



**Kesteven and Sleaford High School**  
**A Robert Carré Trust School**

**Examinations Policy**

**Key staff involved in the exams policy, 2023-24**

<b>Role</b>	<b>Name(s)</b>
Head of centre	<b>Mrs J Smith</b>
Exams officer line manager (Senior leader)	<b>Mrs G White</b>
Exams officer	<b>Mrs S Ross</b>
ALS lead/SENCo	<b>Mrs M Watts under the supervision of Mrs D Collett</b>
Senior leader(s)	<b>Miss K Stokes, Mrs D Collett</b>

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## Purpose of the policy

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

This exam policy will ensure that:

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

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

This policy will be communicated to all relevant centre staff.

The policy will be shared directly with all relevant staff and kept for reference purposes in the examination store

## 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 to ensure the security and integrity of the examinations/assessments. This individual must have the authority to deploy the necessary resources to ensure that the centre is always compliant in meeting those published JCQ regulations and awarding body requirements.

Heads of centre must ensure that senior leadership teams and exam office personnel familiarise themselves with the entire contents of JCQ *General Regulations for Approved Centres* booklet. In particular, heads of centre must familiarise themselves with sections 5.1, 5.3 and 5.4.

Heads of centre must ensure that relevant members of staff respond promptly to requests for information from awarding bodies relating to the administration and conducting of examinations/assessments. ([GR, section 1](#))

**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 headteacher/Principal on site (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.

The head of centre and/or examinations officer may operate across more than one centre. In such cases the head of centre must ensure there is suitable senior leadership team support in place, so they can meet their obligations across all centres for which they are responsible. The head of centre must ensure that these arrangements are covered by their examination contingency plan. ([GR, section 2](#))

### Head of centre responsibilities

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 to ensure the security and integrity of the examinations/assessments.

**It is the responsibility of the head of centre to ensure that all staff comply with the instructions in the *Instructions for conducting examinations* booklet.** Failure to do so may constitute malpractice as defined in the JCQ publication *Suspected Malpractice: Policies and Procedures, 1 September 2023 to 31 August 2024*:  
<https://www.jcq.org.uk/exams-office/malpractice> (ICE Introduction)

## Head of centre

- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:
  - [General Regulations for Approved Centres](#) (GR)
  - [Instructions for conducting examinations](#) (ICE)
  - [Access Arrangements and Reasonable Adjustments](#) (AA)
  - [Suspected Malpractice - Policies and Procedures](#) (SM)
  - [Instructions for conducting non-examination assessments](#) (NEA) (and the instructions for conducting coursework)
  - [A guide to the special consideration process](#) (SC)
- Ensures the centre has appropriate accommodation to support the size of the cohorts being taught including appropriate accommodation for candidates requiring access arrangements and/or practical assessments
- Where/if using a third party to deliver any part of a qualification (including its assessments) at the centre:
  - maintains oversight of, and responsibility for, the delivery of the qualification in accordance with JCQ regulations and awarding body requirements
  - has in place a written agreement with the third party to ensure there is a shared understanding of the arrangement and will manage the risk of failure by the third party to deliver the expected service
  - ensures that a copy of the written agreement is available for inspection if requested by the awarding body
- Ensures that relevant members of staff respond promptly to actions raised by the JCQ Centre Inspection Service, understanding that failure to do so could result in penalties (see **National Centre Number Register and other information requirements** section)
- Ensures that the centre promptly reports any incidents to the relevant awarding body/bodies which might compromise any aspect of assessment delivery, such as a cyber-attack
- Ensures other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials are briefed on the requirements for maintaining the integrity and confidentiality of the exam materials
- Ensures members of centre staff do not forward emails and letters from awarding body or JCQ personnel without prior consent to third parties or upload such correspondence onto social media sites and applications
- Ensures members of centre staff do not advise parents/candidates to contact awarding bodies/JCQ directly nor provide them with addresses/email addresses of awarding body examining/assessment personnel or JCQ personnel

## Recruitment, selection, training and support

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

- Ensures that the ALS lead/SENCo has sufficient time to both manage the access arrangements process within the centre and familiarise him/herself with the JCQ publication *Access Arrangements and Reasonable Adjustments*
- Ensures that the examinations officer has sufficient time to perform their role and familiarise him/herself with relevant awarding body and JCQ documentation.
- Ensures that the examinations officer is line managed and actively supported by a member of the senior leadership team who has a good working knowledge of the examination system

## External and 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

Appendix 1a
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- Has in place a member of the senior leadership team who will provide effective support and supervision of the examinations officer to ensure that the integrity and security of examinations and assessments is maintained throughout an examination series
- Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the EO
- Can confirm to an awarding body the external governance arrangements so that the awarding body has confidence in the integrity of centre activities such as the delivery of qualifications and the conducting of examinations and assessments
- Makes sure that a teacher, a teaching assistant, a tutor or a senior member of centre staff who teaches the subject being examined or a Learning Support Assistant who has supported one or more candidates, is not an invigilator during the 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 which must only be used for the purpose of administering secure examination materials
  - the secure room only contains exam-related material
  - there are between two and six keyholders only, each keyholder must fully understand their responsibilities as a key holder to the secure storage facility
  - access to the secure room and secure storage facility is restricted to the authorised two to six keyholders (the exams officer must be one of the keyholders) and staff approved by the head of centre are accompanied by a keyholder at all times
  - appropriate arrangements are in place to ensure that confidential examination materials are only handed over to authorised members of centre staff
  - appropriate arrangements are in place for handling secure electronic materials
  - the relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk

- that when it is permitted to remove question paper packets from secure storage, and to avoid potential breaches of security, arrangements are in place to carefully check and record that the correct question paper packets are opened  
(If it is ever subsequently identified following this check that the wrong question paper packet has been opened, it will be resealed and the incident reported to the relevant awarding body's Malpractice Investigation Team immediately)
- 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

## Malpractice

- 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 and after assessments have taken place
- Ensures any person involved in administering, teaching or completing examinations/assessments is advised that where malpractice is suspected, or alleged, personal data about them will be provided to the awarding body (or bodies) whose examinations/assessments are involved. Personal data about them may also be shared with other awarding bodies, the qualifications regulator or professional bodies in accordance with the JCQ publication *Suspected Malpractice – Policies and Procedures*
- Ensures irregularities are investigated and informs the awarding bodies immediately of any alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, by completing the appropriate documentation
- As required by an awarding body, ensures evidence of any instances of alleged or suspected malpractice (which includes maladministration) is gathered in accordance with the JCQ publication *Suspected Malpractice - Policies and Procedures* and provides such information and advice as the awarding body may reasonably require

## Policies/procedures

### Malpractice Policy (Exams)

Appendix 20

- 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 where the head of centre, the examinations officer or SENCo is absent at a critical stage of the examination cycle)

The examination contingency plan should reinforce procedures in the event of the centre being unavailable for examinations owing to an unforeseen emergency.

All relevant centre staff must be familiar with the examination contingency plan. Consideration should be given as to how these arrangements will be communicated to candidates, parents and staff should disruption to examinations occur.

### Exam Contingency Plan

Appendix 1

### Lockdown Policy (Exams)

Appendix 2

- Ensures an internal appeals procedure is in place and drawn to the attention of candidates and (where relevant) their parents/carers

### **Internal Appeals Procedure**

#### **Internal Appeals Procedure (Internal assessment decisions)**

Appendix 3

#### **Internal Appeals Procedure (Reviews of Results/Appeals)**

Appendix 3

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

### **Equalities Policy**

Appendix 4

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

### **Complaints Policy (Exams)**

Appendix 5

- 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 (Exams)**

School Website <https://www.robertcarretrust.uk/policies>

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

### **Data Protection Policy (Exams)**

Appendix 7

- Ensures the centre has a whistleblowing policy in place

### **Whistleblowing Policy (Exams)**

Appendix 7a

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

### **Access Arrangements Policy**

Appendix 8

## **Conflicts of interest**

- Ensures the relevant awarding bodies are informed before the published deadline for entries for each examination series of any potential conflict of interest where:
  - a member of centre staff is taking a qualification at the centre which includes internally assessed components/units (noting that being entered by the centre must be as a last resort where unable to find an alternative centre)



- a candidate is being taught and prepared for a qualification which includes internally assessed components/units by a member of centre staff with a close relationship to the candidate
- Maintains clear records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected by the above, and where:
  - a member of exams office staff has a close relationship to a candidate being entered for exams and assessments at the centre or at another centre
  - a member of centre staff is taking a qualification at the centre which does not include internally assessed components/units (noting that being entered by the centre must be as a last resort where unable to find an alternative centre)
  - a member of centre staff is taking a qualification at another centre

### Conflicts of Interest Policy (Exams)

Appendix 9
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### National Centre Number Register

- Provides contact details and an address to which all correspondence in connection with the administration of examinations and assessments can be directed which must be the registered address of the centre
- Ensures the National Centre Number Register annual update is responded to by the end of October every year
- Takes responsibility for confirming, on an annual basis, that they are both aware of and adhering to the latest version of the JCQ's regulations. This confirmation is managed as part of the National Centre Number Register (NCNR) annual update by completion of the Head of Centre Declaration
- 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
 and ultimately, awarding bodies could withdraw their approval of the centre

### Centre inspections

- Co-operates with the JCQ Centre Inspection Service, an awarding body or a regulatory authority when subject to an inspection, an investigation or an unannounced visit, and takes all reasonable steps to comply with all requests for information or documentation made by an awarding body or regulatory authority as soon as is practical
- Allows all venues used for examinations and assessments, paperwork and secure storage facilities to be open to inspection
- Understands the JCQ Centre Inspector will identify 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

- 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 every year
  - Confirms the details or informs the awarding bodies of any changes to the centre's contact details through the National Centre Number Register

- Informs the National Centre Number Register Team **immediately** (e-mail address – [ncn@ocr.org.uk](mailto:ncn@ocr.org.uk)) if any changes occur after the National Centre Number Register annual update has taken place
- (Where it may be applicable) Informs the National Centre Number Register Team no later than 6 weeks prior to moving to a new address or a re-location of the secure storage facility
- Informs the National Centre Number Register Team immediately of any other changes in circumstances that could affect the centre's status
- 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 ALS lead/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 (where required) 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 for each examination series
- 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**

- Are familiar with the contents, refer to and direct relevant centre staff to annually updated JCQ publications including:
  - [General Regulations for Approved Centres](#)
  - [Instructions for conducting examinations](#)
  - [Access Arrangements and Reasonable Adjustments](#)
  - [Suspected Malpractice - Policies and Procedures](#)
  - [Instructions for conducting non-examination assessments](#) (and the instructions for conducting coursework)
  - [A guide to the special consideration process](#)
- 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 ALS lead/SENCo
- Ensure teaching staff keep themselves updated with awarding body subject and teacher-specific information to confirm effective delivery of qualifications
- Ensure teaching staff attend relevant awarding body training and update events

#### **Additional Learning Support (ALS) lead/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 ensures the correct procedures are followed
- Presents when requested by a JCQ Centre Inspector, evidence of the assessor's qualification

#### **Teaching staff**

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

## Invigilators

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

## Reception staff

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

## Site staff

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

## 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](#), [NEA](#) (and the *Instructions for conducting coursework*) and [SC](#)

#### Exams officer

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

### Information gathering

#### Exams officer

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

- Collects information on internal exams to enable preparation for and conduct of (insert the titles these internal exams are referred to in the centre)

### Senior leaders

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

### Access arrangements

#### Head of centre

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

#### ALS lead/SENCo

- Assesses candidates (or works with the appropriately qualified assessor as appointed by the head of centre) to identify access arrangements/reasonable adjustments requirements
- Gathers **evidence** to support the need for access arrangements for a candidate
- Liaises with teaching staff to gather evidence of **normal way of working** of an affected candidate
- Determines candidate eligibility for arrangements or adjustments that are centre-delegated
- Gathers signed **Personal data consent** forms from candidates where required and ensures **Data protection confirmation(s)** by the examinations officer or SENCo are completed
- Applies for **approval** through **Access arrangements online** (AAO) via the **Centre Admin Portal** (CAP), where required or through the awarding body where qualifications sit outside the scope of AAO
- Keeps 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 EO regarding exam time arrangements for access arrangement candidates
- Ensures staff appointed to facilitate access arrangements for candidates are thoroughly trained and understand the rules of the particular arrangement(s) and keeps a record of the content of training provided to facilitators for the required period
- Works with the EO 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
- Liaises with the relevant member of the senior leadership team on the centre's policy on the use of word processors in examinations

### Word Processor Policy (Exams)

Appendix 10

- Ensures criteria for candidates granted alternative rooming arrangements is clear, meets JCQ regulations and best meets the needs of individual candidates and remaining candidates in main exam rooms

### Alternative Rooming Arrangements Policy (Exams)

Appendix 11

**Alternative rooming arrangements, e.g. a room for a smaller group of candidates with similar needs** (formerly known as separate invigilation)

#### Why have a policy on this?

In certain circumstances, a candidate with 'an established difficulty' may be eligible to take exams in alternative rooming arrangements. Centres may also receive requests from candidates (and/or parents/carers) to take their exams in alternative rooms. Having a documented policy ensures:

- the criteria for candidates granted alternative rooming arrangements is clear and complies with JCQ regulations
- the centre can demonstrate the policy if asked/challenged by a candidate (and/or parent/carer)

#### Senior leaders, Teaching staff

- Support the ALS lead/SENCo in determining and implementing appropriate access arrangements/reasonable adjustments
- Produce a word processor policy, specific to the centre, 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 appropriate controls are in place which allow accurate data to be submitted to the awarding bodies, e.g. internally assessed marks
- 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, and/or fully qualified assessors for the verification of centre-assessed components
- Ensures an **internal appeals procedure** relating to internal assessment decisions is in place for a candidate to appeal against and request a review of the centre's marking (see Roles and responsibilities overview)
- Ensures a **non-examination assessment policy** is in place for GCE and GCSE qualifications which include components of non-examination assessment (For CCEA GCSE centres this would be a controlled assessment policy)

##### **Non-examination Assessment Policy**

Appendix 12

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

##### Senior leaders

- Ensure teaching staff have the necessary and appropriate knowledge, understanding, skills, and training to set tasks, conduct task taking, and to assess, mark and authenticate candidates' work (including where relevant, private candidates)
- Ensure appropriate internal moderation, standardisation and verification processes are in place
- 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) follow JCQ [Instructions for conducting coursework](#) and the specification provided by the awarding body

- Ensure teaching staff delivering reformed 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, ensure teaching staff follow appropriate instructions issued by the awarding body
- Ensure teaching staff inform candidates of their centre assessed marks as a candidate may request a review of the centre's marking before marks are submitted to the awarding body

#### **Teaching staff**

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

#### **Exams officer**

- Identifies relevant key dates and administrative processes that need to be followed in relation to internal assessment
- Signposts teaching staff to relevant JCQ [Information for candidates documents](#) that are annually updated

#### Invigilation

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

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

##### **Exams officer**

- Recruits additional invigilators where required to effectively cover all exam periods/series' throughout the academic year
- Collects information on new recruits to identify if they have invigilated previously and if any current maladministration/malpractice sanctions are applied to them
- Provides thorough training for new invigilators on the current instructions for conducting examinations and an update for the existing invigilation team so that they are aware of any changes in a new academic year before they are allocated to invigilate an exam
- 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

Exams Officer to check class sizes for subjects where the exam boards require estimated entries and submit estimated entries according to class size using the online tools made available by the exam boards in time to meet board published deadlines.

- Makes candidates aware of the JCQ **Information for candidates – Privacy Notice** at the start of a course leading to a vocational qualification or when entries are submitted to awarding bodies for processing for general qualifications

### Senior leaders

- Provide entry information requested by the EO to the internal deadline
- Inform the EO immediately of any subsequent changes to entry information

### Final entries

#### Head of centre

- Ensures appropriate controls are in place which allow accurate data to be submitted to the awarding bodies, e.g. 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, and observes any regulatory requirements for the qualification

## Final entries collection and submission procedure

Suggested entry lists will be emailed to subject leaders by the end of January. Subject leaders will check these lists, make any necessary amendments, and send back to Mrs Ross by return of email. Mrs S Ross will keep email trail confirming entries and tiers of entry. Entries will be made with the boards using Bromcom and the A2C application to meet exam board deadlines.

Where teachers, with subject responsibility, have expressed serious concerns about an examination entry, they must raise them in good time with the examinations' management team (The Examinations Officer, Head of Year/Pastoral Leader as appropriate and the Subject Leader). Any concerns must have been shared with parents/carers in good time. This is the responsibility of the Subject Leader. If not resolved by this team and agreed with the parent and student, the issue should be referred to the school head for resolution.

The Head of Centre will make the final decision on individual entries where a concern has been raised and not resolved.

The Examinations Officer will publish a schedule of the year's key dates and deadlines by the end of September in the relevant academic year and meet subject leaders to explain the entry process and the published deadlines.

### Senior leaders

- Provide information requested by the EO to the internal deadline
- Inform the EO immediately, or at the very least prior to the deadlines, of any subsequent changes to final entry information, which includes
  - changes to candidate personal details



- amendments to existing entries
- withdrawals of existing entries
- Check final entry submission information provided by the EO and confirms information is correct

### Entry fees

Entry fees are paid for all students sitting their examinations for the first time in subjects taught to them at KSHS.

Any student wishing to take an examination in another subject (other than languages) will be charged for any relevant examination fees.

Any student wishing to take an examination in an additional language will have their entry fees paid for them but they must be prepared to incur any fees for the speaking element of these plus any additional invigilation costs.

If a student requests a resit of any examination the school will pay the costs of one resit in English or Mathematics, if the student has not achieved a grade 4. A resit in any other subject will be chargeable.

If a department's action or inaction results in late or amendment fees these will be paid from the department budget.

If students are withdrawn from examinations after entry deadlines and costs are incurred, these costs may be passed on to the Department or to the student (e.g. if a student fails to complete coursework despite repeated help from department). Any students entered early for an examination will be as fully prepared for the examination as other students taking the examination at the usual time, so there may also be a charge for late withdrawals.

Where a student is entered for an examination, but subsequently leaves the school, or is withdrawn after discussion with the subject teacher/subject leader and the Head of Year/Pastoral Leader, it is the responsibility of the subject leader to inform the Examinations Officer of the withdrawal. Failure to do this will incur a penalty fee, which may be charged to the departmental budget.

### 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**

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

### Re-sit entries

With the issue of results all students are given information regarding options for re-sitting along with relevant deadlines and costs. The school does not charge any administration fees for resits in the next examination season where the candidate is still on the KSHS school roll. The candidate is expected to pay any fees from the examination board with the exception of a first resit in English or Mathematics if a grade 4 has not been achieved.

### Private candidates

The school accepts entries from a limited number of external candidates at the discretion of the Examinations Officer in exceptional circumstances. The school reserves the right to charge an administration fee, supply personal details for our records and pay all the relevant UAB charges. The Examinations Officer may decline to accept external entries where these necessitate an unreasonable workload for the Examinations Office or for teachers or for any reason which might in any way compromise school policies.



## 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 EO

### **Candidates**

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

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

### Access arrangements and reasonable adjustments

#### **ALS lead/SENCo**

- Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access to exams/assessments for candidates where they are disabled within the meaning of the Equality Act (unless a temporary emergency arrangement is required at the time of an exam)
- Ensures a candidate is involved in any decisions about arrangements, adjustments and /or adaptations that may be put in place for him/her
- Ensures exam information (JCQ information for candidates documents, 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 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 designated contingency sessions awarding bodies may identify in the event of national or significant local disruption to exams
- Prior to exams issues relevant JCQ information for candidates documents
- Where relevant, issues relevant awarding body information to candidates
- Issues centre exam information to candidates including information on:
  - exam timetable clashes
  - arriving late for an exam
  - absence or illness during exams
  - what equipment is/is not provided by the centre
  - food and drink in exam rooms
  - unauthorised items in exam rooms
  - when and how results will be issued and the staff that will be available
  - post-results services information and how the centre will deal with requests from candidates
  - when and how certificates will be issued

### **Access to Scripts, Reviews of Results and Appeals Procedures**

Appendix 23
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### Dispatch of exam scripts

#### **Exams officer**

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

### Estimated grades

#### **Senior leaders**

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

#### **Exams officer**

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

### Internal assessment and endorsements

#### **Head of centre**

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

#### **ALS lead/SENCo**

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

#### **Teaching staff**

- Support the ALS lead/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**

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

#### **Exams officer**

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

#### **Candidates**

- Authenticate their work as required by the awarding body

### Invigilation

#### **Exams officer**

- Provides an annually reviewed/updated invigilator handbook to invigilators, trains new invigilators on the current regulations on appointment and updates experienced invigilators on any regulation changes and any changes to centre-specific processes

- Deploys invigilators effectively to exam rooms throughout an exam series (including the provision of a roving invigilator where a candidate and invigilator (acting as a practical assistant, reader or scribe) are accommodated on a 1:1 basis to enter the room at regular intervals in order to observe the conducting of the exam, ensure all relevant rules are being adhered to and to support the practical assistant/reader and/or scribe in maintaining the integrity of the exam)
- Allocates invigilators to exam rooms (or where supervising candidates due to a timetable clash) according to the required ratios
- Liaises with the ALS lead/SENCo regarding the facilitation and invigilation of access arrangement candidates

#### **ALS lead/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 Centre Inspections

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

- Will accompany the Inspector throughout a visit

##### **ALS lead/SENCo or relevant Senior leader (in the absence of the ALS lead/SENCo)**

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

#### Seating and identifying candidates in exam rooms

##### **Exams officer**

- Ensures a procedure is in place to verify the identity of all candidates

##### **Candidate Identification Procedure**

Appendix 13
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- 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 EO
- Seat candidates in exam rooms as instructed by the EO/on the seating plan

#### Security of exam materials

##### **Exams officer**

- Confirms appropriate arrangements are in place to ensure that confidential materials are only handed over to those authorised by the head of centre
- Ensures access to the secure room is restricted and staff approved by the head of centre are accompanied by a keyholder at all times. There must be between two and six keyholders only (the exams officer must be one of the keyholders), each keyholder must fully understand their responsibilities as a keyholder to the secure storage facility
- 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

- Carefully checks question paper packets when they are removed from the dispatch packing and keeps a log of the check
- 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 a secure environment to prevent unauthorised personnel accessing live assessment materials and ensuring only authorised members of centre staff have access to electronic question papers)

At least two and no more than six members of centre staff should be authorised to handle secure electronic materials, one of whom must be the exams officer\*. Other members of centre staff may assist with printing and collation provided they are under supervision.

\*For AQA examinations, one member of centre staff can be authorised to handle secure electronic material.

### **Reception staff**

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

### **Teaching staff**

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

### **Timetabling and rooming**

#### **Exams officer**

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

### **Overnight Supervision Arrangements Policy**

When necessary KSHS will follow ICE section 8 to determine if overnight supervision is required and make the necessary application on AAO. Parents will be contacted in advance to complete the overnight supervision form and discuss the regulations for overnight supervision. Prior to going in to overnight supervision exams staff will gather any mobile phone or electronic devices the student may have with them and hand to parents in a sealed bag when they collect their child.

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

### **ALS lead/SENCo**

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

## **Site staff**

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

## Alternative site arrangements

### **Exams officer**

- (Where/if applicable to the centre) 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 to timescale by submitting a JCQ Alternative Site arrangement notification using CAP (or through the awarding body where a qualification may sit outside the scope of CAP) of any alternative sites that will be used to conduct timetabled examination components of the qualifications listed in the JCQ regulations

## Centre consortium arrangements

### **Exams officer**

- (Where/if applicable to the centre) Processes applications for Centre Consortium arrangements using CAP to the awarding body deadline (or through the awarding body where a qualification may sit outside the scope of CAP)

### **Senior leaders**

- (Where/if applicable to the centre) Inform the EO of any joint teaching arrangements in place and where the centre is acting as the consortium co-ordinator

## Transferred candidate arrangements

### **Exams officer**

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

## Internal exams

### **Exams officer**

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

### **ALS lead/SENCo**

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

### **Teaching staff**

- Provide exam papers and materials to the EO
- Support the ALS lead/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/temporary access arrangements as they arise at the time of exams

- applies for approval through AAO where required or through the awarding body where qualifications sit outside the scope of AAO

### Candidate absence

#### **Candidate Absence Policy**

Appendix 14
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#### **Invigilators**

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

#### **Candidates**

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

### Candidate behaviour

See *Irregularities* below.

### Candidate belongings

See *Unauthorised* items below.

### Candidate late arrival

#### **Exams officer**

- Ensures that candidates who arrive very late for an exam are reported to the awarding body by submitting a report on candidate admitted very late to examination room using CAP to timescale
- Warns candidates that their script may not be accepted by the awarding body

#### **Invigilators**

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

#### **Candidate Late Arrival Policy**

Appendix 15
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### Conducting exams

#### **Head of centre**

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

#### **Exams officer**

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

### Dispatch of exam scripts

#### **Exams officer**

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

### Exam papers and materials

#### **Exams officer**

- Organises exam question papers and associated confidential resources in date order in the secure storage facility

- Attaches erratum notices received to relevant sealed question paper packets
- Collates attendance registers and examiner details in date order
- Regularly checks mail or email inbox for updates from awarding bodies
- In order to avoid potential breaches of security, ensures 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 second pair of eyes 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 timetable 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 Policy (Exams)**

Appendix 16
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### **Leaving the Examination Room Policy**

Appendix 17
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### **Exams officer**

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

### **Senior leaders**

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

## Emergency Evacuation Policy (Exams)

Appendix 18

### Site staff

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

### Invigilators

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

### Candidates

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

### Irregularities

#### Head of centre

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

## Managing Behaviour Policy (Exams)

Appendix 19

### Senior leaders

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

### Exams officer

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

### Invigilators

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

### Malpractice

See *Irregularities* above and *Appendix 20 - Malpractice Policy (Exams)*.

### 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**

Appendix 21

#### **Candidates**

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

#### **Unauthorised items**

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

At the beginning of the examination the invigilators will remind candidates if they have any additional materials or electronic devices in their possession (such as study notes) this should be placed in the provided cabinet outside of the examination room. Students should hand additional materials to the invigilator immediately for transferring to this location.

If an invigilator finds unauthorised items in a candidates possession once the examination has commenced they should immediately remove the items from the candidate, place in the cabinet and note the full details of the incident in the log.

#### **Invigilators**

- Are informed of the arrangements through training

#### **Internal exams**

##### **Exams officer**

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

##### **Invigilators**

- Conduct internal exams as briefed by the EO

### **Results and post-results: roles and responsibilities**

#### **Internal assessment**

##### **Senior 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 after the retention period 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
- Ensure senior members of staff are accessible to candidates immediately after the publication of results so that results may be discussed and decisions made on the submission of any requests for post-results services and ensure 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

##### **Site staff**

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

### Accessing results

#### **Head of centre**

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

#### **Exams officer**

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

### Post-results services

#### **Head of centre**

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

#### **Exams officer**

- Provides information to candidates 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
- Identify the budget to which fees should be charged

#### **Candidates**

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

### Analysis of results

#### **Exam Officer -Line Manager/ Senior Leadership**

- Provides analysis of results to appropriate centre staff
- Provides results information to external organisations where required
- Undertakes the DfE School and College Checking Exercises (where applicable to the centre)  
<https://tableschecking.education.gov.uk>

## Certificates

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

### **Certificate Issue Procedure and Retention Policy**

Appendix 22

### **Candidates**

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

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

### **Exams officer**

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

### **Senior leaders**

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

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

### **Exams officer**

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

### **Exams Archiving Policy**

Appendix 24

## **Additional Policies: BTEC Policy**

Appendix 25

**Agreed by SLT January 2024**

**Next Review due January 2025 (annually)**

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## EXAM CONTINGENCY PLAN

2023/24

This plan is reviewed annually to ensure compliance with current regulations

### Purpose of the plan

This plan examines potential risks and issues that could cause disruption to the exams process at Kesteven and Sleaford High School. By outlining KSHS's 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 (and Northern Ireland Council for the Curriculum, Examinations and Assessment) **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** for the Examination System in England, Wales and Northern Ireland and the JCQ document **Preparing for disruption to examinations** (Effective from 1 September 2023).

This plan also confirms KSHS's compliance with JCQ's **General Regulations for Approved Centres** (section 5.3) 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 where the head of centre, examinations officer or SENCo is absent at a critical stage of the examination cycle. The examination contingency plan should reinforce procedures in the event of the centre being unavailable for examinations, or on results day, owing to an unforeseen emergency. The potential impact of a cyber-attack should also be considered.

### National Centre Number Register and other information requirements

The head of centre will also ensure that KSHS as a contingency to enable the prompt handling of urgent issues only, responds to the awarding bodies' request for information regarding the contact details of a senior member of staff (which might include a personal mobile number and/or email address). This will ensure that any urgent matters which might adversely affect candidates which arise outside of term time, and which potentially put qualification awards at risk, can be addressed by awarding bodies with the support of that member of staff. Heads of centre should ensure that this member of staff has the necessary authority to mobilise resources to provide this support, which might include resolving issues within the centre itself.

### Head of centre absence at a critical stage of the exam cycle

Where the head of centre may absent at a critical stage of the examination cycle, main duties and responsibilities will be escalated in accordance with the centre's written escalation process].

## Possible causes of disruption to the exam process

### 1. Exam officer extended absence at a critical stage of the exam cycle

Criteria for implementation of the plan

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

### *Planning*

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

### *Entries*

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

### *Pre-exams*

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

### *Exam time*

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

### *Results and post-results*

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

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

- *SLT to nominate a 'deputy' to cover a role/task or network with staff from a local centre; sharing expertise with a local centre.*

## **2. ALS lead/SENCo extended absence at a critical stage of the exam cycle**

### Criteria for implementation of the plan

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

### *Planning*

- *candidates not tested/assessed to identify potential access arrangement requirements*
- *centre fails to recognise its duties towards disabled candidates as defined under the terms of the Equality Act 2010*
- *evidence of need and evidence to support normal way of working not collated*

### *Pre-exams*

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

### *Exam time*

- ▶ *access arrangement candidate support not arranged for exam rooms*

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

- SLT to nominate a deputy (SEN & Pastoral team) and an admin assistant to cover role.

### 3. Teaching staff extended absence at a critical stage of 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*

SLT to nominate an acting head of department to cover role/task or second in department to cover.

### 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 to mitigate the impact of the disruption

- Internal invigilators to be trained and utilised alongside the external team of trained staff.

### 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 to mitigate the impact of the disruption

- Alternative venues to be sourced from the cover supervisor

### 6. Cyber-attack

#### Criteria for implementation of the plan

*Where a cyber-attack may compromise any aspect of delivery*

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

- Use cloud based software (Bromcom) to store Student details and examination details
- Use a non-networked computer to access essential examination materials

- Maintain paper lists of Invigilator contact details to enable prompt contact in the event of requiring emergency invigilation

## 7. Failure of IT systems

### Criteria for implementation of the plan

*MIS system failure at final entry deadline*

*MIS system failure during exams preparation*

*Power outage immediately prior to or during an on-screen test*

*MIS system failure at results release time*

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

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

## 8. Emergency evacuation of the exam room (or centre lockdown)

### Criteria for implementation of the plan

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

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

- *Emergency Evacuation Policy (Exams)* and *Lockdown Policy (Exams)* to be followed

## 9. 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*

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

Where there is disruption to teaching time and students miss teaching and learning, it remains the responsibility of centres to prepare, as usual, for examinations. Centre to communicate with parents, carers and students about the potential for disruption to teaching time and plans to address this.

## 10. Candidates may not be able to take examinations - centre remains open

### Criteria for implementation of the plan

*Candidates may not be able to attend the examination centre to take examinations as normal*

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

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

## 11. Centre may not be able to open as normal during the examination period

(Including in the event of the centre being unavailable for examinations owing to an unforeseen emergency)

### Criteria for implementation of the plan

*Centre may not be able to open as normal for scheduled examinations*



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

- The centre must inform each awarding organisation with which examinations are due to be taken as soon as is possible. Alternative venue sourced.

(This could include implementing alternative arrangements for the conducting of examinations and notifying the JCQ Centre Inspection Service of an alternative site arrangement by submitting the JCQ Alternative Site form online, using the Centre Admin Portal (CAP).)

### **12. Disruption in the distribution of examination papers**

#### Criteria for implementation of the plan

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

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

- ▶ Awarding organisations to provide centres with electronic access to examination papers via a secure external network. Centres would need to ensure that copies are received, made and stored under secure conditions and should have plans in place to facilitate such an action. Awarding organisations would provide guidance on the conduct of examinations in such circumstances. As a last resort, and in close collaboration with centres and regulators, awarding organisations to consider scheduling the examination on an alternative date.

### **13. Disruption to transporting completed examination scripts**

#### Criteria for implementation of the plan

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

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

- where examinations are part of the national 'yellow label' service or where awarding organisations arrange collections, centres should seek advice from awarding organisations and should not make their own arrangements for transportation unless told to do so by the awarding body
- for any examinations where centres make their arrangements for transportation, centres should investigate alternative dispatch options that comply with the requirements detailed in the JCQ *Instructions for conducting examinations*.
- centres to ensure secure storage of completed examination scripts until collection.

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

#### Criteria for implementation of the plan

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

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

- Awarding organisations to generate candidate marks for affected assessments based on other appropriate evidence of candidate achievement as defined by the awarding organisations.
- Where marks cannot be generated by awarding organisations candidates may need to retake affected assessment in a subsequent assessment series.

### **15. Centre unable to distribute results as normal or facilitate post results services**

(Including in the event of the centre being unavailable on results day owing to an unforeseen emergency)

#### Criteria for implementation of the plan

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

## Centre actions to mitigate the impact of the disruption

### Distribution of results:

- centre to make arrangements to access its results at an alternative site, in agreement with the relevant awarding organisation
- centres to make arrangements to coordinate access to post results services from an alternative site
- centres to share facilities with other centres if this is possible, in agreement with the relevant awarding organisation.

### Facilitation of post results services:

- centre to make arrangements to make post results requests at an alternative location
- centres to contact the relevant awarding organisation if electronic post results requests are not possible

## Further guidance to inform procedures and implement contingency planning

### DfE

#### Meeting digital and technology standards in schools and colleges

[Cyber Security Standards for schools and colleges](#)

[Cyber crime and cyber security: a guide for education providers](#)

[DfE Cyber Security Guidance – March 2023](#)

### Ofqual

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

This document was updated in October 2023 to include Ofqual's final decisions on long-term resilience arrangements, and the Department for Education (DfE)'s guidance for education settings with confirmed reinforced autoclaved aerated concrete (RAAC),

In addition to this guidance, you will need to be aware of your specific responsibilities for local and national school preparations and contingencies. You should also follow advice from relevant public health bodies.

#### Contingency planning

Awarding organisations are required to establish, maintain and comply with an up-to-date detailed written contingency plan, to mitigate any incident they have identified may occur. This includes having communication plans for external parties ([Ofqual General Condition of Recognition A6](#)). Schools and colleges should also be prepared for possible disruption to exams and assessments and make sure staff are aware of these plans.

#### Disruption to assessments or exams

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

- the exam or assessment cannot take place
- a student misses an exam or loses their assessment due to an emergency, or other event, outside of the student's control

You may also wish to see the [JCQ's notice to centres on exam contingency plans](#) and [JCQ's notice on preparing for disruption to examinations](#) in England, Wales and Northern Ireland for qualifications within its scope.

#### Steps you should take

##### Exam planning

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

Schools, colleges and other exam centres must speak to the relevant awarding organisations as soon as possible if they are expecting any disruption that might affect the sitting of exams and assessments.

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

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

### **After the exam**

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

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

#### **Exam planning**

1. Establish and maintain, and at all times comply with, an up-to-date, written contingency plan.
2. Ensure that the arrangements in place with centres and other third parties enable them to deliver and award qualifications in accordance with their conditions of recognition.

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

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

#### **After the exam**

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

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

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

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

See also [JCQ's guidance on special consideration](#)

#### **Wider communications**

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

The [DfE in England](#) in England, the [DfE 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 or assessments**

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 examinations and assessments, including exam timetables.

In September 2023, Ofqual and the DfE published [joint consultation decisions on long-term resilience arrangements](#). As in 2023, Ofqual has provided [guidance on collecting evidence of student performance to ensure resilience in the qualifications system](#) for students entering GCSEs, AS and A levels, the Advanced Extension Award and Project qualifications. For VTQs and other qualifications used alongside or instead of GCSEs, AS and A levels, awarding organisations will provide guidance where needed and will contact schools and colleges with more information.

In December 2022, Qualifications Wales published [guidance for contingency assessment arrangements](#) for GCSEs, AS and A levels and Skills Challenge Certificates in the event that a national decision is made to cancel exams. This guidance is still relevant for the current academic year.

The DfE has updated its guidance on [handling strike action in schools](#) in England in light of the industrial action in 2023. The guidance recommends schools should prioritise the running of examinations and assessments on any strike days, and should review their contingency plans to make this happen. Schools, colleges and other exam centres must speak to the relevant awarding organisations if they are expecting any disruption that might affect the sitting of exams and assessments.

The DfE has also issued [guidance for education settings with confirmed reinforced autoclaved aerated concrete \(RAAC\)](#) in their buildings. It includes the need for contingencies for possible disruption to examinations and links to the existing emergency planning guidance.

We will update this page as necessary, with any further relevant links, should national disruption occur.

### **General contingency guidance**

- [emergency planning and response for education, childcare and children's social care settings](#) from the DfE in England
- [handling strike action in schools](#) from the DfE in England
- [school organisation: local-authority-maintained schools](#) from the DfE in England
- [reinforced autoclaved aerated concrete: guidance for education settings with confirmed RAAC](#) from the DfE 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 terms and school closures](#) from NI Direct
- [opening schools as well as childcare and play settings in extreme bad weather and extreme hot weather](#) - guidance for schools from the Welsh Government
- [emergency planning and response guidance for education and childcare settings](#)- guidance for schools and education settings from the Welsh Government
- [police guidance](#) from National Counter Terrorism Security Office and partners on preparing for threats
- [cyber security guidance for schools and colleges](#) from the National Cyber Security Centre

(Ofqual guidance extract above taken directly from the Exam system contingency plan: England, Wales and Northern Ireland - **What schools and colleges and other centres should do if exams or other assessments are seriously disrupted** (last updated 5 October 2023) <https://www.gov.uk/government/publications/exam-system-contingency-plan-england-wales-and-northern-ireland/what-schools-and-colleges-should-do-if-exams-or-other-assessments-are-seriously-disrupted>)

## **JCQ**

15.1 The qualification regulators, awarding bodies 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>

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

15.3 All centres must have 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 where the head of centre, examinations officer or SENCo is absent at a critical stage of the examination cycle. The examination contingency plan

should reinforce procedures in the event of the centre being unavailable for examinations owing to an unforeseen emergency.

All relevant centre staff must be familiar with the examination contingency plan. Consideration should be given as to how these arrangements will be communicated to candidates, parents and staff should disruption to examinations occur.

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

15.5 The awarding bodies will designate 'contingency sessions' for examinations, summer 2024. This is consistent with the qualification regulators' document *Exam system contingency plan: England, Wales and Northern Ireland*:

<https://www.gov.uk/government/publications/exam-system-contingency-plan-england-wales-and-northern-ireland>

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

In the event of national disruption to a day of examinations in summer 2024, 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 last contingency day. Centres will be alerted if it is agreed to reschedule the examinations and the affected candidates will be expected to make themselves available in such circumstances. The decision regarding the rescheduling 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 the contingency arrangements so that they may take them into account when making their plans for the summer.

(JCQ guidance above taken directly from **Instructions for conducting examinations 2023-2024**

<http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations>, section 15, Contingency planning)

JCQ Joint Contingency Plan [www.jcq.org.uk/exams-office/other-documents](http://www.jcq.org.uk/exams-office/other-documents)

JCQ Preparing for disruption to examinations [www.jcq.org.uk/exams-office/general-regulations/](http://www.jcq.org.uk/exams-office/general-regulations/)

JCQ Notice to Centres - Examination contingency plan/examinations policy [www.jcq.org.uk/exams-office/general-regulations/notice-to-centres--exam-contingency-plan/](http://www.jcq.org.uk/exams-office/general-regulations/notice-to-centres--exam-contingency-plan/)

General Regulations for Approved Centres [www.jcq.org.uk/exams-office/general-regulations](http://www.jcq.org.uk/exams-office/general-regulations)

Guidance notes on alternative site arrangements [www.jcq.org.uk/exams-office/online-forms](http://www.jcq.org.uk/exams-office/online-forms)

Guidance notes for transferred candidates [www.jcq.org.uk/exams-office/online-forms](http://www.jcq.org.uk/exams-office/online-forms)

Instructions for conducting examinations [www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations](http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations)

A guide to the special consideration process [www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance](http://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance)

## GOV.UK

Emergency planning and response: Exam and assessment disruption [www.gov.uk/government/publications/emergency-planning-and-response-for-education-childcare-and-childrens-social-care-settings](http://www.gov.uk/government/publications/emergency-planning-and-response-for-education-childcare-and-childrens-social-care-settings)

Dispatch of exam scripts guide: Ensuring the service runs smoothly; Contingency planning [www.gov.uk/government/publications/dispatch-of-exam-scripts-yellow-label-service](http://www.gov.uk/government/publications/dispatch-of-exam-scripts-yellow-label-service)

## Wales

School closures: examinations [gov.wales/school-closures-examinations](http://gov.wales/school-closures-examinations)

Opening schools in extremely bad weather and extreme hot weather: [www.gov.wales/opening-schools-well-childcare-and-play-settings-extreme-bad-weather-and-extreme-hot-weather](http://www.gov.wales/opening-schools-well-childcare-and-play-settings-extreme-bad-weather-and-extreme-hot-weather)

## Northern Ireland

Exceptional closure days [www.education-ni.gov.uk/articles/exceptional-closure-days](http://www.education-ni.gov.uk/articles/exceptional-closure-days)

Checklist for Principals when considering Opening or Closure of School - exceptional closure of schools [www.education-ni.gov.uk/publications/checklist-exceptional-closure-schools](http://www.education-ni.gov.uk/publications/checklist-exceptional-closure-schools)

## National Cyber Security Centre

The NCSC's free [Web Check](#) and [Mail Check](#) services can help protect schools from cyber-attacks. Two NCSC cyber security services, which are already helping thousands of organisations to protect their websites and email servers from cyber-attacks, are now available to **all UK schools**. Both tools are available free of charge, are quick to set up, and thereafter run automatically. More information is available from the [NCSC website](#).

The Department for Education has been asking centres to review **National Cyber Security Centre advice** following increasing number of cyber-attacks involving ransomware infections. The NCSC information supports centres in cyber security preparedness and mitigation work.

Ransomware attacks continue and the Department is reminding centres to review the NCSC advice and to take precautions. This includes ensuring that you have backups in place for your key services and data.

For ease of reference, the Department has highlighted key links relating to the NCSC cyber security guidance below:

1. [Further ransomware attacks on UK education by cyber criminals - NCSC.GOV.UK](#)
2. [Mitigating malware and ransomware attacks](#)
3. [Offline backups in an online world](#)
4. [Backing up your data](#)
5. [Practical resources to help schools improve their cyber security](#)
6. [Building Resilience: Ransomware, the risk to schools and ways to prevent it](#)
7. [School staff offered training to help shore up cyber defences - NCSC.GOV.UK](#)

## Escalation Process

2023/24

This process is reviewed annually to ensure compliance with current regulations

### Purpose of the process

In terms of internal governance arrangements, it is the responsibility of the head of centre to ensure that KSHS 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.

This process confirms the main duties and responsibilities to be escalated.

This process also supports KSHS being able to confirm to an awarding body the external governance arrangements so that the awarding body has confidence in the integrity of centre activities such as the delivery of qualifications and the conducting of examinations and assessments.

### Before examinations (Planning)

In the event of the absence of the head of centre or the member of senior leadership with oversight of examination administration, responsibility for implementing JCQ regulations and requirements relating to activity prior to examinations will be escalated to Jamie Holland (Deputy Headteacher, Robert Carre Trust) and Nick Law (Executive Headteacher – The Robert Carre Trust)

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:

- Third party arrangements
- Centre status
- Confidentiality
- Communication
- Recruitment, selection training and support
- External and 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:

- JCQ Centre Inspection Service Changes
- Policies available for inspection

Specific JCQ publications for reference:

- General Regulations for Approved Centres (section 5)
- Instructions for conducting examinations (section 25)
- Access Arrangements and Reasonable Adjustments (section 5)
- Personal data, freedom of information and copyright

Additional JCQ publication for reference:

- Information for candidates – Privacy Notice

## Before examinations (Entries and Pre-exams)

In the event of the absence of the head of centre or the member of senior leadership with oversight of examination administration, responsibility for implementing JCQ regulations and requirements relating to entries and exam preparation will be escalated to Jamie Holland (Deputy Headteacher, Robert Carre Trust) and Nick Law (Executive Headteacher – The Robert Carre Trust).

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 16-31)
- Access Arrangements and Reasonable Adjustments (sections 2-7)

### Main duties and responsibilities relate to:

- Access arrangements and reasonable adjustments
- Entries (including ensuring appropriate controls are in place which allow accurate entries to be submitted to the awarding bodies)

Additional JCQ publications for reference:

- Key dates
- Guidance Notes for Transferred Candidates
- Alternative Site guidance notes
- Guidance notes for overnight supervision of candidates with a timetable variation
- Centre assessed work (including ensuring appropriate controls are in place which allow accurate internally assessed marks to be submitted to the awarding bodies)

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 Jamie Holland (Deputy Headteacher, Robert Carre Trust) and Nick Law (Executive Headteacher – The Robert Carre Trust)



The centre also 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.

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)

As a contingency to enable the prompt handling of urgent issues only, the centre responds to the awarding bodies' request for information regarding the contact details of a senior member of staff (which might include a personal mobile number and/or email address). This will ensure that any urgent matters which might adversely affect candidates which arise outside of term time, and which potentially put qualification awards at risk, can be addressed by awarding bodies with the support of that member of staff. The head of centre will ensure that this member of staff has the necessary authority to mobilise resources to provide this support, which might include resolving issues within the centre itself (GR 5.3)

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 Jamie Holland (Deputy Headteacher, Robert Carre Trust) and Nick Law (Executive Headteacher – The Robert Carre Trust).

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: (*Information and guidance to centres*)
- JCQ Appeals Booklet (A guide to the awarding bodies' appeals processes)

- Certificates

## Lockdown Policy (Exams)

2023/24

### Purpose of the policy

This policy details the measures taken at KSHS in the event of a centre lockdown during the conducting of examinations.

Depending on the nature of the incident, centres may also decide to evacuate, invacuate (an inward evacuation) or use a protected space(s). However, this policy focuses specifically upon the actions, roles and responsibilities during an exams-related lockdown.

A lockdown may be required in the following situations (this is not an exhaustive list):

- an incident or civil disturbance in the local community which poses a risk
- an intruder on the site with the potential to pose a risk
- local risk of air pollution, such as a smoke plume or gas cloud
- a major fire in the vicinity
- a dangerous animal roaming loose
- an internal threat from a student
- any other external or internal incident which has the potential to pose a threat to the safety of exams staff and candidates

KSHS has devised lockdown procedures during the conducting of examinations after consulting GOV.UK [ProtectUK](#) guidance.

In the event of a lockdown during an examination the focus before, during and after an exam will be:

- training staff engaged/involved in the conducting of examinations
- how to achieve an effective lockdown
- implementing Run, Hide, Tell principles
- the welfare and safety of exam candidates and centre staff engaged in the conducting of examinations
- how to let people know what's happening
- maintaining the integrity and security of the examinations/assessments process

## Roles and responsibilities

### Head of centre

- To ensure that a dedicated lockdown alarm tone is in place and recognised by all staff and candidates
- To ensure that all staff involved in the conducting of examinations are trained in how to raise the alarm for a lockdown, act effectively and made aware of their responsibilities
- To arrange appropriate training for all exams-related staff in lockdown procedures
- To ensure that candidates are aware of the procedures relating to a lockdown, particularly those arriving late for an examination who cannot access the exam room due it being in lockdown

- To ensure that all candidates and staff are aware of a possible exit point in case an intruder manages to gain access, or the exam room becomes unsafe
- To provide written lockdown procedures for exam room/invigilator use
- To inform the relevant emergency services immediately in the case of any potential threat to the safety of exams staff and candidates

### **Senior leadership team (SLT)**

- To assume responsibility for all exams staff and candidates taking examinations during a lockdown
- To run training/drills for examination candidates on lockdown procedures
- To inform parents/carers about the centre's Lockdown policy in relation to the conducting of examinations
- To have a presence around exam room areas prior to the start of each exam session
- To liaise with the appropriate authorities and awarding bodies regarding candidates taking examinations during a lockdown
- To use the exam room attendance register(s) to compile a list of all candidates not accounted for

### **Exams officer**

- To train invigilators in the centre's lockdown procedure - this should also include identifying all access and egress points within exam rooms, an awareness of the design of the locking device within each room and if there is more than one invigilator, whose role it would be to secure the exam room
- Where safe/possible, to liaise with SLT/invigilators in all exam rooms during a lockdown
- To assist with lockdown training for staff and students where applicable to the conducting of examinations

### **Invigilators**

- To be aware of the centre's lockdown procedure
- To complete attendance registers as soon as possible so candidates can be identified in the event of a lockdown
- Where safe/possible, to communicate with the exams officer during a lockdown to confirm the situation in a particular exam room
- Where safe/possible, not leave the examination question papers and candidates' scripts unattended/out of sight

## **Lockdown procedure**

### **Before an examination**

If a lockdown is required as candidates are entering/waiting to enter the exam room, the following procedure will be employed:

- A member of SLT will be present around exam room areas
- Candidates will be instructed to enter the exam room immediately
- Candidates will be instructed to remain silent, hide under exam desks or sit against a wall/around a corner but not near the door and to ensure mobile phones are on silent and non-vibrate mode
- Where safe/possible, the SLT member will communicate (via mobile phone/walkie talkie) the situation to the exams officer (ensuring that all mobile phones/walkie talkies are on silent and non-vibrate mode)
- Where safe/possible, the exams officer will collate the information from all exam rooms and forward this to the head of centre immediately
- Invigilators will
  - lock all windows and close all curtains/blinds
  - switch off all lights
  - lock all doors and/or use tables, or any other furniture, to barricade the entrance to the examination room
  - take an attendance register/head count if possible
  - (if the threat is a chemical or toxic release) instruct candidates to cover their nose and mouth (their own clothing can be used) and attempt to use anything to hand to seal up cracks around doors and any vents into the room
  - where safe/possible, not leave the examination question papers unattended/out of sight
- The head of centre will make informed decisions on alerting parents/carers, awarding bodies and emergency services

## During an examination

If a lockdown is required during the exam/when candidates are in the exam room, the following procedure will be employed:

- Invigilators will:
  - tell candidates to stop writing immediately and close their answer booklets
  - collect the attendance register
  - make a note of time when the examination was suspended
  - instruct candidates to remain silent, leave all examination materials on their desks and hide under desks
  - where safe/possible, communicate (via mobile phone/walkie talkie) the situation to the exams officer (ensuring that all mobile phones/walkie talkies are on 'silent' mode).
  - lock all windows and close any/all curtains/blinds
  - switch off all lights
  - lock all doors and/or use tables, or any other furniture, to barricade the entrance to the examination room
  - (if the threat is a chemical or toxic release) instruct candidates to cover their nose and mouth (their own clothing can be used) and attempt to use anything to hand to seal up cracks around doors and any vents into the room
  - where safe/possible, not leave the examination question papers and candidates' scripts unattended/out of sight
- Where safe/possible, the exams officer will collate the information from all exam rooms and forward this to the head of centre immediately
- The head of centre will make informed decisions on alerting parents/carers, awarding bodies and emergency services
- If appropriate, where safe/possible, and following centre policy, the exams officer (or invigilators in the absence of the exams officer) will initiate the emergency evacuation procedure
- Where safe/possible the exams officer will collect all examination papers and materials for safe/secure storage following advice from the appropriate awarding bodies

## After an examination

If a lockdown is required after the exam/as candidates are leaving the exam room, the following procedure will be employed:

- Invigilators will:
  - stop dismissing candidates from the exam room
  - instruct candidates who have left the room to re-enter the exam room
  - instruct candidates to remain silent and hide under desks/tables
  - where safe/possible, communicate (via mobile phone/walkie talkie) the situation to the exams officer (ensuring that all mobile phones/walkie talkies are on silent and non-vibrate mode)
  - lock all windows and close any/all curtains/blinds
  - switch off all lights
  - lock all doors and/or use tables, or any other furniture, to barricade the entrance to the exam room
  - (if the threat is a chemical or toxic release) instruct candidates to cover their nose and mouth (their own clothing can be used) and attempt to use anything to hand to seal up cracks around doors and any vents into the room
  - where safe/possible, not leave the examination question papers and candidates' scripts unattended/out of sight
- Where safe/possible, the exams officer will collate the information from all exam rooms and forward this to the head of centre immediately
- The head of centre will make informed decisions on alerting parents/carers, awarding bodies and emergency services

## Ending a lockdown

- The lockdown will be ended by either:
  - the sound of a defined alarm, or
  - the identification/authorisation of Emergency Service officers/SLT/head of centre entering each exam room
- A specific word or phrase may be used to confirm that the instruction to end the lockdown is genuine
- Invigilators will undertake a head count/register and confirm attendance with the exams officer/SLT

- Where applicable and if advised to do so by SLT/head of centre, and following JCQ guidelines, if there is sufficient time remaining, candidates may restart their examination
- Invigilators will then:
  - ask candidates to return to their desks, remind them they are under formal exam conditions and allow a settling down period
  - allow candidates the full working time remaining to do their examination
  - recalculate the revised finish time(s)
  - tell the candidates to open their answer booklets and re-start their exam
  - amend the revised finish time(s) on display to candidates
  - note how long the lockdown lasted on the exam room incident log (to later inform a report to the awarding body/bodies and where relevant, any centre-wide lockdown recording form/log)
- The exams officer will:
  - safely/securely store all collected exam papers and materials pending awarding body advice/guidance
  - ensure appropriate follow-up is undertaken after the incident, reporting the incident to the awarding body and the actions taken, where this may be applicable
  - where this may be applicable, ensure a full report of the incident is produced and retained on file if required by an awarding body
  - where this may be applicable, ensure an online application for special consideration is submitted to the relevant awarding body where candidates have been disadvantaged
- At the earliest immediate opportunity the head of centre will ensure that any breach of question paper security or malpractice is reported to the awarding body
- Where applicable/possible/available, SLT/exams officer will:
  - discuss any alternative exam sittings with the awarding body/bodies
  - offer, arrange and provide support services to staff and candidates
- At the earliest opportunity, SLT/head of centre will prepare a communication to parents/carers advising them of events (including relevant actions and outcomes)
- Where possible, exams staff and candidates will be invited to attend an assembly led by the head of centre to discuss the lockdown and offer ongoing support
  - If this is not possible, communications will be provided via a centre text/email/newsletter and information uploaded to the centre website

## Internal Appeals Procedure

2023/24

### Purpose of the procedure

This procedure confirms Kesteven and Sleaford High Schools's compliance with JCQ's **General Regulations for Approved Centres** (sections 5.3z, 5.8) that the centre will:

- have in place and available for inspection a written internal appeals procedure which must cover at least appeals regarding internal assessment decisions, post-result services and appeals, and centre decisions relating to access arrangements and special consideration
- draw to the attention of candidates and their parents/carers its written internal appeals procedure

This procedure covers appeals relating to:

- Internal assessment decisions (centre assessed marks)
- Centre decisions not to support an application for clerical re-check, a review of marking, a review of moderation or an appeal
- Centre decisions relating to access arrangements and special consideration
- Centre decisions relating to other administrative issues

### 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 KSHS and internally standardised. The marks awarded (the internal 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 KSHS's compliance with JCQ's *General Regulations for Approved Centres (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 (Summer 2024 exam series)

#### **These are available on p104**

KSHS 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.

KSHS ensures that all centre staff follow a robust *Non-examination assessment policy* (for the management of GCE and GCSE non-examination assessments). This policy details all procedures relating to non-examination assessments for GCE, GCSE, BTEC and Project qualifications, including the marking and quality assurance/internal standardisation 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. KSHS is committed to ensuring that work produced by candidates is authenticated in line with the

requirements of the awarding body. Where more than one subject teacher is 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 marking standards to his/her marking, then he/she may make use of the appeals procedure below to consider whether to request a review of the centre's marking.

KSHS will:

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

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

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

The moderation process carried out by the awarding body 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 in line with national standards. The mark submitted to the awarding body is subject to change and should therefore be considered provisional.

This procedure is informed by the JCQ publications [Instructions for conducting non-examination assessments](#) (section 6.1), [Review of marking \(centre assessed marks\) suggested template for centres](#) and [Notice to Centres - Informing candidates of their centre assessed marks](#)

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

This procedure confirms KSHS's compliance with JCQ's *General Regulations for Approved Centres 2020/21* section 5.13 that the centre will:

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

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

Candidates are also made aware of the arrangements for post-results services prior to the issue of results. Candidates are also informed of the periods during which senior members of centre staff will be available/accessible immediately after the publication of results so that results may be discussed, and decisions made on the submission of marking. Candidates are made aware by information in assembly time and a letter home.

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 available for externally assessed components of both unitised and linear 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) for the centre to submit this request
- · Inform the candidate that a review of moderation (RoR service 3) cannot be requested for the work of an individual candidate or the work of a candidate not in the original sample]
- If the candidate (or his/her parent/carers) believes there are grounds to appeal against the centre's decision not to support a review of results, an internal appeal can be submitted to the centre by completing the internal appeals form at least 5 calendar days prior to the internal deadline for submitting a request for a review of results.
- The appellant will be informed of the outcome of his/her appeal before the internal deadline for submitting a RoR.

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

Where the head of centre is satisfied after receiving the RoR outcome, but the candidate (or his/her parent/carers) 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 five calendar days of the notification of the outcome of the RoR. Subject to the head of centre's decision, this will allow the centre to process the preliminary appeal and submit to the awarding body within the required **30 calendar days** of receiving the outcome of the review of results process. Awarding body fees which may be charged for the preliminary appeal must be paid to the centre by the appellant

before the preliminary appeal is submitted to the awarding body (fees are available from the exams officer). If the appeal is upheld by the awarding body, this fee will be refunded by the awarding body and repaid to the appellant by the centre.

## Appeals regarding centre decisions relating to access arrangements and special consideration

This procedure confirms KSHS's compliance with JCQ's **General Regulations for Approved Centres** (section 5.3z) that the centre will:

- have in place and available for inspection a written internal appeals procedure which must cover at least appeals regarding... centre decisions relating to access arrangements and special consideration

KSHS will:

- comply with the principles and regulations governing access arrangements and special consideration as set out in the JCQ publications **Access Arrangements and Reasonable Adjustments** and **A guide to the special consideration process**
- ensure that all staff who manage and implement access arrangements and special consideration are aware of the requirements and are appropriately supported and resourced

### Access arrangements and reasonable adjustments

In accordance with the regulations, KSHS:

- recognises its duty to explore and provide access to suitable courses, through the access arrangements process submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates.
- complies with its responsibilities in identifying, determining and implementing appropriate access arrangements and reasonable adjustments

Failure to comply with the regulations have the potential to constitute malpractice which may impact on a candidate's result(s).

Examples of failure to comply include:

- putting in place access arrangements/adjustments that are not approved
- failing to consider putting in place access arrangements (which may be a failure to comply with the duty to make reasonable adjustments)
- permitting access arrangements/adjustments within the centre which are not supported by appropriate evidence
- charging a fee for providing reasonable adjustments to disabled candidates.

### Special consideration

Where KSHS has appropriate evidence signed by a member of the senior leadership team to support an application, it will apply for special consideration at the time of the assessment for a candidate who has temporarily experienced illness, injury or some other event outside of their control when the issue or event has had, or is reasonably likely to have had, a material effect on the candidate's ability to take an assessment or demonstrate his or her normal level of attainment in an assessment.

### Centre decisions relating to access arrangements, reasonable adjustments and special consideration

This may include KSHS's decision not to make/apply for a specific reasonable adjustment or to apply for special consideration, in circumstances where a candidate does not meet the criteria for, or there is no evidence/insufficient evidence to support the implementation of an access arrangement/reasonable adjustment or the application of special consideration.

Where KSHS makes a decision in relation to the access arrangement(s), reasonable adjustment(s) or special consideration that apply for a candidate or candidates:

- If a candidate who is the subject of the relevant decision (or the candidate's parent/carer) disagrees with the decision made and reasonably believes that the centre has not complied with its responsibilities or followed due procedures, a written request setting out the grounds for appeal should be submitted
- An internal appeals form should be completed and submitted within 5 calendar days of the decision being made known to the appellant

To determine the outcome of the appeal, the head of centre will consult the respective JCQ publication to confirm the centre has complied with the principles and regulations governing access arrangements and/or special consideration and followed due procedures.

The appellant will be informed of the outcome of the appeal: within 5 working days of the appeal being received and logged by the centre.

If the appeal is upheld, KSHS will: proceed to implement the necessary arrangements/submit the necessary application

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This procedure is informed by the JCQ publications [A guide to the awarding bodies' appeals processes](#) (section 3), [Suspected Malpractice: Policies and Procedures \(section 3.3\)](#), [General Regulations for Approved Centres \(section 5.4\)](#), [Access Arrangements and Reasonable Adjustments](#) (Importance of these regulations) [and A guide to the special consideration process](#) (sections 1, 2, 6)

## Appeals regarding centre decisions relating to other administrative issues

Circumstances may arise that cause KSHS to make decisions on administrative issues that may affect a candidate's examinations/assessments.

Where KSHS may make a decision that affects a candidate or candidates:

- If a candidate who is the subject of the relevant decision (or the candidate's parent/carer) disagrees with the decision made and reasonably believes that the centre has not complied the regulations or followed due process, a written request setting out the grounds for appeal should be submitted
- An **internal appeals form** should be completed and submitted within 5 calendar days of the decision being made known to the appellant.

The appellant will be informed of the outcome of the appeal within 5 calendar/working days of the appeal being received and logged by the centre.

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This procedure is informed by the JCQ publication [A guide to the awarding bodies' appeals processes](#) (chapter 7)

## Internal Appeals form

### FOR CENTRE USE ONLY

Date received

Reference No.

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

- ☐ Appeal against an internal assessment decision and/or request for a review of marking
- ☐ Appeal against the centre's decision not to support a clerical check, a review of marking, a review of moderation or an appeal
- ☐ Appeal against the centre's decision relating to access arrangements or special consideration
- ☐ Appeal against the centre's decision relating to an administrative issue

\*Where the nature of the appeal does not relate directly to an awarding body's specific qualification, indicate N/A in awarding body specific detail boxes

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

Please state the grounds for your appeal below

(If applicable, tick below)

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

Appellant signature:

Date of signature:

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

## Appeals log

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

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

[illegible]

## Further guidance to inform and implement appeals

## JCQ publications

- General Regulations for Approved Centres  
<https://www.jcq.org.uk/exams-office/general-regulations>
- Post-Results Services  
<https://www.jcq.org.uk/exams-office/post-results-services>
- JCQ Appeals Booklet (A guide to the awarding bodies' appeals processes)  
<https://www.jcq.org.uk/exams-office/appeals>
- Notice to Centres – Informing candidates of their centre assessed marks <https://www.jcq.org.uk/exams-office/non-examination-assessments>
- Suspected Malpractice: Policies and Procedures <https://www.jcq.org.uk/exams-office/malpractice/>
- Access Arrangements and Reasonable Adjustments <https://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance/>
- A guide to the special consideration process <https://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance/>

## Ofqual publications

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

## Equalities Policy (Exams)

2023/24

### 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, ensuring compliance with all aspects of the Equality Act 2010<sup>†</sup>, particularly Section 20 (7). This must include a duty to explore and provide access to suitable courses, through the access arrangements process submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates. Where the centre is under a duty to make a reasonable adjustment, the centre must not charge a disabled candidate any additional fee in relation to the adjustment or aid; <sup>†</sup>or any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect

(JCQ's General Regulations for Approved Centres, section 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

A definition is provided in the JCQ publication (Adjustments for candidates with disabilities and learning difficulties) **Access Arrangements and Reasonable Adjustments 2024 (Definitions section)**.

This publication is further referred to in this policy as [AA](#)

### Identifying the need for access arrangements

#### Roles and responsibilities

##### Head of centre

- Is familiar with the entire contents, refers to and directs relevant centre staff to the annually updated JCQ publications including [GR](#) and [AA](#)
- Ensures the quality of the access arrangements process within the centre
- Ensures staff roles, responsibilities and processes in identifying, requesting and implementing access arrangements for **all** 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
- Ensures the assessment process is administered in accordance with the regulations and that the correct procedures are followed as in Chapter 7 of AA
- Ensures a policy demonstrating the centre's compliance with relevant legislation is in place

##### Senior leader(s)

- Are familiar with the entire contents of the annually updated JCQ publications including [GR](#) and [AA](#)
- Support the SENCo in determining the need for and implementing access arrangements

### **Additional learning support (ALS) lead/Special educational needs coordinator (SENCo)**

- Has full knowledge and understanding of the contents, refers to and directs relevant centre staff to the annually updated JCQ publication [AA](#)
- Ensures a statement is provided which details the criteria the centre uses to award and allocate word processors for exams
- Leads on the access arrangements process to facilitate access for candidates
- Ensures that the access arrangements/reasonable adjustments approved allow the candidate to access the assessment, but do not result in the candidate gaining an unfair advantage
- Defines and documents roles, responsibilities and processes in identifying, requesting and implementing access arrangements
- Ensures the qualified assessor(s) has access to the assessment objectives for the relevant specification(s) a candidate is undertaking
- 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
- Produces and reviews a word processor policy, specific to the centre, which details the criteria the centre uses to award and allocate word processors for examinations and assessments
- 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

### **Teaching staff**

- (where appropriate) Inform the ALS lead/SENCo of any observations about a candidate or any support that might be needed by a candidate

### **Support staff** (for example, Learning Support Assistants, Teaching Assistants and Communication Support Workers)

- (where appropriate) Provide comments/observations to support the ALS lead/SENCo to 'paint a holistic picture of need', confirming normal way of working for a candidate

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

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

- Has detailed understanding of the JCQ publication AA

- Produces and reviews a word processor policy, specific to the centre, which details the criteria the centre uses to award and allocate word processors for examinations and assessments



## Use of word processors

See Word Processor Policy ( Appendix 10)

## Requesting access arrangements

### Roles and responsibilities

#### Head of centre

#### ALS lead/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](#) (chapter 8) to process approval applications for access arrangements for those qualifications included
- Applies for approval where this is required, through Access arrangements online (AAO), or through the awarding body where qualifications sit outside the scope of AAO
- Ensures that where approval is required the application is processed on time and no later than the awarding body's published deadline
- Ensures that the full supporting evidence is in place before an online application is processed
- Reviews the evidence before an online application is processed, ensuring that the candidate does meet the published criteria for the respective arrangement
- Holds all supporting evidence and presents such evidence to a JCQ Centre Inspector upon request
- Ensures that the agreed adjustment has been put in place before the candidate's first examination, e.g. internal tests and mock examinations
- Ensures appropriate and required evidence is held on file to confirm validation responses in AAO including (where required) the completion of relevant JCQ forms, such as JCQ Form 8 (Application for access arrangements – Profile of learning difficulties), Form 9 (Profile of need), Form 8RF, Form BD25, etc. supplemented by written statements, where required, etc.
- Ensures where JCQ forms are required to be completed, the 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)
- Ensures the names of all other assessors, who are assessing candidates studying qualifications covered by AAO are entered into AAO to confirm their status
- 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)
- Maintains a file/e-folder for each candidate (the required documentation for a candidate will be in hard copy within the candidate's file/each of the required documents held electronically 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 printout/PDF of the AAO approval a signed candidate personal data consent form (which provides candidate consent to their personal details being shared)
  - (where applicable) 'Data protection confirmation by the examinations officer or SENCo' acknowledged before an application is processed online

- Presents the files/e-folders when requested by a JCQ Centre Inspector and addresses any queries/questions raised

### **Exams officer (EO)**

- Is familiar with the entire contents of the annually updated JCQ publication GR and is aware of information contained in [AA](#) where this may be relevant to the EO role
- If the SENCo/ALS lead is unavailable, presents the files/e-folders of access arrangements candidates 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
- Liaises with the SENCo to ensure arrangements are in place to either order a non-interactive electronic (PDF) question paper from CCEA and WJEC (or to download a PDF copy of the standard question paper where provided by AQA, OCR and Pearson) or to open a question paper packets in the secure room within 90 minutes of the awarding body's 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 (using AAO for those qualifications included in the tool; using 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

#### **ALS lead/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)
- Is familiar with the instructions for Invigilation arrangements for candidates with access arrangements and Access arrangements in [ICE 2023-2024](#)
- 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 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
- 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 (EO) regarding facilitation and invigilation of access arrangement candidates in exams
- 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
- Appoints appropriate centre staff as facilitators to support candidates (practical assistant, prompter, Language Modifier, reader, scribe or Communication Professional)

#### **Exams officer**

- Understands and follows instructions for Invigilation arrangements for candidates with access arrangements and Access arrangements in [ICE 2023-2024](#)
- 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 where a person is appointed to facilitate an access arrangement, the person appointed is not normally the candidate's own subject teacher but where the candidate's own subject teacher has to be used, ensures a separate invigilator is always present
- Ensures where a person is appointed to facilitate an access arrangement, the person appointed is not a relative, friend, peer or private tutor of the candidate.
- 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 SENCo to ensure that invigilators are made aware of the Equality Act 2010 and are trained in disability issues
- 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 cover sheets, where these are required by the arrangement are completed as required by facilitators
- Liaises with the SENCo where a facilitator may be required to support a candidate requiring an emergency (temporary) access arrangement at the time of exams
- 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 informed of those candidates with access arrangements and made aware of the access arrangement(s) 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
- Understands that where permitted/approved, a secure question paper packet may need to be opened early in the secure room to facilitate the following:
  - a Language Modifier may have access to the question paper 60 minutes prior to the awarding body's published start time for the exam in order to prepare
  - the Communication Professional may have access to the question paper 60 minutes prior to the awarding body's published start time for the exam in order to prepare
  - the Live Speaker may have access to the transcript of the Listening examination 60 minutes prior to the awarding body's published start time for the exam in order to prepare
- 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
- Liaises with the SENCo where a facilitator may be required to support a candidate requiring an emergency (temporary) access arrangement at the time of exams
- Where required for emergency (temporary) access arrangements, applies for approval through AAO or through the awarding body where qualifications sit outside the scope of AAO

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

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

#### **Internal assessments**

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

#### **Exams Officer**

- ▶ Ensures facilitators supporting candidates are appropriately trained and understand the rules of the particular access arrangement(s)
- ▶ Ensures cover sheets are completed as required by facilitators
- ▶ Liaises with the teacher where a facilitator may be required to support a candidate requiring an emergency (temporary) access arrangement at the time of his/her formal supervised assessment

#### **ALS lead/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 using the access arrangement(s) before his/her first examination
- 

#### Teaching staff

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

#### Exams Officer/ Senior Leaders

- Provide the SENCo with internal exam timetable to ensure arrangements are put in place when required

#### ALS lead/SENCo

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

#### Teaching staff

- Support the SENCo in implementing appropriate access arrangements for candidates
- Provide exam materials that may need to be modified for a candidate

## Facilitating access - examples

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

On a candidate by candidate basis, consideration is given to:

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

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

Example of candidate need(s)	Arrangements explored	Centre actions
A medical condition which prevents the candidate from taking exams in the centre	Alternative site for the conduct of examinations  Supervised rest breaks	<i>SENCo gathers evidence to support the need for the candidate to take exams at home</i>  <i>Pastoral head provides written statement for file to confirm the need</i>  <i>Approval confirmed by SENCo; AAO approval for both arrangements not required</i>  <i>Pastoral head discussion with candidate to confirm the arrangements should be put in place</i>  <i>EO submits 'Alternative site form' for timetabled written exams to awarding body/bodies online using CAP</i>  <i>An on-line submission must only be made for timetabled written examinations in the following qualifications...</i>

		<p><i>EO provides candidate with exam timetable and JCQ information for candidates</i></p> <p><i>Pastoral head confirms with candidate the information is understood</i></p> <p><i>Pastoral head agrees with candidate that prior to each exam will call to confirm fitness to take exam</i></p> <p><i>EO allocates invigilator(s) to candidate's timetable; confirms time of collection of exam papers and materials</i></p> <p><i>Invigilator monitors candidate's condition for each exam and records any issues on incident log</i></p> <p><i>Invigilator records supervised rest breaks (time and duration) on incident log and confirms full time given for exam</i></p> <p><i>Invigilator briefs EO after each exam on how candidate's performance in exam may have been affected by his/her condition</i></p> <p><i>EO discusses with pastoral head if candidate is eligible for special consideration (candidate present but disadvantaged)</i></p> <p><i>EO processes request(s) for special consideration where applicable; incident log(s) provides supporting evidence supported by appropriate evidence signed by a member of the senior leadership team (Evidence retained until after the publication of results)</i></p> <p><i>Pastoral head informs candidate that special consideration has been requested</i></p>
Persistent and significant difficulties in accessing written text	<p>Reader/computer reader</p> <p>25% Extra time</p> <p>Alternative rooming arrangements</p>	<p><i>Confirms candidate is disabled within the meaning of the Equality Act 2010</i></p> <p><i>Papers checked for those testing reading</i></p> <p><i>Computer reader/examination reading pen sourced for use in papers (or sections of papers) testing reading OR up to 50% extra time awarded</i></p> <p><i>SENCo produces a statement, confirming the nature of the candidate's impairment and that the use of a computer reader and/or a reader reflects his/her normal and current way of working within the centre and completes appropriate form/documentation for evidence of need</i></p> <p><i>AAO application for approval processed</i></p> <p><i>Supporting evidence, AAO approval, signed candidate personal data consent form and completed Data protection confirmation by the examinations officer or SENCo form kept on file</i></p>
Significant difficulty in concentrating	<p>Prompter</p> <p>Alternative rooming arrangements</p>	<p><i>Gathers evidence to support substantial and long term adverse impairment</i></p> <p><i>Confirms with candidate how and when they will be prompted</i></p> <p><i>Briefs invigilator to monitor candidate and the method of prompting (call out his name to bring his attention back to the paper - confirms requirement for separate room)</i></p>

A wheelchair user	Desk	<i>Applies for practical assistant to help candidate set up wheelchair and other equipment in a practical assessment; approval automatically fails so awarding body referral lists the tasks that will be performed</i>
	Rooms	
	Facilities	<i>Provides height adjustable desk in exam room</i>
	Seating arrangements	<i>Allocates exam room on ground floor near adapted bathroom facilities</i> <i>Spaces desks to allow wheelchair access</i>
	Practical assistant	<i>Seats candidate near exam room door</i> <i>Confirms arrangements in place to assist the candidate in case of emergency evacuation of the exam room</i> <i>Practical assistant cover sheet printed from AAO; to be completed by facilitator and inserted inside the candidate's work where this may be applicable to the assessment</i>

## Complaints (Exams)

2023-24

This policy is reviewed annually to ensure compliance with current regulations

### Purpose of the policy

This policy confirms KSHS's compliance with JCQ's **General Regulations for Approved Centres** (sections 5.3, 5.8) in drawing to the attention of candidates and their parents/carers its written complaints policy which will cover general complaints regarding the centre's delivery or administration of a qualification.

### Grounds for complaint

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

#### Teaching and learning

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

#### Access arrangements and special consideration

- 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 record their personal data online (by the non-acquisition of a completed candidate personal data 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/ assistive technology 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
- Candidate unhappy with centre decision relating to access arrangements or special consideration (complainant to refer via Mrs S Ross to the centre's internal appeals procedure)
- Centre fails to adhere to its internal appeals procedure



## 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 accepted/rejected outcome of a special consideration application if provided by awarding body

## 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 via Mrs S Ross to the centre's internal appeals procedure)
- Centre fails to adhere to its internal appeals procedure
- Centre applied for the wrong post-results service/for the wrong exam script 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

## Raising a concern/complaint

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, KSHS 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 Exams Officer
- Completed forms should be returned to Mrs J Smith
- Forms received will be logged by the centre and acknowledged within three 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 two working weeks

### Internal appeals procedure

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

- A formal complaint must be submitted writing by completing a complaints form
- Forms received will be logged by the centre and acknowledged within three calendar days
- The appeal will be referred to Chair of Local Governing Body (or a special Committee of the Governing body) for consideration
- The Chair of Governors (or Committee) will inform the appellant of the final conclusion in due course

## Complaints form

FOR CENTRE USE ONLY	
Date received	
Reference No.	

Please tick box to indicate the nature of your complaint

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

Name of complainant	
Candidate name if different to complainant	

Please state the grounds for your complaint below

If your grounds are 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

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

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

Complainant/appellant signature:

Date of signature:

**This form must be completed in full - an incomplete form will be returned to the complainant**

## Complaints log

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

Ref No.	Date received	Complainant name	Outcome	Outcome date

## GDPR Policy specific to examinations.

### Purpose of the policy

This policy details how Kesteven & Sleaford High School, in relation to exams management and administration, ensures compliance with the regulations as set out by the Data Protection Act 2018 (DPA 2018) and General Data Protection Regulation (GDPR).

The delivery of examinations and assessments involve centres and awarding bodies processing a significant amount of personal data (i.e. information from which a living individual might be identified). It is important that both centres and awarding bodies comply with the requirements of the UK General Data Protection Regulation and the Data Protection Act 2018 or law relating to personal data in any jurisdiction in which the awarding body or centre are operating.

In JCQ's [General Regulations for Approved Centres](#) (section 6.1) reference is made to 'data protection legislation'. This is intended to refer to UK GDPR, the Data Protection Act 2018 and any statutory codes of practice issued by the Information Commissioner in relation to such legislation.

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

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
- DfE, Local Authority, RCT MAT, the press

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

- hard copy
- email
- secure extranet site(s) e.g. eAQA; OCR Interchange; Pearson Edexcel Online; WJEC Secure services
- Bromcom Management Information System (MIS) provided by Advance Learning - sending/receiving information via electronic data interchange (EDI) using A2C (<https://www.jcq.org.uk/about-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**

Kesteven & Sleaford High School ensures that candidates are fully aware of the information and data held.

All candidates are:

- informed via Student Examination handbook.
- given access to this policy via school website

## **Section 3 – Hardware and software**

The IT department ensures all IT hardware, software and access to online systems is protected in line with DPA & GDPR requirements.

## **Section 4 – 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
- cyber-attacks involving ransomware infections

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

### **1. Containment and recovery**

The Data Protection Officer 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 5 – 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 3 years.

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 6 – 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 archiving policy contained in the GDPR policy and Exams archiving policy (Appendix 24)

### Section 7 – 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 Data Protection Officer in writing/email. The person's ID will need to be confirmed if a former candidate is unknown to current staff. All requests will be dealt with within 30 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 8 – Table recording candidate exams-related information held`

For details of how to request access to information held, refer to section 7 of this policy (**Access to information**)

For further details of how long information is held, refer to section 6 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
<b>Access arrangements information</b>		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 - Bromcom Lockable metal filing cabinet	Secure user name and password In secure area solely assigned to exams	
<b>Alternative site arrangements</b>			Information emailed between sites regarding pupils data and then kept in a secure location.	Emails between the sites in the Joint Sixth form are password protected (between KSHS and St. Georges, whilst internal emails between the Robert Carre Trust are protected by the schools network	
<b>Attendance registers copies</b>			In locked examination store		
<b>Candidates' work</b>			Locked filing cabinets in subject areas.		



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
			Transferred to examination store		
<b>Certificates</b>			Locked Examination store	Locked examination store	
<b>Certificate destruction information</b>					
<b>Certificate issue information</b>					
<b>Entry information</b>			Bromcom Locked Examination store		
<b>Exam room incident logs</b>			Locked Examination store		
<b>Overnight supervision information</b>			Locked Examination store		
<b>Post-results services: confirmation of candidate consent information</b>			Locked Examination store		
<b>Post-results services: requests/outcome information</b>			Locked Examination store		
<b>Post-results services: scripts provided by ATS service</b>			Locked Examination store		
<b>Post-results services: tracking logs</b>			Locked Examination store		

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
Private candidate information			Emails Locked Examination store	IT data protection	
Resolving clashes information			Emails		
Results information			Locked Examination store		
Seating plans			Locked Examination store		
Special consideration information			Locked Examination store		
Suspected malpractice reports/outcomes			Locked Examination store		
Transfer of credit information			Locked Examination store		
Transferred candidate information			Locked Examination store Emails		
Very late arrival reports/outcomes			Locked Examination store		

## WHISTLEBLOWING POLICY (Exams)

2023/24

This policy is reviewed annually to ensure compliance with current regulations

### Introduction

Whistleblowing at KSHS is encouraged, not penalised, and staff are made aware that they have a duty to report any concerns they have about the conduct of examinations.

The head of centre and governing board at KSHS aim to create and maintain an approach to examinations that reflects an ethical culture, and encourages staff and students to be aware of and report practices that could compromise the integrity and security of examinations.

In compliance with section 5.11 of the JCQ's **General Regulations for Approved Centres**<sup>1</sup>, KSHS will:

- take all reasonable steps to prevent the occurrence of any malpractice (which includes maladministration) before, during and after assessments have taken place
- inform the awarding body **immediately** of any alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, by completing the appropriate documentation
- as required by an awarding body, gather evidence of any instances of alleged or suspected malpractice (which includes maladministration) in accordance with the JCQ publication **Suspected Malpractice: Policies and Procedures**<sup>2</sup> and provide such information and advice as the awarding body may reasonably require

This policy requirement was added within **General Regulations for Approved Centres** in response to the recommendations within the report of the *Independent Commission on Examination Malpractice*<sup>3</sup>.

This policy sets out the whistleblowing procedures at KSHS. It has been produced and reviewed by the Assistant Headteacher (Curriculum) with the agreement of the Head of Centre who is responsible for handling any cases of whistleblowing. They are fully aware of the contents of this policy and will escalate any instances of malpractice to the relevant awarding body/bodies.

This policy also sets out the principles which allow members of centre staff and students to feel confident in reporting instances of actual, alleged or suspected malpractice to relevant members of senior leadership.

### Purpose of the policy

This policy:

- encourages individuals to raise concerns, which will be fully investigated by appropriately trained and experienced individuals
- identifies how to report concerns
- explains how such concerns will be investigated and sets expectations regarding the reporting of outcomes
- provides details of relevant bodies to whom concerns about wrongdoing can be reported, including awarding organisations and regulators

<sup>1</sup> Reference [www.jcq.org.uk/exams-office/general-regulations/](http://www.jcq.org.uk/exams-office/general-regulations/)

<sup>2</sup> Reference [www.jcq.org.uk/exams-office/malpractice/](http://www.jcq.org.uk/exams-office/malpractice/)

<sup>3</sup> Reference [www.jcq.org.uk/examination-system/imc-home/](http://www.jcq.org.uk/examination-system/imc-home/)

- includes a commitment to do everything reasonable to protect the reporter's identity, if requested
- sets out how those raising concerns will be supported

This policy also details the steps that could be taken by an individual involved in the management, administration and/or conducting of examinations if KSHS fails to comply with its obligation to report any alleged, suspected or actual incidents of malpractice or maladministration.

## The Whistleblower

A whistleblower is defined as a person who reports an actual or potential wrongdoing and is protected by the Public Interest Disclosure Act 1998, providing they are acting in the public interest.

If the person raising the issue is a worker, this will be considered as whistleblowing. This includes agency staff and contractors.

### Reporting

If a member of centre staff involved in the management, administration and/or conducting of examinations (such as exams officer, exams assistant or invigilator), a student or a member of the public (such as a parent/carer) has a concern or reason to believe that malpractice has or will occur in an examination or assessment, concerns should normally be raised initially with the Assistant Headteacher (Curriculum)

However, there may be times when it may be more appropriate to refer the issue direct to the governing board, most often when the allegation is against the head of centre.

### Examples of malpractice

In addition to the centre wide Whistleblowing Policy, this exams-specific policy, includes reference to exams-related breaches including, but not limited to, the following:

- Failure to comply with exam regulations as set out by the Joint Council for Qualifications (JCQ) and its awarding bodies
- A security breach of the examination paper
- Conduct of centre staff which undermines the integrity of the examination
- Unfair treatment of candidates by either giving an advantage to a candidate/group of candidates (e.g. by permitting a candidate an access arrangement which is not supported by appropriate evidence), or disadvantaging candidates by not providing access to the appropriate conditions (providing a 'level playing field')
- Possible fraud and corruption (e.g. accessing the exam paper prior to the exam to aid teaching and learning)
- Abuse of authority (e.g. the head of centre/members of the senior leadership team overriding JCQ and awarding body regulations)
- Other conduct which may be interpreted as malpractice/maladministration

### Whistleblowing procedure

If the individual does not feel safe raising the issue/reporting malpractice within the centre, or they have done so and are concerned that no action has been taken, that individual could consider making their disclosure<sup>4</sup> to a malpractice expert at the awarding body for the qualification where malpractice is suspected.

For members of centre staff, it is likely that the Public Interest Disclosure Act (PIDA)<sup>5</sup> offers you legal protection from being dismissed or penalised for raising certain serious concerns ('blowing the whistle'). Whistleblowing rights under PIDA are day one rights<sup>6</sup>. This means that the worker does not need the same two years' service that is needed for other employment rights.

In order to investigate concerns effectively, the awarding body should be provided with as much information as possible/is relevant, which may include:

- The qualifications and subjects involved
- The centre involved
- The names of staff/candidates involved
- The regulations breached/specific nature of suspected malpractice

<sup>4</sup> Reference [www.jcq.org.uk/exams-office/malpractice/public-interest-disclosure-act/](http://www.jcq.org.uk/exams-office/malpractice/public-interest-disclosure-act/)

<sup>5</sup> Reference **Public Interest Disclosure Act 1998** [www.legislation.gov.uk/ukpga/1998/23/contents](http://www.legislation.gov.uk/ukpga/1998/23/contents)

<sup>6</sup> Reference <https://protect-advice.org.uk/pida/>

- When and where the suspected malpractice occurred
- Whether multiple examination series are affected
- If the issue has been reported to the centre and what the outcome was
- How the issue became apparent

Members of the public are not protected by PIDA, but the awarding body will make every effort to protect their identity if that is what they wish, unless the awarding body is legally obliged to release it<sup>7</sup>.

Alternatively, a worker could consider making a disclosure to Ofqual<sup>8</sup> as a prescribed body for whistleblowing to raise a concern about wrongdoing, risk or malpractice.

### **Anonymity**

In some circumstances, the whistleblower might find it difficult to raise concerns with the nominated member of the senior leadership team. If a concern is raised anonymously, the issue may not be able to be taken further if insufficient information has been provided. In such instances, and if appropriate, the allegation may be disclosed to a union representative, who could then be required to report the concern without disclosing its source. Alternatively, whistleblowers or others with concerns about potential malpractice can report the matter direct to Ofqual, who is identified as a 'prescribed body'<sup>9</sup>. Awarding organisations are not prescribed bodies under whistleblowing legislation; however, awarding organisation investigation teams do give those reporting concerns the opportunity for anonymity.

A whistleblower can give his/her name, but may also request confidentiality; the person receiving the information should make every effort to protect the identity of the whistleblower.

### **Students**

Students at KSHS are made to feel comfortable discussing/reporting malpractice issues of which they are aware. The regulations surrounding their assessments, and wider academic integrity, will be reiterated to students who are undertaking, or who are about to undertake, their courses of study.

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<sup>7</sup> Reference [www.ocr.org.uk/administration/general-qualifications/assessment/malpractice/whistleblowing/](http://www.ocr.org.uk/administration/general-qualifications/assessment/malpractice/whistleblowing/)

<sup>8</sup> Reference [www.gov.uk/guidance/ofquals-whistleblowing-policy](http://www.gov.uk/guidance/ofquals-whistleblowing-policy)

<sup>9</sup> Reference [www.gov.uk/government/publications/blowing-the-whistle-list-of-prescribed-people-and-bodies--2/whistleblowing-list-of-prescribed-people-and-bodies](http://www.gov.uk/government/publications/blowing-the-whistle-list-of-prescribed-people-and-bodies--2/whistleblowing-list-of-prescribed-people-and-bodies)

## Access Arrangements Policy

2023/24

### 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 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)

#### 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 several 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'. ([AA](#) Definitions)

\*References to legislation are to the Equality Act 2010. Separate legislation is in place for Northern Ireland (see [AA](#) 1.8). The definitions and procedures in [AA](#) relating to access arrangements and reasonable adjustments will also apply in Northern Ireland

### Purpose of the policy

The purpose of this policy is to confirm that KSHS has a written record which clearly shows the centre is leading on the access arrangements process and is complying with its ...obligation to identify the need for, request and implement access arrangements...  
(JCQ's General Regulations for Approved Centres, section 5.4)

This publication is further referred to in this policy as [GR](#)

This policy is maintained and held by the ALS lead/SENCo alongside the individual files/e-folders 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 ALS lead SENCo is storing 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)

The 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 principles for the centre to consider are detailed in [AA](#) (section 4.2). These include:

The purpose of an access arrangement/reasonable adjustment 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, or an equivalent member of staff within a FE college, **must** ensure that the proposed access arrangement/reasonable adjustment does not unfairly disadvantage or advantage the candidate.

Access arrangements/reasonable adjustments should be processed at the **start** of the course.

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)/reasonable adjustment(s) before his/her first examination.

## Equalities Policy (Exams)

A large part of the access arrangements/reasonable adjustments 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.

See Appendix 4
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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, section](#) 7.3.

### Appointment of assessors of candidates with learning difficulties

At the point an assessor is engaged/employed in the centre, 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.

## Process to check the qualification of Centre's Specialist Assessor and that the assessment process is administered correctly

AA Section 7.3 states that a head of centre must appoint:

- an access arrangements assessor who has successfully completed a post-graduate course at or equivalent to Level 7, including at least 100 hours relating to individual specialist assessment†. An access arrangements assessor may conduct assessments to be recorded within Part 2 of Form 8; **and/or** †
- †The reference to at least 100 hours relating to individual specialist assessment would include lecture, seminar and tutorial time, study time, assessment time and time spent completing assignments. Courses which are accredited at AMBDA or APC Level would meet this requirement, as would post-graduate courses at or equivalent to Level 7 which provide a qualification in access arrangements assessment.
- a specialist teacher assessor with a **current** SpLD Assessment Practising Certificate, as awarded by BDA, the Dyslexia Guild or Patoss and listed on the SASC website, who may conduct assessments to be recorded within Part 2 of Form 8 and where necessary undertake full diagnostic assessments; **and/or**
- an appropriately qualified psychologist registered with the Health & Care Professions Council who may conduct assessments to be recorded within Part 2 of Form 8 and where necessary undertake a full assessment.

The Head of Centre will check that the centre's specialist assessor's qualifications meet the required levels and will also monitor that the assessment process is correctly applied.

- The specialist assessor's details will be kept on file with the Head of Centre

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

The SENCo will arrange for the candidate to be assessed by the centre's appointed assessor. Before the candidate's assessment, the SENCo provides the assessor with background information, i.e. a picture of need that has been painted as required in Part 1 of Form 8. The SENCo and the assessor work together to ensure a joined-up and consistent process.

The SENCo will ensure that the assessment process follows the 'the assessment of the candidate's learning difficulties by an assessor' guidance as detailed in AA Section 7.5.

SENCo to complete the candidates Form 8 'JCQ/AA/LD, Profile of Learning Difficulties' and record the process that reflects the requirements as detailed in AA Section 7.6.

SENCo to work with the Head of Centre to ensure that any privately commissioned assessments are only used when they include their process of gathering a picture of need, demonstrating normal way of working within the centre and instigate an assessment using their appointed assessor - following the guidelines 'Appointment of assessors of candidates with learning difficulties' detailed in AA Section 7.3

SENcos and assessors working within the centre should always carefully consider any privately commissioned assessment to see whether the process of gathering a picture of need, demonstrating normal way of working within the centre and ultimately assessing the candidate themselves should be instigated (AA Section 7.3)

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

Before the candidate's assessment, the SENCo will provide the assessor with background information, i.e., a picture of need has been painted as required in Part 1 of Form 8. The SENCo and the assessor will work together to ensure a joined-up and consistent process.

If applicable an independent assessor will be asked to contact the centre and ask for evidence of the candidate's normal way of working and relevant background information. This has to take place before the candidate is assessed. Additionally, the independent assessor must be approved by the head of centre to assess the candidate.

All candidates will be assessed in light of the picture of need and the background information as detailed within Part 1 of Form 8.

An independent assessor must discuss access arrangements/reasonable adjustments with the SENCo. The responsibility to determine and request appropriate and practicable access arrangements/reasonable adjustments specifically lies with the SENCo. As detailed in [AA Section 7.5](#)

SENCo will complete the candidates Form 8 'JCQ/AA/LD, Profile of Learning Difficulties' and record the process that reflects the requirements as detailed in [AA Section 7.6](#).



## Processing access arrangements and adjustments

### Arrangements/adjustments 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 covered by the tool. This tool also provides the facility to order modified papers for those qualifications included. (Refer to [AA, chapter 8](#) (Processing applications for access arrangements and adjustments) and chapter 6 (Modified papers).

AAO is accessed within the JCQ Centre Admin Portal (CAP) by logging in to one of the awarding body secure extranet sites. A single application for approval is required for each candidate regardless of the awarding body used.

SENCo will process all access arrangements and adjustments in accordance with requirements detailed in [AA 8](#) (Processing applications for access arrangements and adjustments)

The SENCo **must** keep detailed records for inspection purposes, whether electronically or in hard copy paper format, of all the essential information on file. This includes a signed candidate personal data consent form; a completed *Data protection confirmation by the examinations officer or SENCo* form; a copy of the candidate's approved application; appropriate evidence of need (where required); evidence of the assessor's qualification (where required).. As detailed in [AA Section 8.6](#))

The SENCo is responsible for the gathering and recording of key information. The SENCo will maintain the related files and deal with cases that do not gain approval. The Exams Officer will order modified papers and deal with awarding body referrals. The SENCo will ensure Candidates complete the Personal data consent form and that the Data protection confirmation (Prior to the processing of the online application and ensure this is retained for 26 months from the date of the online application being approved.

## Centre-specific criteria for particular arrangements/adjustments

### 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 the candidate now wants to type rather than write in exams or can work faster on a keyboard, or because they use a laptop at home. The use of a word processor must reflect the candidate's normal way of working within the centre.

See Appendix 10

### Alternative Rooming Arrangements Policy

A decision where an exam candidate may be approved alternative rooming arrangements, e.g. a room for a smaller group of candidates with similar needs (formerly known as separate invigilation) will be made by the ALS lead/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 Section 5.16](#))

See Appendix 11

## Conflicts of Interest Policy (Exams)

2023/24

Reference in the policy to **GR** relates to relevant sections of the current JCQ publication **General Regulations for Approved Centres**.

### Introduction

It is the responsibility of the head of centre to ensure that Kesteven & Sleaford High School has a written conflicts of interest policy in place available for inspection. This policy confirms that Kesteven & Sleaford High School:

- Manages conflicts of interest by informing the awarding bodies, before the published deadline for entries for each examination series, of:
  - any members of centre staff who are taking qualifications at their own centre which include internally assessed components/units
  - any members of centre staff who are teaching and preparing 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) for qualifications which include internally assessed components/units **and**
- maintains clear records of **all instances** where:
  - exams office staff have 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) being entered for examinations and assessments either at the centre itself or other centres
  - centre staff are taking qualifications at their own centre which do not include internally assessed components/units
  - centre staff are taking qualifications at other centres (GR 5.3)

### Purpose of the policy

The purpose of this policy is to confirm how Kesteven & Sleaford High School manages conflicts of interest under normal delivery arrangements in accordance with the regulations.

### General principles

A process is in place to collect any declaration of interest from all centre staff to identify and manage any potential conflicts of interest.

### Declaration process

A Microsoft Forms declaration of interest form is sent by email to all centre staff in Term 1. Completed forms will be automatically returned to Sarah Ross by the deadline stated in the email.

## **Managing conflicts of interest**

A conflicts of interest log (see below) is maintained and any potential conflict declared by centre staff is centrally recorded on the log. The relevant awarding body/bodies is/are informed (where required by the nature of the conflict) of specific conflicts of interest/centre staff declarations before the published deadline for entries for each examination series by identifying and following the individual awarding body's administrative process. The agreed measures/protocols taken/put in place to mitigate any potential risk to the integrity of the qualifications affected are recorded on the log and the affected member of staff informed of these measures/protocols.

### **Additional information:**

## **Roles and responsibilities**

### **The role of the head of centre**

- Ensure conflicts of interest are managed according to the requirements (GR 5.3)
- Ensure clear records are maintained and that the records include details of the measures taken to mitigate any potential risk to the integrity of the qualifications affected (GR 5.3)
- Ensure the records are available where they may be requested by a JCQ Centre Inspector and/or awarding body staff (GR 5.3)
- Ensure the records are retained until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later (GR 5.3)
- Ensure that entering members of centre staff for qualifications at this centre is as a last resort in cases where the member of centre staff is unable to find another centre
- Ensure that proper protocols are in place to prevent the member of centre staff having access to examination materials prior to the examination and that other centre staff are briefed on maintaining the integrity and confidentiality of the examination materials
- Ensure that during the examination series the member of centre staff is treated in the same way as any other candidate entered for that examination, does not have access to examination materials and does not receive any preferential treatment (GR 5.3)

### **The role of the exams office/officer**

- Ensure the process for collecting declarations of interest is undertaken
- Identify and follow the awarding body's administrative process for submitting details of members of staff who are:
  - Taking qualifications which include internally assessed components/units at their own centre
  - Teaching and preparing 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) for qualifications which include internally assessed components/units (GR 5.3)
- Retain the records of the measures taken to mitigate any potential risk to the integrity of the qualifications affected until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later (GR 5.3)

## CONFLICTS OF INTEREST LOG 2023/24

Date recorded	Staff name & job title(s)/role(s)	Conflict of interest (COI)	Measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected

The records may be inspected by a JCQ Centre Inspector and/or awarding body staff. They might be requested in the event of concerns being reported to an awarding body. The records must be retained until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.

Conflict of interest (COI)	Measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected
<p>(As a last resort where unable to find another centre) Taking a qualification(s) at this centre which includes an internally assessed component/unit</p> <p><input type="checkbox"/> COI declared to relevant awarding body before the published deadline for entries (for each affected examination series)</p>	<p><b>[Insert as example, To:</b></p> <ul style="list-style-type: none"> <li>• prevent the member of centre staff having access to confidential examination/assessment materials prior to exam(s)/assessment(s)</li> <li>• brief other relevant centre staff on maintaining the integrity and confidentiality of exam/assessment materials</li> <li>• ensure the member of centre staff is treated in the same way as any other candidate entered for that qualification, does not have access to examination materials and does not receive any preferential treatment</li> </ul> <p><b>the arrangements below are in place:]</b></p> <p><b>[Insert as bullet points the specific measures taken/protocols in place in the centre to achieve the above]</b></p>
<p>Teaching and preparing a member of family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) for a qualification(s) which includes an internally assessed component/unit</p> <p><input type="checkbox"/> COI declared to relevant awarding body before the published deadline for entries (for each affected examination series)</p>	<p><b>[Insert as example, To:</b></p> <ul style="list-style-type: none"> <li>• make every effort to avoid situations where a candidate is assessed by a person who has a close personal relationship with the candidate</li> <li>• ensure the member of centre staff is not solely involved in making assessment decisions for the affected candidate for any internally assessed component/unit</li> <li>• ensure the marked work will be submitted for moderation whether or not it is part of the moderation sample</li> </ul> <p><b>the arrangements below are in place:]</b></p> <p><b>[Insert as bullet points the specific measures taken/protocols in place in the centre to achieve the above]</b></p>
<p>A member of exams office staff and has a member of family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) being entered for examinations and assessments at this centre or another centre</p>	<p><b>[Insert as example, To:</b></p> <ul style="list-style-type: none"> <li>• ensure that the member of exams office staff does not have unaccompanied access to confidential examination materials (for example, question papers, pre-release materials, answer scripts etc.</li> <li>• ensure that another person is present for particular administrative arrangements relating to the candidate's exams/assessments</li> </ul> <p><b>the arrangements below are in place:]</b></p> <p><b>[Insert as bullet points the specific measures taken/protocols in place in the centre to achieve the above]</b></p>

Taking a qualification at this centre which does not include internally assessed components/units	<p><b>[Insert as example, To:</b></p> <ul style="list-style-type: none"> <li>• prevent the member of centre staff having access to confidential examination materials prior to exam(s)</li> <li>• brief other relevant centre staff on maintaining the integrity and confidentiality of examination materials</li> <li>• ensure the member of centre staff is treated in the same way as any other candidate entered for that qualification, does not have access to examination materials and does not receive any preferential treatment</li> </ul> <p><b>the arrangements below are in place:]</b></p> <p><b>[Insert as bullet points the specific measures taken/protocols in place in the centre to achieve the above]</b></p>
Taking a qualification at another centre	<p><b>[Insert as example, To</b> ensure the member of centre staff does not have access to confidential examination materials for the same awarding body qualification if this is delivered in the centre, <b>the arrangements below are in place:]</b></p> <p><b>[Insert as bullet points the specific measures taken/protocols in place in the centre to achieve the above]</b></p>

## Word Processor Policy 2023/24

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

References in this policy to AA and ICE relate to/are directly taken from the [Access Arrangements and Reasonable Adjustments 2023-2024](#) and [Instructions for conducting examinations 2023-2024](#)

### Introduction

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

(AA 4.2.1): The purpose of an access arrangement/reasonable adjustment is to ensure, where possible, that barriers to assessment are removed for a disabled candidate preventing him/her from being placed at a substantial disadvantage as a consequence of persistent and significant difficulties.

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

(AA 4.2.2): Although access arrangements/adjustments are intended to allow access to assessments, they cannot be granted where they will compromise the assessment objectives of the specification in question.

(AA 4.2.3): Candidates may not require the same access arrangements/reasonable adjustments in each specification. Subjects and their methods of assessments may vary, leading to different demands of the candidate. ALS leads/SENCoS must consider the need for access arrangements/reasonable adjustments on a subject-by-subject basis.

(AA 4.2.1): The Additional Learning Support lead/SENCo must ensure that the proposed access arrangement/reasonable adjustment does not disadvantage or advantage a candidate.

(AA 4.2.7): The candidate must have had appropriate opportunities to practice using the access arrangement(s)/reasonable adjustment(s) before their first examination.

### Purpose of the policy

This policy details how KSHS complies with AA chapter 4 (Managing the needs of candidates and principles for centres), section 5.8 (Word processor) and ICE (sections 14.20-27) when awarding and allocating a candidate the use of word processor in examinations.

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

### The criteria KSHS uses to award and allocate word processors for examinations and assessments

The 'normal way of working' for exam candidates, as directed by the head of centre, is that candidates handwrite their exams unless there are exceptions.

### Exceptions

A candidate may be awarded the use of a word processor in examinations where:

- the candidate may have an approved access arrangement in place, for example the use of a scribe/speech recognition technology
- the candidate 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

The centre will

- allocate the use of a word processor to a candidate with the spelling and grammar check facility/predictive text disabled (switched off) where it is their normal way of working within the centre (AA 5.8.1)
- award the use of a word processor to a candidate where appropriate to their needs  
For example, a candidate with:
  - 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 (AA 5.8.4)
- only permit the use of a word processor where the integrity of the assessment can be maintained (AA 4.2.1)
- not grant the use of a word processor where it will compromise the assessment objectives of the specification in question (AA 4.2.2)
- consider on a subject-by-subject basis if the candidate will need to use a word processor in each specification (AA 4.2.3)
- process access arrangements/reasonable adjustments at the start of the course, or as soon as practicable having firmly established a picture of need and normal way of working, ensuring arrangements are always approved before an examination or assessment (AA 4.2.4)
- provide the use of word processors to candidates in non-examination assessment components as standard practice unless prohibited by the specification (AA 5.8.2)

The centre will not:

- simply grant the use of a word processor to a candidate because he/she now wants to type rather than write in exams or can work faster on a keyboard, or because he/she uses a laptop at home. (AA 5.8.4)

Additionally the use of a word processor would be considered for a candidate:

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

## Centre specific processes

Candidates must not use their school log-in on a school computer for exams. The invigilator will always give a specific exams log-in.

Candidates must not use their own computer/lap-top for exams.

Candidates are responsible for frequently saving their work during the exam time.

It is the responsibility of the candidate to ensure that the pages are numbered, that each page has the centre number, candidate number and unit/component code as either a header or a footer, that is script is written with a minimum of 12 pt font and there is double spacing to make marking easier for examiners.

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

A candidate using a word processor is accommodated at the rear of the main exam hall close to a power point unless they are subject to alternative rooming arrangements for reasons other than using a word processor

In compliance with the regulations the centre:



- provides a word processor with the spelling and grammar check facility/predictive text disabled (switched off) to a candidate where it is their normal way of working within the centre, unless an awarding body's specification says otherwise (ICE 14.20)
- (where a candidate is to be seated with the main cohort without the use of a power point) checks the battery capacity of the word processor before the candidate's exam to ensure that the battery is sufficiently charged for the entire duration of the exam (ICE 14.21)
- ensures the candidate is reminded to ensure that their centre number, candidate number and the unit/component code appear on each page as a header or footer e.g. 12345/8001 – 6391/01 (ICE 14.22)
- If a candidate is using the software application Notepad or Wordpad these do not allow for the insertion of a header or footer. In such circumstances once the candidate has completed the examination and printed off their typed script, they are instructed to handwrite their details as a header or footer. The candidate is supervised throughout this process to ensure that they are solely performing this task and not re-reading their answers or amending their work in any way.
- ensures the candidate understands that each page of the typed script must be numbered, e.g. page 1 of 6 (ICE 14.23)
- ensures the candidate is reminded to save their work at regular intervals. (or where possible, an IT technician will set up 'autosave' on each laptop/tablet to ensure that if there is a complication or technical issue, the candidate's work is not lost) (ICE 14.24)
- instructs the candidate to use a minimum of 12pt font and double spacing in order to make marking easier for examiners (ICE 14.24)

The centre will ensure the word processor:

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

### **Portable storage medium**

(ICE 14.25)

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

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

### **Printing the script after the exam has ended**

(ICE 14.25)

The centre will ensure:

- the word processor is either connected to a printer so that a script can be printed off, or have the facility to print from a portable storage medium
- the candidate is present to verify that the work printed is his or their own
- a word processed script is attached to any answer booklet which contains some of the answers

- if a candidate omits to insert the required header or footer, he/she is instructed to handwrite the details as a header or footer; the candidate is supervised throughout this process to ensure that he/she is solely performing this task and not re-reading their answers or amending their work in any way (ICE 14.22)

The centre will also ensure that where an awarding body may require a word processor cover sheet, this is included with the candidate's typed script (and according to the relevant awarding body's instructions). (ICE 14.26)

The centre may retain electronic copies of word processed scripts as the electronic copy of a word processed script may be accepted by an awarding body where the printed copy has been lost. However, the centre would need to demonstrate to the awarding body that the file has been kept securely. The head of centre would be required to confirm this in writing to the awarding body. (ICE 14.27)

## **Centre specific processes**

At the end of the exam, the invigilator will always have an exams memory stick to save the candidates work to. A student's own memory stick must NEVER be used. The centre will ensure:

- The candidate is present to verify that the work printed is his/her own
- A word-processed script is attached to any answer booklet which contains some of the answers
- If a candidate omits to insert the required header or footer, he/she is instructed to handwrite the details as a header or footer; the candidate is supervised throughout this process to ensure that he/she is solely performing this task and not re-reading their answers or amending their work in any way (ICE 14.22)

Every effort is made to ensure that candidates cannot access spell check, their own drive and the internet during exams. However, if any student is found trying to get around the settings this will be interpreted by the school as malpractice and will be reported to the Awarding Body.

## **Allocating word processors at the time of the assessment**

Appropriate exam-compliant word processors will be provided by the IT department in liaison with the ALS lead/SENCo and the exams officer.

In exceptional circumstances where the number of appropriate word processors may be insufficient for the cohort of candidates approved to use them in an exam session, the cohort will be split into two groups. One group will sit the exam earlier than or later than the awarding body's published start time.

The security of the exam will be maintained at all times and candidates will be supervised in line with section 7 of ICE.]

## Alternative Rooming Arrangements Policy (Exams)

2023/24

### Introduction

(Formerly known as separate invigilation) Alternative rooming arrangements (for example, a room for a smaller group of candidates with similar needs) 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 their examinations in a smaller environment away from the main examination room.

### Purpose of the Policy

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

### 1. Decisions on the awarding of the arrangement

At KSHS, decisions on the awarding of the arrangement are made by:

- Mrs D Collett SENCO
- Mrs M Watts SEND Manager
- Mrs G White SLT in charge of Examinations

Decisions are based on:

- Whether the candidate has a substantial and long term impairment which has an adverse effect (AA 5.16)
- The candidate's normal way of working within the centre (AA 5.16)
- Ensuring the proposed arrangement does not unfairly disadvantage or advantage the candidate (AA 4.2.1)
- Nervousness, low level anxiety or being worried about examinations is not sufficient grounds for separate invigilation within the centre. (AA 5.16)

### 2. Criteria for the awarding of the arrangement

Alternative rooming arrangements will be considered where the arrangement would prevent a candidate from being placed at a substantial disadvantage and where the following conditions are met:

- 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's disability is established within the centre and known to relevant staff or a senior member of staff with pastoral responsibilities (AA5.16)
- Alternative rooming arrangements reflects the candidate's normal way of working in internal tests and mock examinations (AA 5.16)
- Where a candidate sits their examinations in a smaller environment away from the main examination room, 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)

### 3. Other rooming arrangements

At KSHS arrangements for seating candidates in rooms separate to the main cohort may be put in place in other circumstances. As and when applicable, these circumstances include:

- Candidate feeling unwell on the day and at risk of being a distraction to others
- Candidate requires a reader
- Candidate requires a scribe
- Candidate is in receipt of extra time and this is best served away from the main cohort

## Non-examination assessment policy

2023/24

### 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 regulators' definition of an examination is very narrow. In effect, any type of assessment that is not:

- set by an awarding body
- designed to be taken simultaneously by all relevant candidates at a time determined by the awarding body, and
- taken under conditions specified by the awarding body (including conditions relating to the supervision of candidates during the assessment and the duration of the assessment)

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'. (JCQ's **Instructions for conducting non-examination assessments**, Foreword)

This publication is further referred to in this policy 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 for 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](#), section 1)

### What are non-examination assessments?

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

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

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

[\[NEA, section 1\]](#)

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

## The basic principles

### Head of centre

- ▶ Returns an online 'Head of Centre declaration' (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 and covers all types of non-examination assessment
- ▶ Ensures the centre's *Internal Appeals Procedure* clearly details the procedure to be followed by candidates (or their parents/carers) appealing against internal assessment decisions (centre assessed marks) and requesting a review of the centre's marking

### Senior leaders

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

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

- ▶ Confirms with 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
- ▶ Ensures the correct task is issued to candidates

## 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 and it must be possible to attribute assessable outcomes to individual candidates
- ▶ 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
- ▶ Ensures candidates:
  - understand that information from all sources must be referenced
  - receive guidance on setting out references
  - are aware that they must not plagiarise other material

## 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~~ writing frames 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 including the internet and AI when planning and researching their tasks
- ▶ Refers to the JCQ document *AI Use in Assessments: Protecting the Integrity of Qualifications* (<http://www.jcq.org.uk/exams-office/malpractice>) as well as the awarding body's specification and/or associated documentation published by the awarding bodies and the regulator

- By referencing this document, makes candidates aware of the appropriate and inappropriate use of AI, the risks of using AI, and the possible consequences of using AI inappropriately in a qualification assessment
- ▶ 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 (electronic signatures are acceptable)
- ▶ 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
- ▶ Ensures if candidates' work is to be submitted electronically, that it meets the awarding body's specified requirements.



## 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

### 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

- ▶ Pays close attention to the completion of the attendance register, if applicable

#### 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

- ▶ Makes every effort to avoid situations where a candidate is assessed by a person who has a close personal relationship with the candidate, for example, 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)
- ▶ Where this cannot be avoided, ensures the possible conflict of interest is declared to the relevant awarding body and the marked work is submitted for moderation whether or not it is part of the moderation sample

#### 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

- ▶ 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. ECTs, supply staff etc.)
- ▶ Ensures accurate internal standardisation - for example by:
  - obtaining reference materials at an early stage in the course
  - holding a preliminary trial marking session prior to marking
  - carrying out further trial marking at appropriate points during the marking period
  - after most marking has been completed, holds a further meeting to make final adjustments
  - making final adjustments to marks prior to submission
  - retaining work and evidence of standardisation
- ▶ Retains evidence that internal standardisation has been carried out

#### Subject teacher

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

### Consortium arrangements

#### Subject head/lead

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

### **Subject teacher**

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

### **Exams officer**

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

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

#### **Subject teacher**

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

#### **Exams officer**

- ▶ Inputs and submits marks online, via the awarding body secure extranet site, keeping a record of the marks submitted, to the external deadline/Confirms with subject teachers that marks have been submitted to the awarding body deadline
- ▶ Where responsible for marks input, ensures checks are made that marks for any additional candidates are submitted and ensures mark input is checked before submission to avoid transcription errors
- ▶ Submits the requested samples of candidates' work to the moderator by the awarding body deadline, keeping a record of the work submitted/Confirms with Subject teacher that the moderation sample has been submitted to the awarding body deadline
- ▶ Ensures that for postal moderation:
  - work is dispatched in packaging provided by the awarding body
  - moderator label(s) provided by the awarding body are affixed to the packaging
  - proof of dispatch is obtained and kept on file until the successful issue of final results
- ▶ Through the subject teacher, 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 of work such as photos, audio or media recordings

### **Exams officer**

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

## **External moderation – the process**

### **Subject teacher**

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

### **External moderation – feedback**

### **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 and reasonable adjustments**

### **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, or centre staff
- ▶ Ensures any irregularity identified by the centre before the candidate has signed the authentication statement (where required) are dealt with under its own internal procedures, with no requirement to report the irregularity to the awarding body (The only exception being where the awarding body's confidential assessment materials has been breached, the breach must be reported to the awarding body)
- ▶ 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 procedure* clearly details the procedure to be followed by candidates (or their parents/carers) appealing against a centre decision not to support an application for 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 passes information to the subject lead for a visit to be arranged with at least two weeks notice

- ▶ Confirms with the subject teacher that assessment outcomes have been submitted to the awarding body to the external deadline/Follows the awarding body's instructions for the submission of candidates *Pass* or *Not Classified* assessment outcome

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

### Head of centre

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

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

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

### 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

### Subject head/lead

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

## Qualification/Subject specific additional information

This section provides additional information/procedures for planning and managing non-examination assessments in specific subjects of qualifications. For 2023/24 the subject leaders will

- ensure sufficient time is given within the timetable to complete the required tasks. (The table below indicates the percentage of the course which for which the Non-examined Material counts towards.)
- ensure that raw marks are issued to students by the date shown in the table.

- ensure that samples of candidate's work are provided to the awarding body for monitoring purposes to the external deadline provided and provided to the exams officer by the internal deadline

Exam Board	Subject	% of Total	Year Group	Deadline for students to hand in work	Date for Issuing Raw Marks to students
<b>GCSE</b>					
AQA	Physical Education	40%	11	Friday 9th February 2024	Friday 1 <sup>st</sup> March 2024
AQA	Design & Technology Product Design (Textiles)	50%	11	23rd February 2024	Tuesday 16 <sup>th</sup> April 2024
OCR	Food Preparation and Nutrition	50%	11	Friday 8 <sup>th</sup> March 2024	Tuesday 16 <sup>th</sup> April 2024
AQA	Drama – Devising ram	40%	11	Tuesday 6 <sup>th</sup> February 2024	Tuesday 19 <sup>th</sup> March 2024
AQA	English Language Speaking Endorsement	0%	11	Friday 24th March 2023	Raw marks issued when students complete presentations – all before 24/3/23
Edexcel	Music	60%	11	Friday 9 <sup>th</sup> February 2024	Friday 22 <sup>nd</sup> March 2024
AQA	Art (Fine Art)	100%	11	Wed 1st May	Mon 13th May
AQA	Art (Graphic Communication)	100%	11	Friday 3rd May	Mon 13th May
<b>A Level</b>					
AQA	Design and Technology Textiles	50%	13	22 March 2024	Mon 22nd April 2024
AQA	Biology, Chemistry	0%	13	Wednesday 27 <sup>th</sup> March 2024	Wednesday 24th April 2024
Edexcel	Physics – Practicals			Wednesday 27 <sup>th</sup> March 2024	
OCR	Computer Science	20%	13	Wednesday 27 <sup>th</sup> March 2024	Wednesday 23rd April 2024
Edexcel	Geography	20%	13	Wednesday 17 <sup>th</sup> January 2024	Thursday 18th April 2024
AQA	History	20%	13	Tuesday 4 <sup>th</sup> March 2024	Tuesday 16th April
WJEC	English Language	20%	13	15 <sup>th</sup> May	Monday 22nd April
Edexcel	Art – Fine Art	100%	13	Thursday 9 <sup>th</sup> May	Friday 7th June
Edexcel	Photography	100%	13	Thursday 9 <sup>th</sup> May	Friday 7th June
Edexcel	Drama - Devising	40%	13	Monday 8 <sup>th</sup> January 2024	Monday 18th March 2024



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

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

The wrong task is given to candidates	<i>Ensures course planning and information taken from the awarding body's specification confirms the correct task will be issued to candidates</i> <i>Awarding body guidance sought where this issue remains unresolved</i>	
Subject teacher long term absence during the issuing of tasks stage	<i>See centre's exam contingency plan – Teaching staff extended absence</i>	
A candidate (or parent/carer) expresses concern about safeguarding, confidentiality or faith in undertaking a task such as a presentation that may be recorded	<i>Ensures the candidate's presentation does not form part of the sample which will be recorded</i> <i>Contacts the awarding body at the earliest opportunity where unable to record the required number of candidates for the monitoring sample</i>	
<b>Task taking</b>		
<b>Supervision</b>		
Planned assessments clash with other centre or candidate activities	<i>Assessment plan identified for the start of the course</i> <i>Assessment dates/periods included in centre wide calendar</i>	
Rooms or facilities inadequate for candidates to take tasks under appropriate supervision	<i>Timetabling organised to allocate appropriate rooms and IT facilities for the start of the course</i> <i>Staggered sessions arranged where IT facilities insufficient for number of candidates</i> <i>Whole cohort to undertake written task in large exam venue at the same time (exam conditions do not apply)</i>	
Insufficient supervision of candidates to enable work to be authenticated	<i>Confirm subject teachers are aware of and follow the current JCQ publication Instructions for conducting non-examination assessments and any other specific instructions detailed in the awarding body's specification in relation to the supervision of candidates</i> <i>Confirm subject teachers understand their role and responsibilities as detailed in the centre's non-examination assessment policy</i>	
A candidate is suspected of malpractice prior to submitting their work for assessment	<i>Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (section 9 Malpractice) are followed</i> <i>An internal investigation and where appropriate internal disciplinary procedures are followed</i>	
Access arrangements were not put in place for an assessment where a candidate is approved for arrangements	<i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 2), to determine the process to be followed to apply for special consideration for the candidate</i>	
<b>Advice and feedback</b>		
Candidate claims appropriate advice and feedback not given by subject teacher prior to starting on their work	<i>Ensures a centre-wide process is in place for subject teachers to record all information provided to candidates before work begins as part of the centre's quality assurance procedures</i> <i>Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity</i> <i>Full records kept detailing all information and advice given to candidates prior to starting on their work as appropriate to the subject and component</i> <i>Candidate confirms/records advice and feedback given prior to starting on their work</i>	
Candidate claims no advice and feedback given by subject teacher during the task-taking stage	<i>Ensures a centre-wide process is in place for subject teachers to record all advice and feedback provided to candidates during the task-taking stage as part of the centre's quality assurance procedures</i> <i>Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity</i> <i>Full records kept detailing all advice and feedback given to candidates during the task-taking stage as appropriate to the subject and component</i> <i>Candidate confirms/records advice and feedback given during the task-taking stage</i>	
A third party claims that assistance was given to candidates by the subject teacher over and above	<i>An investigation is conducted; candidates and subject teacher are interviewed and statements recorded where relevant</i> <i>Records as detailed above are provided to confirm all assistance given</i>	

that allowed in the regulations and specification	<i>Where appropriate, a suspected malpractice report is submitted to the awarding body</i>	
Candidate does not reference information from published source	<i>Candidate is advised at a general level to reference information before work is submitted for formal assessment Candidate is again referred to the JCQ document Information for candidates: non-examination assessments Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion</i>	
Candidate does not set out references as required	<i>Candidate is advised at a general level to review and re-draft the set out of references before work is submitted for formal assessment Candidate is again referred to the JCQ document Information for candidates: non-examination assessments Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion</i>	
Candidate joins the course late after formally supervised task taking has started	<i>A separate supervised session(s) is arranged for the candidate to catch up</i>	
Candidate moves to another centre during the course	<i>Awarding body guidance is sought to determine what can be done depending on the stage at which the move takes place</i>	
An excluded pupil wants to complete his/her non-examination assessment(s)	<i>The awarding body specification is checked to determine if the specification is available to a candidate outside mainstream education If so, arrangements for supervision, authentication and marking are made separately for the candidate</i>	
<b>Resources</b>		
A candidate augments notes and resources between formally supervised sessions	<i>Preparatory notes and the work to be assessed are collected in and kept secure between formally supervised sessions Where memory sticks are used by candidates, these are collected in and kept secure between formally supervised sessions Where work is stored on the centre's network, access for candidates is restricted between formally supervised sessions</i>	
A candidate fails to acknowledge sources on work that is submitted for assessment	<i>Candidate's detailed record of his/her own research, planning, resources etc. is checked to confirm all the sources used, including books, websites and audio/visual resources Awarding body guidance is sought on whether the work of the candidate should be marked where candidate's detailed records acknowledges sources appropriately Where confirmation is unavailable from candidate's records, awarding body guidance is sought and/or a mark of zero is submitted to the awarding body for the candidate</i>	
<b>Word and time limits</b>		
A candidate is penalised by the awarding body for exceeding word or time limits	<i>Records confirm the awarding body specification has been checked to determine if word or time limits are mandatory Where limits are for guidance only, candidates are discouraged from exceeding them Candidates confirm/record any information provided to them on word or time limits is known and understood</i>	
<b>Collaboration and group work</b>		
Candidates have worked in groups where the awarding body specification states this is not permitted	<i>Records confirm the awarding body specification has been checked to determine if group work is permitted Awarding body guidance sought where this issue remains unresolved</i>	
<b>Authentication procedures</b>		
A teacher has doubts about the authenticity of the work submitted by a candidate for internal assessment  Candidate plagiarises other material	<i>Records confirm subject staff have been made aware of the JCQ document Teachers sharing assessment material and candidates' work Records confirm that candidates have been issued with the current JCQ document Information for candidates: non-examination assessments Candidates confirm/record that they understand what they need to do to comply with the regulations for non-examination assessments as outlined in the JCQ document Information for candidates: non-examination assessments The candidate's work is not accepted for assessment</i>	

	<i>A mark of zero is recorded and submitted to the awarding body</i>	
Candidate does not sign their authentication statement/declaration	<i>Records confirm that candidates have been issued with the current JCQ document Information for candidates: non-examination assessments Candidates confirm/record they understand what they need to do to comply with the regulations as outlined in the JCQ document Information for candidates: non-examination assessments Declaration is checked for signature before accepting the work of a candidate for formal assessment</i>	
Subject teacher not available to sign authentication forms	<i>Ensures a centre-wide process is in place for subject teachers to sign authentication forms at the point of marking candidates work as part of the centre's quality assurance procedures</i>	
<b>Presentation of work</b>		
Candidate does not fully complete the awarding body's cover sheet that is attached to their worked submitted for formal assessment	<i>Cover sheet is checked to ensure it is fully completed before accepting the work of a candidate for formal assessment</i>	
<b>Keeping materials secure</b>		
Candidates work between formal supervised sessions is not securely stored	<i>Records confirm subject teachers are aware of and follow current JCQ publication Instructions for conducting non-examination assessments Regular monitoring/internal audit ensures subject teacher use of appropriate secure storage</i>	
Adequate secure storage not available to subject teacher	<i>Records confirm adequate/sufficient secure storage is available to subject teacher prior to the start of the course Alternative secure storage sourced where required</i>	
Candidates work produced electronically is not securely stored	<i>Records confirm subject teachers are aware of and follow current JCQ publication Instructions for conducting non-examination assessments Internal processes and regular monitoring/internal audit by IT Manager ensures:</i> <ul style="list-style-type: none"> <li>• access to this material is restricted</li> <li>• appropriate security safeguards are in place</li> <li>• an effective back-up strategy is employed so that an up to date archive of candidates' evidence is maintained</li> </ul> <i>any sensitive digital media is encrypted (according to awarding body guidance to ensure that the method of encryption is suitable) to ensure the security of the data stored within it</i>	
<b>Task marking – externally assessed components</b>		
A candidate is absent on the day of the examiner visit for an acceptable reason	<i>Awarding body guidance is sought to determine if alternative assessment arrangements can be made for the candidate If not, eligibility for special consideration is explored and a request submitted to the awarding body where appropriate</i>	
A candidate is absent on the day of the examiner visit for an unacceptable reason	<i>The candidate is marked absent on the attendance register</i>	
<b>Task marking – internally assessed components</b>		
A candidate submits little or no work	<i>Where a candidate submits no work, the candidate is recorded as absent when marks are submitted to the awarding body Where a candidate submits little work, the work produced is assessed against the assessment criteria and a mark allocated appropriately; where the work does not meet any of the assessment criteria a mark of zero is submitted to the awarding body</i>	
A candidate is unable to finish their work for unforeseen reason	<i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 5), to determine eligibility and the process to be followed for shortfall in work</i>	
The work of a candidate is lost or damaged	<i>Relevant staff are signposted to the JCQ publication Instructions for conducting non-examination assessments (section 8), to determine eligibility and the process to be followed for lost or damaged work</i>	
Candidate malpractice is discovered	<i>Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (section 9 Malpractice) are followed</i>	

	<p><i>Investigation and reporting procedures in the current JCQ publication</i></p> <p><i>Suspected Malpractice: Policies are followed</i></p> <p><i>Appropriate internal disciplinary procedures are also followed</i></p>	
A teacher marks the work of a candidate with whom they have a close relationship e.g. Members of their family (includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter)	<p><i>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</i></p> <p><i>Marked work of said child is submitted for moderation whether part of the sample requested or not</i></p>	
An extension to the deadline for submission of marks is required for a legitimate reason	<p><i>Awarding body is contacted to determine if an extension can be granted</i></p> <p><i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 5), to determine eligibility and the process to be followed for non-examination assessment extension</i></p>	
After submission of marks, it is discovered that the wrong task was given to candidates	<p><i>Awarding body is contacted for guidance</i></p> <p><i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 2), to determine eligibility and the process to be followed to apply for special consideration for candidates</i></p>	
A candidate wishes to appeal/request a review of the marks awarded for their work by their teacher	<p><i>Candidates are informed of the marks they have been awarded for their work prior to the marks being submitted to the awarding body</i></p> <p><i>Records confirm candidates have been informed of their marks</i></p> <p><i>Candidates are informed that these marks are subject to change through the awarding body's moderation process</i></p> <p><i>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</i></p> <p><i>Through the candidate exam handbook, candidates are made aware of the centre's internal appeals procedures and timescale for submitting an appeal/request for a review of the centre's marking prior to the submission of marks to the awarding body</i></p>	
Deadline for submitting work for formal assessment not met by candidate	<p><i>Records confirm deadlines given and understood by candidates at the start of the course</i></p> <p><i>Candidates confirm/record deadlines known and understood</i></p> <p><i>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</i></p> <p><i>Decision made (depending on the circumstances) if the work will be accepted late for marking or a mark of zero submitted to the awarding body for the candidate</i></p>	
Deadline for submitting marks and samples of candidates work ignored by subject teacher	<p><i>Internal/external deadlines are published at the start of each academic year</i></p> <p><i>Reminders are issued through senior leaders/subject heads as deadlines approach</i></p> <p><i>Records confirm deadlines known and understood by subject teachers</i></p> <p><i>Where appropriate, internal disciplinary procedures are followed</i></p>	
Subject teacher long term absence during the marking period	<p><i>See centre's Exam Contingency Plan Teaching staff extended absence</i></p>	

## Candidate Identification Procedure

### 2023-24

The JCQ requires centres to verify the identity of all candidates. Kesteven & Sleaford High School will uphold this requirement in the following ways:

#### **Internal Candidates**

Candidate Identity cards have been given to each student which includes their current photograph, legal name and candidate number, allowing candidates to be easily identified. A file containing a print out photograph of all students sitting examinations will be available in the main examination hall. If, after consulting the photographs, there is any doubt in the identification of a student, a member of the SLT or Head of Year will be asked to verify the identity in question. Students from the Joint Sixth Form will be wearing their lanyards with their photographic ID.

#### **External Candidates**

External candidates will be informed at point of entry to provide photographic ID before entering them for any examinations and of the need to bring photographic ID (ideally passport or driving licence) to all examinations or assessments.

A register will be taken in each examination room to include both internal and external candidates.

A folder with students' photographs is available to all staff inside the examination hall.

If there is any doubt as to the candidate's identity this will be reported to the relevant awarding body.

## Candidate Absence Policy

2023/24

This policy is reviewed and updated annually to ensure that candidate absence from examinations at Kesteven & Sleaford High School is managed in accordance with current requirements and regulations.

References in this policy to ICE and SC refer to the JCQ publications Instructions for conducting examinations and A guide to the special consideration process

### Purpose of the Policy

The purpose of this policy is to confirm the arrangements for candidates who are absent from an examination at KSHS.

An absent candidate may subsequently arrive once the exam is underway, becoming a late or very late arrival, at which point KSHS reserves the right to exercise discretion whether to allow a candidate who arrives after the start of the examination to enter the examination room and sit the examination. (See Candidate Late Arrival Policy)

Based upon the circumstances for the absence, and subject to the required conditions being met, an application for special consideration may also be made to the relevant awarding body.

### Identifying and dealing with candidate absence

A candidate will be considered absent from an examination if:

- The candidate is not present on completion of the attendance register once candidates are seated and have started the examination (ICE 22.5)

Once a candidate is identified as absent from an examination, the following action will be taken:

- The candidate will be contacted immediately as to their whereabouts and as far as possible arrangements made to ensure their immediate arrival

If a candidate fails to sit an examination, the following action is taken:

- A confirmed candidate absence is clearly recorded on the attendance register which is sent to the examiner/marker
- The candidate absence is noted on the seating plan by crossing through the candidate details

### Roles and Responsibilities

#### Overview

It is the responsibility of the following member(s) of staff to deal with candidate absence once it has been identified:

- Mrs S Ross ( Examinations Officer)

- Mrs G Holmes (Lead Invigilator)

It is the responsibility of the following member(s) of staff to deal with candidates who are persistently absent from examinations:

- Mrs G White (SLT in charge of Examinations)
- Mrs D Collett (SLT/ SENCO)

## The role of invigilators

Invigilators will:

- Be informed of the process for dealing with absent candidates through training (updated 2023/24)
- Ensure that absent candidates are clearly indicated on the attendance register (ICE 22.4)

## The role of candidates

Candidates will be:

- Re-charged any relevant entry fees for unauthorised absence from examinations

## Special Consideration

At KSHS if a candidate is absent from a timetabled written examination for an acceptable reason, the candidate may be eligible for special consideration. This is where an adjustment may be made to the candidate's terminal grade by the awarding body, providing the following conditions are met:

- The examination is in the candidate's terminal exam series (SC 4.1)
- The candidate has completed or will be able to complete the required percentage of the assessment to meet the minimum requirements for enhanced grading in cases of acceptable absence (SC 4.3)
- The application for special consideration can be supported by signed evidence produced by a member of the senior leadership team (SC 6)

It is the responsibility of the following member(s) of staff to deal with special consideration requests and applications:

- Mrs G White (SLT in charge of Examinations)



## Candidate Late Arrival Policy

2023/24

This policy is reviewed and updated annually to ensure that candidates who arrive late to examinations at Kesteven & Sleaford High School are managed in accordance with current requirements and regulations.

References in this policy to GR and ICE refer to the JCQ publications General Regulations for Approved Centres and Instructions for conducting examinations.

### Purpose of the policy

The purpose of this policy is to confirm the arrangements for candidates who arrive late for an examination at KSHS.

A candidate will be considered late if they arrive:

- After the starting time of the examination and within one hour of the awarding body's published starting time for an examination which lasts an hour or more, i.e. candidates arriving between 9.00am and 10.00am for a morning examination or between 1.30pm and 2.30pm for an afternoon examination (- ICE 21.1)

A candidate will be considered very late if they arrive:

- more than one hour after the awarding body's published starting time for an examination which lasts one hour or more, i.e. after 10.00am for a morning examination or after 2.30pm for an afternoon examination (ICE 21.3)
- after the awarding body's published finishing time for an examination that lasts less than one hour (ICE 21.3)

This policy confirms that KSHS reserves the right to exercise discretion whether to allow a candidate who arrives after the start of the examination to enter the examination room and sit the examination, and confirms:

- the correct procedures are followed when dealing with a candidate who arrives late to an examination
- appropriate arrangements are in place for the management of late arrivals in order to maintain the security and integrity of the examination

### Candidates who arrive late

The following procedures are applied at KSHS in relation to candidates who arrive late to examinations:

- A candidate who arrives after the start of the examination may be allowed to enter the examination room and sit the examination (ICE 21.1)
- A candidate who arrives late, and is permitted to sit the examination, will be allowed the full time for the examination (ICE 21.2) (updated 2021/22)
- A candidate who arrives within one hour of the awarding body's published starting time for an examination which lasts an hour or more, i.e. candidates arriving between 9.00am and 10.00am for a morning examination or between 1.30pm and 2.30pm for an afternoon examination (ICE 21.1) will be permitted by the centre to sit the examination
- A candidate who arrives after 10.00am for a morning examination will be considered very late (ICE 21.3) and will be permitted by the centre to sit the examination

- A candidate who arrives after 2.30pm for an afternoon examination will be considered very late (ICE 21.3) and will be permitted by the centre to sit the examination
- A candidate who arrives after the awarding body's published finishing time for an examination that lasts less than one hour will be considered very late (ICE 21.3) and will be permitted by the centre to sit the examination
- A candidate who arrives very late will be warned that the awarding body may not accept their script (ICE 21.4) (updated 2021/22)
- A candidate who arrives in the afternoon for a paper that had been re-arranged for a morning session, may be allowed to take the paper at the published time as long as the candidate has not had any contact with candidates who sat the paper earlier. The awarding body will be informed of the situation and will decide whether or not to accept the script (ICE 21.5)
- In all cases the centre will submit a declaration for the very late arrival of a candidate for examinations, in accordance with the current JCQ Instructions for conducting examinations (GR 5.9)

## Roles and Responsibilities

### The role of the exams office/officer

- Inform invigilators of the policy/process for dealing with candidates who arrive late/very late through training
- Provide an exam room incident log for invigilators to record relevant information relating to candidates who arrive late/very late
- Warn the candidate that the awarding body may not accept their script (ICE 21.4)
- Send the script to the awarding body/examiner in the normal way (ICE 21.4)
- Submit on-line, using the Centre Admin Portal (CAP), Form JCQ/VLA - Report on candidate admitted very late to examination room within seven days of the examination having taken place, providing the following details:
  - The time the candidate came under centre staff supervision
  - the reason the candidate arrived late, including any details of special arrangements made for the candidate to reach the centre
  - the actual starting and finishing times of the examination
  - the time the candidate started the examination
  - the time the candidate finished the examination (ICE 21.4)
  - any assurances that the candidate did not access and was not made aware of the paper's content prior to sitting the exam (ICE 21.4)

### The role of invigilators

- Ensure candidates who arrive late/very late are given the required instructions prior to starting the examination (the invigilator's announcement) without disturbing other candidates
- Ensure relevant information is recorded on the exam room incident log relating to candidates who arrive late/very late
- Allow a candidate who arrived late, and is allowed the full working time to do their examination, to continue after the normal finishing time, instructing them to stop working after the full working time allowed has passed (ICE 26.2)

## Food and Drink Policy (Exams)

2023/24

This policy is reviewed and updated annually to ensure that food and drink in the examination room at Kesteven & Sleaford High School is managed in accordance with current requirements and regulations.

References in this policy to ICE refer to the JCQ publication Instructions for conducting examinations

### Purpose of the policy

This policy confirms that KSHS reserves the right to exercise discretion whether to allow food and drink in the examination room, and confirms:

- the correct procedures are followed regarding food and drink in the examination room
- appropriate arrangements are in place for the management of food and drink in the examination room

### Food and drink in the examination room

- Food and drink is allowed in the examination room at the discretion of the head of centre (ICE 18.2)
- Any food brought into the examination room whether by the candidate or the centre must be free from packaging and in a transparent container
- Drink bottles must be transparent with all labels removed which would include transparent, reusable plastic bottles(ICE 18.2)

The following arrangements are applied at KSHS:

- Food and drink is allowed in the examination room only where food is free from packaging and all labels are removed

## Roles and Responsibilities

### The role of the exams office/officer

- Through briefings, ensure candidates are aware of the regulations, and centre-specific arrangements, relating to food and drink in the examination room
- Ensure invigilators are trained and aware of the regulations/centre-specific arrangements relating to food and drink in the examination room
- Escalate any issue or breach of centre-specific arrangements to the relevant senior leader for the application of internal sanction(s)
- Escalate any breach of JCQ regulations immediately to the head of centre (a breach of the regulations constitutes suspected or actual malpractice)

### The role of the invigilator

- Be vigilant in the examination room and remain aware of incidents or emerging situations, looking out for malpractice (ICE 20.2)

- Record what has happened and actions taken on the exam room incident log in relation to any breach of regulations/centre-specific arrangements regarding food and drink in the examination room

### **The role of the head of centre**

- Report to the awarding body immediately all cases of suspected or actual malpractice in connection with the examination (ICE 24.3)

## Leaving the Examination Room Policy

2023/24

This policy is reviewed and updated annually to ensure that candidates leaving the examination room at Kesteven & Sleaford High School is managed in accordance with current requirements and regulations.

References in this policy to ICE refer to the JCQ publication Instructions for conducting examinations.

### Purpose of the policy

The purpose of this policy is to confirm that candidates leaving the examination room at KSHS is managed in line with JCQ regulations.

This policy confirms:

- the correct procedures are followed in relation to candidates leaving the examination room
- KSHS reserves the right to exercise discretion whether to allow extra time to compensate candidates for their temporary absence from the examination room

### 1. Arrangements for leaving the examination room

- For examinations that last one hour or more, candidates must stay under centre supervision until 10.00am for a morning examination or 2.30pm for an afternoon examination, i.e. one hour after the awarding body's published starting time for that examination. (ICE 23.1)
- For examinations that last less than one hour, candidates must be supervised and question papers must be kept in secure storage until the published finishing time of the examination. (ICE 23.2)
- Candidates who are allowed to leave the examination room temporarily must be accompanied by a member of centre staff. This must not be the candidate's subject teacher or a subject expert for the examination in question. Those candidates may be allowed extra time at the discretion of the centre to compensate for their temporary absence. (ICE 23.3)
- Candidates who have finished the examination and have been allowed to leave the examination room early must hand in their script, question paper and any other material before they leave the examination room. Those candidates must not be allowed back into the room. (ICE 23.4)
- At the end of the examination, candidates must hand in their script, question paper and any other material before they leave the examination room. (ICE 23.5)

The following arrangements are applied at KSHS:

- Candidates who are allowed to leave the examination room temporarily may be allowed extra time to compensate for their temporary absence. (ICE 23.3)

### 2. Roles and responsibilities

#### The role of the exams office/officer:

- Through training, ensure invigilators are aware how candidates who may be allowed to leave the examination room temporarily should be managed and recorded

### **The role of the invigilator**

- Ensure a candidate who may be allowed to leave the examination room temporarily is accompanied by a member of centre staff who is not the candidate's subject teacher or a subject expert for the examination in question (ICE 23.3)
- Record instances on the exam room incident log of candidates who may be allowed to leave the examination room temporarily because they may be feeling unwell or require a toilet break (ICE 20.2)
- Ensure candidates who have finished the examination and have been allowed to leave the examination room early hand in their script, question paper and any other material before they leave the examination room. Ensure those candidates are not allowed back into the room (ICE 23.4)
- At the end of the examination, ensure candidates hand in their script, question paper and any other material before they leave the examination room (ICE 23.5)

## Emergency Evacuation Policy (Exams)

2023/24

This policy is reviewed and updated annually to ensure that emergency evacuation from examination rooms at Kesteven & Sleaford High School is managed in accordance with current requirements and regulations.

References in this policy to ICE refer to the JCQ publication Instructions for conducting examinations.

### Introduction

An emergency evacuation is required where it is unsafe for candidates to remain in the examination room. This might include a fire, 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 room, the emergency evacuation procedure may also need to be followed. This might include situations where there is severe disruption in the examination room, serious illness of a candidate or invigilator or similarly serious incidents.

- As each incident may be different, advice will be sought (if applicable) from the relevant awarding body as soon as it is safe to do so, particularly where there is concern about the security of the examination(s) (ICE 25.6)
- Where candidates are unable to return to the building to complete the examination, the relevant awarding body will be contacted immediately for advice (ICE 25.6)

### Purpose of the policy

The purpose of this policy is to confirm the arrangements at Kesteven & Sleaford High School for dealing with an emergency evacuation of an examination room by defining staff roles and responsibilities and confirming the emergency evacuation procedure.

This policy ensures compliance with JCQ regulations (ICE 25.2) which state that centres must have a written policy for dealing with emergency evacuation of the examination room which will be subject to inspection by the JCQ Centre Inspection Service.

## 1. Emergency evacuation procedure

### Actions taken in the event of an emergency evacuation of the examination room

At KSHS, the following actions (in accordance with ICE 25.3) are taken if an examination room has to be evacuated:

- Candidates are instructed to stop writing
- The attendance register is collected (in order to ensure all candidates are present)
- The examination room is evacuated in line with the instructions given by the appropriate authority
- Candidates are advised to leave all question papers and scripts in the examination room.
- Candidates are advised to close their answer booklet(s)
- Candidates are instructed to leave the room in silence
- Candidates are supervised as closely as possible while they are out of the examination room so that there is no discussion about the examination

- The time of the interruption is noted and how long it lasted
- Candidates are allowed the remainder of the working time set for the examination once it resumes
- If there are only a few candidates, the possibility is considered of taking the candidates (with question papers and scripts collected by the invigilator) to another place to finish the examination
- A full report is made of the incident and of the actions taken, and sent to the relevant awarding body

#### **Additional actions taken:**

- In the event of a fire alarm, invigilators are trained to follow the school fire drill procedure along while ensuring the security of the examination.
- When/if allowed to return to the examination room, invigilators allow candidates time to settle down, reminding them they are still under formal examination conditions and that they must not open their answer booklets until instructed to do so
- Invigilators announce clearly to candidates when they may begin and how much time they have (the examination will formally restart at this point)
- Invigilators record the time the examination(s) restarted and amend the displayed finishing time(s) for all candidates to see
- Invigilators are trained to record as much detail on the exam room incident log when able to do so (ensuring candidates are continually supervised and giving complete attention to this duty at all times) and to ensure the exams officer is fully briefed at the end of the examination(s) to enable a full report to be submitted to the awarding body/bodies
- Where not allowed to return to the examination room, or the decision is made by the appropriate authority that the examination(s) cannot be resumed, the centre's examination contingency plan will be invoked and invigilators/candidates briefed accordingly at the time

## **Roles and responsibilities**

### **Head of centre**

- Ensures the emergency evacuation policy for exams is fit for purpose and complies with relevant health and safety regulation
- Ensures any instructions from relevant local or national agencies are referenced and followed where applicable
- Ensures any breach of question paper security or malpractice is reported to the awarding body **immediately** (ICE 25.5)
- Where safe to do so, ensures candidates are given the opportunity to sit exams for their published duration

### **Senior leader**

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

### **Additional learning support (ALS) lead/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 (insert how, as example through Candidate exam handbook, assembly etc.), 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 procedure for every exam room
- Provides a standard invigilator announcement for each exam room which includes appropriate instructions for candidates about emergency procedures and what will happen if the fire alarm sounds



- Provides an exam room incident log in each exam room
- Liaises with the ALS lead/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
- Ensures a full report of the incident is produced and retained on file if required by an awarding body (ICE 25.4)
- Ensures an online application for special consideration is submitted to the relevant awarding body where candidates have been disadvantaged (ICE 25.7)

### **Invigilators**

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

### **Other relevant centre staff**

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

## **Recording details**

As soon as practically possible and safe to do so, details should be recorded (see Roles and Responsibilities for the members of staff who will record these details).

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

Further details which may also be recorded include:

- report on candidate behaviour throughout the interruption/evacuation
- a judgement on the impact on candidates after the interruption/evacuation

## Managing Behaviour Policy (Exams)

2023/24

This policy is reviewed and updated annually to ensure that candidate behaviour in the examination room at Kesteven & Sleaford High School is managed in accordance with current requirements and regulations.

References in this policy to GR, ICE and SMPP refer to the JCQ publications **General Regulations for Approved Centres**, **Instructions for conducting examinations** and **Suspected Malpractice: Policies and Procedures**

### Purpose of the policy

The purpose of this policy is to confirm that candidate behaviour in the examination room at KSHS is managed in line with JCQ regulations.

### 1. Briefing candidates

To ensure candidates are aware of the standard of behaviour that is required in the examination room, KSHS will:

- ensure the **JCQ Information for candidates** (coursework, non-examination assessments, on-screen tests, social media and written examinations) is distributed to all candidates whether electronically or in hard copy format prior to assessments and/or examinations taking place (GR 5.8)
- ensure candidates are also made aware of the content of the **JCQ Unauthorised items** and **Warning to candidates posters** (GR 5.8)
- prior to assessments and/or examinations taking place, ensure candidates are briefed on what they must and must not do when sitting written examinations and/or on-screen tests, and when producing coursework and/or non-examination assessments (GR 5.8)

At KSHS candidates are made aware of JCQ information/briefed by:

- handbook regarding examination protocols is issued to all students in the joint sixth form
- Assembly held in school to brief all students in Year 11 and Year 13 conducted by Mrs Gaynor White (SLT in charge of Examinations) and Sarah Ross (Examinations Officer)
- A copy of JCQ information is also sent home to parents

### 2. Candidate Malpractice

- Inappropriate behaviour by a candidate in the examination room is deemed 'candidate malpractice'
- 'Candidate malpractice' means malpractice by a candidate in connection with any examination or assessment, including the preparation and authentication of any controlled assessments, coursework or non-examination assessments, the presentation of any practical work, the compilation of portfolios of assessment evidence and the writing of any examination paper (SMPP)
- 'Malpractice', means any act, default or practice which is a breach of the Regulations (SMPP 1.2)
- Failure by a centre to notify, investigate and report to an awarding body all allegations of malpractice or suspected malpractice constitutes malpractice in itself (SMPP 1.7)

- Suspected malpractice means all alleged or suspected incidents of malpractice (SMPP 2)

Examples of inappropriate behaviour/actions that constitute 'candidate malpractice' are provided in the final section of this policy .

### 3. Instructions for conducting examinations - Malpractice in the examination room

The following requirements are applied at KSHS:

- Candidates are under formal examination conditions from the moment they enter the room in which they will be taking their examination(s) until the point at which they are permitted to leave. Any malpractice suspected or actual, from this point must be reported to the relevant awarding body (ICE 19.1)
- Where a candidate is being disruptive, the invigilator must warn the candidate that he/she may be removed from the examination room. The candidate must also be warned that the awarding body will be informed and may decide to penalise them, which could include disqualification (ICE 24.1)
- The head of centre must report to the awarding body immediately all cases of suspected or actual malpractice in connection with the examination (ICE 24.3)
- Form JCQ/M1 - **Report of suspected candidate malpractice** must be completed (ICE 24.3)
- The head of centre has the authority to remove a candidate from the examination room but should only do so if the candidate would disrupt others by remaining in the room (ICE 24.3)
- Where candidates commit malpractice, the awarding body may decide to penalise them, which could include disqualification. Candidates should be warned of the possible penalties an awarding body may apply as detailed in the JCQ publication **Suspected Malpractice: Policies and Procedures** (ICE 24.5)
- In cases of suspected malpractice, examination scripts must be packed as normal and Form JCQ/M1 must be submitted separately to the relevant awarding body (ICE 24.6)

### 4. Roles and Responsibilities

#### The role of the invigilator

- Be vigilant and remain aware of incidents or emerging situations, looking out for malpractice (ICE 20.2)
- Warn a disruptive candidate that he/she may be removed from the examination room (ICE 24.1)
- Record what has happened and actions taken on the exam room incident log (ICE 24.1)

#### The role of the exams office/officer

- Ensure that the **JCQ Information for candidates documents** (coursework, non-examination assessments, on-screen tests, social media and written examinations) are distributed to all candidates prior to assessments and/or examinations taking place and that candidates are also be made aware of the content of the JCQ Unauthorised items and Warning to candidates posters (GR 5.8)
- Ensure the JCQ **Unauthorised items** and **Warning to candidates** posters are displayed in a prominent place for all candidates to see prior to entering the examination room (GR 5.8)
- Where a candidate is being/has been disruptive in the examination room, warn the candidate that the awarding body will be informed and may decide to penalise them, which could include disqualification (ICE 24.1)

#### The role of the head of centre

- Where a candidate is seriously disrupting others, makes the decision to remove the candidate from the examination room (ICE 24.3)
- Report to the awarding body immediately all cases of suspected or actual malpractice in connection with the examination by completing form JCQ/M1 (ICE 24.3)

#### The role of the senior leader

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

## Examples of 'candidate malpractice'

These include (but are not limited to):

### Introduction of unauthorised material into the examination room

Own blank paper

- used for rough work
- used for final answers

Calculators, dictionaries (when prohibited)

- not used
- used or attempted to use

Bringing into the examination room notes in the wrong format or prohibited annotations

- notes/annotations go beyond what is permitted but do not give an advantage;
- notes irrelevant to subject notes/annotations are relevant and give an unfair advantage
- notes/annotations introduced in a deliberate attempt to gain an advantage

Unauthorised notes, study guides and personal organisers

- content irrelevant to subject
- content relevant to subject
- relevant to subject and evidence of use

Mobile phone or similar electronic devices (including airpods, earphones, headphones, iPod, PM3/4 player, memory sticks, Smartphone, Smartwatch)

- not in the candidate's possession but make a noise in the examination room
- in the candidate's possession but no evidence of being used by the candidate
- in the candidate's possession and evidence of being used by the candidate

Watches (not Smartwatches)

- in candidate's possession

### Breaches of examination conditions

A breach of the instructions or advice of an invigilator, supervisor, or the awarding body in relation to the examination rules and regulations

- minor non-compliance: e.g. sitting in a non-designated seat; continuing to write for a short period after being told to stop
- major non-compliance: e.g. refusing to move to a designated seat; significant amount of writing after being told to stop
- related non-compliance

Failing to abide by the conditions of supervision designed to maintain the security and integrity of the examinations

- leaving examination early (no loss of integrity); removing script from the examination room, but evidence of the integrity was maintained

- removing script from examination room but with no proof that the script is safe; taking home materials
- deliberately breaking a timetable clash supervision arrangement; removing script from the examination room and with proof that the script has been tampered with; leaving examination room early so integrity is impaired

Disruptive behaviour in the examination room or assessment session (including use of offensive language)

- minor disruption lasting a short time; calling out, causing noise, turning around
- repeated or prolonged disruption; unacceptably rude remarks; being removed from the examination room; taking another's possessions
- warnings ignored; provocative or aggravated behaviour; repeated or loud offensive comments; physical assault on staff or property

Exchange, obtaining, receiving, or passing on information which could be examination related (or the attempt to):

Verbal communication

- isolated incidents of talking before the start of the examination or after papers have been collected
- talking during the examination about matters not related to the exam; accepting examination related information
- talking about examination related matters during the exam; whispering answers to questions

Communication

- passing/receiving written communications which clearly have no bearing on the assessment
- accepting assessment related information
- passing assessment related information to other candidates; helping one another; swapping scripts

## **Offences relating to the content of candidates' work**

The inclusion of inappropriate, offensive or obscene material in scripts, controlled assessments, coursework, non-examination assessments or portfolios

- isolated offensive words or drawings
- frequent offensive words or drawings; isolated obscenity or offensive comments directed at an individual or group
- frequent obscenities; discriminatory language, remarks or drawings directed at an individual or group

Plagiarism: unacknowledged copying from or reproduction of third party sources (including the internet and AI tools); incomplete referencing

- minor amount of plagiarism/poor referencing in places
- plagiarism from work listed in the bibliography or referenced/acknowledged; or minor amount of plagiarism from a source not listed in the bibliography or referenced / acknowledged
- plagiarism from work not listed in the bibliography or referenced/acknowledged; or plagiarised text consists of the substance of the work submitted and the source is listed in the bibliography or referenced / acknowledged

(SMPP, Appendix 6)

## Malpractice Policy (Exams)

2023/24

This policy is reviewed and updated annually to ensure that any malpractice at Kesteven & Sleaford High School is managed in accordance with current requirements and regulations.

Reference in the policy to **GR** and **SMPP** relate to relevant sections of the current JCQ publications **General Regulations for Approved Centres** and **Suspected Malpractice: Policies and Procedures**.

### Introduction

#### What is malpractice and maladministration?

'Malpractice' and 'maladministration' are related concepts, the common theme of which is that they involve a failure to follow the rules of an examination or assessment. This policy and procedure uses the word 'malpractice' to cover both 'malpractice' and 'maladministration' and it means any act, default or practice which is:

- a breach of the regulations
- a breach of the awarding body requirements regarding how a qualification should be delivered
- a failure to follow established procedures in relation to a qualification which:
  - gives rise to prejudice to candidates;
  - compromises public confidence in qualifications;
  - compromises, attempts to compromise or may compromise the process of assessment, the integrity of any qualification or the validity of a result or certificate;
  - damages the authority, reputation or credibility of any awarding body or centre or any officer, employee or agent of any awarding body or centre (SMPP)
- For the purpose of this document, suspected malpractice means all alleged or suspected incidents or malpractice (SMPP 2)

#### Candidate malpractice

'Candidate malpractice' means malpractice by a candidate in connection with any examination or assessment, including the preparation and authentication of any controlled assessments, coursework or non-examination assessments, the presentation of any practical work, the compilation of portfolios of assessment evidence and the writing of any examination paper. (SMPP 2)

#### Centre staff malpractice

'Centre staff malpractice' means malpractice committed by:

- a member of staff, contractor (whether employed under a contract of employment or a contract for services) or a volunteer at a centre; or

- an individual appointed in another capacity by a centre such as an invigilator, a Communication Professional, a Language Modifier, a practical assistant, a prompter, a reader or a scribe (SMPP 2)

## Suspected malpractice

For the purposes of this document, suspected malpractice means all alleged or suspected incidents of malpractice. (SMPP 2)

## Purpose of the policy

To confirm Kesteven & Sleaford High School:

- has in place a written malpractice policy which covers all qualifications delivered by the centre and details how candidates are informed and advised to avoid committing malpractice in examinations/assessments, how suspected malpractice issues should be escalated within the centre and reported to the relevant awarding body (GR 5.3)

## General principles

In accordance with the regulations KSHS will:

- Take all reasonable steps to prevent the occurrence of any malpractice (which includes maladministration) before, during and after examinations have taken place (GR 5.11)
- Inform the awarding body immediately of any alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, by completing the appropriate documentation (GR 5.11)
- As required by an awarding body, gather evidence of any instances of alleged or suspected malpractice (which includes maladministration) in accordance with the JCQ publication **Suspected malpractice - Policies and procedures** and provide such information and advice as the awarding body may reasonably require (GR 5.11)

## Candidate malpractice

- ‘Candidate malpractice’ means malpractice by a candidate in connection with any examination or assessment, including the preparation and authentication of any controlled assessments, coursework or non-examination assessments, the presentation of any practical work, the compilation of portfolios of assessment evidence and the writing of any examination paper (SMPP2)

## Preventing malpractice

KSHS has in place:

- robust processes to prevent and identify malpractice, as outlined in section 3.3 of the JCQ publication **Suspected Malpractice: Policies and Procedures** (SMPP 4.3)
- This includes ensuring that all staff involved in the delivery of assessments and examinations understand the requirements for conducting these as specified in the following JCQ documents and any further awarding body guidance: *General Regulations for Approved Centres 2023-2024; Instructions for conducting examinations (ICE) 2023-2024; Instructions for conducting coursework 2023-2024; Instructions for conducting non-examination assessments 2023-2024; Access Arrangements and Reasonable Adjustments 2023-2024; A guide to the special consideration process 2023-2024; Suspected Malpractice: Policies and Procedures 2023-2024; Plagiarism in Assessments; AI Use in Assessments: Protecting the Integrity of Qualifications; A guide to the awarding bodies’ appeals processes 2023-2024* (SMPP 3.3.1)

## Identification and reporting of malpractice

## Escalating suspected malpractice issues

- Once suspected malpractice is identified, any member of staff at the centre can report it using the appropriate channels (SMPP 4.3)

## Reporting suspected malpractice to the awarding body

- The head of centre will notify the appropriate awarding body immediately of any alleged, suspected or actual incidents or malpractice, using the appropriate forms, and will conduct any investigation and gathering of information in accordance with the requirements of the JCQ publication **Suspected Malpractice: Policies and Procedures** (SMPP 4.3)
- The head of centre will ensure that where a candidate who is a child/vulnerable adult is the subject of a malpractice investigation, the candidate's parent/carer/ appropriate adult is kept informed of the progress of the investigation (SMPP 4.1.3)
- Form JCQ/M1 (Suspected candidate malpractice) will be used to notify an awarding body of an incident of candidate malpractice. Form JCQ/M2 (Notification of suspected malpractice/maladministration involving centre staff) will be used to notify an awarding body of an incident of suspected malpractice/maladministration (SMPP 4.4, 4.6)
- Malpractice by a candidate discovered in a controlled assessment, coursework or non- examination assessment component prior to the candidate signing the declaration of authentication need not be reported to the awarding body but will be dealt with in accordance with the centre's internal procedures. The only exception to this is where the awarding body's confidential assessment material has potentially been breached. The breach will be reported to the awarding body immediately (SMPP 4.5)
- If, in the view of the investigator, there is sufficient evidence to implicate an individual in malpractice, that individual (a candidate or a member of staff) will be informed of the rights of the accused individual (SMPP 5.33)
- Once the information gathering has concluded, the head of centre (or other appointed information gatherer) will submit a written report summarising the case accompanied by any appropriate documentation to the relevant awarding body, accompanied by the information obtained during the course of their enquiries (SMPP 5.345)
- Form JCQ/M1 will be used when reporting candidate cases; for centre staff, Form JCQ/M3 will be used (SMPP 5.37)
- The awarding body will decide on the basis of the report, and any supporting documentation, whether there is evidence of malpractice and if any further investigation is required. The head of centre will be informed accordingly (SMPP 5.40)

## Communicating malpractice decisions

Once a decision has been made, it will be communicated to the head of centre as soon as possible. The Head of centre will communicate the decision to the individuals concerned and pass on details of any sanctions and action in cases where this is indicated. The head of centre will also inform the individuals if they have the right to appeal (SMPP 11.1)

## Appeals against decisions made in cases of malpractice

KSHS will:

- Provide the individual with Information on the process and timeframe for submitting an appeal, where relevant
- Refer to further information and follow the process provided in the JCQ publication **A guide to the awarding bodies' appeals processes**



## Special Consideration Policy

2023/24

### What is special consideration?

Special consideration is given to a candidate who has temporarily experienced illness, injury or some other event outside of their control **at the time of the assessment**. It is applied when the issue or event 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 go some way to assist a candidate affected by a potentially wide range of difficulties, emotional or physical, which may influence performance in their assessments. It cannot remove the difficulty faced by the candidate. This means that there will be some situations where candidates should not be entered for a qualification or a unitised examination. This is because only minor adjustments can be made to the mark awarded. To make larger adjustments would jeopardize the standard of the qualification. (JCQ's **A guide to the special consideration process**, section 1)

This publication 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 KSHS will... submit any applications for special consideration where candidates meet the published criteria. (JCQ's [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 ALS lead/SENCo

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

### Candidates (or parents/carers)

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

## Applying for special consideration

Where eligible, special consideration will be applied for at the time of the assessment where candidates... have been fully prepared and have covered the whole course but performance in the examination, or in the production of coursework or non-examination assessment, is materially affected by adverse circumstances beyond their control. ([SC](#), section [2](#))

For candidates who are present for the assessment but disadvantaged KSHS must be satisfied that there has been a material detrimental effect on candidate examination performance or in the production of coursework or non-examination assessment. ([SC](#), section [3](#))

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 centre supervision from the required time while appropriate arrangements are put in place for the candidate to take the exam in the best possible conditions
  - a judgement will be made on how the candidate's situation or disposition affected performance in the exam
  - where appropriate and where eligible, special consideration will be applied for
2. Where candidates may be affected by a major disturbance in the exam room (emergency evacuation etc.), an online application for special consideration will be submitted to the relevant awarding body where candidates have been disadvantaged.
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 (GCE and Level 3 exams) or more than 5 hours 30 minutes (GCSE, Level 1 and Level 2 exams) including any approved extra time but not any time taken for supervised rest breaks, special consideration for an allowance on the 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 from a timetabled component/unit for acceptable reasons, and the centre is prepared to support an application for special consideration, 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. For unitised examinations taken in an examination series prior to certification, candidates must be re-entered for any missed units at the next assessment opportunity. Unless there are difficulties arising, e.g. group performances which cannot be repeated, special consideration will not be awarded. ([SC](#), section [4](#))

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 appropriate evidence signed by a member of the senior leadership team

#### Senior leadership team

- Sign appropriate evidence to support 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 appropriate evidence signed by a member of the senior leadership team 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 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](#).

In cases of online applications for special consideration, the candidate/candidates will be informed when an application for special consideration is submitted to the awarding body (to ensure compliance with the UK GDPR/Data Protection Act 2018).

Evidence to support all 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 affected where a candidate is present but disadvantaged and a separate application for each day on which exams are missed 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
- [form 10](#) **Application for special consideration** will only be completed and submitted to the awarding body where a paper application is specifically required by the awarding body
- For cases involving groups of candidates, applications will be made online where the awarding body's secure system accepts group applications or form 10 will be completed
- [form 14](#) **Self certification form** (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 work submission deadline for an individual candidate is being requested, the awarding body will be contacted directly
- Where an application relates to a shortfall in work for an individual candidate, this will be submitted online or by completing form 10, dependent on the awarding body

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

- Where the learner's circumstances are 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 compelling 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.

## Certificate Issue Procedure and Retention Policy

2023/24

This procedure/policy is reviewed and updated annually to ensure that certificates at Kesteven & Sleaford High School are managed in accordance with current requirements and regulations.

Reference in the procedure/policy to **GR** relates to relevant sections of the current JCQ publication **General Regulations for Approved Centres**

### Introduction

Certificates are provided by awarding bodies after examination results have been confirmed. Certificates always remain the property of the awarding bodies

### Purpose of the procedure/policy

The purpose of this procedure/policy is to confirm how KSHS issues examination certificates to candidates and the policy for the retention of any unclaimed/uncollected certificates in compliance with JCQ regulations.

### Issue of certificates

KSHS will:

- distribute certificates to all candidates without delay and regardless of any disputes (GR 5.14)
- not withhold any certificate without prior permission from the relevant awarding body which will only be given in very exceptional circumstances (GR 5.14)
- keep a record of the certificates that are issued (GR 5.14)
- return any certificates requested by the awarding bodies as certificates always remain the property of the awarding bodies (GR 5.14)

The receipt of certificates from awarding bodies and arrangements for the issue of certificates to candidates is managed by Mrs Sarah Ross

### Arrangements for the issue of certificates

Candidates are informed of the arrangements for the issue of certificates as follows:

- A letter is sent home regarding the school Prize- Giving Event where certificates will be issued

### Where unable to claim/collect certificates under the normal arrangements

Candidates may make an appointment in school to collect their own certificates.

The collection of certificates by a third party is not encouraged but will be allowed if:

- The candidate has asked for this in writing with clear instructions as to who will pick up the certificates on their behalf
- An agreed appointment time is made
- The third party brings ID to the scheduled appointment

### **Record of issued certificates**

All certificates must be signed for by either the Examinations Team (to indicate the certificate was collected at Prize-giving) or by the candidate. These records are kept in the examination store along with any remaining certificates.

### **Retention of certificates**

KSHS will:

- retain all unclaimed certificates under secure conditions for a minimum of 12 months from the date of issue (GR 5.14)
- destroy any unclaimed certificates after retaining them for a minimum of 48 months (GR 5.14)
- destroy certificates in a confidential manner or may return them to the respective awarding body (GR 5.14)
- retain a record of certificates that have been destroyed for four years from their date of destruction (5.14)
- (where applicable) inform candidates that some awarding bodies do not offer a replacement certificate service and in such circumstances the awarding body will issue a Certifying Statement of Results which will provide an accurate and complete record of results for all qualifications covered by the original certificate (GR 5.14)

The retention of unclaimed or uncollected certificates is managed by the Exams Officer.

## Access to Scripts, Reviews of Results and Appeals Procedure

2023/24

These procedures are reviewed and updated annually to ensure that Kesteven & Sleaford High School deals with candidates' requests for access to scripts, clerical re-checks, reviews of marking, reviews of moderation and appeals to the awarding bodies in accordance with current requirements and regulations.

Reference in these procedures to GR and PRS refer to the JCQ publications **General Regulations for Approved Centres** and **Post-Results Services**.

### Introduction

Following the issue of results, awarding bodies make post-results services available.

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

#### Access to Scripts (ATS):

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

#### 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

#### Appeals:

- The appeals process is available after receiving the outcome of a review of results

### Purpose of the procedures

The purpose of these procedures is to confirm how Kesteven & Sleaford High School deals with candidates' requests for access to scripts, clerical re-checks, reviews of marking, reviews of moderation and appeals to the awarding bodies in compliance with JCQ regulations (GR 5.13). Details of these procedures are made widely

Details of these procedures are made widely available and accessible to all candidates:

- inclusion in the student exam handbook
- exam assemblies prior to exams
- on the school website
- a letter home to parents

- inclusion of forms in results envelopes

## The arrangements for post-results services

- Candidates must be made aware of the arrangements for post-results services prior to the issue of results (GR 5.13)
- A review of moderation cannot be undertaken upon the work of an individual candidate or the work of candidates not in the original sample (PRS 4.3)
- The appeals process is available after receiving the outcome of a review of results (PRS 5.1)

At KSHS:

- Candidates are made aware of the arrangements for post-results services prior to the issue of results
- Candidates are also informed of the periods during which senior members of centre staff will be available/accessible immediately after the publication of results so that results may be discussed, and decisions made on the submission of reviews of marking (GR 5.13, PRS 4.1)

Candidates are made aware/informed by the school website and in the exam pack sent home.

## Dealing with requests

- All post-results service requests from internal candidates must be made through the centre (GR 5.13)

At KSHS the process to request a service is to complete a post results form and return it to the exams officer. All appropriate fees must be paid in advance of any application for a service by the exams officer.

## Candidate consent

- Candidates must provide their written consent for clerical re-checks, reviews of marking and access to scripts services offered by the awarding bodies after the publication of examination results (GR 5.13)

KSHS will:

- Acquire written candidate consent (accepting informed consent via candidate email) in all cases before a request for a clerical re-check, a review of marking or an access to scripts service is submitted to the awarding body
- Acquire informed candidate consent 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
- Only collect candidate consent after the publication of results
- Retain consent forms or e-mails from candidates for at least six months following the outcome of a clerical re-check or review of marking or any subsequent appeal (PRS 4.2)
- Retain consent/permission forms or e-mails from candidates to request and use their scripts for at least six months (PRS 6.2)

## Submitting requests

KSHS will:

- Submit requests electronically for clerical re-checks, reviews of marking, reviews of moderation and access to scripts by the published deadline(s) in accordance with the JCQ publication **Post-results services** (GR 5.13)
- Submit requests for appeals in accordance with the JCQ publication **A guide to the awarding bodies' appeals processes** (GR 5.13)



- Confirm the awarding body's acknowledgement of receipt of a review of results request prior to the deadline for submission of post-results services and regularly check the progress of the request online (PRS 4.5)

## Dealing with outcomes

KSHS will:

- Ensure outcomes of clerical re-checks, reviews of marking, reviews of moderation and appeals are made known to candidates as soon as possible (GR 5.13)

## Managing disputes

At KSHS any dispute/disagreement will be managed in accordance with the internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support an application for a clerical re-check, a review of marking, a review of moderation or an appeal (GR 5.13).

## Exams Archiving Policy

2023/24

### 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/data retention 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 ALS lead/SENCo as records owner at end of the candidate's final exam series.	
Alternative site arrangements	Any hard copy information generated on an alternative site arrangement. Notifications submitted online via CAP.		
Attendance register copies		...keep signed records of the seating plan, the invigilation arrangements and the centre's copies of the attendance registers for each examination. The awarding bodies may need to refer to these records. The centre must keep them until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later... (Reference <a href="#">ICE 12, 22</a> )	Confidential waste/shredding
Awarding body exams administration 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.  ... ensure that when scripts that have been returned under access to scripts arrangements are no longer required, they are disposed of in a confidential manner, but no earlier than the dates specified by the awarding bodies... (Reference <a href="#">GR 3.15</a> )	Confidential disposal
Candidates' work	Non-examination assessment work returned to the centre by the awarding body at the end of the moderation period.	To be logged on return to the centre and immediately returned to subject staff as records owner.  To be stored safely and securely along with work that did not form part of the moderation sample (including materials stored electronically)	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)
		...store safely and securely all non-examination assessments, including controlled assessments, coursework or portfolios, retained in, or returned to, the centre until the deadline for a review of moderation has passed or until a review of moderation, an appeal or a malpractice investigation has been completed, whichever is later. This includes materials stored electronically. See paragraph 4.8 of the JCQ publication <i>Instructions for conducting non - examination assessments</i> <a href="https://www.jcq.org.uk/exams-office/non-examination-assessments">https://www.jcq.org.uk/exams-office/non-examination-assessments</a> (Reference <a href="#">GR 3.15</a> )	
Centre consortium arrangements for centre assessed work	Any hard copy information generated or relating to consortium arrangements for centre assessed work. Applications submitted online via CAP.		
Certificates	Candidate certificates issued by awarding bodies.	...retain all unclaimed certificates under secure conditions for a minimum of 12 months from the date of issue (Reference <a href="#">GR 5.14</a> )	Confidential destruction
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	... destroy any unclaimed certificates after retaining them for a minimum of 12 months. They must be destroyed in a confidential manner. Centres that do not have a means of destroying certificates confidentially may return them to the respective awarding body. A record of certificates that have been destroyed should be retained for four years from their date of destruction. However, candidates should be informed that some awarding bodies do not offer a replacement certificate service. In such circumstances the awarding body will issue a Certifying Statement of Results... (Where an awarding body issues a replacement certificate, or a Certifying Statement of Results, this will provide an accurate and complete record of results for all qualifications covered by the original certificate...  ...return any certificates requested by the awarding bodies. Certificates always remain the property of the awarding bodies. (Reference <a href="#">GR 5.14</a> )	Confidential destruction
Certificate issue information	A record of certificates that have been issued.	obtain and maintain accurate candidate contact information to ensure the correct and secure despatch of certificates...distribute certificates to all candidates	

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		without delay and regardless of any disputes (such as non-payment of fees). Certificates must not be withheld without prior permission from an awarding body which will only be given in very exceptional circumstances. A record should be kept of the certificates that are issued... (Reference <a href="#">GR 5.14</a> )	
Confidential materials: initial point of delivery logs	Logs recording awarding body confidential exam materials received by an authorised member of staff at the initial point of delivery and the secure movement of packages by an authorised member of staff to the secure room for transferal to the centre's secure storage facility.		
Confidential materials: receipt, secure movement and secure storage logs	Logs recording confidential exam materials received, securely moved, checked and placed in the secure storage facility by the exams officer (or other authorised member of centre staff) throughout the period the materials are confidential		
Conflicts of interest records	Records demonstrating the management of conflicts of interest	...The records may be inspected by a JCQ Centre Inspector and/or awarding body staff. They might be requested in the event of concerns being reported to an awarding body. The records must be retained until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later. (Reference <a href="#">GR 5.3</a> )	
Dispatch logs	Proof of dispatch of exam script packages to awarding body examiners covered by the <a href="#">DfE (Standards &amp; Testing Agency) yellow label service (England only)</a>		
Entry information	Any hard copy information relating to candidates' entries.		

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Exam question papers	Question papers for timetabled written exams.	<p>(Reference <a href="#">ICE 31</a>: Question papers must not be released to centre personnel until after the awarding body's published finishing time for the examination or, in the case of a timetable variation, until all candidates within the centre have completed the examination.</p> <p>For CCEA examinations question papers must not be released until 24 hours after the published finishing time for the examination.)</p> <p>...For confidentiality purposes question papers must not be released to centre personnel for use in accordance with the above licence until after the awarding body's published finishing time for the examination or, in the case of a timetable variation, until all candidates within the centre have completed the examination. This does not restrict access to question papers by authorised centre personnel for the purpose of conducting examinations... (Reference <a href="#">GR 6.13</a>)</p>	Issued to subject staff
Exam room checklists	Checklists confirming exam room conditions and invigilation arrangements for each exam session.		
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms for each exam session.		
Exam stationery	Awarding body exam stationery provided solely for the purpose of external exams.	...return unused stationery to the secure storage facility or secure room until needed for a future examination. Surplus stationery must not be used for internal school tests, mock examinations and non-examination assessments... destroy confidentially any out-of-date stationery. (Reference <a href="#">ICE 30</a> )	Confidential destruction
Examiner reports		(Where/if provided) To be immediately provided to head of department as records owner.	

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Finance information	Copy invoices for exams-related fees.	To be returned to Finance department as records owner at the end of the academic year.	
Invigilation arrangements	<i>See Exam room checklists</i>		
Invigilator and facilitator training records		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 available for inspection 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. (Reference <a href="#">ICE 12</a> )	
Moderator reports		(Where printed from electronic copy) To be immediately provided to head of department as records owner.	
Moderation returns logs	Logs recording the return of candidates' work to the centre by the awarding body at the end of the moderation period		
Overnight supervision information	<p>The JCQ <i>Overnight Supervision</i> form is completed online using CAP. The JCQ <i>Overnight Supervision Declaration</i> form is downloaded from CAP) for signing by the candidate, the supervisor and the head of centre</p> <p>Any hard copy information relating to overnight supervision arrangements. Reports submitted online via CAP.</p>	...keep all completed forms available for inspection until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later. Forms may be stored electronically or in hard copy paper format and must not be sent to an awarding body, unless specifically requested... (Reference ( <a href="#">ICE 8</a> ))	
Post-results services: confirmation of candidate consent information	Hard copy or email record of required candidate consent.	Consent forms or e-mails from candidates <b>must</b> be retained by the centre and kept for at least six months following the outcome of the clerical re-check or review of marking or any subsequent appeal. The awarding	

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		bodies reserve the right to inspect such documentation. (Reference <a href="#">PRS</a> 4, plus appendix A and B)	
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.		
Post-results services: tracking logs	Logs tracking to resolution all post-results service requests submitted to awarding bodies.		
Private candidate information	Any hard copy information relating to private candidates' entries.		
Proof of postage – candidates' work	Proof of postage of sample of candidates' work submitted to awarding body moderators.  (Proof of postage of candidates' scripts to awarding body examiners/markers)	Centres not involved in the secure despatch of exam scripts service... must obtain proof of postage/despatch for each packet of scripts, which must be retained on the centre's files until the results are published, in case of loss or damage. (Proof of postage will provide evidence that the candidates' scripts have left the centre. This will indicate that the scripts were written at the appointed time and that, should the scripts not be received by the awarding body/examiner, then special consideration may be possible.)... (Reference <a href="#">ICE</a> 29)	
Resolving timetable clashes information	Any hard copy information relating to the resolution of a candidate's clash of timetabled exam papers		
Results information	Broadsheets of public examination results summarising candidate final grades by subject by exam series.	Records for current year plus previous 6 years to be retained as a minimum.	
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. The awarding bodies may need to refer to these records. The centre must keep them until the deadline for reviews of marking has passed	



Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		or until any appeal, malpractice or other results enquiry has been completed, whichever is later... (Reference <a href="#">ICE 12</a> )	
Second pair of eyes check records/forms	Records of the check that must take place by a second person (additional to the person removing question paper packets from secure storage) immediately before a question paper packet is opened.	(Reference <a href="#">ICE 5,, 18</a> : In order to avoid potential breaches of security, care must be taken to ensure that the correct question paper packets are opened.  A member of centre staff, additional to the person removing the question paper packets from secure storage, e.g. an invigilator, must check the day, date, time, subject, unit/component and tier of entry, if appropriate, immediately before a question paper packet is opened. This second pair of eyes check must be recorded.)	
Special consideration information	Any hard copy information relating to a special consideration application which has been submitted to an awarding body for a candidate and signed evidence produced by a senior leader in support of the application.	All applications <b>must</b> be supported by signed evidence produced by a member of the senior leadership team. <b>The centre must retain this evidence until after the publication of results.</b> (Reference <a href="#">SC 6</a> )	
Suspected malpractice reports/outcomes	Any hard copy information relating to a suspected or actual malpractice investigation/report submitted to an awarding body and outcome information from the awarding body.		
Transferred candidate arrangements	Any hard copy information relating to a transferred candidate arrangement. Applications submitted online via CAP.		
Very late arrival reports/outcomes	Any hard copy information relating to a candidate arriving very late to an exam. Reports submitted online via CAP.		

**Contents**

- A. Responsibilities
- B. Registration and Certification Policy
- C. Assessment Policy
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- H. Distance and Blended Learning Policy

## Responsibilities

### **Exams Officer**

Responsible for timely, accurate and valid registration, transfer, withdrawal and certificate claims for learners.

### **Programme Leader**

Responsible for ensuring learner details held by Pearson are accurate and that an audit trail of learner assessment and achievement is accessible.

Responsible for managing programme delivery and assessment of the learners, to ensure coverage of all units and grading criteria.

### **Quality Nominee**

Responsible for coordinating and monitoring the learner details held with Pearson.

The Quality Nominee ensures that centre internal verification and standardisation processes operate, acts as the centre coordinator and main point of contact for BTEC programmes. The Quality Nominee ensures Pearson quality assurance reports are monitored and any remedial action is carried out.

Required to inform Pearson of any acts of malpractice.

### **Senior Management**

Responsible for overseeing the registration, transfer, withdrawal and certificate claims for learners to ensure that awarding body deadlines are met.

Responsible for judging whether assessment decisions are valid, fair and unbiased.

### **Assessor**

Responsible for carrying out assessment to national standards. The assessor provides feedback to learners; assures the authenticity of learner work; records and tracks achievement.

Responsible for providing clear achievement feedback to learners.

If assessment decisions are questioned, the Assessor is responsible for processing the learner's appeal within the agreed time.

Responsible for designing assessment opportunities which limit the opportunity for malpractice and for checking the validity of the learner's work.

### **Internal verifier**

A member of staff able to verify assessor decisions and validate assignments. The Internal Verifier records findings, gives assessor feedback, and oversees remedial action. Responsible for judging whether assessment decisions are valid, fair and unbiased.

Responsible for malpractice checks when internally verifying work.

### **Lead Internal Verifier**

By registering with Pearson, has access to standardisation materials which may be used with assessors to ensure that national standards are understood. The Lead Internal Verifier must agree and sign off assessment and internal verification plans.

A member of the programme team who oversees the implementation of an effective internal verification centre system in their subject area. The Lead Internal Verifier is required to register annually and undergoes the necessary standardisation processes.

Responsible for judging whether assessment decisions are valid, fair and unbiased.

Responsible for malpractice checks when internally verifying work.

**Learner**

Responsible for initiating the appeals procedure, in the required format, within a defined time frame, when s/he has reason to question an assessment decision

**Head of Centre**

Responsible for submitting an appeal in writing, to Pearson if the learner remains dissatisfied with the outcome of the centre's internal appeals procedures.

Should seek proactive ways to promote a positive culture that encourages learners to take individual responsibility for their learning and respect the work of others.

Responsible for any investigation into allegations of malpractice.

**Aim:**

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

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

- Register each learner for overall qualification within specified timeframes
- Register learners to complete external examinations within the allocated exam series
- Provide a mechanism for programme teams to check the accuracy of learner registrations
- Inform Pearson of any changes to registrations and process withdrawals, transfers or changes to learner details
- make each learner aware of their registration status
- learners may achieve at one qualification size and 'top up' to a larger size provided that both qualifications are based on the same specification i.e. have the same unit identification codes.
- ensure that certificate claims are made within specified timeframes and based solely on internally verified assessment records
- audit certificate claims made to the awarding body
- audit the certificates received from the awarding body to ensure accuracy and completeness
- keep all records safely and securely for three years post certification.

**Procedure****Qualification registration**

1.1 All registrations must be made within the first 4 weeks of a learner enrolling onto their course. This includes programmes that do not follow the academic year. The Exams officer will process the registrations via Edexcel Online on behalf of each department.

1.2 For learners starting a qualification at the beginning of the academic year, the Subject Leader will provide a list of learner names to the exams officer 2 weeks prior to the registration deadline (November 1<sup>st</sup>) each year. All student details are put on a downloadable spreadsheet including first and last name, date of birth, course description and estimated completion date.

1.3 Once the registrations have been made, a confirmation report will be shared with the Subject Leader and QN to confirm correct names have been registered onto the correct qualification. Any amendments made must be passed to the Examination Officer in a reasonable time period before the deadline of November 1<sup>st</sup>. No formal assessment can take place until registrations are confirmed.

**Withdrawals**

1.4 The Subject Leader must inform the Examinations Officer within 5 working days of any learner who withdraws from their qualification. The Exams officer will then withdraw the learner within Edexcel Online. All requests for withdrawal should be made to the Exams Officer by no later than the 25<sup>th</sup> January. The Exams Officer will submit the request for learner deletion to [examsofficers@pearson.com](mailto:examsofficers@pearson.com) by no later than the 31<sup>st</sup> January.

**External Examination**

1.5 For January/February/March 2024 examinations series the entry deadline was November 2023. All student details are provided by the subject leader and exams officer on a downloadable spreadsheet including first and last name, date of birth, course description with exam Unit number and title. Please refer to the list below for Exam series dates:

## January 2024 exam series

Qualification	Entries deadline	Late fees charged from	Amendment fees charged from	High late fees charged from
Edexcel Award	17 October 2023	18 October 2023	18 November 2023	18 November 2023
Level 1 & 2 Projects and Level 3 Extended Project (EPQ)	17 October 2023	18 October 2023	18 November 2023	18 November 2023
BTEC Tech Awards (from 2022)	17 October 2023	18 October 2023	N/A	18 November 2023
BTEC Firsts, Level 2 Technicals, Tech Awards (from 2017) and Nationals	17 October 2023	18 October 2023	N/A	18 November 2023

## June 2024 exam series

Qualification	Entries deadline	Late fees charged from	Amendment fees charged from	High late fees charged from
AS/A level, GCSE, AEA, ELC(A), Edexcel Award, Mathematics in Context, Project qualifications, Entry Level Certificate	21 February 2024	22 February 2024	22 April 2024	22 April 2024
International GCSE	21 March 2024	22 March 2024	22 April 2024	22 April 2024
BTEC Tech Awards (from 2022)	21 February 2024	22 February 2024	N/A	22 April 2024
BTEC Firsts, Level 2 Technicals, Tech Awards (from 2017) and Nationals	22 March 2024*	23 March 2024	N/A	22 April 2024

Any changes to the entry deadline will be monitored here:

<https://support.pearson.com/uk/s/article/Entries-UK-Centre-Entry-Deadlines>

1.6 Once registrations for external exams have been made, a confirmation report will be shared with the Subject Leader and QN to confirm correct names have been registered onto the correct Unit and exam series. Any

amendments required must be passed to the Examination Officer within 5 working days and before the Entry Deadline.

1.7 Learners can only be registered for an exam re-sit subject to the number of entitlements within the qualification they are undertaking.

## **Certification**

1.8 Certification claims should only be made after completion of all Quality Assurance activities to include QMR, Internal Verification and successful outcome of Standards Verification.

1.9 All achievements will be claimed via Edexcel online by the Examination officer

1.10 All student details are provided by the Subject Leader on a downloadable spreadsheet including first and last name, date of birth, course description with Unit numbers and grades awarded. All grades submitted must be based solely on internally verified assessment records and should be reported using the grades below:

U – Unclassified

P1 – Level 1 Pass (NQF BTEC Firsts only & RQF Tech Awards)

M1 (RQF Tech Awards Only)

P – Pass

M – Merit

D – Distinction

1.11 Data should be submitted for all learners on these occasions:

- at the end of each year/stage of the programme: by **5 July for programmes following a normal academic year**, or as soon as possible thereafter, even where learners are retaking assessments or tests (especially important for UCAS applicants)
- **immediately after completion for non-academic year programmes**
- **on transfer** of the learner to another programme/centre
- for all learners who have withdrawn from the programme, even where no success has been achieved (especially important for UCAS applicants).

1.12 Once achievement claims have been made, a confirmation report will be shared with the Subject Leader and QN to confirm correct submission of learner achievement.

1.13 Certificates received from the awarding body will be checked by the Examinations officer and LIV to ensure accuracy against claims made before release to learner. Any queries raised will be reviewed by the subject Leader.

1.14 Any amendments required must be passed to the Examination Officer within 5 working days who will liaise with the Pearson account specialist for resolve.

1.15 Learners work to be retained for 12 weeks post certification before the learners have an opportunity to collect.

1.16 All audit evidence will be retained electronically for a minimum of 3 years.

## Links

**Information manual:** this is published by Pearson each year and provides detailed information for Exams Officers about registration and certification procedures for all Pearson programmes:

[https://qualifications.pearson.com/content/dam/pdf/Support/Quality%20Assurance/centre\\_guide\\_to\\_quality\\_management\\_review\\_2018\\_19\\_final.pdf](https://qualifications.pearson.com/content/dam/pdf/Support/Quality%20Assurance/centre_guide_to_quality_management_review_2018_19_final.pdf)

Policy Update

Version 4. .Reviewed January 2024, next review January 2025



**Aim:**

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

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

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

**Procedure****Assessment****Assessment plans**

2.1 All assessment planning will be carried out by the assessment team and overseen by the LIV before the start of the academic year. The plan will need to be approved by the LIV before teaching and learning takes place.

2.2 The LIV will review the assessment plan in accordance with the qualification specification to ensure it fully meets the required Rule of Combination and programme duration. The Plan must be signed and dated by the LIV to authorise its use with each cohort.

2.3 Any amendments required to the assessment plan in year must be approved by the LIV before changes can take effect.

**Resubmission/ retakes**

2.4 it may be appropriate for the Lead Internal Verifier to authorise one opportunity for a learner to resubmit evidence to meet assessment criteria targeted by an assignment.

2.5 the Lead Internal Verifier will only authorise a resubmission if all of the following conditions are met:

1. the learner has met initial deadlines set in the assignment, or has met an agreed deadline extension
2. the tutor judges that the learner will be able to provide improved evidence without further guidance
3. the assessor has authenticated the evidence submitted for assessment and the evidence is accompanied by a signed and dated declaration of authenticity by the learner.

2.6 if a learner has not met the conditions listed above, the Lead Internal Verifier will not authorise a resubmission.

2.7 if the Lead Internal Verifier does authorise a resubmission, it must be:

1. recorded on the assessment form
2. given a deadline for resubmission within 10 working days\* of the learner receiving the results of the assessment [\* the 10 working days will be within term time, in the same academic year as the original submission.]
3. undertaken by the learner without further guidance.

2.8 retakes of internally assessed units are available to learners studying BTEC Nationals on the NQF.

2.9 Conditions for retaking:

1. If a learner has met all of the conditions listed above in the opportunity for resubmission, but has still not achieved the targeted pass criteria following the resubmission of an assignment, the Lead Internal Verifier may authorise one retake opportunity to meet the required pass criteria.

2. The Lead Internal Verifier must only authorise a retake in exceptional circumstances where they believe it is necessary, appropriate and fair to do so.
3. The retake must be a new task or assignment targeted only to the pass criteria which were not achieved in the original assignment.
4. The assessor must agree and record a clear deadline before the learner starts a retake.
5. The learner and the assessor must sign declarations of authentication as they both did for the previous submissions.
6. The assessor cannot award a merit or distinction grade for a retake.
7. The learner will not be allowed any further resubmissions or retakes.
8. Standards Verifiers will require you to include evidence of any retakes in sampling.

### Assignment Design

2.10 Approved assignment briefs (AAB's) must be reviewed prior to assessment. Assignment templates must be standardised and follow the version used for AAB's.

2.11 Tasks within the assignment brief must follow the requirements specified by the awarding body and must accurately reflect the assessment criteria

2.12 All assignments must be validated by the LIV at least 2 weeks before the planned issue date

### Assessment Recording

2.13 Assessors must keep an up to date tracker that monitors learner progress and confirms grades awarded for each assignment/unit.

### Links

**BTEC Qualification Specifications:** these provide guidance on assessment for each BTEC qualification. All staff teaching on BTEC programmes should have access to the relevant specification. They are published on the website:

[www.btec.co.uk](http://www.btec.co.uk)

**Pearson BTEC Assessment & Grading Policy:** this is BTEC's policy on the application of grading criteria when assessing BTEC programmes: [www.edexcel.com/policies](http://www.edexcel.com/policies)

**BTEC Centre Guides to Internal Assessment:** A valuable resource for centres in planning, quality assuring and delivering BTEC programmes: [https://qualifications.pearson.com/content/dam/pdf/BTEC-Firsts/news/Guide to Internal Assessment for BTEC Firsts and Nationals.pdf](https://qualifications.pearson.com/content/dam/pdf/BTEC-Firsts/news/Guide%20to%20Internal%20Assessment%20for%20BTEC%20Firsts%20and%20Nationals.pdf)

Version 4. Reviewed January 2024, next review January 2025

## Internal Verification Policy

### Aim:

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

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

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

### Procedure

#### IV Schedules

3.1 The LIV will formulate an IV schedule/plan that covers all assessors over the academic year.

3.2 The LIV will prepare an IV plan that will RAG rate each assessor to ensure that sampling is appropriate to the level of experience and amount of assessment undertaken over the academic year.

3.3 The IV schedule will cover every unit delivered within the qualification and will be stored electronically.

#### LIV Registration

3.4 LIV allocated by the QN will need to register as LIV for their subject area before the end of September each year. This will need to be completed within the OSCA platform within Edexcel Online.

3.5 LIV will access OSCA materials and use these to standardise the team for the NQF qualification.

#### IV of Assignments

3.6 The assessor will be required to submit every assignment to the IV at least 2 weeks before the planned issue date for validation and approval. No assignment can be issued to learners without IV approval.

3.7 The IV will complete an IV assignment brief for every assignment and confirm it fully meets the requirements of the qualification assessment criteria. A copy of the report will be uploaded onto the electronic shared drive.

3.8 All actions set by the IV must be completed within 10 working days and before issue to learners. Further approval must be gained from IV before the assignment can be issued.

#### IV assessment decisions

3.9 The IV will sample at least 4 learners from each assignment that has been formally assessed using the IV assessment decisions record. The sample will need to cover the range of grades awarded to learners and must be selected by the IV.

3.10 All actions set by the IV must be completed within 5 working days and before feedback is issued to learners.

#### **Maintenance of records**

**3.11** Assessors must keep an up to date tracker that monitors learner progress and confirms grades awarded for each assignment/unit. A copy must be kept on the electronic shared drive for a minimum of 3 years.

#### **Links**

**BTEC qualification specifications:** These provide guidance on assessment for each BTEC qualification. All staff teaching on BTEC programmes must have access to the relevant specification. They are published on our website:

[www.btec.co.uk](http://www.btec.co.uk)

**Pearson BTEC Assessment & Grading Policy:** This is our policy on the application of grading criteria when assessing BTEC programmes: [www.edexcel.com/policies](http://www.edexcel.com/policies)

**BTEC Centre Guide to Internal Verification:** A valuable resource for centres in planning, quality assuring and delivering BTEC programmes: [https://qualifications.pearson.com/content/dam/pdf/btec-brand/BTEC Centre Guide to Internal Verification.pdf](https://qualifications.pearson.com/content/dam/pdf/btec-brand/BTEC_Centre_Guide_to_Internal_Verification.pdf)

Version 4. Reviewed January 2024, next review January 2025

**Aim:**

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

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

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

**Links**

**BTEC qualification specifications:** These provide guidance on assessment for each BTEC qualification. All staff teaching on BTEC programmes should have access to the relevant specification. They are published on our website:

[www.btec.co.uk](http://www.btec.co.uk)

**Policy on Appeals Concerning BTEC & Pearson NVQ Qualifications:** This is Pearson's policy on learner appeals. Please note, this does not apply until internal centre processes have been exhausted: [www.edexcel.com/policies](http://www.edexcel.com/policies)

**Procedure**

Candidates' work will be marked by staff who have appropriate knowledge, understanding and skill, and who have been trained in this activity. KSHS 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.

**Learner induction**

1. KSHS 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. (Exam Board)
2. KSHS will inform candidates that they may request copies of materials to assist them in considering whether to request a review of the centre's marking of the assessment.

**Stages of Appeal**

3. KSHS will, having received a request for copies of materials, promptly make them available to the candidate. However, it is important to note that candidates **can make no amendments** to the submitted work.
4. KSHS will provide candidates with sufficient time in order to allow them to review copies of materials and reach a decision.
5. KSHS will provide a clear deadline for candidates to submit a request for a review of the centre's marking. Requests will not be accepted after this deadline. Requests **must** be made in writing using the request form.
6. KSHS will allow sufficient time 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.
7. KSHS 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.
8. KSHS will instruct the reviewer to ensure that the candidate's mark is consistent with the standard set by the centre.

9. KSHS will inform the candidate in writing of the outcome of the review of the centre's marking.

#### **Recording and Monitoring**

10. The outcome of the review of the centre's marking will be made known to the head of centre. A written record of the review will be kept and made available to the awarding body upon request.
11. This process will be monitored throughout by the Assistant Head – Curriculum.

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 always therefore be considered provisional.

Version 4. Reviewed January 2024, next review January 2025

**Aim:**

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

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

- seek to avoid potential malpractice by using the induction period and the learner handbook to inform learners of the centre’s policy on malpractice and the penalties for attempted and actual incidents of malpractice
- show learners the appropriate formats to record cited texts and other materials or information sources
- ask learners to declare that their work is their own
- ask learners to provide evidence that they have interpreted and synthesised appropriate information and acknowledged any sources used
- conduct an investigation in a form commensurate with the nature of the malpractice allegation. Such an investigation will be supported by the Head of Centre and all personnel linked to the allegation. It will proceed through the following stages:
- make the individual fully aware at the earliest opportunity of the nature of the alleged malpractice and of the possible consequences should malpractice be proven
  1. give the individual the opportunity to respond to the allegations made
  2. inform the individual of the avenues for appealing against any judgment made
  3. document all stages of any investigation.

Where malpractice is proven, this centre may apply the following penalties / sanctions:

- Withdrawal from all examinations
- Withdrawal from the Named BTEC Examination
- Cancellation of the Unit
- Cancellation of the Assignment
- Repeat of the assignment

**Definition of Malpractice by Learners**

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

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

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

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

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

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

#### **Links**

**Pearson BTEC Assessment Malpractice Policy:** This is Pearson's policy on assessment malpractice relating to BTEC programmes: <https://qualifications.pearson.com/en/support/support-topics/understanding-our-qualifications/policies-for-centres-learners-and-employees.html>

Version 4. Reviewed January 2024, next review January 2025



**Aim**

- RPL is about using a learner's evidence of earlier learning and achievement towards an internally assessed part of a qualification.

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

- Review whether the evidence is enough to show that a learner has met the assessment requirements for a current qualification. The learner needs to show that through knowledge, understanding or skills they already have, they do not need to repeat the course or complete extra assessment activity.

An example of the process:

- Before enrolling the learner, discuss with them the option of using RPL to claim units for some of their past learning or experience. If the learner is interested in this, you should explain to them:
  1. The process of claiming a unit using RPL.
  2. The support and guidance that is available.
  3. How long the process will take, how to appeal and any costs included.
  4. The evidence provided by the learner will be checked for RPL has been achieved before the start of their course of study.
- The learner will then be registered and an assessment plan created.
- The evidence gathered needs to meet the standards of the unit, or part of a unit, that the evidence is being used for. Evidence from a learner's past experience could include:
  1. Home or family life
  2. Non-certificated education or learning
  3. Paid work
  4. Community or voluntary work.
- Assessing: Inform Standards Verifier/External Examiner, before any monitoring activity starts, if you have applied RPL for any particular units or learners. Documentation to include:
  1. A learner's past achievement that would show evidence of current knowledge, understanding and skills varies between industries.
  2. Assessment strategy, where stated, for each qualification must also be followed.
  3. Work experience records, validated by managers.
  4. Past portfolios of evidence or essays made by the learner.
  5. Reports validated as being the learner's own unaided work.
  6. Expert witness testimonies.
  7. Professional discussions.
  8. New assignment briefs or tasks that have been created to fill any gaps in the learner's work.
- In assessing a unit using RPL the Assessor must be satisfied that the evidence from the learner meets the standard for all of the learning outcomes and assessment criteria.
- Documenting evidence: through the same quality assurance procedures for any other internal assessment methods.
- Ensure records of assessment against prior learning are kept and are available for verification if requested.
- Outcomes: feedback is given to the learner within 10 working days including the assessment decision and what options are available to the learner including the use of the schools appeal process.
- If the learner wants to make a complaint they can do so using our Pearson Qualifications Website.
- Certification: certificates are claimed once the quality assurance processes have been successfully completed using the standard procedures.
- After certification, the assessment and internal verification records, along with any extra RPL records are kept for three years.

**Links**

**Pearson BTEC Recognition of prior learning policy and process:** This is Pearson's policy on recognition of prior learning relating to BTEC programmes: <https://qualifications.pearson.com/en/support/support-topics/understanding-our-qualifications/policies-for-centres-learners-and-employees.html>

## Distance and Blended Learning Policy

### Aim

- Distance Assessment is a method of assessment where the assessment is designed to be carried out remotely. Distance Assessment enables learners to be assessed even if they are in situations/settings where traditional methods of assessment may be difficult or impossible to operate.
- To ensure that blended learning delivery meets the guidelines set by the awarding organisation.
- To ensure that assessment methodology is valid, reliable and does not disadvantage any group or individual learners.

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

- Deliver theoretical units via remote delivery.
- Practical activities cannot be delivered remotely so any content will be delivered through theoretical content delivery or via internet video content for demonstrations where possible.
- There are scenarios where distance assessment will not be possible and not appropriate where: Practical skills and/or interaction with individuals/equipment need to be demonstrated and assessed in person.
- When students are working remotely teachers and students will continue to follow their normal timetable for delivery of live lessons. These lessons will be used to teach the components necessary to enable students to complete their assignments, set assignments with deadlines and provide feedback.
- Work by students will be submitted on Teams and saved to the Teams area, along with the assessment record sheets and internal verification records.
- Learners are provided with a course handbook that is reviewed during the induction lesson which outlines the consequences of plagiarism and malpractice. They will still be required to acknowledge the work is their own by uploading it to Teams and signing their Assessment record sheet using their email address as an electronic signature. Learners have been instructed on how to cite sources and other information sources.

### Links

**Pearson BTEC Pearson guidance for Distance Learning and Blended Learning approaches during the COVID-19 period:** This is Pearson's policy on distance and blended learning relating to BTEC programmes:

<https://qualifications.pearson.com/content/dam/pdf/Support/Quality%20Assurance/BTEC-Distance-and-Blended-Learning-approaches-during-COVID-19-period.pdf>

Version 4. Reviewed January 2024, next review January 2025