Examinations Policy

Approved by the TCES Operational Board
On behalf of Thomas Keaney, CEO and Schools' Proprietor

Date of next formal review, July 2024

This policy applies to all The Complete Education Solution
(TCES) schools and services

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Contents

Introduction

TCES Group is a group of independent special schools, working with pupils with neurodiverse needs, placed by their local authorities. There are up to 90 pupils in any one school. Provision in all respects is therefore personalised.

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 are documented, supporting the exams contingency plan, and other relevant exams-related policies, procedures and plans are signposted.
- The workforce is well informed and supported.
- All centre staff involved in the exams process clearly understand their roles and responsibilities.
- All exams and assessments are conducted 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.

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.

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

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

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 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.

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 this booklet**.
Failure to do so may constitute malpractice as defined in the JCQ publication Suspected Malpractice: Policies and Procedures, 1 September 2022 to 31 August 2023.

Head of centre

- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:

o General Regulations for Approved Centres (GR). o Instructions for Conducting Examinations (ICE). o Access Arrangements and Reasonable Adjustments (AA). o Suspected Malpractice - Policies and Procedures (SM). o Instructions for conducting non-examination assessments (NEA) (and the instructions for conducting coursework). o 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 the same penalties as listed in the previous bullet point
- 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, and training of staff

- Retains a workforce of an appropriate size and competence, including sufficient managerial and other resource, to undertake the delivery of the qualification as required by an awarding body. This includes taking reasonable steps to ensure occupational competence where this is required for the assessment of specific qualifications.
- Provides fully qualified teachers to mark non-examination assessments, and/or fully qualified assessors for the verification of centre-assessed components.

- Enables the relevant senior leader(s), the examinations officer (EO) and the 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 is line managed and actively supported by a member of the senior leadership team who has a good working knowledge of the examination system

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

- o Access to the secure room and secure storage facility is restricted to the authorised two to six keyholders and staff approved by the head of centre are accompanied by a keyholder at all times.
- o Appropriate arrangements are in place to ensure that confidential examination materials are only handed over to authorised members of centre staff.
- o Appropriate arrangements are in place for handling secure electronic materials o The relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk.
- o 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.
- Through taking an ethical approach and working proactively to avoid malpractice among students and staff takes all reasonable steps to prevent the occurrence of any malpractice/maladministration before, during the course of and after examinations have taken place.
- Ensures 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 of any cases of alleged, suspected, or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, are reported to the awarding body immediately.
- Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place (that allow the senior leadership team to act immediately in the event of an emergency or staff absence).
- Ensures required internal appeals procedures are in place and drawn to the attention of candidates and (where relevant) their parents/carers.
- 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.
- Ensures a complaints and appeals procedure covering general complaints regarding the centre's delivery or administration of a qualification is in place and drawn to the attention of candidates and their parents/carers.

- Ensures the centre has a child protection/safeguarding policy in place, including Disclosure and Barring Service (DBS) clearance, which satisfies current legislative requirements.
- Ensures the centre has a data protection policy in place that complies with General Data Protection Regulation and Data Protection Act 2018 regulations.
- Ensures the centre has documented processes in place relating to access arrangements and reasonable adjustments.

Policies/procedures

Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place (that allow the senior leadership team to act immediately in the event of an emergency or staff absence)

Exam Contingency Plan

See Exam Contingency Plan at the end of this document

Lockdown Policy (Exams)

See Lockdown Policy

Internal Appeals Procedures

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

See Internal Appeals Procedure at the end of this document

Equalities Policy

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.

See TCES Diversity and Equal Opportunities Policy

Complaints and Appeals Procedure

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

See TCES Complaints Policy

Child Protection/Safeguarding Policy

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

See TCES Safeguarding Policy

Data Protection Policy

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

See TCES GDPR Policy

Whistleblowing Policy

Ensures the centre has a whistleblowing policy in place.

See TCES Whistleblowing Policy

Access Arrangements Policy

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

See TCES Access Arrangement Policy

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.
- 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.

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
- 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
- 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:
  - o General Regulations for Approved Centres. o Instructions for Conducting Examinations. o Suspected Malpractice - Policies and Procedures.
  - o Post-results services (PRS) o A guide to the special consideration process.
- Completes/submits the National Centre Number Register annual update (administered on behalf of the JCQ member awarding bodies by OCR https://ocr.org.uk/administration/ncn-annual-update/ by the end of October each year.
- 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) 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: o General Regulations for Approved Centres. o Instructions for Conducting Examinations. o Access Arrangements and Reasonable Adjustments. o Suspected Malpractice - Policies and Procedures. o Instructions for conducting non-examination assessments (and the Instructions for Conducting coursework).
  o A guide to the special consideration process.
- Ensure teaching staff undertake key tasks, as detailed in this policy, within the exam 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 teacherspecific 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 coordinator (SENCo)

- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:
  o 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), annual 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.
- Research awarding body guidance to identify administrative processes, key tasks, key dates, and deadlines for all relevant qualifications.
- Produces the 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 per 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 appropriately trained and understand the rules of the particular arrangement(s) and keeps a record of the content of training provided to facilitators for the required period.
- Works with 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.
- Ensures criteria for candidates granted **separate invigilation within the centre** is clear, meets JCQ regulations and best meets the needs of individual candidates and remaining candidates in main exam rooms.

Senior leaders, Teaching staff

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

Qualifications offered

The types of qualifications offered at TCES are Entry level qualifications, Functional Skills, BTEC and GCSE

The Head of School and Deputy Head decide the qualifications we offer with advice from our School Support Team.

The subjects and qualifications offered in any academic year may be found online on the TCES website.

Final decisions on whether a candidate should be entered for a particular subject will be taken by the Head of Centre in consultation with the candidate, parent or carer and teachers.

Internal assessment and endorsements

Head of centre

Controlled assessments, coursework, and non-examination assessments

- Ensures arrangements are in place to co-ordinate and standardise all marking of centre-assessed components and ensures that candidates' centre-assessed work is produced, authenticated, and marked, or assessed and quality assured in accordance with the awarding bodies' instructions (including where relevant, private candidates)
- Ensures that teaching staff, in accordance with awarding bodies' instructions, return all subject-specific forms by the required date.
- Provides fully qualified teachers to mark non-examination assessments, 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)
- 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 and) 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 nonexamination 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 training for new invigilators on the current instructions for conducting examination and an annual 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.
- 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

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.

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

Late entries

Exams officer

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

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.

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 candidate's 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 day awarding bodies may identify in the event of national or significant local disruption to exams
- Prior to exams issues relevant JCQ information for candidates' documents • Where relevant, issues relevant awarding body information to candidates • Issues centre exam information to candidates including information on:
    - o exam timetable clashes o arriving late for an exam o absence or illness during exams o what equipment is/is not provided by the centre o food and drink in exam rooms ⊖ unauthorised items in exam rooms
    - o when and how results will be issued and the staff that will be available o the postresults services information and how the centre will deal with requests from candidates
    - o when and how certificates will be issued

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 an annual basis of any regulation changes and any changes to centrespecific 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.
- 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, each of whom must fully understand their responsibilities as a key holder 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 an area that can be controlled to prevent unauthorised personnel accessing live assessment materials and ensuring only authorised members of centre staff have access to electronic question papers)

Reception staff

- Follow the process to log confidential materials delivered to/received by the centre to the point materials are issued to authorised staff for 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)
- 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 have 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.
  - o applies for approval through AAO where required or through the awarding body where qualifications sit outside the scope of AAO.

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

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 additional/second check is recorded
- Where allowed by the awarding body, only releases exam papers and materials to teaching departments for teaching and learning purposes after the published finishing time of the exam, or until any 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

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)

If it becomes necessary to evacuate an examination room, whether due to a fire alarm, bomb alert or any other urgent safety concern, the invigilator must take the following action: • Stop the candidates from writing and make a note of the time of the interruption.

- Advise candidates to leave all question papers and scripts in the examination room.
- Collect and check the attendance register (to ensure all candidates are present) and evacuate the examination room in line with the site's fire evacuation plan.
- Make sure that the candidates are supervised as closely as possible while they are out of the examination room to ensure there is no discussion about the examination.
- If it is only the exam room that needs evacuating, consider the possibility of taking the candidates (with question papers and scripts) to another room to finish the examination.
- Make a note of the total duration of the interruption lasted so as to allow the candidates the full working time set for the examination, once resumed.
- Make a full report of the incident and of the action taken and send to the relevant awarding body.

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

Malpractice Policy (Exams)

The Head of Centre is responsible for investigating suspected malpractice.

Papers:

Checking the question paper packets and examination material must be undertaken in the secure room. All papers will be signed in and signed out of the secure room. The secure room will hold an inventory on all exam related paperwork held.

All papers will be opened in the secure room, then split and distributed. If candidates are in an alternative centre, then the papers will be delivered to the alternative centre by staff, following sign-out from the secure room and sign in at the alternative site.

Behaviour Policy

Refer to Behaviour Policy on SharePoint.

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.

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

Candidates

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

Unauthorised items

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
- Ensures 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 ensures candidates are informed of the periods during which centre staff will be available so that they may plan accordingly
  Exams officer
- Works with senior leaders to ensure procedures for managing the main summer results day(s) (a results day programme) are in place

Results day programme

Candidates will receive individual results slips on results days in person at the centre.

The results slip will be in the form of a centre produced document. Arrangements for the centre to be open on results days are made by the Head of Centre. The provision of the necessary staff on results days is the responsibility of the head of centre.

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

(Exams Officer)

- 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

Candidates will receive their certificates in person at the centre.

Certificates can be collected on behalf of a candidate by third parties, provided they have written authority from the candidate to do so and bring suitable identification with them that confirms who they are.

The centre retains certificates for five years.

A new certificate will not be issued by an awarding organisation. A transcript of results may be issued if a candidate agrees to pay the costs incurred.

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 exam archiving policy that identifies information held, retention period and method of disposal

BTEC qualifications

Assessment

Internal Assessment is defined as the process where staff make judgements on evidence produced by pupils against required criteria for the BTEC qualification. All school devised assessment materials must be internally and/or externally verified before being issued to pupils.

Aim

To ensure that assessment methodology is valid, reliable and does not disadvantage or advantage any group of pupils 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 TCES schools will:

- Ensure that pupils are provided with assignments that are fit for purpose, to enable them to produce appropriate evidence for assessment
- Produce a clear and accurate assessment plan at the start of the programme/academic year
- Provide clear, published dates for handout of assignments and deadlines for assessment • Assess pupil's evidence using only the published assessment and grading criteria
- Ensure assessment practices meet current BTEC assessment requirements and guidance
- Ensure that assessment decisions are impartial, valid and reliable

- not limit or 'cap' pupil 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/external examination as required by the awarding organisation
- Monitor standards verification/external examination reports and undertake any remedial action required
- Share good assessment practice between all BTEC programme teams
- Ensure that BTEC assessment methodology and the role of the assessor are understood by all BTEC staff
- Provide resources to ensure that assessment can be performed accurately and appropriately
- Maintain and store securely all assessment and internal verification records in accordance with Pearson Approval Centre Agreement
- Only one submission is allowed for each assignment.

Role of the Assessor

The role of the assessor is to:

- Decide whether a candidate is sufficiently prepared to take an assignment
- Set tasks which allow pupils to demonstrate what they know, understand, and can do so that they have opportunities to achieve the highest possible grades on their BTEC courses.
- Ensure that pupils are clear about the criteria they are expected to meet, the nature of the evidence they need to provide in their assignments and that they are fully briefed on the skills which need to be demonstrated in the coursework / portfolio components of a subject.
- Ensure pupils understand they will need to work independently to produce and prepare evidence for assessment
- Ensure that pupils understand the importance of time management and meeting deadlines, including the consequences for late submission and the importance of submitting authentic work
- Ensure only one submission is made for each candidate
- Formally record the assessment result and confirm the achievement of specific assessment criteria. Outcomes will be held securely for 5 years, measured from the point of certification. Associated IV records will also be kept, to support and verify the decisions that were made for the cohort.
- Ensure each candidate signs to confirm that the work is their own and that it is endorsed by the teacher after marking the work. A completed original document must be securely attached to the work of each candidate and to that of each sample request.
- Check authenticity and sufficiency of evidence produced against criteria
- Uses standard observation/witness statements for practical assessments
- Provide accurate records of internally assessed coursework marks to the Exams Officer in a timely manner for transfer to the awarding body.

Internal Verification

The Internal Verifier is at the heart of quality assurance on BTEC programmes. In our small school, teachers of BTEC qualifications will internally verify each other's BTEC qualifications, as multiple subject specialists of the same subject are not always available. The role is to ensure that internally assessed work consistently meets national standards but can also lead to staff development and quality improvement:

- Each course will have an identified Internal Verifier (IV) who is not otherwise involved in the assessing or setting of work which he or she is asked to verify.
- Internal Verifiers will have the knowledge and qualifications relevant to the qualification(s) and other competence-based award(s) for which they are responsible to enable accurate judgements to be made regarding candidate performance in relation to competence criteria.

The role of the internal verifier

The internal verifier should:

- Not verify their own work or assignments.
- Ensure that all assignment briefs are verified as fit for purpose prior to their being circulated to pupils. They should enable pupils to meet the unit grading criteria.
- Make recommendations to the assessor on how to improve the quality of the brief if necessary.
- Produce advice and support the assessor
- Ensure record keeping of all actions taken
- Liaise with the Standards verifier as appropriate making IV evidence as required
- Consider the assessment decisions of all units and all assessors to judge whether the assessor has assessed accurately against the unit grading criteria Verify 50% of the sample for National Standards Sampling (NSS), though this Proportion could be higher, particularly for assessors who are new to BTEC.
- Maintain secure records of all work sampled as part of their verification process using a standard template.
- If a concern is raised the IV should discuss this with the assessor prior to the final confirmation of the marks for all the pupils taking the assignment. As a result of the IV process, it may be necessary for the assessor(s) to reconsider the marks awarded for the entire cohort of pupils and, as a consequence, to make changes either to all marks or to some marks.
- Where re-sampling is necessary work should be verified again before being sent to the EV and records kept.

Malpractice (pupils)

This can include (this list is not exhaustive):

- Plagiarism – presenting material from secondary sources as original, e.g., unacknowledged copying and pasting from the internet, copying. Pupils should be taught an appropriate format of referencing to ensure they do not inadvertently commit plagiarism.
- Copying others' work.

- Deliberate destruction of another's work.
- Fabrication of results or evidence, e.g., making false claims about having participated in a practical activity.
- False declaration of authenticity, e.g., claiming work of another pupil, declaring collaboratively produced work as own etc.

TCES Group schools aim to:

- Identify and minimise the risk of malpractice by staff or pupils.
- Respond to any incident of alleged malpractice promptly and objectively.
- Standardise and record any investigation of malpractice to ensure openness and fairness.
- Impose appropriate penalties and/or sanctions on pupils or staff where incidents (or attempted incidents) of malpractice are proven.
- Protect the integrity of this centre and all qualifications.

In order to do this, the centre will:

- Seek to avoid potential malpractice by using the induction period and ongoing personalised support to inform pupils of the centre's policy on malpractice and the penalties for attempted and actual incidents of malpractice. Pupils should be made aware of what constitutes plagiarism.
- Show pupils the appropriate formats to record cited texts and other materials or information sources.
- Ask pupils to declare that their work is their own. Pupils must sign declarations for each assignment submitted.
- Ask pupils to provide evidence that they have interpreted and synthesised appropriate information and acknowledged any sources used.
- Ensure that staff are aware of what constitutes assessment malpractice
- Conduct an investigation in a form commensurate with the nature of the malpractice allegation (any such investigation will be supported by the Head of Centre and all staff linked to the allegation).

Malpractice procedure (pupils)

Minor concerns about authenticity, e.g., work which has been poorly referenced through neglect (not deliberate deception) should be dealt with by the assessor in the first instance. Where an assessor has serious concerns about the authenticity or validity of a piece of work (e.g., deliberate deception, repeat offence) he/she should immediately inform the Head of Centre.

The procedure:

To be led by the Head of Centre:
1.   Inform the pupil of the alleged malpractice

2.   Give the individual the opportunity to respond to the allegations made 3. Inform the individual of the avenues for appealing against any judgment made 4. Document all stages of any investigation.

Where malpractice is proven, the school will inform the pupil's parents. They will work with the pupil's head of centre to apply an appropriate consequence, which may include:

- Application of schools' behaviour policy
- Individualised arrangements for supervision
- Other agreed actions

Malpractice (staff)

This can include (this list is not exhaustive):
- Improper assistance to candidates.
- Inventing or changing marks for internally assessed work.
- Where there is insufficient evidence of the candidates' achievement to justify the marks given or assessment decisions made.
- Failure to keep candidates' work secure.
- Fraudulent claims for certificates.
- Inappropriate retention of certificates
- Assisting pupils 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 pupil.
- Producing falsified witness statements, for example for evidence the pupil has not generated.
- Allowing evidence, which is known by the staff member not to be the pupil's own, to be included in a pupil's assignment/task/portfolio/coursework.
- Facilitating and allowing impersonation.
- Misusing the conditions for special pupil requirements, for example where pupils 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 pupil completing all the requirements of assessment.

Where staff malpractice is suspected, you must:
- Inform the staff member's leadership team line manager.
- The alleged malpractice will then be investigated as per the school's procedure, as per the disciplinary & conduct procedures.
- Any malpractice or attempted malpractice must be recorded, and Edexcel must be informed.

Appeals

The aim of TCES Group's appeals procedure is to:

- Enable the pupil to enquire, question or appeal against an assessment decision.
- Attempt to reach agreement between the pupil and the assessor at the earliest opportunity.
- Standardise and record any appeal to ensure openness and fairness.
- Facilitate a pupil's ultimate right of appeal to the awarding body, where appropriate.
- Protect the interests of all pupils and the integrity of the qualifications.

In order to do this, the centre will:

- Inform the pupil at the start of their course the appeals procedure.
- Record, track and validate any appeal.
- Forward the appeal to the awarding body when a pupil 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 pupils and the integrity of the qualifications when the outcome of an appeal questions the validity of other results.
- Monitor appeals to inform quality improvement. Retain records for at least 18 months.

Responsibilities

Pupil: responsible for initiating the appeals procedure, in the required format, within a defined time frame, when he/she has reason to question an assessment decision.

Assessor: responsible for providing clear achievement feedback to pupils. If assessment decisions are questioned, the assessor is responsible for processing the pupil's appeal within the agreed time.

Internal verifier/lead internal verifier/leadership team: responsible for judging whether assessment decisions are valid, fair, and unbiased.

Head of Centre: responsible for submitting an appeal in writing, to Edexcel if the pupil remains dissatisfied with the outcome of the centre's internal appeals procedures.

Appeals procedure

Stage 1 - Informal Discussion with member of staff assessing. If a resolution is found, the member of staff should record the discussion for reference only, as part of best practice. If a resolution is not achieved, the discussion should be formally recorded and passed on to the Head of Centre.

Stage 2 - Formal Review. Head of Centre and internal verifier review the assessment decision. A written reply and/or feedback meeting will be given to/held with the pupil within two school weeks.

Stage 3 - Appeal Hearing. The pupil must apply to the Head of Centre in writing within four school weeks of the initiation of the stage 2 formal review. An appeal panel, appointed by the Head of Centre, will meet, and review the evidence. A formal response will be given to the pupil.

Stage 4 - External appeal. The grounds for appeal and any supporting documentation must be submitted by the centre within 14 days of the completion of Stage 4.

Contingency plan

If facing disruption, the Exams Officer will liaise directly with the relevant awarding body/bodies.

The Exams Officer will ensure that relevant centre staff are familiar with the contingency plan. And will know how these arrangements will be communicated to candidates, parents/carers and staff should disruption to examinations occur.

Activity	Adverse Occurrence	Adverse Outcome	Control Measures	Person Responsible
Absence of Exams Officer on exams day	SBC has keys to exams cupboard, is aware of seating plans, clashes, and any access arrangements/special requirements	Exam papers unavailable/delayed start to the exam Access arrangement pupils not having correct support/rooming during exam	SBC has a duplicate set of keys for the exams cupboard and SBC has keys for the safes. Head of Centre is responsible for accessing seating plans and lists of pupils. Exams day to day schedule/arrangements	SBC Head of Centre
			given to all staff before exam season starts.	
Computer malfunction	Exam entries/amendments cannot be made	Exam board deadlines cannot be met resulting in charges for late fees	Inform Central Services. Make paper exam entries. Details of paper entries are kept on file.	Exams Officer Head of Centre
Cyber attacks	Exam entries/amendments cannot be made	Access arrangement pupils not having correct support/rooming during exam	Where a cyber-attack may compromise any aspect of delivery Centre actions to mitigate the impact of the disruption -Promptly reporting any incidents to the relevant awarding body/bodies which	Exams Officer Head of Centre and IT Manager

		Exam arrangements prevented from taking place.	might compromise any aspect of assessment delivery such as a cyber-attack -Where candidates produce work electronically, ensuring their work is backed-up regularly and stored securely on the centre's IT system -Ensuring protection of the candidates' work from corruption and considering the risks and implications of any cyber-attack -Following and regularly reviewing National Cyber Security Centre advice for support in cyber security preparedness and mitigation	
Fire during exam	Evacuation of exams room	Lives endangered, spoiled exam scripts	Invigilators and SLT aware of exam room fire procedures Pupils aware of meeting point. Adequate fire alarms and all-in working order Security of exam must be maintained.	SBC Head of Centre

Non receipt of exam papers	Unable to hold exam/delayed start	Delays and upset to pupils	Maintain checks on receipt of exam papers. Contact exam boards in good time for any missing papers.	Exams Officer
Wrong entry made – incorrect paper		Affects pupil grade	Checks by pupil on personal statement of entry/timetable. Exam Officer and subject teacher to sign of entries before entry deadline.	Exams Officer Teachers

Receiving late entry information	Deadline not met	Late fees will be charged. Extra administrative work for Exams Officer.	All staff to be aware of all exam deadlines. Exams Officer to check and sign off entry mark sheets before deadline. If pupils join the school after the exams deadline the Head Teacher must notify finance of impending charges.	All staff Head Teacher
Adverse weather conditions		Possible delay of start to exam or cancellation of exam.	Check weather reports. Inform Exam Board re delay to start. Keep candidates isolated. Special consideration.	Exams Officer Head of Centre
Pupil taken ill during exam		Possible disruption to other pupils	Invigilators aware of policy. Exams Officer/first aider called. Special consideration for all pupils.	Invigilators First Aiders Head of Centre
Pupil caught cheating/being disruptive during exam		Possible disruption to other pupils	Invigilators report problem. Warning to candidate(s) involved. Exams Officer and Head Teacher to deal with malpractice issues if continued after warning. Malpractice form completed	Invigilators Head Teacher
Pupil arrives late for exam			Admin staff to inform Head Teacher and Exams Officer of late arrival. Invigilators/Exams Officer to be made aware of late pupil in exam hall. Centre's discretion as to whether pupil can sit exam. Very late pupil will be reported to exam board by Exams Officer.	Admin team Head Teacher Exams Officer Invigilators

Non-examination Assessment Policy

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.

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

Senior leaders

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

Quality assurance (QA) lead/Lead internal verifier

- Confirms with subject heads that appropriate awarding body forms and templates for nonexamination 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 nonexamination 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 NEA publication 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 Information for candidates documents

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 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 when planning and researching their tasks
- Ensures conditions for any formally supervised sessions are known and put in place
- Ensures appropriate arrangements are in place to keep the work to be assessed, and any preparatory work, secure between any formally supervised sessions, including work that is stored electronically
- Ensures conditions for any formally supervised sessions are understood and followed by candidates
- Ensures candidates understand that they are not allowed to introduce augmented 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 o ensures candidates sign a declaration confirming the work they submit for final assessment is their own unaided work
    - o signs the teacher declaration of authentication confirming the requirements have been met
- Keeps signed candidate declarations on file until the deadline for requesting reviews of results has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later
- Provides signed candidate declarations where these may be requested by a JCQ Centre Inspector
- Where there may be doubt about the authenticity of the work of a candidate or if malpractice is suspected, follows the authentication procedures and malpractice information in NEA and informs a member of the senior leadership team
- Understands that if, during the external moderation process, it is found that the work has not been properly authenticated, the awarding body will set the mark(s) awarded by the centre to zero

Presentation of work

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

Keeping materials secure

Subject teacher
- When work is being undertaken by candidates under formal supervision, ensures work is securely stored between sessions (if more than one session)
- When work is submitted by candidates for final assessment, ensures work is securely stored
- Follows secure storage instructions as defined in NEA 4.8
- Takes sensible precautions when work is taken home for marking
- Stores internally assessed work, including the sample returned after awarding body moderation, securely until all possible post-results services have been exhausted
- If post-results services have not been requested, returns internally assessed work to candidates (if requested by a candidate) after the deadline for requesting a review of results for the relevant series

- If post-results services have been requested, returns internally assessed work to candidates (if requested by a candidate) once the review of results and any subsequent appeal has been completed
- Reminds candidates of the need to keep their own work secure at all times and not share completed or partially completed work online on social media or through any other means (Reminds candidates of the contents of the JCQ document Information for candidates – social media)
- Where work is stored electronically, liaises with the IT Manager to ensure the protection and back-up of candidates' work and that appropriate arrangements are in place to restrict access to it between sessions
- Understands that during the period from the submission of work for formal assessment until the deadline for requesting a review of results, copies of work may be used for other purposes, provided that the originals are stored securely as required

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

Task marking – externally assessed components

Conduct of externally assessed work

Subject teacher
- Liaises with the exams officer regarding the arrangements for any externally assessed components of a specification which must be conducted within a window of dates specified by the awarding body and where applicable, 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 where applicable, 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 applicable
- Ensures the awarding body's attendance register for any externally assessed component is completed correctly
- Where candidates' work must be despatched to an awarding body's examiner or uploaded electronically, ensures this is completed by the date specified by the awarding body
- 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 stepfamily, 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/marking process
- Marks candidates' work in accordance with the marking criteria provided by the awarding body
- Annotates candidates' work as required to facilitate internal standardisation of marking and enable external moderation to check that marking is in line with the assessment criteria
- Informs candidates of their marks which could be subject to change by the awarding body moderation process
- Ensures candidates are informed of the timescale set by the subject lead or as indicated in the centre's internal appeals procedure to enable an internal appeal/request for a review of marking to be submitted by a candidate and the outcome known before final marks are submitted to the awarding body **Internal standardisation**

Quality assurance (QA) lead/Lead internal verifier

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

Subject teacher

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

Consortium arrangements

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 centreassessed 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 ○ 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, ensures the moderator is provided with authentication of candidates' work, confirmation that internal standardisation has been undertaken and any other subject-specific information where this may be required
- Through the subject teacher, submits any supporting documentation required by the awarding body

Storage and retention of work after submission of marks

Subject teacher

- Keeps a record of names and candidate numbers for candidates whose work was included in the moderation sample

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

Exams officer

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

External moderation – the process

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

External moderation – feedback

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 ALS lead/SENCo to ensure any access arrangements for eligible candidates are applied to assessments

Additional Learning Support (ALS lead)/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

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  - Works with subject teachers to ensure requirements for access arrangement candidates requiring the support of a facilitator in assessments are met
  - Ensures that staff acting as an access arrangement facilitator are fully trained in their role

Special consideration and loss of work

Subject teacher

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

Exams officer

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

Malpractice

Head of centre

- Understands the responsibility to immediately report to the relevant awarding body any alleged, suspected, or actual incidents of malpractice involving candidates, teachers, invigilators, or other administrative staff
- Is familiar with the JCQ publication Suspected Malpractice: 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 - nonexamination 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: Policies and Procedures](#) to the head of centre
- Signposts the JCQ [Notice to Centres - Sharing NEA material and candidates' work](#) to subject heads
- Signposts candidates to the relevant JCQ information for candidates documents Where required, supports the head of centre in investigating and reporting incidents of alleged, suspected, or actual malpractice

Post-results services

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

Subject head/lead
- Provides relevant support to subject teachers making decisions about reviews of results

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

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

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

Head of centre
- Returns an online 'Head of Centre declaration' at the time of the National Centre Number Register annual update confirming that all reasonable steps have been or will be taken

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  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, confirming that all reasonable steps have been or will be taken to ensure that all candidates at the centre have had, or will have, the opportunity to undertake the Spoken Language endorsement

Quality assurance (QA) lead/Lead internal verifier

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

Subject head/lead

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

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- 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

Management of issues and potential risks associated with nonexamination assessments

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
Centre staff malpractice	Records confirm that relevant centre staff are familiar with and follow: • the current JCQ publication Instructions for conducting nonexamination assessments • the JCQ document Notice to Centres - Sharing NEA material and candidates' work - www.jcq.org.uk/exams-office/nonexaminationassessments	

Candidate malpractice	Records confirm that candidates are informed and understand they must not:	
	• submit work which is not their own • make available their work to other candidates through any medium • allow other candidates to have access to their own independently sourced material • assist other candidates to produce work • use books, the internet or other sources without acknowledgement or attribution • submit work that has been word processed by a third party without acknowledgement • include inappropriate, offensive or obscene material Records confirm that candidates have been made aware of the JCQ documents Information for candidates - non-examination assessments and Information for candidates – Social Media - www.jcq.org.uk/examsoffice/information-for-candidates-documents and understand they must not post their work on social media	
Task setting		
Awarding body set task: IT failure/corruption of task details where set task details accessed from the awarding body online	Awarding body key date for accessing/downloading set task noted prior to start of course IT systems checked prior to key date Alternative IT system used to gain access Awarding body contacted to request direct email of task details	
Centre set task: Subject teacher fails to meet the	Ensures that subject teachers access awarding body training information, practice materials etc.	

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
assessment criteria as detailed in the specification	Records confirmation that subject teachers understand the task setting arrangements as defined in the awarding body's specification Samples assessment criteria in the centre set task	
Candidates do not understand the marking criteria and what they need to do to gain credit	A simplified version of the awarding body's marking criteria described in the specification that is not specific to the work of an individual candidate or group of candidates is produced for candidates Records confirm all candidates understand the marking criteria Candidates confirm/record they understand the marking criteria	
Subject teacher long term absence during the task setting stage	See centre's Exam Contingency Plan - Teaching staff extended absence at key points in the exam cycle	
Issuing of tasks		
Awarding body set task not issued to candidates on time	Awarding body key date for accessing set task as detailed in the specification noted prior to start of course Course information issued to candidates contains details when set task will be issued and needs to be completed by Set task accessed well in advance to allow time for planning, resourcing and teaching	

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| The wrong task is given to candidates | Ensures course planning and information taken from the awarding body's specification confirms the correct task will be issued to candidates Awarding body guidance sought where this issue remains unresolved | |

Subject teacher long term absence during the issuing of tasks stage	See centre's exam contingency plan – Teaching staff extended absence at key points in the exam cycle	
A candidate (or parent/carer) expresses concern about safeguarding, confidentiality or faith in undertaking a task such as a presentation that may be recorded	Ensures the candidate's presentation does not form part of the sample which will be recorded Contacts the awarding body at the earliest opportunity where unable to record the required number of candidates for the monitoring sample	
Task taking		
Supervision		
Planned assessments clash with other centre or candidate activities	Assessment plan identified for the start of the course Assessment dates/periods included in centre wide calendar	
Rooms or facilities inadequate for candidates to take tasks under appropriate supervision	Timetabling organised to allocate appropriate rooms and IT facilities for the start of the course Staggered sessions arranged where IT facilities insufficient for number of candidates Whole cohort to undertake written task in large exam venue at the same time (exam conditions do not apply)	
Insufficient supervision of candidates to enable work to be authenticated	Confirm subject teachers are aware of and follow the current JCQ publication Instructions for conducting non-examination assessments and any other specific instructions detailed in the awarding body's specification in relation to the supervision of candidates Confirm subject teachers understand their role and responsibilities as detailed in the centre's non-examination assessment policy	
A candidate is suspected of malpractice prior to submitting their work for assessment	Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (section 9 Malpractice) are followed An internal investigation and where appropriate internal disciplinary procedures are followed	
Access arrangements were not put in place for an assessment where a candidate is approved for arrangements	Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 2), to determine the process to be followed to apply for special consideration for the candidate	
Advice and feedback		
Candidate claims appropriate advice and feedback not given by subject teacher prior to starting on their work	Ensures a centre-wide process is in place for subject teachers to record all information provided to candidates before work begins as part of the centre's quality assurance procedures Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity	

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by

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

	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 acknowledge 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	
A candidate fails to acknowledge sources on work that is submitted for assessment		
Word and time limits		
A candidate is penalised by the awarding body for exceeding word or time limits	Records confirm the awarding body specification has been checked to determine if word or time limits are mandatory Where limits are for guidance only, candidates are discouraged from exceeding them Candidates confirm/record any information provided to them on word or time limits is known and understood	
Collaboration and group work		

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
Candidates have worked in groups where the awarding body specification states this is not permitted	Records confirm the awarding body specification has been checked to determine if group work is permitted Awarding body guidance sought where this issue remains unresolved	
Authentication procedures		
A teacher has doubts about the authenticity of the work submitted by a candidate for internal assessment Candidate plagiarises other material	Records confirm subject staff have been made aware of the JCQ document Notice to Centres - Sharing NEA material and candidates' work Records confirm that candidates have been issued with the current JCQ document Information for candidates: non-examination assessments Candidates confirm/record that they understand what they need to do to comply with the regulations for non-examination assessments as outlined in the JCQ document Information for candidates: non-examination assessments The candidate's work is not accepted for assessment A mark of zero is recorded and submitted to the awarding body	
Candidate does not sign their authentication statement/declaration	Records confirm that candidates have been issued with the current JCQ document Information for candidates: non-examination assessments Candidates confirm/record they understand what they need to do to comply with the regulations as outlined in the JCQ document Information for candidates: non-examination assessments Declaration is checked for signature before accepting the work of a candidate for formal assessment	
Subject teacher not available to sign authentication forms	Ensures a centre-wide process is in place for subject teachers to sign authentication forms at the point of marking candidates work as part of the centre's quality assurance procedures	
Presentation of work		
Candidate does not fully complete the awarding body's cover sheet that is attached to their worked submitted for formal assessment	Cover sheet is checked to ensure it is fully completed before accepting the work of a candidate for formal assessment	

Keeping materials secure		
Candidates work between formal supervised sessions is not securely stored	Records confirm subject teachers are aware of and follow current JCQ publication Instructions for conducting non-examination assessments Regular monitoring/internal audit ensures subject teacher use of appropriate secure storage	

Adequate secure storage not available to subject teacher	Records confirm adequate/sufficient secure storage is available to subject teacher prior to the start of the course Alternative secure storage sourced where required	
Candidates work produced electronically is not securely stored	Records confirm subject teachers are aware of and follow current JCQ publication Instructions for conducting non-examination assessments Internal processes and regular monitoring/internal audit by IT Manager ensures: • access to this material is restricted (insert how) • appropriate security safeguards are in place (insert names/types of protection) • an effective back-up strategy is employed so that an up-to-date archive of candidates' evidence is maintained (insert details of how work is backed up) • any sensitive digital media is encrypted (according to awarding body guidance to ensure that the method of encryption is suitable) to ensure the security of the data stored within it (insert relevant details of how)	
Task marking – externally assessed components		
A candidate is absent on the day of the examiner visit for an acceptable reason	Awarding body guidance is sought to determine if alternative assessment arrangements can be made for the candidate If not, eligibility for special consideration is explored and a request submitted to the awarding body where appropriate	
A candidate is absent on the day of the examiner visit for an unacceptable reason	The candidate is marked absent on the attendance register	
Task marking – internally assessed components		
A candidate submits little or no work	Where a candidate submits no work, the candidate is recorded as absent when marks are submitted to the awarding body	
Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
	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	
A candidate is unable to finish their work for unforeseen reason	Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 5), to determine eligibility and the process to be followed for shortfall in work	
The work of a candidate is lost or damaged	Relevant staff are signposted to the JCQ publication Instructions for conducting non-examination assessments (section 8), to determine eligibility and the process to be followed for lost or damaged work	

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

Special Consideration Policy

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 go some way to assist a candidate affected by a potentially wide range of difficulties, emotional or physical, which may influence performance in their examinations. It cannot remove the difficulty faced by the candidate. This means that there will be some situations where candidates should not be entered for an examination. This is because only minor adjustments can be made to the mark awarded. To make larger adjustments would jeopardize the standard of the examination. (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 TCES Group 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 TCES Group 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)

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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.), special consideration will be applied for on behalf of all candidates.

3. Where a candidate takes multiple exams (three or more exams) timetabled for the same day and the total duration for those papers is more than 6 hours for GCE exams or more than 5 hours 30 minutes for GCSE exams including any approved extra time but not any time taken for supervised rest breaks, special consideration for an allowance on 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 can support this, special consideration will be applied for if the exam missed is in the terminal series and the minimum requirements for enhanced grading in cases of acceptable

absence can be met. 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 signed evidence produced by a member of the senior leadership team

Senior leadership team

- Produce signed evidence in support of all eligible applications

Exams officer

- Understands that special consideration must be applied for at the time of the assessment
- Understands that special consideration cannot be applied in a cumulative fashion and that where a candidate may be affected by different indispositions, special consideration should only be applied for the most serious indisposition
- Ensures applications will be processed as required by the awarding bodies
- Keeps evidence to support all applications on file until after the publication of results and provides the signed evidence provided by a member of the senior leadership 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 required medical or other evidence that may be required to support an application for special consideration
- Will be informed that all cases must be dealt with by the centre

Submitting applications for special consideration

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

Complaints and Appeals Procedure (Exams)

Purpose of the procedure

This procedure confirms TCES Group compliance with JCQ's **General Regulations for Approved Centres** (section 5.8) that the centre will draw to the attention of candidates and their parents/carers their written complaints and appeals procedure which will cover general complaints regarding the centre's delivery or administration of a qualification.

Grounds for complaint

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

Teaching and learning

- Quality of teaching and learning, for example ○ Non-subject specialist teacher without adequate training/subject matter expertise utilised on a long-term basis ○ Teacher lacking knowledge of new specification/incorrect core content studied/taught

  ○ Core content not adequately covered ○ Inadequate feedback

  for a candidate following assessment(s)
- Pre-release/advance material/set task issued by the awarding body not provided on time to an exam candidate
- The taking of an assessment, which contributes to the final grade of the qualification, not conducted according to the JCQ/awarding body instructions
- The marking of an internal assessment, which contributes to the final grade of the qualification, not undertaken according to the requirements of the awarding body (complainant should refer to the centre's internal appeals procedure)
- Centre fails to adhere to its internal appeals procedure
- Candidate not informed of his/her centre assessed marks prior to marks being submitted to the awarding body
- Candidate not informed of his/her centre assessed marks in sufficient time to request/appeal a review of marking prior to marks being submitted to the awarding body
- Candidate not given sufficient time to review materials to make a decision whether to request a review of centre assessed marks

Access arrangements

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

Entries

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

Conducting examinations

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

Results and Post-results

- Before exams, candidate not made aware of the arrangements for post-results services and the accessibility of senior members of centre staff after the publication of results
- Candidate not having access to a member of senior staff after the publication of results to discuss/make decision on the submission of a review/enquiry
- Candidate request for return of work after moderation and work not available/disposed of earlier than allowed in the regulations
- Candidate (or parent/carer) unhappy with a result (complainant to refer via exams officer to awarding body post-results services)

- Candidate (or parent/carer) unhappy with a centre decision not to support a clerical recheck, a review of marking, a review of moderation or an appeal (complainant to refer via Head teacher to the centre's internal appeals procedure)
- Centre applied for the wrong post-results service/for the wrong 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

Complaints and Appeals Procedure

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

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

How to make a formal complaint

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

How a formal complaint is investigated

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

Appeals

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

- Any appeal must be submitted in writing by again completing a **complaints and appeals form**
- Forms received will be logged by the centre and acknowledged within 3 calendar days
- The appeal will be referred to 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 and Appeals form

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

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

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

Name of complainant/appellant	
Candidate name *if different to complainant/appellant*	

Please state the grounds for your complaint/appeal below:

If your complaint is lengthy please write as bullet points; please keep to the point and include relevant detail such as dates, names etc. and provide any evidence you may have to support what you say
Your appeal should identify the centre's failure to follow procedures as set out in the relevant policy, and/or issues in teaching and learning which have impacted the candidate
If necessary, continue on an additional page if this form is being completed electronically or overleaf if hard copy being completed

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

Complainant/appellant signature:	Date of signature:

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

Complaints and Appeals log

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

Ref No.	Date received	Complaint or Appeal	Outcome	Outcome date

Internal Appeals Procedures

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 TCES Group and internally standardised. The marks awarded (the internal assessment decisions) which contribute to the final grade of the qualification are then submitted by the deadline set by the awarding body for external moderation.

This procedure confirms TCES Groups 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**

Date	Qualification	Details	Exam series
TBC	GCSE	Final date for submission of coursework marks (AQA, Pearson and OCR)	Summer-2022
TBC	BTEC	Final date for submission of coursework marks (Pearson)	Summer-2022

TCES Group 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.

TCES Group ensures that all centre staff follow a robust Non-examination Assessment Policy (for the management of GCE and GCSE non-examination assessments). This policy details all procedures relating to non-examination assessments, including the marking and

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

On being informed of their centre assessed marks, if a candidate believes that the above procedures were not followed in relation to the marking of his/her work, or that the assessor has not properly applied the 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.

TCES Group will

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

2. inform candidates that they will need to explain on what grounds they wish to request a review of an internally assessed mark as a review will only focus on the quality of their work in meeting the published assessment criteria

3. inform candidates that they may request copies of materials (generally as a minimum, a copy their marked assessment material (work) and the mark scheme or assessment criteria plus additional materials which may vary from subject to subject) to assist them in considering whether to request a review of the centre's marking of the assessment

4. 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 these will be shared under supervised conditions) within 5 calendar days

5. inform candidates they will not be allowed access to original assessment material unless supervised

6. provide candidates with sufficient time in order to allow them to review copies of materials and reach a decision, informing candidates that if their decision is to request a review, they will need to explain what they believe the issue to be

7. provide a clear deadline for candidates to submit a request for a review of the centre's marking. Requests will not be accepted after this deadline. Requests must be made in writing within 5 calendar days of receiving copies of the requested materials by completing the **internal appeals form**

8. allow 10 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 and has no personal interest in the review

10. instruct the reviewer to ensure that the candidate's mark is consistent with the standard set by the centre

11. inform the candidate in writing of the outcome of the review of the centre's marking

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

The awarding body will be informed if the centre does not accept the outcome of a review. The moderation process carried out by the awarding bodies may result in a mark change, either upwards or downwards, even after an internal review. The internal review process is in place to ensure consistency of marking within the centre, whereas moderation by the awarding body ensures that centre marking is in line with national standards. The mark submitted to the awarding body is subject to change and should therefore be considered provisional.

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

This procedure confirms TCES Group compliance with JCQ's **General Regulations for Approved Centres** (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 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. Students are informed of the post results fees, deadlines and how to proceed with this request on results day. The Examinations Officer supplies students with a copy of the post results application in the envelop with their results and online via school website.

Candidates are also made aware of the arrangements for post-results services and the availability of senior members of centre staff immediately after the publication of results before they sit any exams by providing them their candidate exam guidelines and their exam timetable.

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

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

Reviews of Results (RoRs):

- Service 1 (Clerical re-check)
  This is the only service that can be requested for objective tests (multiple choice tests)
- Service 2 (Review of marking)
- Priority Service 2 (Review of marking)
  This service is only available for externally assessed components of GCE A-level specifications (an individual awarding body may also offer this priority service for other qualifications)
- Service 3 (Review of moderation)

This service is not available to an individual candidate **Access**

to Scripts (ATS):

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

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

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

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

Written candidate consent (informed consent via candidate email is acceptable) is required in all cases before a request for a RoR service 1 or 2 (including priority service 2) is submitted to the awarding body. Consent is required to confirm the candidate understands that the final subject grade and/or mark awarded following a clerical re-check or a review of marking,

and any subsequent appeal, may be lower than, higher than, or the same as the result which was originally awarded. Candidate consent must only be collected after the publication of results.

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

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

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

- For a review of marking (RoR priority service 2), advise the candidate he/she may request the review by providing informed written consent (and the required fee) for this service to the centre by the deadline set by the centre
- For a review of marking (RoR service 1 or 2), first advise the candidate to access a copy of his/her script to support a review of marking by providing written permission for the centre to access the script (and any required fee for this service) for the centre to submit this request
- After accessing the script to consider the marking, inform the candidate that if a request for a review of marking (RoR service 1 or 2) is required, this must be submitted by the deadline set by the centre by providing informed written consent (and the required fee for this service) 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/carer) 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/carer) believes there are grounds for a preliminary appeal to the awarding body, a further internal appeal may be made to the head of centre. Following this, the head of centre's decision as to whether to proceed with a preliminary appeal will be based upon

the acceptable grounds as detailed in the **JCQ Appeals Booklet**. Candidates or parents/carers are not permitted to make direct representations to an awarding body.

The **internal appeals form** should be completed and submitted to the centre within 5 calendar days of the notification of the outcome of the RoR. Subject to the head of centre's decision, this will allow the centre to process the preliminary appeal and submit to the awarding body within the required **30 calendar days** of the awarding body issuing the outcome of the review of results process.

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

Internal Appeals form

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

FOR CENTRE USE ONLY	
Date received	
Reference No.	

☐ Appeal against an internal assessment decision and/or request for a review of marking

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

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

Please state the grounds for your appeal below:

(If applicable, tick below)

☐ Where my appeal is against an internal assessment decision, I wish to request a review of the centre's marking

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

| Appellant signature: | Date of signature: |

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

Complaints and Appeals log

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

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

Ref No.	Date received	Complaint or Appeal	Outcome	Outcome date

Further guidance to inform and implement appeals procedures

JCQ publications

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

Ofqual publications

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

Escalation Process

Purpose of the process

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

Before examinations (Planning)

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

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

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

- Centre status
- Confidentiality
- Communication
- Recruitment, selection, and training of staff
- Internal governance arrangements
- Delivery of qualifications
- Public liability
- Conflicts of interest
- Controlled assessments, coursework and non-examination assessments
- Security of assessment materials
- National Centre Number Register
- Centre inspections
  Additional JCQ publication for reference:
- Centre Inspection Service Changes
- Policies
  Specific JCQ publications for reference:
  - o General Regulations for Approved Centres (section 5) o
    Instructions for conducting examinations (section 25) o Access Arrangements
    and Reasonable Adjustments (section 5)
- Personal data, freedom of information and copyright Additional JCQ publication for
  reference: o Information for candidates – Privacy Notice

Before examinations (Entries and Pre-exams)

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

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

- General Regulations for Approved Centres (section 5)
- Instructions for conducting examinations (sections 1-15)
- Access Arrangements and Reasonable Adjustments (sections 6-8) **Main duties and responsibilities relate to:**
- Access arrangements and reasonable adjustments
- Entries
  Additional JCQ publications for reference: o Key dates
    in the examination cycle o Guidance

Notes for Transferred Candidates ○

Alternative Site guidance notes   ○ Guidance notes for overnight supervision of candidates with a timetable variation

- Centre assessed work

Additional JCQ publication for reference:
○ Guidance Notes – Centre Consortium Arrangements

- Candidate information

Additional JCQ publications for reference: ○
Information for candidates documents ○
Exam Room Posters

During examinations (Exam time)

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

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

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

Main duties and responsibilities relate to:

- Conducting examinations and assessments

Additional JCQ publication for reference: ○
Guidance Notes – Very Late Arrival

- Malpractice
- Retention of candidates' work

After examinations (Results and Post-Results)

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

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:
    o Release of Results notice

- Post-results services and appeals

Additional JCQ publications for reference: o Post-Results Services:
Information and guidance to centres   o JCQ Appeals Booklet (A guide to the awarding bodies' appeals processes) • Certificates

Exam Contingency Plan

Purpose of the plan

This plan examines potential risks and issues that could cause disruption to the exams process within schools at TCES Group. By outlining actions/procedures to be invoked in case of disruption it is intended to mitigate the impact these disruptions have on our exam process.

Alongside internal processes, this plan is informed by the Ofqual (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** notice **Preparing for disruption to examinations** (effective from 11 October 2022).

This plan also confirms TCES Group 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 staff absence. 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.

Possible causes of disruption to the exam process

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

Criteria for implementation of the plan

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

Planning
- annual data collection exercise not undertaken to collate information on qualifications and awarding body specifications being delivered

- annual exams plan not produced identifying essential key tasks, key dates and deadlines
- sufficient invigilators not recruited

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

Pre-exams
- invigilators not trained or updated on changes to instructions for conducting exams
- exam timetabling, rooming allocation; and invigilation schedules not prepared

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

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

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

Centre actions to mitigate the impact of the disruption

- Executive Head Teacher to assign a staff member to assume responsibility for the above tasks with the support of the Senior Management Team (SLT)

ALS Lead/SENCo extended absence at key points in the exam cycle
Criteria for implementation of the plan

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

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

Pre-exams
- approval for access arrangements not applied for to the awarding body

- centre-delegated arrangements not put in place
- modified paper requirements not identified in a timely manner to enable ordering to meet external deadline
- staff (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

- SENCo from another school with TCES Group work with SLT to identify students where applications for access arrangements may be required. The employment of outside agencies/professionals may be required.

Teaching staff extended absence at key points in the exam cycle

Criteria for implementation of the plan Key

tasks not undertaken including:

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

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

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

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

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

Centre actions to mitigate the impact of the disruption

- Head of Centre and/or SMT, if necessary, to ensure all necessary deadlines are adhered to. Where this is not possible, the EO will liaise with the relevant Awarding Body and act upon advice received.

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

- Exams Officer will review the invigilation staffing at the start of each academic year to ensure sufficient staff are recruited and trained in a timely fashion.
- Exams Officer will be aware of the school staff available for invigilation duties at short notice and for peak exam days.

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

- Exams Officer will organise rooming for examinations before the Easter holidays ensuring sufficient time is available to identify appropriate rooms and plan appropriately.
- In the event of a room not being available at very short notice, sufficient staff will be made available to ensure the security of the examination is not compromised whilst alternative rooming is sourced.
- SLT will work with the EO at all times during such emergencies.

Failure of IT systems

Criteria for implementation of the plan MIS

system failure at final entry deadline

MIS system failure during exams preparation

MIS system failure at results release time

Centre actions to mitigate the impact of the disruption

- Exams Officer will in consultation with the SLT, will make entries direct to the Awarding Bodies. Results may also be accessed directly from the Awarding Bodies.
- At all times during the system failure the Exams Officer will liaise with the Awarding Bodies to minimise disruption and costs incurred.

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

Criteria for implementation of the plan

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

Centre actions to mitigate the impact of the disruption

• SLT will in consultation with the Board of Governors will manage impact of disruption in case of lockdown. (See Lockdown Policy)

• (See Fire Evacuation Policy)

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

• Exams Officer will contact the relevant Awarding Bodies to discuss alternative arrangements and liaise with the SLT/SMT to take appropriate action.

Candidates at risk of being unable to take examinations– centre remains open

Criteria for implementation of the plan

Candidates at risk of being unable to attend the examination centre to take examinations as normal

Centre actions to mitigate the impact of the disruption

• Exams Officer will contact the relevant Awarding Bodies to discuss alternative arrangements and liaise with the SLT/SMT to take appropriate action.

Centre at risk of being unable 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 at risk of being unable to open as normal for scheduled examinations

Centre actions to mitigate the impact of the disruption

• Exams Officer will contact the relevant Awarding Bodies to notify them of any such difficulties and put in place suitable alternative arrangements

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 of the examination on an alternative date).

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 bodies arrange collections, centres should contact the relevant awarding bodies for advice and instructions 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 own collection arrangements, centres should investigate alternative options that comply with the requirements detailed in the JCQ publication Instructions for conducting examinations. Centres to ensure secure storage of completed examination scripts until collection.)

Assessment evidence is not available to be marked

Criteria for implementation of the plan

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

Completed examination scripts/assessment evidence does not reach awarding organisations

Centre actions to mitigate the impact of the disruption

- (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.)

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: o centre to make arrangements to make post results requests at an alternative location

    o centres to contact the relevant awarding organisation if electronic post results requests are not possible)

Further guidance to inform procedures and implement contingency planning

Ofqual

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

Contingency planning

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

Covid specific guidance

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

· actions for schools during the coronavirus outbreak from the Department for Education in England

· actions for FE colleges and providers during the coronavirus outbreak from the Department for Education in England

· responsibility for exams from the Department for Education in England

· vocational, technical and other general qualifications in 2022 from Ofqual (regulator)

- [GCSE, AS and A level qualifications in 2022](#) from Ofqual (regulator)
- [education and childcare: coronavirus](#) from Welsh Government
- [Qualifications Wales homepage](#) from Qualifications Wales (regulator)
- [coronavirus (COVID-19): guidance for school and educational settings in Northern Ireland](#) from Department of Education in Northern Ireland
- [coronavirus (COVID-19) (information from CCEA)](#) – information on vocational, technical and general qualifications from CCEA Regulation

General contingency guidance

- [emergency planning and response](#) from the Department for Education in England
- [school organisation: local-authority-maintained schools](#) from the Department for Education in England
- [exceptional closure days](#) from the Department of Education in Northern Ireland
- [checklist - exceptional closure of schools](#) from the Department of Education in Northern Ireland
- [school terms and school closures](#) from NI Direct
- [opening schools in extremely bad weather](#) - guidance for schools from the Welsh Government
- [bomb threats](#) procedures for handling bomb threats from the National Counter Terrorism Security Office

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

See also the [JCQ Joint Contingency Plan for the Examination System in England, Wales and Northern Ireland.](#)

Steps you should take

Exam planning

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

In the event of disruption

1. Contact the relevant awarding organisation and follow its instructions.
2. Take advice, or follow instructions, from relevant local or national agencies in deciding whether your centre is able to open.
3. Identify whether the exam or timetabled assessment can be sat at an alternative venue, in agreement with the relevant awarding organisation, ensuring the secure transportation of questions papers or assessment materials to the alternative venue.
4. Where accommodation is limited, prioritise students whose progression will be severely delayed if they do not take their exam or timetabled assessment when planned.

5. In the event of an evacuation during an examination please refer to JCQ's [Centre emergency evacuation procedure](#).

6. Communicate with parents, carers and students any changes to the exam or assessment timetable or to the venue.

7. Communicate with any external assessors or relevant third parties regarding any changes to the exam or assessment timetable.

After the exam

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

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 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.

See also JCQ's guidance on special considerations

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

Awarding organisations will alert the [Universities and Colleges Admissions Service](#) (UCAS) and the [Central Applications Office](#) (CAO) about any impact of the disruption on their deadlines and liaise regarding student progression to further and higher education. Awarding organisations will alert relevant professional bodies or employer groups if the impact of disruption particularly affects them.

Widespread national disruption to the taking of examinations or assessments

The governments' view across England, Wales and Northern Ireland is education should continue in 2022 to 2023 with schools remaining open and that examinations and assessments will go ahead in both autumn 2022 and summer 2023.

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

We will update this page as necessary, with any further relevant links.

(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** (updated 30 September 2022) https://www.gov.uk/government/publications/exam-systemcontingencyplan-england-wales-and-northern-ireland/what-schools-and-colleges-shoulddo-if-examsor-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-englandwales-and-northern-ireland/what-schools-and-colleges-should-do-if-exams-orotherassessments-are-seriously-disrupted

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

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

15.4 In the event that the head of centre decides the centre cannot be opened for scheduled examinations, the relevant awarding body must be informed as soon as possible. Awarding bodies will be able to offer advice regarding the alternative arrangements for conducting

examinations that may be available and the options for candidates who have not been able to take scheduled examinations.

15.5 The awarding bodies will designate a 'contingency day' for examinations, summer 2022. 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-englandwales-and-northern-ireland

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

In the event of national disruption to a day of examinations in summer 2022, the awarding bodies will liaise with the qualification regulators and government departments to agree the most appropriate option for managing the impact. As a last resort the affected examinations will be rescheduled. Although every effort would be taken to keep the impact to a minimum, it is possible that there could be more than one timetable date affected following the disruption, up to and including the contingency day. Centres will be alerted if it 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 this contingency arrangement so that they may take it into account when making their plans for the summer. However, the awarding bodies will not insist upon candidates being available throughout the entire timetable period as a matter of course.

(JCQ guidance above taken directly from **Instructions for Conducting Examination**s 2022-2023 http://www.jcq.org.uk/exams-office/ice---instructions-for-conductingexaminations, section 15, Contingency planning)

JCQ Joint Contingency Plan www.jcq.org.uk/exams-office/other-documents

This Notice is based on guidance provided within the JCQ Joint Contingency Plan, which is available from the JCQ website:

www.jcq.org.uk/exams-office/other-documents/jcq-joint-contingency-plan

In the event of widespread disruption to the examination system, all centres **must** have contingency plans in place. There are three main categories of disruption, which are outlined below.

Candidates at risk of being unable to take examinations – centres remain open

Centres' contingency plans should focus on options that enable candidates to take their examinations. As part of these preparations, centres should take into account the guidance provided in the JCQ publication Instructions for conducting examinations: http://www.jcq.org.uk/exams-office/ice---instructions-for- conducting-examinations

- consider moving the starting times of the examination for all candidates (see **section 6.2** of the JCQ publication Instructions for conducting examinations)
- being aware of the rules for very late arrivals (see **section 21** of the JCQ publication Instructions for conducting examinations).

Wherever possible, it is always in the best interest for candidates to sit the examination. However, if candidates who are unable to sit the examination meet the criteria, special consideration through absence for acceptable reasons is an option (see **Chapter 4** of the JCQ publication A guide to the special consideration process: https://www.jcq.org.uk/examsoffice/access-arrangements-and-special-consideration/regulations-and-guidance

Please do not hesitate to call the relevant awarding body if you require additional support or guidance in the event of disruption to examinations.

Centres at risk of being unable to open as normal during the examination period
As above, centres' contingency plans must focus on enabling candidates to take their examinations if the centre is at risk of being unable to open as normal.

The responsibility for deciding whether it is safe for a centre to open lies with the head of centre who is responsible for taking advice or following instructions from relevant local or national agencies.

Information on what centres should do if examinations or other assessments are seriously disrupted can be found in the three country regulators' exam system contingency plan: **www.gov.uk/government/publications/exam-system-contingency-planengland-wales-and-northern ireland/what-schools-and-colleges-should-doifexams-or-other-assessments-are-seriously-disrupted**

Special consideration through absence for acceptable reasons is also available as an option if all other avenues have been exhausted and candidates meet the relevant criteria.

Please do not hesitate to call the relevant awarding body if you require additional support or guidance in the event of disruption to your examinations.

Disruption to transporting completed examination scripts

If there is a delay in normal collection arrangements for completed examination scripts:

- where examinations are part of the national 'yellow label' service or where awarding bodies arrange collections, centres should **contact the relevant awarding bodies** for advice and instructions.

- for examinations where centres make their own collection arrangements, they should **investigate alternative options** that comply with the JCQ publication Instructions for conducting examinations

- completed scripts **must** be stored securely until they are collected.

Summary of centre and awarding body responsibilities Examination centres are responsible for:

- preparing plans for any disruption to examinations as part of centres' general emergency planning

- deciding whether the centre can open for examinations as scheduled and informing relevant awarding bodies if the centre is unable to open

- exploring the opportunities for alternative arrangements if the centre cannot open for examinations and agreeing such arrangements with the awarding bodies

- judging whether candidates meet the requirements for special consideration because of any disruption and submitting these requests to the relevant awarding bodies

- assessing their circumstances and liaising with awarding bodies in the event of disruption to the transportation of papers.

Awarding bodies are responsible for:

- ensuring centres receive examination materials for scheduled examinations

- advising centres on possible alternative examination arrangements and declining/approving proposals for alternative examination arrangements
- evaluating and declining/approving requests for special consideration.

Contacting the awarding bodies

In all cases, if there are any concerns, please contact the relevant awarding body for advice:

AQA

0800 197 7162 **eos@aqa.org.uk**

CCEA

028 9026 1212 / 028 9026 1293 / 028 9026 1425 **centresupport@ccea.org.uk**

OCR

01223 553998 **support@ocr.org.uk**

Pearson

0344 463 2535

WJEC

02920 265 077 **exams@wjec.co.uk**

(JCQ guidance above taken directly from the notice - **Preparing for disruption to examinations** effective from 11 October 2022 www.jcq.org.uk/preparing-for-disruptiontoexaminations/)

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

Guidance notes on alternative site arrangements www.jcq.org.uk/exams-office/online-forms

Guidance notes for transferred candidates www.jcq.org.uk/exams-office/online-forms

Instructions for Conducting Examinations www.jcq.org.uk/exams-office/ice---instructionsforconducting-examinations

A guide to the special consideration process www.jcq.org.uk/examsoffice/accessarrangements-and-special-consideration/regulations-and-guidance

GOV.UK

Emergency planning and response: Severe weather; Exam disruption; Coronavirus (COVID19): www.gov.uk/guidance/emergencies-and-severe-weather-schools-and-early-years-settings

School organisation: local-authority-maintained schools:

www.gov.uk/government/publications/school-organisation-maintained-schools

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

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

National Counter Terrorism Security Office

Guidance - Bomb Threats:
www.gov.uk/government/publications/crowded-places-guidance/bomb-threats

Lockdown Policy (Exams)

Purpose of the policy

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

A lockdown may be required in the following situations:

- 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
- any other external or internal incident which has the potential to pose a threat to the safety of exams staff and candidates

TCES Group has devised lockdown procedures after consulting GOV.UK Stay Safe guidance.

With regard to conducting examinations, the focus before, during and after an exam will be:

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

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 locked down
- To ensure that all candidates and staff are aware of an 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 have accountabilities 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
- 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

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)
- 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

- o (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

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:
  - o tell candidates to stop writing immediately and close their answer booklets o collect the attendance register
  - o make a note of time when the examination was suspended o instruct candidates to remain silent, leave all examination materials on their desks and hide under desks
  - o 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).
  - o lock all windows and close any/all curtains/blinds o switch off all lights o lock all doors and/or use tables, or any other furniture, to barricade the entrance to the examination room
  - o (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, 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
- 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:
  - o stop dismissing candidates from the exam room o instruct candidates who have left the room to re-enter the exam room o instruct candidates to remain silent and hide under desks/tables
  - o 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)
  - o lock all windows and close any/all curtains/blinds o switch off all lights o lock all doors and/or use tables, or any other furniture, to barricade the entrance to the exam room

- o (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
- o Where safe/possible, the exams officer will collate the information from all exam rooms and forward this to the head of centre immediately

Ending a lockdown

- The lockdown will be ended by either o the sound of a defined alarm, or   o 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:
    - o ask candidates to return to their desks, remind them they are under formal exam conditions and allow a settling down period
    - o allow candidates the full working time remaining to do their examination o recalculate the revised finish time(s) o tell the candidates to open their answer booklets and re-start their exam o amend the revised finish time(s) on display to candidates
    - o 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 o provide a report of the incident for the awarding body/bodies (via the special consideration process or as advised by the awarding body/bodies) o safely/securely store all collected exam papers and materials pending awarding body advice/guidance
- Where applicable/possible/available, SLT/exams officer will   o discuss any alternative exam sittings with the awarding body/bodies o 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 lead by the head of centre to discuss the lockdown and offer ongoing support o If this is not possible, communications will be provided via a centre text/email/newsletter and information uploaded to the centre website

Emergency Evacuation Policy (Exams)

Purpose of the policy

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

When is an emergency evacuation required?

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

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

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

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

Emergency evacuation of an exam room

Roles and responsibilities

Head of centre
- Ensures the emergency evacuation policy for exams is fit for purpose and complies with relevant health and safety regulation
- Ensures any instructions from relevant local or national agencies are referenced and followed where applicable, including information from the National Counter Terrorism Security Office on the Procedures for handling bomb threats https://www.gov.uk/government/publications/bomb-threats-guidance/procedures-forhandling-bomb-threats
- Where safe to do so, ensures candidates are given the opportunity to sit exams for their published duration

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

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 through the special consideration process where applicable (in cases where a group of candidates have been disadvantaged by a particular event)

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.

Details must include:
- the actual time of the start of the interruption
- the actions taken
- the actual time the exam(s) resumed
- the actual finishing time(s) of the resumed exam(s) **Further details could include:**
- report on candidate behaviour throughout the interruption/evacuation
- a judgement on the impact on candidates after the interruption/evacuation

Emergency evacuation procedure

Invigilators are trained in this procedure and understand the actions they must take in the event of a fire alarm or other emergency that leads to an evacuation of the exam room.

Emergency evacuation procedure
Actions to be taken (as detailed in current JCQ [Instructions for conducting examinations](#) section 25, **Emergencies**)
Stop the candidates from writing
Collect the attendance register (in order to ensure all candidates are present)
Evacuate the examination room in line with the instructions given by the appropriate authority
Advise candidates to leave all question papers and scripts in the examination room Candidates must be advised to close their answer booklet
Ensure candidates leave the room in silence
Ensure the candidates are supervised as closely as possible while they are out of the examination room to make sure there is no discussion about the examination
Make a note of the time of the interruption and how long it lasted
Allow the candidates the remainder of the working time set for the examination once it resumes
If there are only a few candidates, consider the possibility of taking the candidates (with question papers and scripts) to another place to finish the examination
Make a full report of the incident and of the action taken, and send to the relevant awarding body
Additional centre-specific actions to be taken

Exams Archiving Policy

Purpose of the policy

The purpose of this policy is to:
- identify exams-related information/records held by the exams office
- identify the retention period
- determine the action required at the end of the retention period and the method of disposal
- inform or supplement the centre-wide records management policy/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 ICE 12, 22)	Confidential waste/shredding
Awarding body administrative information	Any hard copy publications provided by awarding bodies.	To be retained until the current academic year update is provided.	
Candidates' scripts	Any unwanted copies of scripts returned to the centre through the Access to Scripts (ATS) service.	To be retained securely until the awarding body's earliest date for confidential disposal of unwanted scripts. … 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 GR 3.15)	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.	Returned to candidates or safe disposal
		To be stored safely and securely along with work that did not form part of the moderation sample (including materials stored electronically)	
		…store safely and securely all non-examination assessments, including controlled assessments, coursework or portfolios, retained in, or returned to, the	

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Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (Method of disposal)
		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 Instructions for conducting non - examination assessments https://www.jcq.org.uk/exams-office/nonexaminationassessments (Reference GR 3.15)	
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 GR 5.14)	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…	Confidential destruction
		…return any certificates requested by the awarding bodies. Certificates always remain the property of the awarding bodies. (Reference GR 5.14)	

Certificate issue information	A record of certificates that have been issued.	…distribute certificates to all candidates without delay and regardless of any disputes (such as non-payment of fees).	

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (Method of disposal)
		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 GR 5.14)	
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 (including encrypted materials received via email or downloaded from an awarding body's secure extranet site), checked and placed in the secure storage facility by the exams officer (or other authorised member of centre staff) throughout the period the materials are confidential		
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 GR 5.3)	
Dispatch logs	Proof of dispatch of exam script packages to awarding body examiners covered by the DfE (Standards & Testing Agency) yellow label service		

Entry information	Any hard copy information relating to candidates' entries.		

Exam question papers	Question papers for timetabled written exams.	…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	Issued to subject staff

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (Method of disposal)
		access to question papers by authorised centre personnel for the purpose of conducting examinations… (Reference GR 6.13)	
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 ICE 30)	Confidential destruction
Examiner reports		(Where/if provided) To be immediately provided to head of department as records owner.	
Finance information	Copy invoices for exams-related fees.	To be returned to Finance department as records owner at the end of the academic year.	
Invigilation arrangements	See Exam room checklists		

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 ICE 12)	

Moderator reports		(Where printed from electronic copy) 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)
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	The JCQ Overnight Supervision form is completed online using CAP. The JCQ Overnight Supervision Declaration form is downloaded from CAP) for signing by the candidate, the supervisor and the head of centre Any hard copy information relating to overnight supervision arrangements. Reports submitted online via CAP.	…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 (ICE 8)	
Post-results services: confirmation of candidate consent information	Hard copy or email record of required candidate consent	Consent forms or e-mails from candidates **must** 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 bodies reserve the right to inspect such documentation. (Reference PRS 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 | |

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (Method of disposal)
		indicate that the scripts were written at the appointed timeand that, should the scripts not be received by the awarding body/examiner, then special consideration may be possible.) (Reference ICE 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 or until any appeal, malpractice or other results enquiry has been completed, whichever is later… (Reference ICE 12)	
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 **must** be supported by signed evidence produced by a member of the senior leadership team. **The centre must retain this evidence until after the publication of results**. (Reference SC 6)	
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.		

Word Processor Policy (Exams)

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 2022-2023](#) and [Instructions for conducting examinations 2022-2023](#) publications.

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 TCES Group complies with AA chapter 4 (Managing the needs of candidates and principles for centres), section 5.8 (Word processor) and ICE (sections 14.20-25) when awarding and allocating a candidate the use of word processor in examinations.

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

The use of a word processor

The centre will:

allocate the use of a word processor to a candidate with the spelling and grammar check/predictive text disabled (switched off) where it is their normal way of working within the centre (AA 5.8.1)

- award the use of a word processor to a candidate where appropriate to their needs For example, a candidate with:
  - o a learning difficulty which has a substantial and long-term adverse effect on their ability to write legibly
  - o a medical condition o a physical disability o a sensory impairment
  - o planning and organisational problems when writing by hand o 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 they now want to type rather than write in exams or can work faster on a keyboard, or because they use a laptop at home. (AA 5.8.4)

Exceptions

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

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

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

A candidate using a word processor is accommodated in main venue with the main cohort, in a different room etc.

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 (or where possible, an IT technician will set up 'autosave' on each laptop/table 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) (ICE 14.25)

The centre will ensure the word processor:

• is only used in a way that ensures a candidate's script is produced under secure conditions
• is not used to perform skills which are being assessed
• is not connected to an intranet or any other means of communication
• is in good working order at the time of the exam
• is accommodated in such a way that other candidates are not disturbed and cannot read the screen
• is used as a typewriter, not as a database, although standard formatting software is acceptable and is not connected to an intranet or any other means of communication
• is cleared of any previously stored data
• does not give the candidate access to other applications such as a calculator (where prohibited in the examination), spreadsheets etc.
• does not include graphic packages or computer aided design software unless permission has been given to use these

- does not have any predictive text software or an automatic spelling and grammar check enabled unless the candidate has been permitted a scribe or is using speech recognition technology (a scribe cover sheet must be completed), or the awarding body's specification permits the use of automatic spell checking
- does not include speech recognition technology unless the candidate has permission to use a scribe or relevant software
- is not used on the candidate's behalf by a third party unless the candidate has permission to use a scribe

Portable storage medium

(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 is over

(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
- where an awarding body requires a cover sheet to be completed this is included with the candidate's typed script (according to the relevant awarding body's instructions)

Appendix 1 The criteria TCES Group uses to award and allocate word processors for examinations.

Overtype here the centre's statement to meet the requirement.

A member of the centre's senior leadership team must produce a statement for inspection purposes which details the criteria the centre uses to award and allocate word processors for examinations. (AA_5.8)

An example, by way of illustration, is provided below. However, this is an example **only** which if used **must** be adapted to address your centre-specific processes and the criteria used for awarding and allocating the use of word processors in your centre.

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

The use of word processors

There are also exceptions where a candidate may be awarded/allocated the use of a word processor in exams where 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.

This may include where a candidate has, for example:

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

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

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

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

Appropriate exam-compliant word processors will be provided by the IT department in liaison with the 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.