information for candidates: non-examination assessments*  *Candidate’s detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion* | Director of Studies |
| Candidate joins the course late after formally supervised task taking has started | *A separate supervised session(s) is arranged for the candidate to catch up* | Director of Studies |
| Candidate moves to another centre during the course | *Awarding body guidance is sought to determine what can be done depending on the stage at which the move takes place* | Exams officer |
| An excluded pupil wants to complete his/her non-examination assessment(s) | *The awarding body specification is checked to determine if the specification is available to a candidate outside mainstream education*  *If so, arrangements for supervision, authentication and marking are made separately for the candidate* | Head of Centre |
| **Resources** | | |
| A candidate augments notes and resources between formally supervised sessions | *Preparatory notes and the work to be assessed are collected in and kept secure between formally supervised sessions*  *Where memory sticks are used by candidates, these are collected in and kept secure between formally supervised sessions*  *Where work is stored on the centre’s network, access for candidates is restricted between formally supervised sessions* | Director of Studies |
| A candidate fails to acknowledge sources on work that is submitted for assessment | *Candidate’s detailed record of his/her own research, planning, resources etc. is checked to confirm all the sources used, including books, websites and audio/visual resources*  *Awarding body guidance is sought on whether the work of the candidate should be marked where candidate’s detailed records acknowledges sources appropriately*  *Where confirmation is unavailable from candidate’s records, awarding body guidance is sought and/or a mark of zero is submitted to the awarding body for the candidate* | Director of Studies |
| **Word and time limits** | | |
| A candidate is penalised by the awarding body for exceeding word or time limits | *Records confirm the awarding body specification has been checked to determine if word or time limits are mandatory*  *Where limits are for guidance only, candidates are discouraged from exceeding them*  *Candidates confirm/record any information provided to them on word or time limits is known and understood* | Director of Studies |
| **Collaboration and group work** | | |
| Candidates have worked in groups where the awarding body specification states this is not permitted | *Records confirm the awarding body specification has been checked to determine if group work is permitted*  *Awarding body guidance sought where this issue remains unresolved* | Director of Studies |
| **Authentication procedures** | | |
| A teacher has doubts about the authenticity of the work submitted by a candidate for internal assessment  Candidate plagiarises other material | *Records confirm subject staff have been made aware of the JCQ document Teachers sharing assessment material and candidates’ work*  *Records confirm that candidates have been issued with the current JCQ document Information for candidates: non-examination assessments*  *Candidates confirm/record that they understand what they need to do to comply with the regulations for non-examination assessments as outlined in the JCQ document Information for candidates: non-examination assessments*  *The candidate’s work is not accepted for assessment*  *A mark of zero is recorded and submitted to the awarding body* | Director of Studies  Head of Centre |
| Candidate does not sign their authentication statement/declaration | *Records confirm that candidates have been issued with the current JCQ document Information for candidates: non-examination assessments*  *Candidates confirm/record they understand what they need to do to comply with the regulations as outlined in the JCQ document Information for candidates: non-examination assessments*  *Declaration is checked for signature before accepting the work of a candidate for formal assessment* | Director of Studies |
| Subject teacher not available to sign authentication forms | *Ensures a centre-wide process is in place for subject teachers to sign authentication forms at the point of marking candidates work as part of the centre’s quality assurance procedures* | Director of Studies |
| **Presentation of work** | | |
| Candidate does not fully complete the awarding body’s cover sheet that is attached to their worked submitted for formal assessment | *Cover sheet is checked to ensure it is fully completed before accepting the work of a candidate for formal assessment* | Director of Studies |
| **Keeping materials secure** | | |
| Candidates work between formal supervised sessions is not securely stored | *Records confirm subject teachers are aware of and follow current JCQ publication Instructions for conducting non-examination assessments*  *Regular monitoring ensures subject teacher use of appropriate secure storage* | Director of Studies |
| Adequate secure storage not available to subject teacher | *Records confirm adequate/sufficient secure storage is available to subject teacher prior to the start of the course*  *Alternative secure storage sourced where required* | Director of Studies |
| **Task marking – externally assessed components** | | |
| A candidate is absent on the day of the examiner visit for an acceptable reason | *Awarding body guidance is sought to determine if alternative assessment arrangements can be made for the candidate*  *If not, eligibility for special consideration is explored and a request submitted to the awarding body where appropriate* | Exams Officer |
| A candidate is absent on the day of the examiner visit for an unacceptable reason | *The candidate is marked absent on the attendance register* | Exams Officer |
| **Task marking – internally assessed components** | | |
| A candidate submits little or no work | *Where a candidate submits no work, the candidate is recorded as absent when marks are submitted to the awarding body*  *Where a candidate submits little work, the work produced is assessed against the assessment criteria and a mark allocated appropriately; where the work does not meet any of the assessment criteria a mark of zero is submitted to the awarding body* | Director of Studies |
| A candidate is unable to finish their work for unforeseen reason | *Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 5), to determine eligibility and the process to be followed for shortfall in work* | Director of Studies |
| The work of a candidate is lost or damaged | *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* | Director of Studies  Exams Officer |
| Candidate malpractice is discovered | *Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (section 9 Malpractice) are followed*  *Investigation and reporting procedures in the current JCQ publication Suspected Malpractice in Examinations and Assessments are followed*  *Appropriate internal disciplinary procedures are also followed* | Head of Centre |
| A teacher marks the work of his/her own child | *A conflict of interest is declared by informing the awarding body that a teacher is teaching his/her own child at the start of the course*  *Marked work of said child is submitted for moderation whether part of the sample requested or not* | Subject Teacher  Exams Officer |
| An extension to the deadline for submission of marks is required for a legitimate reason | *Awarding body is contacted to determine if an extension can be granted*  *Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 5), to determine eligibility and the process to be followed for non-examination assessment extension* | Exams Officer |
| After submission of marks, it is discovered that the wrong task was given to candidates | *Awarding body is contacted for guidance*  *Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 2), to determine eligibility and the process to be followed to apply for special consideration for candidates* | Head of Centre |
| A candidate wishes to appeal/request a review of the marks awarded for their work by their teacher | *Candidates are informed of the marks they have been awarded for their work prior to the marks being submitted to the awarding body*  *Records confirm candidates have been informed of their marks*  *Candidates are informed that these marks are subject to change through the awarding body’s moderation process*  *Candidates are informed of their marks to the timescale identified in the centre’s internal appeals procedure and prior to the internal deadline set by the exams officer for the submission of marks*  *Through the candidate exam handbook, candidates are made aware of the centre’s internal appeals procedures and timescale for submitting an appeal/request for a review of the centre’s marking prior to the submission of marks to the awarding body* | Exams Officer |
| Deadline for submitting work for formal assessment not met by candidate | *Records confirm deadlines given and understood by candidates at the start of the course*  *Candidates confirm/record deadlines known and understood*  *Depending on the circumstances, awarding body guidance sought to determine if the work can be accepted late for marking providing the awarding body’s deadline for submitting marks can be met*  *Decision made (depending on the circumstances) if the work will be accepted late for marking or a mark of zero submitted to the awarding body for the candidate* | Director of Studies |
| Deadline for submitting marks and samples of candidates work ignored by subject teacher | *Internal/external deadlines are published at the start of each academic year*  *Reminders are issued through senior leaders/subject heads as deadlines approach*  *Records confirm deadlines known and understood by subject teachers*  *Where appropriate, internal disciplinary procedures are followed* | Director of Studies |
| Subject teacher long term absence during the marking period | *See centre’s exam contingency plan (Teaching staff extended absence at key points in the exam cycle)* | Director of Studies |

1. **Recognition of Prior Learning Policy**

Recognition of Prior Learning (RPL) is a “method of assessment [leading to the award of credit] that considers whether learners can demonstrate that they can meet the assessment requirements for a unit through knowledge, understanding or skills they already possess and so do not need to develop through a course of learning.”

Regulatory arrangements for the Qualifications and Credit Framework

(Ofqual/08/3726)

Grove School values all forms of learning and is committed to ensuring that our pupils receive recognition for any qualifications and training they may have undertaken before joining our school. This policy concerns ways in which a learner might be able to have their skills and qualifications acknowledged whilst avoiding any repetition of learning and assessment. This policy applies to all BTEC qualifications, including those on the National Qualification Framework (NQF), the Qualifications and Credit Framework (QCF) and other national frameworks in Wales, Scotland and Northern Ireland and self-regulated qualifications. However, where learning is evidenced only through a national examination, the learner is required to sit this examination, eg general qualifications such as GCSEs or GCE are not within the scope of this policy.

RPL enables recognition of achievement from a range of activities using any appropriate assessment methodology. Provided that the assessment requirements of a given unit or qualification have been met, the use of RPL is acceptable for accrediting a unit, units or a whole qualification. Evidence of learning must be:

· valid

· reliable

· current

· sufficient

· authentic

**Process**

RPL is a process which recognises that learning is continuous – at work, home and at leisure, as well as in the classroom. The RPL process in not concerned with allowing for exceptional entry to, or exemption from, a programme of study. Where units are assessed against assessment criteria or grading criteria, then all evidence must be evaluated using the stipulated criteria. In assessing a unit using RPL the assessor must be satisfied that the evidence produced by the learner meets the assessment standard established by the learning outcome and its related assessment criteria. This assessor will normally be the Lead Verifier for the specific programme of study.

The **Learner** must make the Lead Verifier for the programme of study aware of their prior learning and provide such evidence as is necessary.

The **Lead Verifier** for the programme of study must assist the learner as far as possible in ensuring their prior learning is recognised. The Lead Verifier must also ensure that any prior learning fully satisfies the assessment criteria for which it is being applied to.

The **Class teacher** must ensure prior learning is recorded in the appropriate manner and contributes to the final accreditation process.

**Procedures**

* RPL is a valid method of enabling individuals to claim credit for units, irrespective of how their learning took place. There is no difference between the achievement of the learning outcomes and assessment criteria of a unit through prior learning or through a formal programme of study.
* RPL policies, processes, procedures, practices and decisions should be transparent,rigorous, reliable, fair and accessible to individuals and stakeholders to ensure that users can be confident of the decisions and outcomes of RPL.
* RPL is a learner-centred, voluntary process. The individual should be offered advice on the nature and range of evidence considered appropriate, to support a claim for credit through RPL, and be given guidance and support to make a claim.
* The process of assessment for RPL is subject to the same quality assurance and monitoring standards as any other form of assessment. The award of credit through RPL will not be distinguished from any other credits
* awarded.

Assessment methods for RPL must be of equal rigour to other assessment methods, be fit for purpose and relate to the evidence of learning. Credit may be claimed for any unit through RPL unless the assessment requirements of the unit do not allow this.

RPL can be used where a learner has not had their prior learning formally recognised. If a learner has certificated learning, then they should apply for exemption, not RPL. Exemption is the facility for a learner to claim exemption from some of the achievement requirements of a qualification, using evidence of certificated achievement deemed to be of equivalent value.

Most often RPL will be used for units. It is acceptable to claim for an entire qualification through RPL although this is not the norm. However, it would be unusual for a learner to be able to offer prior achievement that completely matches every aspect of a qualification’s assessment requirements.

Lead Verifiers wishing to carry out RPL must ensure that:

· Learners are registered as soon as they formally start to gather evidence

· Records of assessment are maintained, as for any other unit/qualification

· Certification and claims are made according to normal procedures

· All relevant evidence is assessed before assessment decisions are confirmed

1. **Emergency evacuation procedure**

**Purpose of the policy**

This policy details how Grove 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

SLT

* 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

SENDCo

* 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 (Candidate exam handbook), prior to exams taking place, on what will happen in the event of an emergency in the exam room
* Provides invigilators with a copy of the emergency evacuation procedures for 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 SENDCo 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, SENDCo, 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.

Actions to be taken (as detailed in the current JCQ Instructions for conducting examinations section18, Emergencies)

* 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

1. **Special consideration policy**

**Purpose of the policy**

The purpose of this policy is to identify roles and responsibilities in the special consideration process and confirms that Grove 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 SENDCo

* 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**

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 in SC 5 and applied for where eligible.

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

**Processing applications for special consideration**

Roles and responsibilities

Head of centre

* Ensures 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 SENDCo

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

Candidates (or parents/carers)

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

**Submitting applications for special consideration**

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

Timetabled written exams

* For GCE and GCSE qualifications, applications for individual candidates will be submitted online by logging into the relevant awarding body secure extranet site and following the links to special consideration
* The processes for submitting a single application to cover all exams where a candidate is present but disadvantaged and a separate application for each day where a candidate is absent from an examination for an acceptable reason detailed in SC 6 will be followed
* For other qualifications, applications 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

1. **Exams archiving policy**

**Purpose of the policy**

The purpose of this policy is to:

* identify exams-related information/records held by the exams office
* identify the retention period
* determine the action required at the end of the retention period and the method of disposal
* inform or supplement the centre-wide records management policy

| **Record type** | **Record(s) description (where required)** | **Retention information/period** | **Action at end of retention period (method of disposal)** |
| --- | --- | --- | --- |
| Access arrangements information | Any hard copy information kept by the EO relating to an access arrangement candidate. | To be retained in the examination secure storage | Confidential waste/shredding |
| Attendance register copies |  | To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.  [Reference [ICE](http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations) 6,15] | Confidential waste/shredding |
| Awarding body administrative information | Any hard copy publications provided by awarding bodies. | To be retained until the current academic year update is provided. | Disposal |
| Candidates’ work | Non-examination assessment work (inc. controlled assessment, coursework, portfolios) returned to the centre after awarding body moderation. | To be immediately returned to subject staff as records owner.  To be stored safely and securely along with work that did not form part of the moderation sample (including materials stored electronically) until after the deadline for EARs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series.  [Reference [GR](http://www.jcq.org.uk/exams-office/general-regulations) 3, 5] | Returned to candidates or safe disposal |
| Certificates |  | Unclaimed/uncollected certificates to be retained securely for a minimum of 12 months from date of issue.  [Reference [GR](http://www.jcq.org.uk/exams-office/general-regulations) 5] | Confidential destruction or return to awarding bodies |
| Certificate destruction information | A record of unclaimed certificates that have been destroyed. | To be retained for 4 years from the date of certificate destruction.  [Reference [GR](http://www.jcq.org.uk/exams-office/general-regulations) 5] | Confidential destruction |
| Certificate issue information | A record of certificates that have been issued to candidates. | [Reference [GR](http://www.jcq.org.uk/exams-office/general-regulations) 5]  To be retained for 4 years from the date of certificate issue. | Confidential destruction |
| Confidential materials delivery logs | A log recording confidential materials delivered by awarding bodies to the centre and issued to authorised staff. | To be retained until the end of the examination season | Shredding |
| Confidential materials tracking logs | A log to track materials taken from or returned to secure storage throughout the time the material is confidential. | To be retained until the end of the examination season | Shredding |
| Dispatch logs | Proof ofdispatch of exam script packages to awarding body examiners covered by the [DfE (Standards & Testing Agency) yellow label service](https://www.gov.uk/government/publications/dispatch-of-exam-scripts-yellow-label-service/dispatch-of-exam-scripts-guide) | To be retained until the end of the examination season | Shredding |
| Entry information | Any hard copy information relating to candidates’ entries. | To be retained until the end of the examination season | Confidential destruction |
| Exam question papers | Question papers for timetabled written exams. | Issued to teaching staff at the end of the school day only when all candidates in the centre have completed the exam.  Instructions issued by an individual awarding body relating to the use of question papers for vocational qualifications after the examination has taken place are followed.  [Reference [ICE](http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations) 16 and [GR](http://www.jcq.org.uk/exams-office/general-regulations) 5,6] |  |
| Exam room checklists | Checklists confirming room conditions and invigilation arrangements for each exam room. | To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.  [Reference [ICE](http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations) 6] | Shredding |
| Exam room incident logs | Logs recording any incidents or irregularities in exam rooms. | To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later. | Shredding |
| Exam stationery |  | When awarding body or JCQ common stationery is considered surplus or is out-of-date it will be disposed of.  [Reference [ICE](http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations) page 4 and [ICE](http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations) 23] | Confidential disposal |
| Examiner reports |  | To be immediately provided to head of department as records owner. |  |
| Finance information | Copy invoices for exams-related fees. | To be returned to Finance department as records owner at the end of the academic year. |  |
| Invigilation arrangements | See *Exam room checklists* |  |  |
| JCQ publications | Any hard copy publications provided by JCQ. | To be retained until the current academic year update is provided. |  |
| Moderator reports |  | To be immediately provided to head of department as records owner. |  |
| Overnight supervision information | Copy of JCQ form *Timetable variation and confidentiality declaration for overnight supervision* for any candidate eligible for these arrangements. | To be retained for JCQ inspection purposes for the relevant exam series. | Confidential destruction |
| Post-results services: confirmation of candidate consent information | Hard copy or email record of candidate consent for an EAR or ATS request to be submitted to an awarding body | EAR consent to be retained for at least six months following the outcome of the enquiry or any subsequent appeal.  ATS consent to be retained for at least six months from the date consent given.  [Reference [PRS](http://www.jcq.org.uk/exams-office/post-results-services) 4, appendix A and B] | Confidential destruction |
| Post-results services: requests/outcome information | Any hard copy information relating to a post-results service request (EARs, appeals, ATS) submitted to an awarding body for a candidate and outcome information from the awarding body. |  | Confidential destruction |
| Post-results services: scripts provided by ATS service | Copies of exam scripts (or an electronic image of the script) returned to the centre by the awarding body/copies downloaded by the centre where the awarding body provides online access to scripts. | Where copies of scripts are retained by the centre, they must be securely stored (including any electronic versions) until they are no longer required.  [Reference [PRS](http://www.jcq.org.uk/exams-office/post-results-services) 6] | Confidential disposal |
| Post-results services: tracking logs | A log tracking to resolution all post-results service requests submitted to awarding bodies. |  |  |
| Private candidate information | Any hard copy information relating to private candidates’ entries. |  |  |
| Proof of postage – candidate work | Proof of postage of sample of candidates’ work to awarding body moderators. |  |  |
| Resolving clashes information | Any hard copy information relating to the resolution of a candidate’s clash of exam papers or a timetable variation. |  |  |
| Results information | Broadsheets of results summarising candidate final grades by subject by exam series. | Records for current year plus previous 6 years to be retained as a minimum.  [Reference [*Records Management Toolkit for Schools*](https://irms.site-ym.com/page/SchoolsToolkit)] | Confidential shredding |
| Seating plans | Plans showing the seating arrangements of all candidates for every exam taken. | To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.  [Reference [ICE](http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations) 6] | **Confidential shredding** |
| Special consideration information | Any hard copy information relating to a special consideration request and supporting evidence submitted to an awarding body for a candidate. | Evidence supporting an on-line special consideration application and  evidence supporting a candidate’s absence from an exam must be kept  until after the publication of results.  [Reference [SC](http://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance) 6] | **Confidential shredding** |
| Suspected malpractice reports/outcomes | Any hard copy information relating to a suspected malpractice investigation/report submitted to an awarding body and outcome information from the awarding body. |  |  |
| Transfer of credit information | Any hard copy information relating to a GCE AS transfer of credit arrangement (for a legacy unitised GCE AS specification) application submitted to an awarding body for a candidate. | To be retained until the issue of the GCE A level result for the candidate. |  |
| Transferred candidate information | Any hard copy information relating to an application for a transferred candidate arrangement submitted to an awarding body for a candidate. | To be retained until the transfer arrangements are confirmed by the awarding body. |  |
| Very late arrival reports/outcomes | Any hard copy information relating to a very late arrival report submitted to an awarding body for a candidate and outcome information from the awarding body. |  |  |