



Abbot Beyne School

Policy:	Examinations Policy
Person Responsible:	Mr J Church / Miss L Taylor
Governors' Committee:	Performance and Standards
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Examinations Policy

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Key staff involved in the exams policy

Role	Name(s)
Head of Centre	Mr J Tickle
Exams Officer line manager	Mr J Church
Exams Officer	Miss L Taylor
Exams Assistant	Mrs G Gray
SENCo	Mrs F Airey
Senior Leader	Mr G Holden

Purpose of the policy

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

- all aspects of the centre's exam process is documented and other relevant exams-related policies, procedures and plans are signposted
- the workforce is well informed and supported
- all centre staff involved in the exams process clearly understand their roles and responsibilities
- all exams and assessments are conducted in accordance with JCQ and awarding body regulations, guidance and instructions, thus ensuring that

"... the integrity and security of the examination/assessment system is maintained at all times and is not brought into disrepute." [JCQ General Regulations for Approved Centres (GR) 1]

- exam candidates understand the exams process and what is expected of them.

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

This policy will be communicated to all relevant centre staff. It will be published on the school website and approved by the Governing Board. Electronic copies will be forwarded to Senior Staff.

Roles and responsibilities overview

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

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

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

Head of Centre Responsibilities

The 'head of centre' is the most senior operational officer in the organisation. This may be the Headteacher of a school, the principal of a college, the Chief Executive Officer of an Academy Trust or

the Managing Director of a company or training provider. It is the responsibility of the head of centre to ensure that all staff comply with the instructions in this booklet.

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

Head of Centre

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

National Centre Number Register

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

Recruitment, selection and training of staff

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

Internal governance arrangements

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

Escalation Process

This is included as an appendix

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

Delivery of qualifications

Delivers qualifications, as required by the awarding body, in accordance with relevant equality legislation. This includes but is not limited to ensuring that qualifications are made

- available to all candidates capable of undertaking them and seeking reasonable adjustments for disabled candidates
- Enables candidates to receive sufficient and up to date laboratory experience, or relevant training where required by the subject concerned

Public liability

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

Security of assessment materials

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

Exam contingency plan

This is included in the appendices

- Ensures required internal appeals procedures are in place

Internal appeals procedures

This is included in the appendices

- Ensures a equalities policy for exams showing the centre's compliance with relevant legislation is in place

Equalities policy

This is included in the appendices

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

Complaints and appeals procedure

This is included in the appendices

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

Child protection/safeguarding policy

This is available on the school website

- Ensures the centre has a data protection policy in place

Data protection policy

The Abbot Beyne GDPR policy is available on the school website. The exam specific policy is included as an appendix

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

Access arrangements policy

This is included in the appendices

Conflicts of Interest

- Ensures staff are only entered for qualifications through the centre as a last resort where entry through another centre is not available. The Exams Officer will approach suitable alternative centres.
- Ensures the appropriate steps are taken where a candidate being entered for exams is related to a member of centre staff. The Exams Officer will identify such cases and bring them to the attention of the head of centre.
- The EM informs the awarding bodies, before the associated entries are submitted, of any members of centre staff who are either sitting examinations and assessments, or teaching and preparing members of their family (which includes step-family, foster family and similar close relationships) or household for examinations and assessments, or where members of their family will be sitting examinations and assessments.
Awarding bodies **must** be informed where members of the family (which includes stepfamily, foster-family and similar close relationships) or household of exams office staff are being entered for examinations and assessments; whether by the centre itself or a different centre.

The HC must ensure that during the examination series the member of centre staff is treated as per any other candidate entered for that examination, does not have access to examination materials and does not receive any preferential treatment.

If a candidate is entered for an awarding body's examinations at a centre where a relative is employed, the head of centre must ensure that during the examination series the candidate's relative does not have unaccompanied access to examination materials. For example, question papers, pre-release materials and answer scripts.

If the relative in question is the centre's EM, then appropriate arrangements must be made to ensure that another person is present for all of the administrative arrangements relating to the candidate's examinations. (For example, any application for special consideration must be authorised by a member of centre staff other than the candidate's relative.)

- Ensures members of centre staff do **not** forward e-mails and letters from awarding body or JCQ personnel without prior consent to third parties or upload such correspondence onto social media sites such as Facebook
- Ensures members of centre staff do **not** advise parents/candidates to contact awarding bodies/JCQ directly.

Centre Inspection

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

Exams Officer (EO)

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

- Briefs other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials on the requirements for maintaining the integrity and confidentiality of the exam materials

Senior leaders (SLT)

- Are familiar with the contents, refer to and direct relevant centre staff to annually updated JCQ publications including:
General regulations for approved centres
Instructions for conducting examinations
Access Arrangements and Reasonable Adjustments
Suspected Malpractice: Policies and Procedures
Instructions for conducting non-examination assessments (and the instructions for conducting controlled assessment and coursework)

Special Educational Needs Co-ordinator (SENCo)

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

Senior Leaders (SLs)

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

Teaching staff

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

Invigilators

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

Office staff

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

Site staff

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

Candidates

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

The Exam Cycle

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

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

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

Planning: roles and responsibilities

Information sharing

Head of centre

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

Exams Officer

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

Information gathering

Exams Officer

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

Senior Leaders

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

Access arrangements

Head of centre

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

SENCo

- Assesses candidates (or works with the appointed access arrangements assessor) to identify access arrangements requirements
- Gathers **evidence** to support the need for access arrangements for a candidate
- Liaises with teaching staff to gather evidence of **normal way of working** of an affected candidate
- Determines candidate eligibility for arrangements or adjustments that are centre-delegated
- Gathers signed **data protection notices** from candidates where required
- Applies for **approval** through *Access arrangements online* (AAO), where required or through the awarding body where qualifications sit outside the scope of AAO (or delegates to other competent SEN staff)
- Keeps a file for each candidate for JCQ inspection purposes containing all the required documentation (if documentation is stored electronically, an e-folder must be created for each individual candidate. The candidate's e-folder must hold each of the required documents for inspection)
- Employs good practice in relation to the Equality Act 2010
- Liaises with the EM 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
- Works with the EM to ensure invigilators and those acting as a facilitator fully understand the respective role and what is and what is not permissible in the exam room
- Provides and annually reviews a centre policy on the **use of word processors** in exams and assessments

Word processor policy (exams)

This is included within the Access Arrangements policy (see appendices)

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

Separate Invigilation Policy

This is included within the Access Arrangements Policy

Candidates' difficulties must be established within the centre and be known to SENCo and KS4/5 Pastoral Staff. This should reflect their normal way or working in internal tests/mock examinations as a consequence of a long-term medical condition or long term social, mental or emotional needs.

This ensures that the needs of the candidate are met and those of the remaining candidates in the main examination rooms.

Senior Leaders, Teaching staff

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

Internal assessment and endorsements

Head of centre

Controlled assessments, coursework and non-examination assessments

- Ensures arrangements are in place to co-ordinate and standardise all marking of centre-assessed components and ensures that candidates' centre-assessed work is produced, authenticated and marked, or assessed and quality assured in accordance with the awarding bodies' instructions (including where relevant, private candidates)
- Ensures that teaching staff, in accordance with awarding bodies' instructions, return all subject-specific forms by the required date
- Provides fully qualified teachers to mark non-examination assessments
- Ensures an **internal appeals procedure** relating to internal assessment decisions is in place for a candidate (or parent/carer) to appeal against and request a review of the centre's marking (see Roles and responsibilities overview)
- Ensures a **non-examination assessment policy** is in place for GCE and GCSE qualifications which include components of non-examination assessment

Non-examination assessment policy

This is included in the appendices

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

Senior leaders

- Ensure teaching staff have the necessary and appropriate knowledge, understanding, skills, and training to set tasks, conduct task taking, and to assess, mark and authenticate candidates' work (including where relevant, private candidates)
- Ensure appropriate internal moderation, standardisation and verification processes are in place
- Ensure teaching staff delivering AQA Applied General qualifications, OCR Cambridge Nationals, Entry Level Certificate or Project qualifications (and CCEA GCE unitised AS and A-level qualifications WJEC GCE legacy AS and A-level Health & Social Care) follow JCQ Instructions for conducting coursework and the specification provided by the awarding body
- Ensures teaching staff delivering GCE & GCSE specifications (which include components of non-examination assessment) follow JCQ *Instructions for conducting non-examination assessments* and the specification provided by the awarding body
- For other qualifications, ensures teaching staff follow appropriate instructions issued by the awarding body
- Ensures teaching staff inform candidates of their centre assessed marks as a candidate may request a review of the centre's marking before marks are submitted to the awarding body

Teaching staff

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

Exams Officer

- Identifies relevant key dates and administrative processes that need to be followed in relation to internal assessment

- Signposts teaching staff to relevant JCQ *information for candidates* documents that are annually updated

Invigilation

Head of centre

- Ensures relevant support is provided to the EM in recruiting, training and deploying a team of invigilators
- Ensures, if contracting supply staff to act as invigilators or to facilitate an access arrangement, that such persons are competent and fully trained, understanding what is and what is not permissible
- Determines if additional invigilators will be deployed in timed Art exams in addition to the subject teacher

Exams Officer

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

Entries: roles and responsibilities

Estimated entries

Exams Officer

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

Estimated entries collection and submission procedure

Subjects requiring estimated entries are identified by the EM and the information is entered on the relevant awarding body's website as appropriate.

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

Senior Leaders

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

Final entries

Exams Officer

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

Final entries collection and submission procedure

Staff complete entry mark sheets. The information is entered on SIMS and EDI entries are made via the A2C connection.

Senior Leaders

- Provides information requested by the EM to the internal deadline
- Informs the EM 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 EM and confirms information is correct

Entry fees

- GCSE and GCE initial entry exam fees are paid by the centre.
- BTEC initial registration/entry fees are paid by the centre.
- Late entry or amendment fees are paid by the departments, unless late entry is due to changes on school roll.
- Candidates or departments will not be charged for changes of tier, withdrawals, or other alterations, provided that these are made within the time allowed by the awarding bodies.
- Reimbursement will be sought from candidates who fail to sit an exam or meet the necessary coursework/NEA requirements.
This fees reimbursement policy will be communicated to candidates and parents/carers at the start of GCSE and post-16 courses.
- Candidates must pay the fee for an enquiry about a result, should the centre not uphold the enquiry and the candidate insist on pursuing the enquiry.
- Candidates must pay the fee for access to scripts unless the request is made by the Subject Leader for Departmental reasons. In this case the fees will be charged to the department. (See RORs section)

Late entries

Exams Officer

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

Senior Leaders

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

Re-sit entries

- 6th Form candidates are entered for retakes in GCSE English and Mathematics to achieve a minimum of Grade 4. The fees for these are paid by the centre.
- It is not envisaged that retakes in reformed subjects at AS will be necessary but requests will be considered on an individual basis.
- Retake decisions will be made in consultation with the candidates, subject teachers, head of Post-16, EM and the HC as appropriate.

Private candidates

Private candidates are accepted in most circumstances. They are expected to pay their entry fees before the entry is made. They pay any additional invigilation costs that their entry incurs. An administration fee is payable per subject entered.

Candidate statements of entry

Exams Officer

- Provides candidates with statements of entry for checking

Teaching staff

- Ensure candidates check statements of entry and return any relevant confirmation required to the EM

Candidates

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

Pre-exams: roles and responsibilities

Access arrangements

SENCo

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

Briefing candidates

Exams Officer

- Issues individual exam timetable information to candidates and informs candidates of any contingency day awarding bodies may identify in the event of national or significant local disruption to exams
- Prior to exams issues relevant JCQ information for candidates documents
- Where relevant, issues relevant awarding body information to candidates

- Issues centre exam information to candidates including information on:
 - exam 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

Despatch of exam scripts

Exams Officer

- Identifies and confirms arrangements for the despatch 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

Senior Leaders

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

Exams Officer

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

Internal assessment and endorsements

Head of centre

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

SENCo

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

Teaching staff

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

Senior Leaders

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

Exams Officer

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

Candidates

- Authenticate their work as required by the awarding body

Invigilation

Exams Officer

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

SENCo

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

Invigilators

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

JCQ inspection visit

Exams Officer or Senior leader

- Will accompany the Inspector throughout the visit

SENCo or relevant Senior leader (in the absence of the SENCo)

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

Seating and identifying candidates in exam rooms

Exams Officer

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

Verifying candidate identity procedure

- A senior member of staff is present at the start of all large examinations. The school is sufficiently small for the EM to be familiar with students and would recognise anyone who is not on our roll. Students who have access arrangements are supported by CALSs who know the students. Sixth form students wear ID badges. At the start of each examination the EM visits all exam rooms to confirm the presence of candidates.
 - A private, external or transferred candidate who is not known to the school provides documentary evidence to prove that he/she is the same person who entered/registered for the examination/assessment, e.g. passport or photographic driving licence.
 - In cases where it is impossible to identify a candidate due to the wearing of religious clothing, such as a veil, the candidate should be approached by a member of staff of the same gender and taken to a private room where they should be politely asked to remove the religious clothing for identification purposes. Once identification has been established, the candidate should replace, for example, their veil and proceed as normal to sit the exam.
 - Invigilators will be informed of those candidates with access arrangements and made aware of the particular access arrangement(s) awarded.
- Ensures invigilators are aware of the procedure
 - Provides seating plans for exam rooms according to JCQ and awarding body requirements (and ensures candidates with access arrangements are identified on the seating plan and invigilators are informed of those candidates with access arrangements and made aware of the access arrangement(s) awarded)

Invigilators

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

Security of exam materials

Exams Officer

- Confirms appropriate arrangements are in place to ensure that confidential materials are only handed over to those authorised by the head of centre
- Ensures only persons authorised by the head of centre and the exams officer are allowed access to the centre's secure storage facility as one of the two to six key holders
- Has a process in place to demonstrate the receipt, secure movement and secure storage of confidential exam materials within the centre
- Ensures a log is kept at the initial point of delivery recording confidential materials received and signed for by authorised staff within the centre and that appropriate arrangements are in place for confidential materials to be immediately transferred to the secure storage facility until they can be removed from the dispatch packaging and checked in the secure room before being returned to the secure storage facility in timetable order
- Ensures the secure storage facility contains only current and live confidential material (ensuring that past examination question papers, internal tests and mock examinations are not kept in the centre's secure storage facility)
- Ensures that examination stationery, e.g. answer booklets and formula booklets are stored in the secure room (attempting to store this material in the secure storage facility, when sufficient space allows)
- Ensures the integrity and security of any electronic question paper is maintained during the downloading, printing and collating process (ensuring printing is carried out in an area that can be controlled to prevent unauthorised personnel accessing live assessment materials and ensuring only authorised members of centre staff have access to electronic question papers)

Reception staff

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

Teaching staff

- Adhere to the recording system to track confidential materials taken from or returned to secure storage throughout the time the material is confidential

Timetabling and rooming

Exams Officer

- Produces a master centre exam timetable for each exam series
- Identifies and resolves candidate exam clashes (only applying overnight supervision arrangements in rare and exceptional circumstances and as a last resort)

Overnight Supervision Policy

Overnight supervision will only be considered as a last resort and each case will be assessed on its circumstances.

The overnight supervision arrangements will ensure that the candidate does not have advance warning of the content of the examination deferred until the following morning. This means the candidate must not meet or communicate with anyone who may have knowledge of the content. This includes any form of electronic communication/storage device, e.g. telephone (both landline and mobile), e-mail, internet and social media. It also extends to television and radio, which could report key details of the day's examinations

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

SEnCo

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

Site staff

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

Alternative site arrangements

Exams Officer

- Ensures question papers will only be taken to an alternative site where the published criteria for an alternative site arrangement has been met
- Will inform the JCQ Centre Inspection Service using the JCQ *Alternative Site* form of any alternative sites that will be used to conduct timetabled examination components of the qualifications listed in the JCQ regulations

Transferred candidate arrangements

Exams Officer

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

Internal exams

Exams Officer

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

SENCo

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

Teaching staff

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

Exam time: roles and responsibilities

Access arrangements

Exams Officer

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

Candidate late arrival/absence

- As candidates enter the room Pastoral staff check for absentees. As soon as the exam has started attendance registers are collected by the Examinations Manager and Pastoral staff will then attempt to contact parents/carers to establish the whereabouts of absent candidates and the reason for their absence. All reasonable efforts will be made to facilitate a candidate's attendance. If a candidate does not attend then the KS4 Pastoral Leader will follow up to ensure that this is not repeated
- Late student have to enter the premises by the main Reception area and the Exams Officer is informed of their arrival. They are then collected from Reception and escorted to their exam seat.
- A candidate who arrives after the start of the examination will be allowed the full time for the examination, provided that adequate supervision arrangements can be put in place.
- If a candidate arrives very late (Section 21.3 JCQ ICE) then JCQ procedures will be followed.
- The parents/carers of persistently late candidates will be contacted by the KS4 Progress leader
- If a candidate is persistently absent from exams the matter will be investigated by the KS4 Pastoral Leader and appropriate action will be taken depending on the individual case and circumstances

Exams Officer

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

Invigilators

- Are informed of the policy/process for dealing with late/very late arrival candidates through training
- Ensure that relevant information is recorded on the exam room incident log
- Are informed of the policy/process for dealing with absent candidates through training
- Ensure that confirmed absent candidates are clearly marked as such on the attendance register and seating plan

Candidates

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

Candidate behaviour

See *Irregularities* below.

Candidate belongings

See *Unauthorised items* below.

Conducting exams

Head of Centre

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

Exams Officer

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

Despatch of exam scripts

Exams Officer

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

Exam papers and materials

Exams Officer

- Organises exam question papers and associated confidential resources in date order in secure storage
- Attaches erratum notices received to relevant exam question paper packets
- Collates attendance registers and examiner details in date order
- Regularly checks mail or inbox for updates from awarding bodies
- In order to avoid potential breaches of security, ensures care is taken to ensure the correct question paper packets are opened by ensuring a member of centre staff, additional to the person removing the papers from secure storage, e.g. an invigilator, checks the day, date, time, subject, unit/component and tier of entry, if appropriate, immediately before a question paper packet is opened
- Ensures this additional/second check is recorded
- Where allowed by the awarding body, only releases exam papers and materials to teaching departments for teaching and learning purposes after the published finishing time of the exam, or until any clash candidates have completed the exam

Exam rooms

Head of centre

- Ensures that internal tests, mock exams, revision or coaching sessions are not conducted in a room 'designated' as an exam room
- Ensures that when a room is 'designated' as an exam room it is not used for any purpose other than conducting external exams
- Ensures only approved centre staff (who have not taught the subject being examined) are present in exam rooms to perform permitted tasks
- Ensures the centre's policy relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates
- Ensures the centre's policy on candidates leaving the exam room temporarily is clearly communicated to candidates

Food and drink in exam rooms

Food is not allowed in the examination room. The only exception to this is if it is required for medical purposes. In this case it should be free of all packaging/labels. It must be shown to and be checked by an invigilator. The only drink allowed is water (unless there are medical grounds for requiring anything other than water). This should be in a clear plastic bottle (preferably with a pull-up top) and all labels should be removed.

Leaving the Examination Room Policy

Students may leave the exam room temporarily for comfort breaks if necessary. They **MUST** be accompanied at all times. Under normal circumstances the lost time will not be compensated for. However, if the student is unwell and has to leave the room on several occasions this may be allowed for.

The only other reason for students leaving the room is if they need a supervised rest break to move around due to medical reasons. They must be accompanied at all times. This will be compensated for.

All instances must be recorded in detail on the incident log so that appropriate action can be taken.

Exams Officer

- Ensures exam rooms are set up and conducted as required in the regulations
- Provides invigilators with appropriate resources to effectively conduct exams
- Briefs invigilators on exams to be conducted on a session by session basis (including the arrangements in place for any transferred candidates)
- Ensures sole invigilators have an appropriate means of summoning assistance
- Ensures invigilators understand how to deal with candidates who may need to leave the exam room temporarily
- Provides authorised exam materials which candidates are not expected to provide themselves
- Ensures invigilators and candidates are aware of the emergency evacuation procedure
- Ensures invigilators are aware of arrangements in place for a candidate with a disability who may need assistance if an exam room is evacuated

Senior leaders

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

Emergency evacuation procedure

This is included in the appendices

Site staff

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

Invigilators

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

Candidates

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

Irregularities

Head of centre

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

Senior leaders

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

Exams Officer

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

Invigilators

- Record any incidents or irregularities on the exam room incident log (for example, late/very late arrival, candidate or centre staff suspected malpractice, candidate illness, disruption or disturbance in the exam room, emergency evacuation)
- Invigilators should summon the EM if there are any behavioural problems. If the candidate would disrupt others by remaining in the room the HC may remove him/her.

Malpractice

See *Irregularities* above.

Special consideration

Senior leaders

Provide signed evidence to support eligible applications for special consideration

Exams Officer

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

Special consideration policy

This is included in the appendices

Candidates

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

Unauthorised items

Arrangements for unauthorised items taken into the exam room

Mobile phones/ipads etc and other unauthorised items are given in before the exam and removed from the room. Such items are returned once the exam is over. Other personal belongings not allowed at exam desks are placed out of reach of the candidates (and not under their desks) before the examination starts. This is usually at the front of the examination room or an alternative room (which is then secured) should one be available enabling the invigilator to control access to the items.

The invigilator, prior to the examination starting, must ensure that candidates have removed their wrist watches, placing them on their desks.

Invigilators

- Are informed of the arrangements through training

Internal exams

Exams Officer

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

Invigilators

- Conduct internal exams as briefed by the EM

Results and post-results: roles and responsibilities

Internal assessment

Subject Leaders

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

Managing results day(s)

Senior leaders

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

Exams Officer

- Works with senior leaders to ensure procedures for managing the main summer results day(s) (a results day programme) are in place.
 - Results day dates are placed on the school calendar and the school website
 - Students are notified of the time and place for results to be collected, and the procedures for receiving results if they are unable to collect them in person
 - Students are reminded of Post-results services and directed to other relevant information on the school website and in the exams handbook
 - Staff are booked to issue the results envelopes

Site staff

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

Accessing results

Head of Centre

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

Exams Officer

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

Post-results services

Access to scripts, reviews of results and appeals procedures

Results

- Candidates will receive individual results slips on results days in person at the centre / by post to their home address (candidates to provide LMT). Results will only be passed to a third party with the written consent of the candidate.
- Information regarding RORs and ATS will be available to candidates prior to results days via the school website and the exams handbook. A further copy will be included in results envelopes

RORs

- RORs may be requested by centre staff or candidates if there are reasonable grounds for believing there has been an error in marking.
- The written permission of the candidate/s involved must be obtained.
- When the centre does not uphold an ROR, a candidate may apply to have an enquiry carried out. If a candidate requires this against the advice of subject staff, they will be charged for any invoice raised by the examining board

ATS

- After the release of results, candidates may ask subject staff to request the return of papers. This request has to be made in advance of the published deadline. In the case of GCE papers a priority photocopy can be requested.
- The written permission of the candidate/s involved must be obtained.
- If a result is queried, the Exams Officer, teaching staff and Head of Centre will investigate the feasibility of asking for a re-mark at the centre's expense.
- Centre staff may also request scripts for investigation or for teaching purposes. For the latter, the consent of candidates must be obtained.
- Re-marks cannot be applied for once an original script has been returned.

Information will be made available to private candidates at the time of their entry and also on results day.

Appeals procedures

This is included in the Internal appeals policy

Head of centre

- Ensures an **internal appeals procedure** is available where candidates disagree with any centre decision not to support a clerical re-check, a review of marking, a review of moderation or an appeal
- Ensures that senior members of centre staff are available immediately after the publication of results
- Understands that if the centre has concerns about one of its component/subject cohorts, then requests for reviews of marking should be submitted for all candidates believed to be affected (candidate consent is required as marks and subject grades may be lowered, confirmed or raised)

Exams Officer

- Provides information to candidates (including private candidates) and staff on the services provided by awarding bodies and the fees charged (see also above *Briefing candidates* and *Access to scripts, Reviews of 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 to collect candidate informed consent (**after** the publication of results) and fees where relevant
- Submits requests to awarding bodies to meet the external deadline for the particular service
- Tracks requests to conclusion and informs candidates and relevant centre staff of outcomes
- Updates centre results information, where applicable

Teaching staff

- Meet internal deadlines to request the services and gain relevant candidate informed consent

Candidates

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

Analysis of results

Deputy head/Exams Officer

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

Certificates

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

Issue of certificates procedure

- Certificates will not be issued until on/after Upper School Celebration Evening in the Autumn Term, unless there are exceptional circumstances.
- Certificates will be collected in person and signed for. Certificates may be collected on behalf of a candidate by a third party, provided they have a written authorisation to do so.
- Certificates will only be posted out if a written request, confirming the address, is received. Candidates may be charged for the postage costs.
- A signature list is kept with each set of certificates recording the issue of certificates and is overseen by the EM.

Candidates

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

Retention of certificates policy

Unclaimed or uncollected certificates are retained for 10 years and then confidentially destroyed. This is overseen by the EM. A list is kept of destroyed certificates.

Review: roles and responsibilities

Exams Officer

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

Senior leaders

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

Retention of records: roles and responsibilities

Exams Officer

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

Exams archiving policy

This is included in the appendices

Escalation Process

Purpose of the process

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

Before examinations

In the event of the absence of the head of centre (Mr J Tickle) or the member of senior leadership with oversight of examination administration (Mr J Church), responsibility for implementing JCQ regulations and requirements relating to activity prior to examinations will be escalated to Mr G Holden (Assistant Head)

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

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

Main duties and responsibilities relate to:

- Centre status
- Confidentiality
- Communication
- Recruitment, selection and training of staff
- Internal governance arrangements
- Delivery of qualifications
- Public liability
- Conflicts of interest
- Controlled assessments, coursework and non-examination assessments
- Security of assessment materials
- National Centre Number Register
- Centre inspections
 - Additional JCQ publication for reference:
 - Centre Inspection Service Changes
- Policies
 - Specific JCQ publications for reference:
 - General Regulations for Approved Centres (section 5)
 - Instructions for conducting examinations (section 25)

- Access Arrangements and Reasonable Adjustments (section 5)
 - Personal data, freedom of information and copyright
- Additional JCQ publication for reference:
- Information for candidates – Privacy Notice

Centre-specific information for reference

Abbot Beyne examination related policies

Before examinations (Entries and Pre-exams)

In the event of the absence of the head of centre or the member of senior leadership with oversight of examination administration, responsibility for implementing JCQ regulations and requirements relating to entries and exam preparation will be escalated to Mr G Holden (Assistant Head)

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

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

Main duties and responsibilities relate to:

- Access arrangements and reasonable adjustments
- Entries

Additional JCQ publications for reference:

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

- Centre assessed work

Additional JCQ publication for reference:

- Guidance Notes – Centre Consortium Arrangements

- Candidate information

Additional JCQ publications for reference:

- Information for candidates documents
- Exam Room Posters

During examinations (Exam time)

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

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

- General Regulations for Approved Centres (sections 3, 5)
- Instructions for conducting examinations (sections 16-30)

- Access Arrangements and Reasonable Adjustments (section 8)
- A guide to the special consideration process (sections 2-7)

Main duties and responsibilities relate to:

- Conducting examinations and assessments
 - Additional JCQ publication for reference:
 - Guidance Notes – Very Late Arrival
- Malpractice
- Retention of candidates' work

After examinations (Results and Post-Results)

In the event of the absence of the head of centre or the member of senior leadership with oversight of examination administration, responsibility for implementing JCQ regulations and requirements relating to after examinations will be escalated to Mr G Holden (Assistant Head).

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

- General Regulations for Approved Centres (section 5)

Main duties and responsibilities relate to:

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

Examination Contingency Plan

Key staff involved in contingency planning

Role	Name(s)
Head of centre	Mr J Tickle
Exams Officer line manager	Mr J Church
Exams Officer	Miss L Taylor
SENCo	Mrs F Airey

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 Abbot Beyne School. By outlining actions/procedures to be invoked in case of disruption it is intended to mitigate the impact these disruptions have on our exam process.

Alongside internal processes, this plan is informed by the Ofqual Exam system contingency plan: England, Wales and Northern Ireland which provides guidance in the publication What schools and colleges and other centres should do if exams or other assessments are seriously disrupted and the JCQ Joint Contingency Plan in the event of widespread disruption to the Examination System in England, Wales and Northern Ireland.

This plan also confirms Abbot Beyne is compliant with the JCQ regulation (section 5.3, General Regulations for Approved Centres 2020-21) that the centre has in place a written examination contingency plan which covers all aspects of examination administration. This will allow members of the senior leadership team to act immediately in the event of an emergency or staff absence. The examination contingency plan should reinforce procedures in event of the centre being unavailable for examinations, or on results day, owing to an unforeseen emergency.

Possible causes of disruption to the exam process

1. Exam manager 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*
 - exam timetabling, rooming allocation; and invigilation schedules not prepared

- candidates not briefed on exam timetables and awarding body information for candidates
- confidential exam/assessment materials and candidates' work not stored under required secure conditions
- internal assessment marks and samples of candidates' work not submitted to awarding bodies/external moderators
- invigilators not trained or updated on changes to ICE
- *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:

- Comprehensive training programme in place for invigilators.
- Member of admin team trained to carry out most examination support.
- Regular meetings with Line Manager to update with forward planning
- Line Manager to oversee all processes through regular meetings throughout the examination cycle

2. SENCo extended absence at key points in the exam cycle

Criteria for implementation of the plan

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

- *Planning*
 - candidates not tested/assessed to identify potential access arrangement requirements
 - Centre fails to recognise its duties towards disabled candidates as defined under the terms of the Equality Act 2010
 - evidence of need and evidence to support normal way of working not collated
- *Pre-exams*
 - approval for access arrangements not applied for to the awarding body
 - centre-delegated arrangements not put into place
 - modified paper requirements not identified in a timely manner to enable ordering to meet external deadline
 - staff providing support to access arrangement candidates not allocated and trained
- *Exam time*
 - access arrangement candidate support not arranged for exam rooms

Centre actions:

- Support within department.
- Use ENTRUST SEN support when required
- Full liaison with Exams Officer throughout the year

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

- *Candidates not being informed of centre assessed marks before marks are submitted to the awarding body and therefore not being able to consider appealing internal assessment decisions and requesting a review of the centre's marking.*
- *Internal assessment marks and candidates' work not provided to meet awarding body submission deadlines*

Centre actions:

- Plan appropriate high quality cover
- Line Managers responsible for ensuring/overseeing departmental responsibilities are carried out

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:

- Plan ahead for invigilators and ensure pool is large enough.
- Use trained support staff if needed

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 unexpected incident at exam time*

Centre actions:

- School is under capacity, classes can be moved to Evershed at short notice if required.
- Dual site school

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:

- Internal deadlines always a week before board deadlines
- Inform examination board of issue
- Capita support contract covers SIMs
- Direct use of EAB secure websites, from an alternative site if necessary

7. Disruption of teaching time in the weeks before an exam – 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

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

Centre actions:

- Evershed can be used if available, close school for younger students.
- Liaise with other local schools to provide accommodation
- On-line learning provision in place

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

Criteria for implementation of the plan

• Candidates are unable to attend the examination centre to take examinations as normal
The centre to communicate with relevant awarding organisations at the outset to make them aware of the issue. The centre to communicate with parents, carers and candidates regarding solutions to the issue.

Centre actions:

- Inform exam board as soon as absence is known.
- Investigate possibility of exam being taken earlier/later in the session, in another session or at an alternative site, depending on the nature of the crisis

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

Criteria for implementation of the plan

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

Centre actions:

- Both sites unlikely to be able to open therefore use Evershed Building, closing it to lower school if necessary
- Inform exam board as soon as disruption is known.
- Liaise with local centres to find alternative accommodation

10. Disruption in the distribution of examination papers

Criteria for implementation of the plan

• Disruption to the distribution of examination papers to the centre in advance of examinations
The centre to communicate with awarding organisations to organise alternative delivery of papers.

Centre actions:

- Check papers are present at centre prior to examination
- Contact examination board as soon as problem is found
- Copy papers internally from electronic versions made available by EAB directly to the Exams Officer. All copies to be made and then stored under secure conditions.

11. Emergency evacuation of the exam room (or centre lock down)

Criteria for implementation of the plan

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

Centre actions:

- Follow procedures laid down in Lock Down/Evacuation Policies as appropriate

- Assess possibility of continuing examination subject to:
 - the length of time since the official start
 - whether the minimum time for remaining in the examination has passed to maintain the integrity of the examination
 - the amount of time left to complete the examination(s)
 - whether there is sufficient time to complete the examination(s) before another session starts
 - whether continuing the examination take candidates over the session limit of three hours, taking particular care to consider candidates with access arrangements which include extra time.
- Both sites unlikely to be unable to open therefore use Evershed Building, closing it to lower school if necessary.
- Inform exam board as soon as disruption is known.
- **Only if completely satisfied that no communication whatsoever has taken place will candidates be allowed to continue the examination.**

12. Disruption to the transportation of completed examination scripts

Criteria for implementation of the plan

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

The centre to communicate with relevant awarding organisations at the outset to resolve the issue.

Centre actions:

- Inform exam board as soon as disruption is known
- Yellow label parcels can be taken to a Post Office dealing with Parcel Force (Asda, Octagon Centre)
- Parcels to be stored securely until collected/despached

13. Assessment evidence is not available to be marked

Criteria for implementation of the plan

- Large scale damage to or destruction of completed examination scripts/assessment evidence before it can be marked.
- Completed examination scripts/assessment evidence does not reach awarding body

It is the responsibility of the head of centre to communicate this immediately to the relevant awarding organisation(s) and subsequently to students and their parents or carers.

Centre actions:

- Internal predicted grade sheets filled in prior to exam season.
- Mock papers/marks to be kept securely
- Inform examination board as soon as problem is found.

14. Centre unable to distribute results as normal or facilitate post results services

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.

Centres to contact awarding organisations about alternative options.

Centre actions:

- Inform exam board/SIMS support as soon as problem is found – subject to nature of difficulty
- In the event of Linnell not being available issue results from Evershed.

- Post results services can be administered from any machine with internet access

Further guidance to inform and implement contingency planning

Ofqual

1 Covid specific guidance:

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

1.2 General contingency guidance

- [Emergency planning and response](#) from the Department for Education in England
- [Opening and closing local-authority-maintained schools](#) from the Department for Education in England
- [Exceptional closure days](#) from the Department of Education in Northern Ireland
- [Checklist - exceptional closure of schools](#) from the Department of Education in Northern Ireland
- [School closures](#) from NI Direct
- [Opening schools in extremely bad weather](#) - guidance for schools from the Welsh Government
- [Procedures for handling bomb threats](#) from the National Counter Terrorism Security Office.
- [JCQ Joint Contingency Plan for the Examination System in England, Wales and Northern Ireland](#)

Wider communications

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

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

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

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

Widespread national disruption to the taking of examinations/assessments

The governments' view across England, Wales and Northern Ireland is education should continue in 2020/21 with schools remaining open and that examinations and assessments will go ahead in both autumn 2020 and summer 2021.

As education is devolved, in the event of any widespread sustained national disruption to examinations or assessments, national government departments will communicate with regulators, awarding organisations and centres prior to a public announcement. Regulators will provide advice to government departments on implications for exam timetables.

The qualification regulators, JCQ and government departments responsible for education have prepared and agreed information for schools and colleges in the event of examinations being seriously

disrupted. This jointly agreed information will ensure consistency of response in the event of major disruption to the examinations system affecting significant numbers of candidates.

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

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

The awarding bodies have designated Wednesday 24 June 2020 as a 'contingency day' for examinations. This is consistent with the qualification regulators' document Exam system contingency plan: England, Wales and Northern Ireland - <https://www.gov.uk/government/publications/examsystem-contingency-plan-england-wales-and-northern-ireland>

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

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

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

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

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

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

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

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

Instructions for Conducting Examinations <http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations>

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

GOV.UK

Emergency planning and response: Severe weather; Exam disruption

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

Teaching time lost due to severe weather conditions

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

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

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

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

Internal Appeals Policy

Role	Name(s)
Head of centre	Mr J Tickle
SLT member(s)	Mr J Church
Exams officer	Miss L Taylor

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

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

This procedure confirms Abbot Beyne's compliance with JCQ's *General Regulations for Approved Centres 2020-2021*, section 5.7 that the centre will

- *have in place and be available for inspection purposes, a written internal appeals procedure relating to internal assessment decisions and to ensure that details of this procedure are communicated, made widely available and accessible to all candidates*
- *before submitting marks to the awarding body inform candidates of their centre assessed marks and allow a candidate to request a review of the centre's marking*

Deadlines for the submission of marks

Date	Qualification	Details	Internal deadline for marks to students	Date of Deadline for marks to be given to students	Deadline date for Appeal form to be submitted by student
	GCSE	Final date for submission of marks (WJEC - Eduqas)	15 working days ahead of awarding body deadline		
	GCSE	Final date for submission of marks (AQA only – not Art)	15 working days ahead of awarding body deadline		
	GCSE	Final date for submission of marks (OCR, Pearson)	15 working days ahead of awarding body deadline		
	GCE	Final date for submission of marks (AQA, OCR, Pearson and WJEC) (not Art)	15 working days ahead of awarding body deadline		

	GCSE/GCE	Final date for submission of Art marks (AQA, OCR, Pearson and WJEC)	15 working days ahead of awarding body deadline		
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Abbot Beyne 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.

Abbot Beyne 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. Abbot Beyne is committed to ensuring that work produced by candidates is authenticated in line with the requirements of the awarding body. Where a number of subject teachers are involved in marking candidates' work, internal moderation and standardisation will ensure consistency of marking.

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

1. Abbot Beyne 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. These marks must be made available to students at least 15 Working days before the awarding body's deadline for submission of marks.
2. Abbot Beyne will inform candidates that they will need to explain on what grounds they wish to request a review of an internally assessed mark as a review will only focus on the quality of their work in meeting the published assessment criteria.
3. Abbot Beyne will inform candidates that they may request copies of materials ((for example, as a minimum, a copy their marked assessment material (work) and the mark scheme or assessment criteria plus additional materials which may vary from subject to subject) to assist them in considering whether to request a review of the centre's marking of the assessment.
4. Abbot Beyne will, having received a request for copies of materials, promptly make them available to the candidate (or for some marked assessment materials, such as art work and recordings, inform the candidate that these will be shared under supervised conditions) within 2 working days.
5. Abbot Beyne will inform candidates they will not be allowed access to original assessment material unless supervised
6. Abbot Beyne will provide candidates with sufficient time in order to allow them to review copies of materials and reach a decision, informing candidates that if their decision is to request a review they will need to explain what they believe the issue to be
7. Requests for reviews of marking **must** be made in writing within 5 working days of receiving the marks by completing the **internal appeals form**.

8. Abbot Beyne 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.
9. Abbot Beyne 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.
10. Abbot Beyne will instruct the reviewer to ensure that the candidate's mark is consistent with the standard set by the centre.
11. The candidate will be informed in writing of the outcome of the review of the centre's marking.

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

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

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

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

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

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 and are included in candidates' results envelopes and examination handbooks.

Candidates are also informed of the arrangements for post-results services and the availability of senior members of centre staff immediately after the publication of results, **before** they sit any exams by including this information on the school website and issuing a letter to all examination candidates when they receive their statement of entry.

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

The JCQ post-results services currently available are detailed below.

Reviews of Results (RoRs):

- Service 1 (Clerical re-check)

This is the only service that can be requested for objective tests (multiple choice tests)

- Service 2 (Review of marking)
- Priority Service 2 (Review of marking)

This service is only available for externally assessed components of GCE A-level specifications (an individual awarding body may also offer this priority service for other qualifications)

- Service 3 (Review of moderation)

This service is not available to an individual candidate

Access to Scripts (ATS):

- Copies of scripts to support reviews of marking
- copies of scripts to support teaching and learning

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

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

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

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

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

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

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

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

If the candidate (or 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 7 calendar days prior to the internal deadline for submitting an ROR.

The appellant will be informed of the outcome of his/her appeal before the internal deadline for submitting an ROR.

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

Where the head of centre is satisfied after receiving the ROR outcome, but the candidate (or 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.

The **internal appeals form** should be completed and submitted to the centre within 10 calendar days of the notification of the outcome of the ROR. Subject to the head of centre's decision, this will allow the centre to process the preliminary appeal and submit to the awarding body within the required **30 calendar days** of receiving the outcome of the 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.

FOR CENTRE USE ONLYDate
receivedReference
No.**Internal appeals form**

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

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

Name of appellant		Candidate name if different to appellant	
Awarding body		Exam paper code	
Qualification Type 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

Further guidance to inform and implement appeals procedures

JCQ

General Regulations for Approved Centres

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

Post-Results Services

<https://www.jcq.org.uk/exams-office/post-results-services>

JCQ Appeals Booklet

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

Notice to Centres - Reviews of marking (centre assessed marks)

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

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

<https://www.jcq.org.uk/exams-office/non-examination-assessments>

Ofqual

GCSE (9 to 1) qualification-level conditions and requirements

<https://www.gov.uk/government/publications/gcse-9-to-1-qualification-level-conditions>

GCSE (A* to G) qualification-level conditions and requirements

<https://www.gov.uk/government/publications/gcse-a-to-g-qualification-level-conditions-and-requirements>

GCE qualification-level conditions and requirements

<https://www.gov.uk/government/publications/gce-qualification-level-conditions-and-requirements>

Pre-reform GCE qualification-level conditions and requirements

<https://www.gov.uk/government/publications/gce-qualification-level-conditions-for-pre-reform-qualifications>

Equalities Policy (Exams)

Key staff involved in the policy

Role	Name(s)
SENCo	Mrs F Airey
SENCo line manager (Senior Leader)	Mr J Tickle
Head of centre	Mr J Tickle
Assessor(s)	Mrs F Airey
Exams Officer	Miss L Taylor
Access arrangement facilitator(s)	LSAs

Purpose of the policy

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

“recognise its duties towards disabled candidates, including private candidates, as defined under the terms of the Equality Act 2010. This must include a duty to explore and provide access to suitable courses, through the access arrangement process submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates...”

JCQ's General regulations for approved centres 2020-2021 (5.4)]

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

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

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

The Equality Act 2010 definition of disability

This definition is provided on page 4 of the JCQ publication *Adjustments for candidates with disabilities and learning difficulties* Access Arrangements and Reasonable Adjustments 2021-2022

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

Generally, impairments have to meet the statutory requirements set out in section 6 and Schedule 1 to the Equality Act 2010 and associated regulations.

The Equality Act 2010 definition of disability is usually considered cumulatively in terms of:

- identifying a physical or mental impairment;
- looking into adverse effects and assessing which are substantial;
- considering if substantial adverse effects are long term;
- judging the impact of long term adverse effects on normal day to day activities.

Statutory guidance on the Equality Act 2010 definition of disability has been produced by the Office for Disability Issues (within the Department for Work and Pensions) to help better understand and apply this definition - <http://odi.dwp.gov.uk/docs/wor/new/ea-guide.pdf>

The clear starting point in the statutory guidance is that disability means 'limitations going beyond the normal differences in ability which may exist among people'.

'**Substantial**' means 'more than minor or trivial'. Substantial adverse effects can be determined by looking at the effects on a person with the impairment, comparing those to a person without the impairment, to judge if the difference between the two is more than minor or trivial.

'**Long term**' means the impairment has existed for at least 12 months, or is likely to do so.

'**Normal day to day activities**' could be determined by reference to the illustrative, non-exhaustive list of factors in pages 47 to 51 of the statutory guidance relating to the Equality Act 2010.

(Study and education related activities are included in the meaning of 'day to day' activities.)

The guidance from the Office for Disability Issues referred to above illustrates the factors which might reasonably be regarded as having a substantial adverse effect on normal day to day activities.

Factors that might reasonably be expected not to have a substantial adverse effect are also provided.

Factors that might reasonably be expected to have a substantial adverse effect include:

- persistent and significant difficulty in reading and understanding written material where this is in the person's native language, for example because of a mental impairment, a learning difficulty or a sensory or multi-sensory impairment;
- persistent distractibility or difficulty concentrating;
- difficulty understanding or following simple verbal instructions;
- physical impairment – for example, difficulty operating a computer because of physical restrictions in using a keyboard.

Factors that might reasonably be expected not to have a substantial adverse effect include:

- minor problems with writing or spelling;
- inability to read very small or indistinct print without the aid of a magnifying glass;
- inability to converse orally in a language which is not the speaker's native spoken language.

Identifying Need: 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, evidence of the assessor's qualification(s) is obtained before he/she assesses candidates and that evidence of the qualification(s) of the person(s) appointed is held on file

Senior leaders

- Are familiar with the entire contents of the annually updated JCQ publications including GR and AA
- Ensures the qualified assessor(s) has access to the assessment objectives for the relevant specification(s) a candidate is undertaking

Special educational needs coordinator (SENCo)/ Assessor of candidates with learning difficulties

- Has full knowledge and understanding of the contents, refers to and directs relevant centre staff to the annually updated JCQ publication AA
- Ensures the assessment process is administered in accordance with the regulations and that the correct procedures are followed as per Chapter 7 of AA
- Ensures a policy demonstrating the centre's compliance with relevant legislation is in place
- 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
- Defines and documents roles, responsibilities and processes in identifying, requesting and implementing access arrangements (Access arrangements policy)
- 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
- Ensures the need for access arrangements for a candidate is considered on a subject by subject basis
- 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
- 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

Teaching staff

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

CALs/Support Staff

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

Assessor of candidates with learning difficulties (SENCo)

- Has detailed understanding of the JCQ publication AA

Examinations Manager

- 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

Word Processor Policy (exams) included as an appendix at the end of this document

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
- Follows guidance in AA Section 8 to process approval applications for access arrangements for those qualifications included
- Applies for approval where this is required, through *Access arrangements online* (AAO)

- Ensures appropriate and required evidence is held on file to confirm validation responses in AAO including (where required) the completion of JCQ Form 8 (Application for access arrangements – Profile of learning difficulties), and/or centre based evidence including concise file note(s) on centre headed paper, signed and dated, and a body of evidence to substantiate the candidate's normal way of working within the centre (Form 8 must only be used for candidates with learning difficulties who are not subject to a current EHCP or Statement of Special Educational Needs or those requiring a Language Modifier.)
- Ensures where form 8 is required to be completed, the original form is signed (a handwritten, electronic or typed signature is acceptable) and dated as required **prior** to approval being sought and that the form is provided for processing and inspection purposes (This may be a hard copy paper version or an electronic version).
- 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 processed at the start of the course and at the latest by the awarding body deadline
- Maintains a file/e-folder for each candidate (the required documentation for a candidate will either be all in hard copy within the candidate's file or all in electronic format within the candidate's e-folder) 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 covered by AAO (where approval is required), a print out/PDF of the AAO approval and a signed candidate personal data consent form (which provides candidate consent to their personal details being shared)
- Presents the files/e-folders when requested by a JCQ Centre Inspector and addresses any queries/questions raised
- Liaises with teaching staff regarding any appropriate modified paper requirements for candidates

Student Support Officer

- If the SENCo is unavailable, presents the files/e-folders of access arrangements candidates when requested by a JCQ Centre Inspector and addresses any queries/questions raised

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 EM role
- Applies for approval where this is required through the awarding body where qualifications sit outside the scope of AAO
- Liaises with the SENCo 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; *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 SENCo, the exams officer and other relevant centre staff in ensuring appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams

Special educational needs coordinator (SENCo)

- Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access for candidates where they are disabled within the meaning of the Equality Act (unless a temporary emergency arrangement is required at the time of an exam)
- 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
- Monitors, in internal tests/mock exams, the use of arrangements granted to a candidate and where a candidate has never made use of the arrangement, may consider withdrawing the arrangement, provided the candidate will not be placed at a substantial disadvantage
- Liaises with the Exams Officer regarding facilitation and invigilation of access arrangement candidates in exams
- Appoints appropriate centre staff as facilitators to support candidates (practical assistant, prompter, Language Modifier, reader, scribe or Communication Professional)
- Ensures facilitators supporting candidates are appropriately trained and understand the rules of the particular access arrangement(s)
- Ensures a record of the content of training given to those facilitating an access arrangement for a candidate under examination conditions is kept and retained on file until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later
- 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 EM to ensure that invigilators are made aware of the Equality Act 2010 and are trained in disability issues
- Liaises with the EM where a facilitator may be required to support a candidate requiring an emergency (temporary) access arrangement at the time of exams

Exams Officer

- Understands and follows instructions for *Invigilation arrangements for candidates with access arrangements* and *Access arrangements* in ICE 2021-2022
- Is familiar with the instructions for *Invigilation arrangements for candidates with access arrangements* and *Access arrangements* in ICE 2021-2022
- 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
- Monitors, in internal tests/mock exams, the use of arrangements granted to a candidate and where a candidate has never made use of the arrangement, may consider withdrawing the arrangement, provided the candidate will not be placed at a substantial disadvantage
- 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 and the role of any facilitator
- Ensures where the candidate's own subject teacher will be used (in exceptional circumstances) as a facilitator, an invigilator will be present at all times
- Ensures where a facilitator is allocated to support a candidate under exam conditions that they will not be a relative, friend, peer or private tutor of the candidate
- Ensures that a facilitator acting as a prompter will not normally be the candidate's own subject teacher and must not be a relative, friend or peer of the candidate (understanding that a private tutor cannot act as a prompter for a candidate)
- Ensures cover sheets, where these are required by the arrangement are completed as required by facilitators
- Liaises with the SENCo and other relevant centre staff to ensure appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams
- Liaises with the SENCo to ensure 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 the SENCo regarding the facilitation and invigilation of access arrangement candidates
- Liaises with the SENCo regarding rooming of access arrangement candidates
- Liaises with the SENCo to ensure that invigilators are made aware of the Equality Act 2010 and are trained in disability issues
- 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 candidates with access arrangements are identified on exam room seating plans and invigilators are made aware of the arrangements awarded and invigilators informed of those candidates with access arrangements and made aware of the access arrangements awarded
- 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)
- 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 awarding body's 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 particular arrangements
- 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
- 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

CALSs/Invigilators

- 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
- Is familiar with the instructions for *Invigilation arrangements for candidates with access arrangements* and *Access arrangements* in ICE 2021-2022

Internal assessments

These are non-examination assessments (NEA) which are normally set by a centre/awarding body, marked and internally moderated by the centre and externally moderated by the awarding body. *“Externally marked and/or externally set practical examinations taken at different times across centres are classified as ‘NEA’.”*

Special educational needs coordinator (SENCo)

- 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 a candidate has had appropriate opportunities to practise the access arrangement(s) before his/her first examination
- Ensures facilitators supporting candidates are appropriately trained and understand the rules of the particular access arrangement(s)
- 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 SENCo in implementing appropriate access arrangements for candidates
- Ensures cover sheets are completed as required by facilitators
- Provide the SENCo with assessment schedules to ensure arrangements are put in place when required
- Liaise with the SENCo 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. At Abbot Beyne these are conducted under the same arrangements as external exams

Special educational needs coordinator (SENCo)

- Liaises with EM to implement appropriate access arrangements for candidates

Exams Officer

- Support the SENCo in implementing appropriate access arrangements for candidates
- Provide the SENCo with internal exam timetable to ensure arrangements are put in place when required

Teaching Staff

- Provide exam materials that may need to be modified for a candidate

Facilitating access

The following information confirms Abbot Beyne's good practice in relation to the Equality Act 2010 and the conduct of examinations.

On a candidate by candidate basis, consideration is given to

- adapting assessment arrangements
- adapting assessment materials
- the provision of specialist equipment or adaptation of standard equipment
- adaptation of the physical environment for access purposes (no candidates currently identified)

Complaints & Appeals Policy

Purpose of the procedure

This procedure confirms Abbot Beyne's compliance with JCQ's *General Regulations for Approved Centres 2021-2022, section 5.8* that the centre has in place "...a written complaints and appeals procedure which will cover general complaints regarding the centre's delivery or administration of a qualification."

Grounds for complaint

A candidate (or his/her/parent/carer) may make a complaint on the grounds below

Teaching and learning

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

Access arrangements

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

Entries

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

Conducting examinations

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

Results and Post-results

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

Complaints and appeals procedure

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

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

How to make a formal complaint

- A formal complaint should be submitted in writing by completing a **complaints and appeals form**
- Forms are available from the Exams Officer
- Completed forms should be returned to the Head of Centre
- Forms received will be logged by the centre and acknowledged within 5 calendar days

How a formal complaint is investigated

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

Appeals

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

- Any appeal must be submitted in writing by again completing a **complaints and appeals form**.
- Forms received will be logged by the centre and acknowledged within 5 working days.
- The appeal will be referred to the Chair of Governors for consideration.
The Chair of Governors will inform the appellant of the final conclusion in due course.

Complaints and appeals form

Please tick box to indicate the nature of your complaint/appeal

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

FOR CENTRE USE ONLY	
Date received	
Reference No.	

Name of complainant/appellant	
Candidate name if different to complainant/appellant	
Please state the grounds for your complaint/appeal below	
<p>If your complaint is lengthy please write as bullet points; please keep to the point and include relevant detail such as dates, names etc. and provide any evidence you may have to support what you say</p> <p>Your appeal should identify the centre's failure to follow procedures as set out in the relevant policy, and/or issues in teaching and learning which have impacted the candidate</p> <p><i>If necessary, continue on an additional page if this form is being completed electronically or overleaf if hard copy being completed</i></p>	
Detail any steps you have already taken to resolve the issue(s) and what you would consider to be a good resolution to the issue(s)	
Complainant/appellant signature:	Date of signature:

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

Data Protection (Exams) Policy

Key staff involved in the policy

Role	Name(s)
Head of centre	Mr J Tickle
Exams officer	Miss L Taylor
Senior leader	Mr G Holden, Mr J Church
IT manager	Mr K Hems

Purpose of the Policy

This policy details how Abbot Beyne School, in relation to exams management and administration, ensures compliance with the regulations as set out by the Data Protection Act (DPA) and General Data Protection Regulation (GDPR).

Students are given the right to find out what information the centre holds about them, how this is protected, how this can be accessed and how data breaches are dealt with.

All exams office staff responsible for collecting and sharing candidates' data are required to follow strict rules called 'data protection principles' ensuring the information is:

- used fairly and lawfully
- used for limited, specifically stated purposes
- used in a way that is adequate, relevant and not excessive
- accurate
- kept for no longer than is absolutely necessary
- handled according to people's data protection rights
- kept safe and secure
- not transferred outside the European Economic Area without adequate protection

To ensure that the centre meets the requirements of the DPA and GDPR, all candidates' exam information – even that which is not classified as personal or sensitive – is covered under this policy.

Section 1 – Exams-related information

There is a requirement for the exams office(r) to hold exams-related information on candidates taking external examinations. For further details on the type of information held please refer to *Section 4 – Candidate information, audit and protection measures*.

Candidates' exams-related data may be shared with the following organisations:

- Awarding bodies
- Joint Council for Qualifications
- Department for Education; Local Authority; SISRA; the Press

This data may be shared via one or more of the following methods:

- hard copy
- email
- secure extranet site(s) – eAQA; OCR Interchange; Pearson Edexcel Online; WJEC Secure services; SISRA

- a Management Information System (MIS) provided by Capita SIMS) sending/receiving information via electronic data interchange (EDI) using A2C to/from awarding body processing systems

This data may relate to exam entries, access arrangements, the conduct of exams and non-examination assessments, special consideration requests and exam results/post-results/certificate information.

Section 2 – Informing candidates of the information held

Abbot Beyne School ensures that candidates are fully aware of the information and data held.

All candidates are:

- informed via the school privacy notice
- the exams handbook, which contains the JCQ Information for candidates – Privacy Notice
- given access to this policy via written request

Candidates are made aware of the above at the start of their course of study leading to external examinations.

Candidates eligible for access arrangements are also required to provide their consent by signing the GDPR compliant JCQ candidate personal data consent form (Personal data consent, Privacy Notice (AAO) and Data Protection confirmation) before access arrangements approval applications can be processed online.

Section 3 – Dealing with data breaches

Although data is handled in line with DPA/GDPR regulations, a data breach may occur for any of the following reasons:

- loss or theft of data or equipment on which data is stored
- inappropriate access controls allowing unauthorised use
- equipment failure
- human error
- unforeseen circumstances such as a fire or flood
- hacking attack
- ‘blagging’ offences where information is obtained by deceiving the organisation who holds it

If a data protection breach is identified, the following steps will be taken:

1. Containment and recovery

The Compliance Team will lead on investigating the breach.

It will be established:

- who needs to be made aware of the breach and inform them of what they are expected to do to assist in the containment exercise. This may include isolating or closing a compromised section of the network, finding a lost piece of equipment and/or changing the access codes
- whether there is anything that can be done to recover any losses and limit the damage the breach can cause. As well as the physical recovery of equipment, this could involve the use of back-up hardware to restore lost or damaged data or ensuring that staff recognise when someone tries to use stolen data to access accounts
- which authorities, if relevant, need to be informed

2. Assessment of ongoing risk

The following points will be considered in assessing the ongoing risk of the data breach:

- what type of data is involved?
- how sensitive is it?
- if data has been lost or stolen, are there any protections in place such as encryption?
- what has happened to the data? If data has been stolen, it could be used for purposes which are harmful to the individuals to whom the data relates; if it has been damaged, this poses a different type and level of risk
- regardless of what has happened to the data, what could the data tell a third party about the individual?
- how many individuals' personal data are affected by the breach?
- who are the individuals whose data has been breached?
- what harm can come to those individuals?
- are there wider consequences to consider such as a loss of public confidence in an important service we provide?

3. Notification of breach

Notification will take place to enable individuals who may have been affected to take steps to protect themselves or to allow the appropriate regulatory bodies to perform their functions, provide advice and deal with complaints.

4. Evaluation and response

Once a data breach has been resolved, a full investigation of the incident will take place. This will include:

- reviewing what data is held and where and how it is stored
- identifying where risks and weak points in security measures lie (for example, use of portable storage devices or access to public networks)
- reviewing methods of data sharing and transmission
- increasing staff awareness of data security and filling gaps through training or tailored advice
- reviewing contingency plans

Section 4 – Candidate information, audit and protection measures

For the purposes of this policy, all candidates' exam-related information – even that not considered personal or sensitive under the DPA/GDPR – will be handled in line with DPA/GDPR guidelines.

An information audit is conducted annually

The table below details the type of candidate exams-related information held, and how it is managed, stored and protected

Protection measures may include:

- password protected area on the centre's intranet
- secure drive accessible only to selected staff
- information held in secure area

Section 5 – Data retention periods

Details of retention periods, the actions taken at the end of the retention period and method of disposal are contained in the centre's Exams archiving policy which is available as an appendix in the Examinations Policy. Additionally, this is included in section 7.

Section 6 – Access to information

The GDPR gives individuals the right to see information held about them. This means individuals can request information about them and their exam results, including:

- their mark
- comments written by the examiner
- minutes of any examination appeals panels

This does not however give individuals the right to copies of their answers to exam questions.

Requesting exam information

Requests for exam information can be made to Mr J Church in writing/email. ID will need to be confirmed by photographic documents eg passport if a former candidate is unknown to current staff.

A decision will be made by head of centre as to whether the student is mature enough to understand the request they are making, with requests considered on a case by case basis.

Responding to requests

If a request is made for exam information before results have been announced, a request will be responded to:

- within five months of the date of the request, or
- within 40 days from when the results are published (whichever is earlier).

If a request is made once exam results have been published, the individual will receive a response within one month of their request.

Third party access

Permission should be obtained before requesting personal information on another individual from a third-party organisation.

Candidates' personal data will not be shared with a third party [insert your centre's process for sharing data with a third-party e.g. unless a request is accompanied with permission from the candidate and appropriate evidence (where relevant), to verify the ID of both parties, provided].

In the case of looked-after children or those in care, agreements may already be in place for information to be shared with the relevant authorities (for example, the Local Authority). The centre's Data Protection Officer will confirm the status of these agreements and approve/reject any requests.

Section 7 – Table recording candidate exams-related information held

For details of how to request access to information held, refer to section 6 of this policy (**Access to information**)

For further details of how long information is held, refer to section 5 of this policy (**Data retention periods**)

Information type	Information description (where required)	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
Access arrangements information		Candidate name Candidate DOB Gender Data protection notice (candidate signature) Diagnostic testing outcome(s) Specialist report(s) (may also include candidate address) Evidence of normal way of working	Access arrangements online MIS Lockable metal filing cabinet	Secure user name and password Secure user name and password SENCO	Hard copies shredded after student has left school
Attendance registers copies		Candidate name	Exams Office	In secure area solely assigned to exams	Until EAR deadline
Candidates' work	Awaiting despatch to EAB/ returned NEA etc	Candidate Name	Exams Office	In secure area solely assigned to exams	Until EAR deadline
Certificates		Candidate Name Candidate DoB Candidate results Candidate results	Exams Office	In secure area solely assigned to exams	Min 12 months

Information type	Information description (where required)	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
Certificate destruction information	.	Candidate Name Candidate DoB Candidate results	Exams Office	In secure area solely assigned to exams	4 years
Certificate issue information		Candidate Name/signature	Exams Office	In secure area solely assigned to exams	5 years
Conflicts of Interest records		Staff personal details	Exams Office	In secure area solely assigned to exams	To be retained until after EAR deadline for the last season of the year
Entry information		Candidate Name Candidate DoB ULN UCI	Exams Office MIS	In secure area solely assigned to exams Secure user name and password	To be retained until after EAR deadline for the season – hard copy
Exam room incident logs		Candidate name/incident	Exams Office	In secure area solely assigned to exams	Until EAR deadline
Overnight supervision information		Candidate name/entry info	Exams Office	In secure area solely assigned to exams	Until EAR deadline

Information type	Information description (where required)	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
Post-results services: confirmation of candidate consent information		Candidate name Candidate signature Candidate results	Exams Office	In secure area solely assigned to exams	6 months
Post-results services: requests/outcome information		Candidate name UCI	Exams Office MIS	In secure area solely assigned to exams Secure user name and password	12 months
Post-results services: scripts provided by ATS service		Candidate name (may have requested it to be removed) Candidate marks	Exams Office Exams Office computer Teaching staff	In secure area solely assigned to exams Secure user name and password Lockable filing cabinet	Exam office copies - 2 years
Post-results services: tracking logs		Candidate name/service	Exams Office computer	Secure username and password	12 months
Private candidate information		Candidate name Candidate Dob Candidate address/email/phone	Exams Office	In secure area solely assigned to exams	12 months

Information type	Information description (where required)	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
Resolving clashes information		Candidate name/signature	Exams Office	In secure area solely assigned to exams	Until EAR deadline
Results information		Candidate name UCI Candidate results	Exams Office MIS/Exams Office computer	In secure area solely assigned to exams Secure user name and password	5 years
Seating plans			Exams Office MIS	In secure area solely assigned to exams Secure user name and password	Until EAR deadline
Special consideration information		Candidate name Personal info relating to request	Exams Office	In secure area solely assigned to exams	Until EAR deadline
Suspected malpractice reports/outcomes		Candidate name Personal info relating to request	Exams Office	In secure area solely assigned to exams	Until EAR deadline
Transferred candidate information		Candidate name Candidate DoB UCI	Exams Office	In secure area solely assigned to exams	Until EAR deadline

Information type	Information description (where required)	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
Very late arrival reports/outcomes		Candidate name Details relating to request	Exams Office	In secure area solely assigned to exams	Until EAR deadline

Access Arrangements Policy

Key staff involved in the policy

Role	Name(s)
ALS lead/SENCo	Mrs F Airey
ALS lead/SENCo line manager (Senior leader)	Mr J Tickle
Head of centre	Mr J Tickle
Assessor(s)	Mrs F Airey
Access arrangement facilitator(s)	LSAs

What are access arrangements and reasonable adjustments?

Access arrangements

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

Reasonable adjustments

The Equality Act 2010 requires an awarding body to make reasonable adjustments where a candidate, who is disabled within the meaning of the Equality Act 2010, would be at a substantial disadvantage in comparison to someone who is not disabled. The awarding body is required to take reasonable steps to overcome that disadvantage. An example would be a Braille paper which would be a reasonable adjustment for a vision impaired candidate who could read Braille. A reasonable adjustment may be unique to that individual and may not be included in the list of available access arrangements. Whether an adjustment will be considered reasonable will depend on a number of factors which will include, but are not limited to:

- the needs of the disabled candidate;
- the effectiveness of the adjustment;
- the cost of the adjustment; and
- the likely impact of the adjustment upon the candidate and other candidates.

An adjustment will not be approved if it:

- involves unreasonable costs to the awarding body;
- involves unreasonable timeframes; or
- affects the security and integrity of the assessment.

This is because the adjustment is not ‘reasonable’.”

Purpose of the policy

The purpose of this policy is to confirm that Abbot Beyne School has a written record which clearly shows the centre is leading on the access arrangement process and is complying 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 maintained and held by the ALS lead/SENCo alongside the individual files of each access arrangements candidate. Each file/e-folder contains detailed records of all the essential information that is required to be held according to the regulations.

Where the SENCo is storing access arrangements documentation electronically he/she **must** create an e-folder for each individual candidate. The candidate’s e-folder must hold each of the required documents for inspection. (AA 4.2)

This policy is annually reviewed to ensure that processes 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*.

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

General principles

The general principles of access arrangements for the centre to consider are detailed in AA (section 4.2). These include:

The purpose of an access arrangement is to ensure, where possible, that barriers to assessment are removed for a disabled candidate preventing him/her from being placed at a substantial disadvantage due to persistent and significant difficulties. The integrity of the assessment is maintained, whilst at the same time providing access to assessments for a disabled candidate.

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

Arrangements must always be approved before an examination or assessment.

The arrangement(s) put in place must reflect the support given to the candidate in the centre.

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

Equalities Policy (Exams)

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

This is included as an appendix.

The Access Arrangements Policy further covers the assessment process and related issues in more detail.

The assessment process

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

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

The current assessor is Mrs Fiona Airey.

Qualification held: Post Graduate Certificate in SLD from Manchester Metropolitan University and Post Graduate Diploma in SLD from Manchester Metropolitan University

Appointment of assessors of candidates with learning difficulties

At the point an assessor is engaged/employed at Abbot Beyne, evidence of the assessor's qualification is obtained and checked against the current requirements in AA. This process is carried out prior to the assessor undertaking any assessment of a candidate

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

The Headteacher is responsible for appointing the assessor and personally checking the qualifications held of those assessing candidates (e.g. photocopy of certificate or printout).

The qualifications must comply with the guidelines laid out in AA7.

Evidence of the assessor's qualification/s must be held on file for inspection purposes and presented to the JCQ Centre Inspector by the SENCo (AA7.3)

Process for the assessment of a candidate's learning difficulties by an assessor

A history of need is collected from Primary school for each student. At the start of year 7, students are assessed to determine the level of support that is appropriate and required for each individual. These needs are monitored throughout KS3. At this stage needs are identified, rather than formally assessed. Adjustments to teaching within lessons are then made according to need to enable a student to access their learning and make progress. All staff are involved in monitoring the adjustments.

In the second half of the third term of Year 9 students are assessed for access arrangements in a whole year group screening by our fully qualified SpLD Assessor. Those students who demonstrate persistent difficulties are individually assessed and the most appropriate support is applied for from the awarding bodies. The student's normal way of working is reflected in the Access Arrangement which has been put in place. Our SpLD Assessor attends an annual up-date to ensure compliance with any changes to the JCQ regulations ensuring that the assessment process is administered correctly. Form 8's are completed, signed and dated by hand, by our Specialist Assessor. Once the form 8 is completed the candidate has an individual meeting with the Specialist Assessor to explain the application process, what information about them will be shared and with whom and the law regarding Data Protection. The student is asked to complete a Data Protection Notice and a letter is sent home to explain to parent/carers the nature of the changes that have been made.

Painting a 'holistic picture of need, confirming normal way of working

All assessment evidence is retained and kept on individual files for each student who have Access Arrangements in place. All tests used are approved by the awarding body and marked against

Standardised Scores. All tests and scoring are administered by the Specialist Assessor. Information regarding scores is recorded on the JCQ form 8 by the Specialist Assessor.

Teachers and support staff are asked to make individual comments with regard to those students who have been identified as having specific difficulties. They are asked to complete an internal form regarding the needs of the student. Staff are also asked to provide evidence of examples such as unfinished timed tests or handwriting samples which are kept on file. Information collected in KS2/3 and a record of the support that was put in place such as, in class support, small group or one to one support are kept on file. Information regarding students specific circumstances or learning difficulties are kept on file along with reports from outside agencies, parents or students own concerns. Those students who have been awarded an Access Arrangement will routinely be given that provision in the classroom as their normal way of working. The support given in the centre reflects the arrangement put in place for the examination series. All background information, support and or interventions are recorded in Section A of form 8.

Processing access arrangements

Arrangements requiring awarding body approval

Access arrangements online (AAO) is a tool provided by JCQ member awarding bodies for centres to apply for required access arrangement approval for the qualifications listed on page 2 of [AA](#). This tool also provides the facility to order modified papers for those qualifications listed on page 74.

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

SENCO (or a delegated member of the SEN team) processes all AA Arrangements online, paperwork is held securely in SENCO office. SENCO and EM liaise to ensure all deadlines are met well in advance of any exam entries. All applications notified and confirmed to students, teachers, parents/guardians.

Centre-delegated access arrangements

Word processor use, separate room and rest breaks are dealt with internally on a needs basis, after referral from teaching staff or Pastoral staff, and with consultation by the SENCO. Medical evidence is required for non-standard room use and rest breaks.

Centre-specific criteria for particular access arrangements

Word Processor Policy (exams)

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

This is included as an appendix.

Separate Invigilation Policy

Separate invigilation within the centre is an available access arrangement as defined in the JCQ regulations. This is an arrangement where a candidate with an established difficulty may be eligible to take an examination accommodated in another room separate to the main cohort.

The purpose of this policy is to confirm the criteria when this arrangement may be considered and granted for a candidate at Abbot Beyne in compliance with the regulations.

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

The decision will be based on

“whether the candidate has a substantial and long term impairment which has an adverse effect and the candidate’s normal way of working within the centre.” [AA 5.16]

and ensuring the proposed arrangement does not disadvantage or advantage the candidate (AA 4.2.1)

Pupils will be provided with separate invigilation if the candidate is at a substantial disadvantage in comparison to other candidates without a disability undertaking the assessment, or, if their disability puts others at a disadvantage if not offered separate invigilation. These needs will be clearly identified by the SENCO or HOY and will be their normal way of working. Needs may take the form of a medical condition, or social and emotional needs. Evidence will be required.

Criteria

The candidate has an established difficulty as defined in section 5.16 of the JCQ's Access Arrangements and Reasonable Adjustments publication (ICE 14.18)

The candidate has a long-term medical condition or long term social, mental or emotional need (AA 5.16)

The candidate’s difficulties are established within the centre and known to relevant staff or a senior member of staff with pastoral responsibilities (AA 5.16)

Separate invigilation reflects the candidate’s normal way of working in internal tests and mock examinations because of a long term medical condition or long term social, mental or emotional needs (AA 5.16)

Where a candidate is subject to separate invigilation within the centre, the regulations and guidance within the JCQ publication Instructions for conducting examinations will be adhered to, particularly in relation to accommodation and invigilation arrangements (ICE 14.18)

Separate room arrangements

At Abbot Beyne arrangements for seating candidates in rooms separate to the main cohort may be put in place under other circumstances eg, to accommodate candidates requiring readers, scribes etc

The criteria Abbot Beyne School uses to award and allocate word processors for examinations

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

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 ALS lead/SENCo and the EM. Should exceptional circumstances arise 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 7 of ICE

Statement produced by: Mrs F Airey, SENCo

Signed:

Date:

NON-EXAMINATION ASSESSMENT POLICY

Key staff involved in the conduct of non-examination assessments

Role	Name(s)
Head of centre	Mr J Tickle
Quality assurance lead/Lead internal verifier	Mr J Stafford, Mrs C Winfield, Miss H Bithell, Mrs C Lowe
SLT member(s)	Mr J Church
SENCo	Mrs F Airey
Exams officer	Miss L Taylor
Exams Assistant	Mrs G Gray
IT manager	Mr K Hems

What does this policy affect?

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

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

Purpose of the policy

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

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

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

[NEA 1]

What are non-examination assessments?

This is explained in Instructions for conducting Non-Examination Assessments (referred to as NEA).

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

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

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

[NEA 1]

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

The basic principles

Head of centre

- Returns a declaration (managed as part of the National Centre Number Register annual update) to confirm awareness of, and that relevant centre staff are adhering to, the latest version of [NEA](#)
- Ensures the centre's *Non-examination Assessment Policy* is fit for purpose
- Ensures the centre's *Internal Appeals Procedures* clearly detail the procedure to be followed by candidates (or their parents/carers) appealing against internal assessment decisions (centre assessed marks) and requesting a review of the centre's marking

Senior leaders

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

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

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

Subject head/lead

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

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 for the qualification or is made as a separate unit entry code) to the internal deadline for entries

Exams Officer

- Signposts the annually updated JCQ publication [NEA](#) to relevant centre staff

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

Task setting

Subject teacher

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

Issuing of tasks

Subject teacher

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

Task taking

Supervision

Subject teacher

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

Advice and feedback

Subject teacher

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

Resources

Subject teacher

- Refers to the awarding body's specification and/or associated documentation to determine if candidates have restricted/unrestricted access to resources when planning and researching their tasks
- Ensures conditions for any formally supervised sessions are known and put in place
- Ensures appropriate arrangements are in place to keep the work to be assessed, and any preparatory work, secure between any formally supervised sessions, including work that is stored electronically

- Ensures conditions for any formally supervised sessions are understood and followed by candidates
- Ensures candidates understand that they are not allowed to introduce improved notes or new resources between formally supervised sessions
- Ensures that where appropriate to include references, candidates keep a detailed record of their own research, planning, resources etc.

Word and time limits

Subject teacher

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

Collaboration and group work

Subject teacher

- Unless stated otherwise in the awarding body's specification, and where appropriate, allows candidates to collaborate when carrying out research and preparatory work
- Ensures that it is possible to attribute assessable outcomes to individual candidates
- Ensures that where an assignment requires written work to be produced, each candidate writes up their own account of the assignment
- Assesses the work of each candidate individually

Authentication procedures

Subject teacher

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

Presentation of work

Subject teacher

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

Keeping materials secure

Subject teacher

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

IT Manager

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

Task marking – externally assessed components

Conduct of externally assessed work

Subject teacher

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

Exams Officer

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

Submission of work

Subject teacher

- Provides the attendance register to a Visiting Examiner

Exams Officer

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

Task marking – internally assessed components

Marking and annotation

Head of centre

- Ensures where a teacher is teaching, preparing and assessing a candidate with whom they have a close relationship e.g. members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) a conflict of interest is declared to the awarding body and the marked work of the child submitted for moderation, whether it is part of the moderation sample or not.

Subject head/lead

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

Subject teacher

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

Internal standardisation

Quality assurance (QA) lead/Lead internal verifier (HoD/F)

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

- making final adjustments to marks prior to submission
- retaining work and evidence of standardisation
- Retains evidence that internal standardisation has been carried out

Subject teacher

- Indicates on work (or cover sheet) the date of marking
- Marks to common standards
- Keeps candidates work secure until after the closing date for review of results for the series concerned or until any appeal, malpractice or other results enquiry has been completed, whichever is later
- Provides marks to the Exams Officer to the internal deadline
- Provides the moderation sample to the Exams Officer to the internal deadline
- Retains all candidates' work in the consortium until after the deadline for reviews of results for the exam series concerned or until any appeal, malpractice or other results enquiry has been completed, whichever is later

Submission of marks and work for moderation

Head of Subject teacher

- Inputs and submits marks online, via the awarding body secure extranet site, keeping a record of the marks awarded, to the external deadline
- 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
- Provides the moderation sample to the Exams Officer to the internal deadline
- Ensures that where a candidate's work has been facilitated by a scribe or practical assistant, the relevant completed cover sheet is securely attached to the front of the work and sent to the moderator in addition to the sample requested
- Ensures the moderator is provided with authentication of candidates' work, confirmation that internal standardisation has been undertaken and any other subject-specific information where this may be required
- Provides the exams officer with any supporting documentation required by the awarding body

Exams Officer

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

Storage and retention of work after submission of marks

Subject teacher

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

Exams Officer

- Ensures any sample returned after moderation is logged and stored securely until after the deadline for RoR/appeals has passed and is then returned to the subject teacher

External moderation – the process

Subject teacher

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

External moderation – feedback

Subject head/lead

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

Exams Officer

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

Access arrangements

Subject teacher

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

Special educational needs coordinator (SENCo)

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

Special consideration and loss of work

Subject teacher

- Understands that a candidate may be eligible for special consideration in assessments in certain situations where a candidate is absent and/or produces a reduced quantity of work

- Liaises with the Exams Officer when special consideration may need to be applied for a candidate taking assessments
- Liaises with the Exams Officer to report loss of work to the awarding body

Exams Officer

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

Malpractice

Head of centre

- Understands the responsibility to immediately report to the relevant awarding body any alleged, suspected or actual incidents of malpractice involving candidates, teachers, invigilators or other administrative staff
- Is familiar with the JCQ publication Suspected Malpractice 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 - Sharing NEA material and candidates' work to mitigate against candidate and centre malpractice
- Ensures candidates understand what constitutes malpractice in non-examination assessments
- Ensures candidates understand the JCQ document Information for candidates - non-examination assessments
- Ensures candidates understand the JCQ document Information for candidates - Social Media
- Escalates and reports any alleged, suspected or actual incidents of malpractice involving candidates to the head of centre

Exams Officer

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

Post-results services

Head of centre

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

Subject head/lead

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

Subject teacher

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

Exams Officer

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

Practical Skills Endorsement for the A Level Sciences designed for use in England**Head of centre**

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

Quality assurance (QA) lead/Lead internal verifier

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

Subject head/lead

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

Subject teacher

- Ensures all the JCQ/awarding body requirements/instructions in relation to the endorsement are known, understood and followed
- Ensures the required arrangements for practical activities are in place
- Provides all the required centre records
- Ensures candidates provide the required records
- Provides any required information to the subject lead regarding the monitoring visit
- Assesses candidates using Common Practical Assessment Criteria (CPAC)

- Applies for an exemption where a candidate cannot access the practical endorsement due to a substantial impairment
- Follows the awarding body's instructions for the submission of candidates *Pass* or *Not Classified* assessment outcome/provides assessment outcomes to the Exams Officer to the internal deadline

Exams Officer

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

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

Head of centre

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

Quality assurance (QA) lead/Lead internal verifier

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

Subject head/lead

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

Subject teacher

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

Exams Officer

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

Private candidates N/A at present

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

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
Centre staff malpractice	<p>Records confirm that relevant centre staff are familiar with and follow:</p> <ul style="list-style-type: none"> the current JCQ publication Instructions for conducting non-examination assessments the JCQ document Notice to Centres - Sharing NEA material and candidates' work - http://www.jcq.org.uk/exams-office/non-examination-assessments 	LMT
Candidate malpractice	<p>Records confirm that candidates are informed and understand they must not:</p> <ul style="list-style-type: none"> submit work which is not their own make available their work to other candidates through any medium allow other candidates to have access to their own independently sourced material assist other candidates to produce work use books, the internet or other sources without acknowledgement or attribution submit work that has been word processed by a third party without acknowledgement include inappropriate, offensive or obscene material <p>Records confirm that candidates have been made aware of the JCQ documents Information for candidates - non-examination assessments and Information for candidates – Social Media - https://www.jcq.org.uk/exams-office/information-for-candidates-documents and understand they must not post their work on social media</p>	LMT /DoLs
Task setting		
Awarding body set task: IT failure/corruption of task details where set task details accessed from the awarding body online	<p>Awarding body key date for accessing/downloading set task noted prior to start of course IT systems checked prior to key date Alternative IT system used to gain access Awarding body contacted to request direct email of task details</p>	KH/ LMT
Centre set task: Subject teacher fails to meet the assessment criteria as detailed in the specification	<p>Ensures that subject teachers access awarding body training information, practice materials etc. 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</p>	DoL/ icS
Candidates do not understand the marking criteria and what they need to do to gain credit	<p>A possibly 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</p>	DoL/ icS

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	
Issuing of tasks		
Awarding body set task not issued to candidates on time	Awarding body key date for accessing set task as detailed in the specification noted prior to start of course Course information issued to candidates contains details when set task will be issued and needs to be completed by Set task accessed well in advance to allow time for planning, resourcing and teaching	DoL/ icS
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	DoL/ icS
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	
A candidate (or parent/carer) expresses concern about safeguarding, confidentiality or faith in undertaking a task such as a presentation that may be recorded	Ensures the candidate's presentation does not form part of the sample which will be recorded Contacts the awarding body at the earliest opportunity where unable to record the required number of candidates for the monitoring sample	DoL/ icS/ LMT
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	DoL/ icS
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)	LMT /KH
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	DoL/icS/L MT
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	LMT /JAC
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	FA/ LMT
Advice and feedback		
Candidate claims appropriate advice and feedback not	Ensures a centre-wide process is in place for subject teachers to record all information provided to	DoL/icS

given by subject teacher prior to starting on their work	<p>candidates before work begins as part of the centre's quality assurance procedures</p> <p>Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity</p> <p>Full records kept detailing all information and advice given to candidates prior to starting on their work as appropriate to the subject and component</p> <p>Candidate confirms/records advice and feedback given prior to starting on their work</p>	
Candidate claims no advice and feedback given by subject teacher during the task-taking stage	<p>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</p> <p>Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity</p> <p>Full records (digital or paper) kept detailing all advice and feedback given to candidates during the task-taking stage as appropriate to the subject and component</p> <p>Candidate confirms/records advice and feedback given during the task-taking stage</p>	DoL/icS
A third party claims that assistance was given to candidates by the subject teacher over and above that allowed in the regulations and specification	<p>An investigation is conducted; candidates and subject teacher are interviewed and statements recorded where relevant</p> <p>Records as detailed above are provided to confirm all assistance given</p> <p>Where appropriate, a suspected malpractice report is submitted to the awarding body</p>	JAC
Candidate does not reference information from published source	<p>Candidate is advised at a general level to reference information before work is submitted for formal assessment</p> <p>Candidate is again referred to the JCQ document</p> <p>Information for candidates: non-examination assessments</p> <p>Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion</p>	DoL/icS/S T
Candidate does not set out references as required	<p>Candidate is advised at a general level to review and re-draft the set out of references before work is submitted for formal assessment</p> <p>Candidate is again referred to the JCQ document</p> <p>Information for candidates: non-examination assessments</p> <p>Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion</p>	ST
Candidate joins the course late after formally supervised task taking has started	<p>A separate supervised session(s) is arranged for the candidate to catch up</p>	DoL/icS
Candidate moves to another centre during the course	<p>Awarding body guidance is sought to determine what can be done depending on the stage at which the move takes place</p>	LMT
An excluded pupil wants to complete his/her non-examination assessment(s)	<p>The awarding body specification is checked to determine if the specification is available to a candidate outside mainstream education</p> <p>If so, arrangements for supervision, authentication and marking are made separately for the candidate</p>	LMT /DoL
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 work is stored on the centre's network, access for candidates is restricted between formally supervised sessions	DoL/icS/K H
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	DoL/icS/S T
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	DoL/ST

Collaboration and group work		
Candidates have worked in groups where the awarding body specification states this is not permitted	Records confirm the awarding body specification has been checked to determine if group work is permitted Awarding body guidance sought where this issue remains unresolved	DoL/ LMT
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	JAC/ LMT
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	ST
Subject teacher not available to sign authentication forms	Ensures a centre-wide process is in place for subject teachers to sign authentication forms at the point of	DoL

	marking candidates work as part of the centre's quality assurance procedures	
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	DoL/ST
Keeping materials secure		
Candidates work between formal supervised sessions is not securely stored	Records confirm subject teachers are aware of and follow current JCQ publication Instructions for conducting non-examination assessments Regular monitoring/internal audit ensures subject teacher use of appropriate secure storage	DoL
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	DoL
Candidates work produced electronically is not securely stored	Records confirm subject teachers are aware of and follow current JCQ publication Instructions for conducting non-examination assessments Internal processes and regular monitoring/internal audit by IT Manager ensures: <ul style="list-style-type: none"> • access to this material is restricted (insert how) • appropriate security safeguards are in place (insert names/types of protection) • an effective back-up strategy is employed so that an up to date archive of candidates' evidence is maintained (insert details of how work is backed up) • any sensitive digital media is encrypted (according to awarding body guidance to ensure that the method of encryption is suitable) to ensure the security of the data stored within it (insert relevant details of how) 	

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	LMT
A candidate is absent on the day of the examiner visit for an unacceptable reason	The candidate is marked absent on the attendance register	LMT
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	ST
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	LMT /ST
The work of a candidate is lost or damaged	Relevant staff are signposted to the JCQ publication Instructions for conducting non-examination assessments (section 8), to determine eligibility and the process to be followed for lost or damaged work	LMT /ST
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: Policies and Procedures are followed Appropriate internal disciplinary procedures are also followed	JAC/ LMT
A teacher marks the work of a candidate with whom they have a close relationship e.g. members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter)	A conflict of interest is declared by informing the awarding body that a teacher is preparing/teaching said child at the start of the course Marked work of said child is submitted for moderation whether part of the sample requested or not	LMT
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	LMT
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	LMT
A candidate wishes to appeal/request a review of	Candidates are informed of the marks they have been awarded for their work prior to the marks being submitted to the awarding body	JAC

the marks awarded for their work by their teacher	<p>Records confirm candidates have been informed of their marks</p> <p>Candidates are informed that these marks are subject to change through the awarding body's moderation process</p> <p>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</p> <p>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</p>	
Deadline for submitting work for formal assessment not met by candidate	<p>Records confirm deadlines given and understood by candidates at the start of the course</p> <p>Candidates confirm/record deadlines known and understood</p> <p>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</p> <p>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</p>	DoL/icS
Deadline for submitting marks and samples of candidates work ignored by subject teacher	<p>Internal/external deadlines are published at the start of each academic year</p> <p>Reminders are issued through senior leaders/subject heads as deadlines approach</p> <p>Records confirm deadlines known and understood by subject teachers</p> <p>Where appropriate, internal disciplinary procedures are followed</p>	DoL
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)	

Emergency Evacuation Policy

Key staff involved in the emergency evacuation policy/procedure

Role	Name(s)
Head of centre	Mr J Tickle
Exams officer	Miss L Taylor
Exams Assistant	Mrs G Gray
SLT member(s)	Mr J Church
SENCo	Mrs F Airey

Purpose of the policy

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

When is an emergency evacuation required?

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

In exceptional situations, where candidates might be severely disadvantaged or distressed by remaining in the exam room, the emergency evacuation procedure may also need to be followed. This might include situations where there is severe disruption in the exam room, serious illness of a candidate or invigilator or similarly serious incidents.

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

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

Emergency evacuation of an exam room

Roles and responsibilities

Head of centre

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

Senior leader

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

Special educational needs coordinator (SENCo)

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

Exams Officer

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

Invigilators

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

Other relevant centre staff

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

Emergency Evacuation Procedure 2020/21

In the event of an emergency evacuation of an exams room for events such as:

- Fire/Fire alarm
- Bomb alert
- Any other emergency which requires an evacuation of an exams room eg chemical spillage in Science Laboratory

Invigilators at ABBOT BEYNE SCHOOL have been informed that they must take the following action (in accordance with JCQ [Instructions for conducting examinations](#) (ICE) Section 25: Emergencies):

1. Stop the candidates from writing. Make a note of the time.
2. Collect the attendance register (in order to ensure all candidates are present).
3. Evacuate the examination room in line with the instructions given by the appropriate authority.

In the event of a fire alarm at Abbot Beyne School during exams the instruction is:

Invigilators should await instructions from the Examinations manager or member of SLT as to whether the exam room should be evacuated.

4. Advise candidates to close their answer booklets leave all question papers and scripts in the examination room.

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. (Candidates must be given the opportunity to sit the examination for its published duration)

5. Ensure candidates leave the room in silence.
6. Ensure 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.
7. When instructed, supervise the return of candidates to the exam room.
8. Make a note of the time of the interruption and how long it lasted.
9. Allow the candidates the remainder of the working time set for the examination once it resumes
10. Make notes of the incident to enable the Exams Officer to produce a full report of the incident and of the action taken to be forwarded to the relevant awarding body.

In addition to the actions above, invigilators are also informed of the following centre-specific actions or information:

1. The exam room must be evacuated by the nearest safe fire exit – see sign by door of exam room and follow
2. Candidates must be escorted to the assembly point at the far side of the front field
3. On returning to the exam room allow candidates time to settle down, reminding them they are still under exam conditions
4. Restart the exam and allow candidates the full working time set for the examination
5. Make relevant changes to the displayed finish time
6. All information regarding the evacuation must be recorded on the exam room incident log

Special Consideration Policy

Key staff involved in the special consideration process

Role	Name(s)
Head of Centre	Mr J Tickle
SENCo	Mrs F Airey
Exams Officer	Miss L Taylor
SLT member(s)	Mr J Church, Mrs L Timson
Pastoral Staff	Mrs L Lynch

What is special consideration?

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

Special consideration can only seek to go some way to assist a candidate affected by a potentially wide range of difficulties, emotional or physical, which may influence performance in examinations. It cannot remove the difficulty faced by the candidate. There will be situations where candidates should not be entered for an examination. Only minor adjustments can be made to the mark awarded because to do more than this would jeopardize the standard of the examination.”

[JCQ [A guide to the special consideration process](#) section 1]

This document is further referred to in this policy as [SC](#)

Purpose of the policy

The purpose of this policy is to identify roles and responsibilities in the special consideration process and confirms that Abbot Beyne will “*submit any applications for special consideration where candidates meet the published criteria.*”

[JCQ [General regulations for approved centres](#) section 5.9]

Eligibility for special consideration

Roles and responsibilities

Head of Centre

- Is familiar with the contents, refers to and directs relevant centre staff to the annually updated JCQ publication [SC](#)
- Ensures that, where relevant and in eligible situations, applications for special consideration will be submitted to awarding bodies by the Exams Officer

Exams Officer

- Understands the criteria as detailed in [SC](#) to determine where candidates will/will not be eligible for special consideration

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

Teaching staff and/or SENCo and/or Pastoral Staff

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

Candidates (or parents/carers)

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

Applying for special consideration

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

[SC 2]

1. Where a candidate may arrive for an exam and is clearly unwell, extremely distressed and/or may have sustained an injury that requires emergency access arrangements to be put in place:
 - the candidate will be kept comfortable and under supervision from the required time while appropriate arrangements are put in place for him/her to take the exam in the best possible conditions
 - a judgement will be made on how the candidate's situation or disposition affected performance in the exam
 - where appropriate and where eligible, special consideration will be applied for
2. Where candidates may be affected by a major disturbance in the exam room (emergency evacuation etc.), special consideration will be applied for on behalf of all candidates.
3. Where a candidate takes multiple exams (three or more exams) timetabled for the same day and the total duration for those papers is more than 6 hours for GCE exams (AS, A2, A-level) or more than 5 hours 30 minutes for GCSE exams including *any approved extra time but not any time taken for supervised rest breaks*, special consideration for an allowance on last paper taken will be applied for.
4. Where a candidate may be affected by a minor disturbance in the exam room caused by another candidate (momentary bad behaviour, mobile phone ringing etc.), special consideration **cannot** be applied for.

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

Where other issues or problems affect a candidate or a group of candidates, special consideration will be explored in [SC 5](#) and applied for where eligible. This might include, for example:

- other certification
- coursework/non-examination assessment extensions

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

Where a candidate may be eligible for special consideration (a post assessment adjustment) in a vocational qualification, the centre will follow [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 that all eligible applications will be supported by signed evidence produced by a member of the senior leadership

Senior leadership team

- Produce signed evidence in support of all eligible applications

Exams Officer

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

Teaching staff and/or ALS lead/SENCo

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

Candidates (or parents/carers)

- Will be asked to provide any required medical or other evidence that may be required to support an application for special consideration
- Will be informed that all cases must be dealt with by the centre

Submitting applications for special consideration

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

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

Timetabled written exams

- For GCE and GCSE qualifications, applications for individual candidates will be submitted online by logging into the relevant awarding body secure extranet site and following the links to special consideration
- The processes for submitting a single application to cover all exams *where a candidate is present but disadvantaged* and a separate application for each day *where a candidate is absent from an examination for an acceptable reason* detailed in [SC 6](#) will be followed
- For other qualifications, applications will be submitted online where the awarding body's secure system accepts these
- The paper [form 10](#) *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, the awarding body will be contacted directly
- 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 10 or form [VQ/SC](#) *Application for special consideration Vocational qualifications* will be completed and submitted to the awarding body

Private candidates

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

Late applications

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

Exam 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 returned to SENCo as records owner at end of the candidate's final exam series.	n/a
Alternative site arrangements	Any hard copy information on an alternative site arrangement. Notifications submitted online via CAP.	To be retained until after the deadline for RORs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential waste/shredding
Attendance register copies		To be retained until after the deadline for RORs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential waste/shredding
Awarding body administrative information	Any hard copy publications provided by awarding bodies.	To be retained until the current academic year update is provided.	
Candidates' scripts	Any unwanted copies of scripts returned to the centre through the Access to Scripts (ATS) service.	To be retained securely until the awarding body's earliest date for confidential disposal of unwanted scripts. Where teachers have used copies of candidates' scripts for teaching and learning purposes but no longer wish to retain them, they must ensure that the scripts are disposed of in a confidential manner.	Confidential disposal
Candidates' work	Non-examination assessment work (inc. controlled assessment, coursework, portfolios) returned to the centre after awarding body moderation.	To be logged on return to the centre. 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 RORs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series. After deadline to be returned to subject staff.	Returned to candidates or safe disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Certificates	Candidate certificates issued by Awarding bodies	Unclaimed/uncollected certificates to be retained securely for a minimum of 12 months from date of issue.	Confidential destruction
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	To be retained for 4 years from the date of certificate destruction.	Confidential destruction
Certificate issue information	A record of certificates that have been issued to candidates.	To be retained for 5 years	
Confidential materials: initial point of delivery logs	Logs recording awarding body confidential exam materials received at the initial point of delivery in the centre to the point where materials are securely issued to an authorised member of staff	To be retained until after the deadline for RORs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	
Confidential materials: receipt, secure movement and secure storage logs	Logs recording the receipt, checking, secure movement and secure storage of confidential exam materials.	To be retained until after the deadline for RORs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	
Despatch logs	Proof of dispatch of exam script packages to awarding body examiners covered by the DfE (Standards & Testing Agency) yellow label service	To be retained until after the deadline for RORs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	
Entry information	Any hard copy information relating to candidates' entries.	To be retained until after the deadline for RORs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	
Exam question papers	Question papers for timetabled written exams.	Issued to teaching staff the day following the exam and only when all candidates in the centre have completed the exam.	Issued to subject leaders

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Exam room checklists	Checklists confirming room conditions and invigilation arrangements for each exam room/session	To be retained until after the deadline for RORs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms for each exam session	To be retained until after the deadline for RORs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	
Exam stationery	Awarding body exam stationery provided solely for the purpose of external exams.	Unused stationery will be returned to the centre's secure storage facility until needed for a future examination. Surplus stationery must not be used for internal school tests, mock examinations and non-examination assessments. Any surplus or out-of-date stationery will be confidentially destroyed.	Confidential disposal
Examiner reports		To be immediately provided to Subject Leaders as records owner. Second copy kept on file for 5 years.	Confidential disposal
Finance information	Copy invoices for exams-related fees.	7 years	Confidential disposal
Invigilator and facilitator training records		A record of the content of the training given to invigilators must be retained on file until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later. A record of the content of the training given to invigilators and those facilitating an access arrangement for a candidate under examination conditions must be retained on file	

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	
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 Subject Leaders as records owner. Second copy kept on file for 5 years.	Confidential disposal
Moderation returns logs	Logs recording the return of candidates' work to the centre by the awarding body at the end of the moderation period	To be retained until after the deadline for RORs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	
Overnight supervision information	Copy of JCQ form <i>Timetable variation and confidentiality declaration for overnight supervision</i> for any candidate eligible for these arrangements.	To be retained for JCQ inspection purposes for the relevant exam series, until after the deadline for RORs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential disposal
Post-results services: confirmation of candidate consent information	Hard copy or email record of candidate consent for an ROR or ATS request to be submitted to an awarding body	ROR 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.	Confidential disposal
Post-results services: requests/outcome information	Any hard copy information relating to a post-results service request (RORs, appeals, ATS) submitted to an awarding body for a candidate and outcome information from the awarding body.	1 year	Confidential disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Post-results services: scripts provided by ATS service	Copies of exam scripts (or an electronic image of the script) returned to the centre by the awarding body/copies downloaded by the centre where the awarding body provides online access to scripts.	Where copies of scripts are retained by the centre, they must be securely stored (including any electronic versions) until they are no longer required.	Confidential disposal
Post-results services: tracking logs	A log tracking to resolution all post-results service requests submitted to awarding bodies.	1 year	Confidential disposal
Private candidate information	Any hard copy information relating to private candidates' entries.	2 years	Confidential disposal
Proof of postage – candidate work	Proof of postage of sample of candidates' work to awarding body moderators.	6 months	
Resolving timetableclashes information	Any hard copy information relating to the resolution of a candidate's clash of timetabled exam papers.	To be retained until after the deadline for RORs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	
Results information	Broadsheets of results summarising candidate final grades by subject by exam series.	Records for current year plus previous 6 years to be retained as a minimum.	Confidential disposal
Seating plans	Plans showing the seating arrangements of all candidates for every exam taken.	Keep signed records of the seating plan, the invigilation arrangements and the centre's copies of the attendance registers for each examination. To be retained until after the deadline for RORs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential disposal
Special consideration information	Any hard copy information relating to a special consideration request and	Evidence supporting an on-line special consideration application and	Confidential disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
	supporting evidence submitted to an awarding body for a candidate.	evidence supporting a candidate's absence from an exam must be kept until after the publication of results.	
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.	5 years	Confidential disposal
Transferred candidate information	Any hard copy information relating to an application for a transferred candidate arrangement submitted to an awarding body for a candidate.	To be retained until the transfer arrangements are confirmed by the awarding body.	Confidential disposal
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.	To be retained until after the deadline for RORs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential disposal

Data Protection (Exams) Policy

Purpose of the policy

This policy details how Abbot Beyne School, in relation to exams management and administration, ensures compliance with the regulations as set out by the Data Protection Act (DPA) and General Data Protection Regulation (GDPR).

Students are given the right to find out what information the centre holds about them, how this is protected, how this can be accessed and how data breaches are dealt with.

All exams office staff responsible for collecting and sharing candidates' data are required to follow strict rules called 'data protection principles' ensuring the information is:

- used fairly and lawfully
- used for limited, specifically stated purposes
- used in a way that is adequate, relevant and not excessive
- accurate
- kept for no longer than is absolutely necessary
- handled according to people's data protection rights
- kept safe and secure
- not transferred outside the European Economic Area without adequate protection

To ensure that the centre meets the requirements of the DPA and GDPR, all candidates' exam information – even that which is not classified as personal or sensitive – is covered under this policy.

Section 1 – Exams-related information

There is a requirement for the exams office(r) to hold exams-related information on candidates taking external examinations. For further details on the type of information held please refer to *Section 5 – Candidate information, audit and protection measures*.

Candidates' exams-related data may be shared with the following organisations:

- Awarding bodies
- Joint Council for Qualifications
- Department for Education; Local Authority; SISRA; the Press

This data may be shared via one or more of the following methods:

- hard copy
- email
- secure extranet site(s) – eAQA; OCR Interchange; Pearson Edexcel Online; WJEC Secure services; SISRA
- a Management Information System (MIS) provided by Capita SIMS) sending/receiving information via electronic data interchange (EDI) using A2C to/from awarding body processing systems

This data may relate to exam entries, access arrangements, the conduct of exams and non-examination assessments, special consideration requests and exam results/post-results/certificate information.

Section 2 – Informing candidates of the information held

Abbot Beyne School ensures that candidates are fully aware of the information and data held.

All candidates are:

- informed via the exams handbook
- given access to this policy via written request

Candidates are made aware of the above at the start of their course of study leading to external examinations.

Section 3 – Dealing with data breaches

Although data is handled in line with DPA/GDPR regulations, a data breach may occur for any of the following reasons:

- loss or theft of data or equipment on which data is stored
- inappropriate access controls allowing unauthorised use
- equipment failure
- human error
- unforeseen circumstances such as a fire or flood
- hacking attack
- 'blagging' offences where information is obtained by deceiving the organisation who holds it

If a data protection breach is identified, the following steps will be taken:

5. Containment and recovery

The Compliance Team will lead on investigating the breach.

It will be established:

- who needs to be made aware of the breach and inform them of what they are expected to do to assist in the containment exercise. This may include isolating or closing a compromised section of the network, finding a lost piece of equipment and/or changing the access codes
- whether there is anything that can be done to recover any losses and limit the damage the breach can cause. As well as the physical recovery of equipment, this could involve the use of back-up hardware to restore lost or damaged data or ensuring that staff recognise when someone tries to use stolen data to access accounts
- which authorities, if relevant, need to be informed

6. Assessment of ongoing risk

The following points will be considered in assessing the ongoing risk of the data breach:

- what type of data is involved?
- how sensitive is it?
- if data has been lost or stolen, are there any protections in place such as encryption?
- what has happened to the data? If data has been stolen, it could be used for purposes which are harmful to the individuals to whom the data relates; if it has been damaged, this poses a different type and level of risk
- regardless of what has happened to the data, what could the data tell a third party about the individual?
- how many individuals' personal data are affected by the breach?
- who are the individuals whose data has been breached?
- what harm can come to those individuals?
- are there wider consequences to consider such as a loss of public confidence in an important service we provide?

7. Notification of breach

Notification will take place to enable individuals who may have been affected to take steps to protect themselves or to allow the appropriate regulatory bodies to perform their functions, provide advice and deal with complaints.

8. Evaluation and response

Once a data breach has been resolved, a full investigation of the incident will take place. This will include:

- reviewing what data is held and where and how it is stored
- identifying where risks and weak points in security measures lie (for example, use of portable storage devices or access to public networks)
- reviewing methods of data sharing and transmission
- increasing staff awareness of data security and filling gaps through training or tailored advice
- reviewing contingency plans

Section 4 – Candidate information, audit and protection measures

For the purposes of this policy, all candidates' exam-related information – even that not considered personal or sensitive under the DPA/GDPR – will be handled in line with DPA/GDPR guidelines.

An information audit is conducted annually

The table below details the type of candidate exams-related information held, and how it is managed, stored and protected

Protection measures may include:

- password protected area on the centre's intranet
- secure drive accessible only to selected staff
- information held in secure area

Section 5 – Data retention periods

Details of retention periods, the actions taken at the end of the retention period and method of disposal are contained in the centre's Exams archiving policy which is available as an appendix in the Examinations Policy.

Section 6 – Access to information

Current and former candidates can request access to the information/data held on them by making a **subject access request** to the Headteacher in writing/email and providing 2 forms of ID (one photographic), if a former candidate is unknown to current staff. All requests will be dealt with within 40 calendar days.

Third party access

Permission should be obtained before requesting personal information on another individual from a third-party organisation.

Candidates' personal data will not be shared with a third party [insert your centre's process for sharing data with a third-party e.g. unless a request is accompanied with permission from the candidate and appropriate evidence (where relevant), to verify the ID of both parties, provided].

In the case of looked-after children or those in care, agreements may already be in place for information to be shared with the relevant authorities (for example, the Local Authority). The centre's Data Protection Officer will confirm the status of these agreements and approve/reject any requests.

Section 7 – Table recording candidate exams-related information held

For details of how to request access to information held, refer to section 6 of this policy (**Access to information**)

For further details of how long information is held, refer to section 5 of this policy (**Data retention periods**)

Information type	Information description (where required)	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
Access arrangements information		Candidate name Candidate DOB Gender Data protection notice (candidate signature) Diagnostic testing outcome(s) Specialist report(s) (may also include candidate address) Evidence of normal way of working	Access arrangements online MIS Lockable metal filing cabinet Exams Office	Secure user name and password Secure user name and password SENCO In secure area solely assigned to exams	Exams Office hard copies shredded after student has left school
Attendance registers copies		Candidate name	Exams Office	In secure area solely assigned to exams	Until EAR deadline
Candidates' work	Awaiting despatch to EAB/ returned NEA etc	Candidate Name	Exams Office	In secure area solely assigned to exams	Until EAR deadline
Certificates		Candidate Name Candidate DoB Candidate results Candidate results	Exams Office	In secure area solely assigned to exams	Min 12 months

Information type	Information description (where required)	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
Certificate destruction information	.	Candidate Name Candidate DoB Candidate results	Exams Office	In secure area solely assigned to exams	4 years
Certificate issue information		Candidate Name/signature	Exams Office	In secure area solely assigned to exams	5 years
Entry information		Candidate Name Candidate DoB ULN UCI	Exams Office MIS	In secure area solely assigned to exams Secure user name and password	To be retained until after EAR deadline for the season – hard copy
Exam room incident logs		Candidate name/incident	Exams Office	In secure area solely assigned to exams	Until EAR deadline
Overnight supervision information		Candidate name/entry info	Exams Office	In secure area solely assigned to exams	Until EAR deadline
Post-results services: confirmation of candidate consent information		Candidate name Candidate signature Candidate results	Exams Office	In secure area solely assigned to exams	6 months
Post-results services: requests/outcome information		Candidate name UCI	Exams Office	In secure area solely assigned to exams	12 months

Information type	Information description (where required)	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
			MIS	Secure user name and password	
Post-results services: scripts provided by ATS service		Candidate name (may have requested it to be removed) Candidate marks	Exams Office Exams Office computer Teaching staff	In secure area solely assigned to exams Secure user name and password Lockable filing cabinet	Exam office copies - 2 years
Post-results services: tracking logs		Candidate name/service	Exams Office computer	Secure username and password	12 months
Private candidate information		Candidate name Candidate Dob Candidate address/email/phone	Exams Office	In secure area solely assigned to exams	12 months
Resolving clashes information		Candidate name/signature	Exams Office	In secure area solely assigned to exams	Until EAR deadline
Results information		Candidate name UCI Candidate results	Exams Office MIS/Exams Office computer	In secure area solely assigned to exams Secure user name and password	5 years

Information type	Information description (where required)	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
Seating plans			Exams Office MIS	In secure area solely assigned to exams Secure user name and password	Until EAR deadline
Special consideration information		Candidate name Personal info relating to request	Exams Office	In secure area solely assigned to exams	Until EAR deadline
Suspected malpractice reports/outcomes		Candidate name Personal info relating to request	Exams Office	In secure area solely assigned to exams	Until EAR deadline
Transfer of credit information		Candidate name Candidate DoB UCI	Exams Office	In secure area solely assigned to exams	2 years
Transferred candidate information		Candidate name Candidate DoB UCI	Exams Office	In secure area solely assigned to exams	Until EAR deadline
Very late arrival reports/outcomes		Candidate name Details relating to request	Exams Office	In secure area solely assigned to exams	Until EAR deadline

