



# Exams Policy

This policy was approved and ratified by

Cox Green School

On 9/1/2025

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## 1. Introduction - The 11-19 Exams' Policy

The purpose of this Exams Policy is:

- To ensure the planning and management of exams is conducted efficiently and in the best interest of candidates;
- To ensure the operation of an efficient exam system with clear guidelines for all relevant staff and candidates.

It is the responsibility of everyone involved in the centre's exam processes to read, understand and implement this policy.

## 2. Exam Responsibilities Including Escalation Process

**The Head of Centre is responsible 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.
- Ensuring that all staff comply with the instructions in the (Instructions for conducting examinations) booklet.
- Ensuring 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
- Ensuring that relevant members of staff respond promptly to actions raised by the JCQ Centre Inspection Service, understanding that failure to do so could result in penalties (see **National Centre Number Register and other information requirements** section)
- Ensuring 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
- Ensuring 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
- Ensuring 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
- Ensuring 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

**The Exams Officer is responsible for:**

- Managing the administration of public and internal exams;
- Advising the Senior Leadership Team, subject and class teachers and other relevant support staff on annual exam timetables and application procedures as set by the various Awarding Bodies;
- Overseeing the production and distribution to staff, Trustees and candidates of an annual calendar for all exams, in which candidates will be involved and communicating regularly with staff concerning imminent deadlines and events;
- Ensuring that candidates and their parents are informed of and understand those aspects of the exam timetable that will affect them;
- Consulting with teaching staff to ensure that necessary coursework/controlled assessment is completed on time and in accordance with JCQ guidelines;
- Providing and confirming detailed data on estimated entries;
- Receiving, checking and storing securely all exam papers and completed scripts;



- The administration of access arrangements in line with JCQ regulations and SENDCo SLT advice.
- Identifying and managing exam timetable clashes, remote invigilation and timetable variations for candidates with a disability;
- Accounting for income and expenditures relating to all exam costs/charges;
- Line managing the Invigilation Team, organising the recruitment in conjunction with the HR Manager, training and monitoring a team of exams invigilators responsible for the conduct of exams;
- Liaising with Departments to ensure the accurate submission of candidates' coursework/controlled assessment marks, tracking despatch and storing returned coursework and any other material required by the appropriate Awarding Bodies correctly and on schedule;
- Arranging for dissemination of exam results and certificates to candidates and forwarding, in consultation with the SLT, any appeals/re-mark requests;
- Maintaining systems and processes to support the timely entry of candidates for their exams;
- Ensuring that all special considerations for candidates are forwarded to the appropriate Exams Boards with all supporting evidence in line with the JCQ publication 'Access arrangements, reasonable adjustments and special consideration'.

**Subject Leaders are responsible for:**

- Deciding with the Senior Leadership Team which specification will be taught and informing the Exams Office of any changes;
- Ensuring that all exam codes are correct;
- Liaising with the teachers in their department to make sure that all candidates are entered for the correct exams/tiers; making sure that all the entries are received by the Exams Office in time, and authorising any late entries if needed/withdrawals;
- Ensuring that all teachers involved in marking NEA work are fully trained.
- Submitting all coursework/NEA/controlled assessment grades to the Exam Board or to the Exams Office if agreed with the Exams Officer;
- Ensuring that all coursework/controlled assessments are marked and dispatched on time;
- Providing the Exams Officer with information to support any Special Consideration applications for NEA/coursework.
- Ensuring candidates with access arrangements are provided with the required support in all tests and internal examinations
- Deciding on individual resit requests at GCSE and A level in conjunction with the Senior Leader with responsibility for exams.

**Teachers are responsible for:**

- Identifying and then notifying the SENDCo/Member of SLT with responsibility for SENDCo of any concerns regarding individual students who may need access arrangements requirements (as soon as possible after the start of the course and no later than 31<sup>st</sup> October at the latest for students beginning GCSE or A Level Courses);
- Submission of candidates' names and tier of the paper to be sat to Subject Leaders.

**The member of SLT overseeing SENDCo is responsible for:**

- Identification of candidates that may require access arrangements;
- Arranging for testing of candidates and determining required access arrangements for students;
- Notifying all staff of a candidate's entitlement to Exam Access Arrangements once confirmed by the Exam Boards;
- Ensuring that the relevant documentation and evidence is held in accordance with JCQ regulations.



**The SENDCo is responsible for:**

- Provision of additional support - with spelling, reading, mathematics, dyslexia or essential skills, hearing impairment, English for speakers of other languages, IT equipment - to help candidates achieve their course aims.

**Candidates are responsible for:**

- Notifying the Exams Officer of any errors to entries;
- Informing a member of teaching staff or member of SLT overseeing SENDCo if they feel they would benefit from access arrangements and providing relevant evidence to support the application for access arrangements if requested;
- Understanding coursework/NEA regulations and signing a declaration that authenticates the coursework/NEA as their own;
- Informing the centre of any circumstances which may require special consideration to be applied for.

**Escalation Process**

In the event of the absence of the SLT member with responsibility for examinations, responsibility for implementing JCQ regulations and requirements relating to activity prior to examinations will be escalated to Danny Edwards, the Head of Centre, with support from the SLT.

In the event of the absence of the Head of Centre, the role will be undertaken by Charlotte Morgan-Russell, the Deputy Headteacher with necessary guidance from the Exams Officer.

**3. Qualifications**

The qualifications offered at this centre are decided by the Subject Leaders and Senior Leadership Team. The qualifications offered are GCE, GCSE, and BTEC, plus selected Level 1/2 vocational qualifications, selected Level 3 awards, at the discretion of the Head of Centre.

The subjects offered for these qualifications in any academic year may be found in the centre's published prospectus for that year. If there has been a change of specification from the previous year, the Exams Officer must be informed by the end of September.

Informing the Exams Officer of changes to a specification is the responsibility of the Subject Leaders.

Decisions on whether a candidate should be entered for a particular subject will be taken in consultation with the SLT member with responsibility for examinations.

**4. Exam Series and Timetables**

**Exam Seasons**

Internal Year 11 and 13 Mock exams and assessments are scheduled in Winter and Spring, all of which are held under external exam conditions. Internal exams for Years 7 to Year 10 and 12 are currently determined by the Senior Leadership Team and arranged by the SLT member with responsibility for examinations.

External exams and assessments are scheduled in November and June, with some BTEC and other modules being externally assessed in January.

The SLT member with responsibility for examinations decides which exam series are used in the Centre, in consultation with the Headteacher. On-demand tests can be scheduled only in windows agreed between the Exams Officer and the Senior Leadership Team.



### **Timetables and Communication**

In advance of each exam season (mock and external), examination timetables are provided by the Examinations Officer to students and staff.

A member of the Senior Leadership Team will ensure parents receive details of examination arrangements and that all relevant JCQ documentation and candidate notices are provided in line with JCQ regulations.

In advance of each exam season, supporting guidance for students and/or parents is provided by the appropriate member of the Senior Leadership Team.

Information will be published on the school website.

### **5. Entries, Entry Details and Late Entries, Including Retakes**

Candidates are selected for their exam entries by Subject Leaders. Entry deadlines are circulated to Subject Leaders by the Exams Officer.

Candidates or parents/carers can request a change of level/tier where applicable. The relevant Subject Leader will consider the request with input from their member of SLT and inform the candidate/parent whether this is in the candidate's best interests. In case of dispute, the Head of Centre will determine the action to be taken.

Students or parents/carers can request an entry for a non-taught or additional subject. The Exams Officer will look at the implications of the request and associated costs. Such entries will be at the discretion of the Head of Centre (Headteacher) and the candidate/parents must pay entry and any associated costs before the entry will be submitted to the Exam Board.

For non-taught languages, the student/parent is responsible for sourcing a suitable examiner for the speaking component along with any associated costs. If this cannot be provided and the school does not have a staff member that can conduct the exam, then the school will not accept the request for the exam entry.

The Centre only accepts entries from external candidates where there is an existing relationship, for example a former student wishing to return the following year for a re-sit. The Centre does not act as an exam centre for other organisations.

GCSE resits will be permitted under exceptional circumstances. Parents/students may request a resit. Decisions regarding individual resits will be taken by the SLT member with responsibility for examinations after consultation with the Subject Leader.

Late entries for re-sits are authorised by Subject Leaders and Exams Officer. The candidate/parents must pay entry and any associated costs before the entry will be submitted to the Exam Board.

### **6. Exam Fees**

Candidates or departments will not be charged for changes of tier, withdrawals made by the proper procedures or alterations arising from administrative processes, provided these are made within the time allowed by the Awarding Bodies. Departments may be charged for late withdrawals or changes which incur a cost to the school.

GCSE entry exam fees for the candidates taught subjects are paid by the Centre the first time.



AS entry exam fees for candidates taught subjects are paid by the Centre the first time.

A-level entry exam fees for the candidates taught subjects are paid by the Centre the first time.

Late entry or amendment fees for the candidates taught subjects are paid by the Departments.

Fee reimbursements are sought from internal candidates under the following circumstances:

- Those who decide to sit an exam after the late entry deadline;
- Those who decide to withdraw after the withdrawal deadline;
- Those who fail to sit an exam;
- Those who do not meet the necessary coursework requirements without medical evidence or evidence of other mitigating circumstances.

Re-sit fees are paid by the candidates for all exams including GCSE and AS/A-level exams. The school will pay the re-sit fees for individual units before certification for students sitting modular qualifications such as BTECs if the Subject Leader considers that this is in the student's interest. Consideration will be given to pupil premium students.

## **7. Equality Act**

All exam centre staff must ensure that they meet the requirements of the Equality Act (2010) and the Cox Green School Whole School Equality Policy.

A person has a disability under the Equality Act 2010 if they have a physical or mental impairment that has a 'substantial' and 'long-term' negative effect on their ability to do normal day-to-day activities.

To find out more about the requirements of the Equality Act visit the information pages on the .GOV website.

The centre will meet the disability provisions under the Equality Act 2010, by ensuring that the Exams Centre is accessible and improving candidate experience. This is the responsibility of the Head of Centre and Exams Officer.

## **8. Access Arrangements**

Some candidates may be entitled to access arrangements which allow candidates/learners with special educational needs, and/or disabilities or temporary injuries, to access the assessment without changing the demands of the assessment and being disadvantaged due to their needs. This can occur where a candidate has a significant difficulty or disability which has a clear, measurable and substantial adverse effect on their performance. The Centre has a responsibility to clearly explain candidates' normal way of working, and to clearly demonstrate the need for any access arrangements.

It is the responsibility of the member of SLT with SENDCo responsibility to arrange for assessment of whether candidates should be entitled to access arrangements, and to store all relevant evidence. If parents have concerns regarding their son/daughter, they should contact the SENDCo in the first instance. The Centre does not accept privately commissioned assessments or reports without prior consultation and if parents wish for the school to use privately commissioned assessment reports they are responsible for ensuring that the assessor fully completes Section B of Form8.

If the SENDCo/the member of SLT with responsibility for SENDCo believes that a candidate should be entitled to access arrangements, they must arrange for a qualified person to assess the student and they will be assessed to determine what access arrangements ensures that 'barriers to assessment are removed for a





disabled candidate and are required to preventing him/her/the student from being placed at a substantial disadvantage'. The SENDCo will submit access arrangement applications to the Awarding Body(ies) in line with published deadlines and inform the Exams Officer and Subject Leaders where access arrangements have been granted to allow them to make all necessary arrangements.

Except in exceptional circumstances, students will be assessed and their approved access arrangements will be put in place by the end of the academic year prior to the year they first start a course leading to external exams. The should be in place in time for planning and preparation for mock exams to provide evidence of their normal way of working. After the mock exams, all access arrangements will be reviewed to determine what arrangements have been used and therefore what each student is eligible for and wishes to use for external exams. Students are able to request that an agreed access arrangement is removed, the student is responsible for notifying the SENDCo and it is at the SENDCo's discretion whether the request is authorised.

Where a candidate suffers a temporary injury or impairment, the SENDCo/member of SLT with responsibility for SENDCo in consultation with the Exams Officer will investigate whether access arrangements are appropriate and whether an application for special consideration is required.

The Exams Officer is responsible for ensuring that approved access arrangements are provided for candidates taking exams, including rooming, invigilation, and appropriate support and or equipment/resources.

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

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

Sian Hughes– Certificate of Competence in Educational Testing and Access Arrangements (CCET and AAC (CPT3A)).

Copies of the assessors qualifications are held in the Exams Access Arrangement Coordinator's File or can be checked live using the following link and details:

<https://realtraining.co.uk/cpt3a-validator#:~:text=Use%20this%20tool%20to%20verify,certificate%20number%2C%20please%20contact%20us.>

First Name: Sian Last Name: Hughes Certificate Number: N08816

#### **Appointment of additional assessors of candidates with learning difficulties**

The school will only accept reports from external assessors for access arrangements if they are able to build a relationship with the assessor, obtain proof of qualifications and share relevant information e.g. Form 8 / Form 9, prior to assessments being carried out.



If the school agrees to work with an external assessor a copy of their qualifications will be held on file. These will also be shared with post-16 providers if the student leaves Cox Green School at the end of Year 11 and requests for this information to be shared.

If a student has had access arrangements approved at a different setting and then subsequently transfers to Cox Green School, the previous school is contacted to request a current Form 8 and associated proof of assessor qualifications. For students progressing from KS4 to KS5 a Form 8RF will be completed confirming the continuing need for access arrangements.

## **9. Contingency Planning**

Contingency planning for exams administration is the responsibility of the member of SLT with responsibility for exams.

## **10. Managing Invigilators**

The school's invigilators will be used for external exams and for internal exams held in the Sports Hall unless the SLT determine that alternative arrangements are needed due to timing or external exams take priority.

Recruitment of invigilators is the responsibility of the Exams Officer in conjunction with the HR Manager.

Securing the necessary Disclosure Barring Service (DBS) clearance for new invigilators is the responsibility of the Centre administration.

DBS fees for securing such clearance are paid by the Centre.

Invigilators are timetabled and briefed by the Exams Officer.

Invigilators' rates of pay are set by the Centre administration.

Invigilators will be observed at least once during each exam season.

## **11. Malpractice**

The Exams Officer is responsible for investigating suspected malpractice and reporting to the Head of Centre.

## **12. Exam Days**

The Exams Officer will book all exam rooms after liaison with other users and make the question papers, other exam stationery and materials available for the invigilator(s).

The Site Manager is responsible for setting up the allocated rooms.

The Exams Officer or nominated invigilator will start all exams in accordance with JCQ guidelines.

In practical exams, subject teachers may be on hand in case of any technical difficulties or to provide permitted assistance, otherwise teaching staff may not be present in any exam room in line with JCQ regulations.

Unused exam papers will be made available to Subject Leaders at the end of the exam session in line with



JCQ regulations.

For internal exams only, a relevant subject teacher may be available to read out any subject-specific instructions and start the exam, if required.

### **13. Candidates and Identifying Candidates**

The Centre's published rules on acceptable dress, behaviour and candidates' use of mobile phones and other electronic devices apply at all times. JCQ regulations, regarding for example possession of mobile phones and watches in an exam room, must be adhered to by students.

Candidates' personal belongings remain their own responsibility and the centre accepts no liability for their loss or damage.

Disruptive candidates are dealt with in accordance with JCQ guidelines. Candidates are expected to stay for the full exam time (including any approved extra time access arrangements) at the discretion of the Exams Officer or Senior Invigilator.

Note: candidates may only leave the exam room for a genuine purpose and are required to return immediately to the exam room. They must be accompanied by a member of staff at all times.

The SLT will designate a member of staff to contact students who are absent for an external exam and encourage them to attend before the JCQ cuff-off for late arrival. The Exams Officer is responsible for admitting late candidates to the exam room and for any necessary Exam Board paperwork for absent candidates on exam day or subsequently.

The SAFE Manager and Senior Leadership Team confirm the identity of the students prior to entry in the Exam Hall.

#### **Clash Candidates**

The Exams Officer will be responsible for making arrangements for students with clashes as necessary. For example, on-site supervision between sessions, identifying a secure venue and arranging overnight supervision requests to the appropriate Exam Boards.

#### **Special Consideration**

Should a candidate be ill before an exam, suffer bereavement or other trauma, be taken ill during the exam itself or otherwise disadvantaged or disturbed during an exam, then it is the candidate's responsibility to alert the centre, the Exams Officer, or the exam invigilator, to that effect.

The candidate must support any special consideration claim with appropriate evidence within three days of the exam, for example by providing a letter from the candidate's doctor.

The Exams Officer will collate the evidence for consideration and approval by the member of SLT with responsibility for exams before submitting all approved special consideration requests to the relevant Awarding Body within the JCQ deadlines.

#### **Private Candidates**

Managing private candidates, where accepted, is the responsibility of the Exams Officer.

### **14. Internal Assessments/NEA and Appeals**



Non-examination Assessments (NEAs) are often referred to as internal assessment or coursework. These form part of the whole qualification and assessment process and are subject to JCQ regulations.

It is the duty of Subject Leaders to ensure that all NEA work is ready for despatch at the correct time. Where requested by the Subject Leader, the Exams Officer will assist by keeping a record of each despatch, including the recipient details and the date and time sent.

Subject Leaders/teachers MUST indicate to students how they have done in internal assessments in line with the JCQ guidance on NEA marks. However, students must also be aware that this mark is preliminary and may change due to moderation. Signed forms showing that students have been given their marks for all internally assessed work are provided to the Exams Office by the Subject Leaders. The Subject Leader will keep a copy of these marks and the process used to arrive at them to enable candidates to request a review of the centre's marking prior to the marks being submitted to the Awarding Body, should they wish to do so.

The Subject Leader can either arrange entry of the marks and provision of the sample to the Exam Board within their Department or liaise with the Exams Office to agree a deadline for the Exams Officer to input marks and upload/despatch sample work. It is the responsibility of the Subject Leader to ensure that all work is in the correct format and that all necessary forms/signatures etc are obtained and provided for submission to the Exam Board.

#### **Appeals Against Internal (Non-Examination) Assessments**

The process for managing appeals against internal assessments is detailed in a separate Appeals Policy. (See Appendix 1).

Appeals against internal assessments and the internal review process must be made prior to an Awarding Body's date for submitting marks. Subject Leaders are responsible for ensuring that students are notified of their marks and given a clear date which takes in to account the time it will take to review any marks and submit the final marks to the Awarding Body by the published deadline.

## **15. Results**

#### **Results, Review of Results (RoRs) and Access to Scripts (ATS)**

Unless otherwise agreed by the SLT, candidates will receive individual result slips on results days, in person at the Centre. Arrangements for the centre to be open on results days are made by the Exams Officer in conjunction with the Site Team and SLT.

The provision of staff for handing out results on results days is the responsibility of the Exams Officer. In practice as there will be sixth-form interviews for Year 11 students and support for Year 13 students, the Exams Officer should liaise with others involved in these days

#### **Review of Results (RoRs)**

RoRs may be requested by Centre staff or candidates if there are reasonable grounds for believing there has been an error in marking. The candidate's consent is required before any RoR is requested.

If a student is unhappy with their results, the candidate may apply to have an enquiry carried out. In the majority of cases they will be charged. In exceptional circumstances, the Exams Officer, teaching staff and Head of Centre will investigate the feasibility of asking for a Review of Marking at the Centre's expense.

Written permission must be obtained from the candidate and confirmation of payment from a parent/carer must be made before an EAR is requested. The student, and for those aged under 18, a parent/guardian must confirm that they understand that results can go down as well as up as a result of a Review of Marking or



other RoRs.

### **Access to Scripts (ATS)**

After the release of results, candidates may ask subject staff to request the return of papers by the deadline set by the Exam Board. There will be a charge to the student for this service.

Centre staff may also request scripts for investigation or for teaching purposes. For the latter, the consent of candidates must be obtained and the appropriate form signed. This will be charged to the department.

Where set by an Exam Board, a Review of Marking cannot be applied for once a script has been returned.

## **16. Certificates**

Certificates will be issued, signed for and dated in school to candidates who have remained on the school roll. Certificates for those who do not return to school will be posted using a secure delivery service on request and with payment of a fee to cover the postage.

Certificates can be collected on behalf of a candidate by third parties, provided they have written authorisation to do so.

The Centre retains certificates for one year in line with JCQ regulations. After this time the certificates may be destroyed (using a confidential method) – a record of destroyed certificates must be retained.

A transcript of results may be issued if a candidate agrees to pay the costs incurred.

## **17. Emergency Procedure**

In the unlikely event of a fire alarm, bomb alert or other serious emergency during an exam, the following will apply:

- There are two types of warning bells in the school. The first is a continuous bell which is the fire alarm bell and the exam invigilators will be notified by SLT in charge of exams or the exams officer if the candidates need to evacuate. The second is five short bells followed by a gap and then five more. This means that you should stay in the room and the exam invigilators will receive further instructions;
- Once it has been established that evacuation of the building is required, the candidates will be asked to stop writing and turn their paper over. The invigilators will make a note of the time;
- The candidates must leave their question and answer papers along with any equipment on their desks. All personal possessions are to remain in the room;
- The candidates will be reminded that they can be disqualified if they communicate with each other or any other person at ANY time whilst outside of the examinations room or in the process of returning to the examinations room;
- The candidates will be asked to leave the room quickly and quietly in single file and in their seating order;
- The invigilators/staff will accompany the candidates at all times;
- They will be accompanied to the field behind the Sports Hall away from other students;
- A note will be made of how long the candidates are out of the exam room and any malpractice during this time;
- An attendance register using the seating plan will be taken and the invigilator will ensure that the candidates are lined up in that order;
- During the period of evacuation an invigilator will stay local to the examination room to ensure security of papers, if it is safe to do so;



- When instructions are given, the candidates undertaking exams will be dismissed from the allocated area first and should return to the examination room in silence;
- The attendance register will be retaken to ensure all the candidates have returned to the exams room;
- The exam will recommence allowing the candidates to have the correct remaining amount of time to finish the examination;
- A report will be completed by the Exams Officer detailing the incident and they will liaise with the Exam Board(s) and complete any necessary forms for the Board(s)

## **18. Communication of Policy**

This policy will be published on the school website and the staff intranet.

## **19. Review**

This policy will be reviewed every year by Cox Green Senior Leadership Team.



## Appendix 1

### Complaints Policy (Exams)

#### Key Staff Involved

Role	Name(s)
Exams Officer	Mr George Hart
Exams Officer Line Manager (Senior Leader)	Miss Kim Gratton
Head of Centre	Mr Danny Edwards
The member of SLT with responsibility for SENDCo	Ms Sian Hughes

#### Purpose of the policy

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

#### Grounds for complaint

A candidate (or his/her/parent/carers) 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
- 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
- Candidate unhappy with internal assessment decision (complainant to refer via subject leader to the centre's *internal appeals procedure*)
- Centre fails to adhere to its *internal appeals procedure*

#### **Access arrangements and special consideration**

- Candidate not assessed by the centre's appointed assessor
- Candidate not involved in decisions made regarding his/her access arrangements
- Candidate did not consent to personal data being shared electronically (by the non-acquisition of a signed Data Protection Notice)
- Candidate not informed/adequately informed of the arrangements in place and the subjects or components of subjects where the arrangements would not apply
- Exam information not appropriately adapted for a disabled candidate to access it
- Adapted equipment put in place failed during exam/assessment
- Approved access arrangement(s) not put in place at the time of an exam/assessment
- Appropriate arrangements not put in place at the time of an exam/assessment as a consequence of a temporary injury or impairment
- Candidate unhappy with centre decision relating to access arrangements or special consideration (complainant to refer via subject leader to the centre's *internal appeals procedure*)
- Centre fails to adhere to its *internal appeals procedure*

#### **Entries**

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

#### **Conducting examinations**

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

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

- Before exams, candidate not made aware of the arrangements for post-results services and the accessibility of senior members of centre staff after the publication of results





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

### **Raising a concern/complaint**

If a candidate (or his/her parent/carer) has a general concern or complaint about the centre's delivery or administration of a qualification he/she is following, Cox Green School 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 complaint should be submitted in writing by completing a complaints form
- Forms are available on the schools' website.
- Completed forms should be returned to Head of Centre
- Forms received will be logged by the centre and acknowledged within 7 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

### **Internal appeals procedure**

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 internal appeals form
- Forms received will be logged by the centre and acknowledged within 7 calendar days
- The appeal will be referred to Chair of Governors (or a special Committee of the Governing body) for consideration
- The Chair of Governors (or Committee) will inform the appellant of the final conclusion in due course



### Complaints form

Please tick box to indicate the nature of your complaint

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

#### FOR CENTRE USE ONLY

Date received

Reference No.

**Name of complainant**

**name** different to complainant

**Candidate name** if different to  
complainant

Please state the grounds for your complaint 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

*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 signature:

Date of signature:

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



### Complaints log

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

Ref No.	Date received	Complainant Name	Outcome	Outcome date



## Appendix 2

### Internal Assessment Appeals Procedure - Centre Assessed Marks

#### (GCSE Controlled Assessments, GCE Coursework, GCE and GCSE Non-Examination Assessments and Project Qualifications)

Cox Green School is committed to ensuring that whenever its staff mark candidates' work this is done fairly, consistently and in accordance with the Awarding Body's specification and subject-specific associated documents.

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

Cox Green School will:

- Ensure that candidates are informed of their centre assessed marks so that they may request a review of the centre's marking before marks are submitted to the Awarding Body;
- Inform candidates that they may request copies of materials to assist them in considering whether to request a review of the centre's marking of the assessment;
- Having received a request for copies of materials, promptly make them available to the candidate;
- Provide candidates with sufficient time in order to allow them to review copies of materials and reach a decision;
- 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.
- Allow sufficient time for the review to be carried out, to make any necessary changes to marks and to inform the candidate of the outcome, all before the Awarding Body's deadline;
- Ensure that the review of marking is carried out by an assessor who has appropriate competence, has had no previous involvement in the assessment of that candidate and has no personal interest in the review;
- Will instruct the reviewer to ensure that the candidate's mark is consistent with the standard set by the centre;
- Will inform the candidate in writing of the outcome of the review of the centre's marking.

A student or parent wishing to appeal against the procedures used in internal assessments should contact the Examinations Officer, as soon as possible to discuss the appeal, and a written appeal, stating the details of the complaint and the reasons for the appeal, must be received by the School within 5 working days of receiving the mark for the internal assessment.

The member of SLT with responsibility for exams will lead this process, and will be responsible for disseminating information to all students (and their parents/carers) about the appeals procedures, and for informing the Headteacher of the existence and outcome of any such appeals.

On receipt of a written appeal, an enquiry into the internal assessment will be conducted by an assessor who has appropriate competence, has had no previous involvement in the assessment of that candidate for the component in question, and has no personal interest in the outcome of the review. This enquiry will consider whether the mark that has been awarded is in line with the standard set for other candidates at the school. It will take in to account:



- The candidate's work (where the evidence of this is ephemeral, for example in Drama or Music, then the recording of the work should be given to the reviewer);
- The mark sheet completed by the teacher which usually shows the breakdown of marks per Assessment Objective (AO) or section of the mark scheme;
- Information regarding any internal standardisation to ascertain whether consistent standards were applied by the original marker to the candidate's work; and
- Any comments/annotation made by the teacher during the marking process.

The candidate will be informed in writing of the outcome of the appeal, including details of any relevant communication with the reviewer and or any steps taken to further protect the interests of the candidates.

If the candidate is not happy with the written response from the panel they may request a personal hearing. A hearing will be arranged by the member of SLT with responsibility for exams, giving reasonable notice to all concerned. The candidate may have sight of all relevant documents (e.g. marks given, the assessments made) in advance of the hearing. Where the candidate is presenting their own case, they may be accompanied by a (single) carer or friend. The teacher(s) and candidate may have the opportunity to hear each other's submission to the panel at the hearing.

The outcome of the review of the centre's marking will be made known to the Head of Centre. A written record of the review will be kept and made available to the Awarding Body upon request.

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

### **Information for Students**

If at any stage during your exam courses you have concerns about the procedures used in assessing your internally marked work for public exams (e.g. coursework/portfolio/projects/ performance), you should first speak with your subject teacher and/or your form tutor and discuss the matter fully with them. Hopefully this will resolve the situation. If you are still unhappy, you should then see the Examinations Officer as soon as possible.

### **External Assessment Appeals Procedure (Review of Marking)**

Each Awarding Body publishes procedures for appeals against its decisions, and the Examinations Officer will be able to advise students and parents of these procedures.

Where a candidate is unhappy with the mark awarded for a particular exam unit or the overall grade for a subject a clerical check or Review of Marking (often referred to as a re-mark) may be requested via the Exams Office. The candidate will be required to acknowledge that their grade may be confirmed, raised or lowered and will be responsible for paying the relevant fee at the time of the request. The decision as to whether to support such an enquiry will be made by Cox Green School on the basis of several factors, including knowledge of the exam system and professional judgement.



## Internal Marking Appeal Request Form

Name of Student: \_\_\_\_\_ Candidate No: \_\_\_\_\_

Exam Board: \_\_\_\_\_ Subject: \_\_\_\_\_

Module: \_\_\_\_\_ Series: \_\_\_\_\_

Mark Recorded by Centre: \_\_\_\_\_

Have you had access to, or seen copies of, your marked assessment materials with comments recorded by the Centre? NB Original work/materials can only be viewed on site and under the supervision of a member of school staff	Y/N
Have you seen the mark scheme or assessment criteria?	Y/N

Please give your reasons for requesting an appeal against the procedures used for the internal assessment. Please refer to the mark scheme/assessment criteria and highlight where you feel that insufficient credit has been given.

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I confirm that I am aware of the JCQ/Exam Board guidance and the Cox Green School policy. I agree to meet all costs involved if the appeal does not result in an increase in the mark awarded.

I am aware that the moderation process carried out by the awarding bodies may result in a mark change, either upwards or downwards, even after an internal review

Name: \_\_\_\_\_ Candidate Number: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_



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

This procedure confirms Cox Green School's 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 an application for a clerical re-check, a review of marking, a review of moderation or an appeal

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

Candidates are informed of the arrangements for post-results services prior the publication of results via the school website.

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

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

#### **Reviews of Results (RoRs):**

- Service 1 (Clerical re-check)
- This is the only service that can be requested for objective tests (multiple choice tests)
- Service 2 (Review of marking)
- Priority Service 2 (Review of marking)
- This service is available for externally assessed components of both unitised and linear GCE A-level specifications (an individual awarding body may also offer this priority service for other qualifications)
- Service 3 (Review of moderation)
- This service is not available to an individual candidate

#### **Access to Scripts (ATS):**

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

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

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

1. Where a place a university or college is at risk, consider supporting a request for a Priority Service 2 review of marking
2. In all other instances, consider accessing the script by:
  - a) (where the service is made available by the awarding body) requesting a priority copy of the candidate's script to support a review of marking by the awarding body deadline or



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

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

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

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

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

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

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





If the candidate (or his/her parent/carer) believes there are grounds to appeal against the centre's decision not to support an enquiry, an internal appeal can be submitted to the centre by completing the **internal appeals form** at least 7 calendar days prior to the internal deadline for submitting an EAR.

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

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

Where the head of centre is satisfied after receiving the RoR outcome, but the candidate (or his/her parent/carer) believes there are grounds for a preliminary appeal to the awarding body, a further internal appeal may be made to the head of centre. Following this, the head of centre's decision as to whether to proceed with a preliminary appeal will be based upon the acceptable grounds as detailed in the JCQ Appeals Booklet. Candidates or parents/carers are not permitted to make direct representations to an awarding body.

The **internal appeals form** should be completed and submitted to the centre within 15 calendar days of the notification of the outcome of the EAR. Subject to the head of centre's decision, this will allow the centre to process the preliminary appeal and submit to the awarding body within the required **30 calendar days** of receiving the outcome of the Review of Results process. Awarding body fees which may be charged for the preliminary appeal must be paid to the centre by the appellant before the preliminary appeal is submitted to the awarding body (fees are available from the exams officer). If the appeal is upheld by the awarding body, this fee will be refunded by the awarding body and repaid to the appellant by the centre.

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

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

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

Cox Green School will:

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

### **Access arrangements and reasonable adjustments**

In accordance with the regulations, Cox Green School:

- recognises its duty to explore and provide access to suitable courses, through the access arrangements process submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates.



- complies with its responsibilities in identifying, determining and implementing appropriate access arrangements and reasonable adjustments

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

Examples of failure to comply include:

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

### **Special consideration**

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

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

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

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

- If a candidate who is the subject of the relevant decision (or the candidate's parent/carer) disagrees with the decision made and reasonably believes that the centre has not complied with its responsibilities or followed due procedures, a written request setting out the grounds for appeal should be submitted
- An internal appeals form should be completed and submitted within 3 calendar/working days of the decision being made known to the appellant.

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

The appellant will be informed of the outcome of the appeal within 7 calendar/working days of the appeal being received and logged by the centre.

If the appeal is upheld, Cox Green School will proceed to implement the necessary arrangements/submit the necessary application].

### **Appeals regarding centre decisions relating to other administrative issues**

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

Where Cox Green School may make a decision that affects a candidate or candidates:



- If a candidate who is the subject of the relevant decision (or the candidate's parent/carer) disagrees with the decision made and reasonably believes that the centre has not complied the regulations or followed due process, a written request setting out the grounds for appeal should be submitted
- An internal appeals form should be completed and submitted within 3 calendar/working days of the decision being made known to the appellant.

The appellant will be informed of the outcome of the appeal within 7 calendar/working days of the appeal being received and logged 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
- ☐ Appeal against the centre's decision relating to access arrangements or special consideration
- ☐ Appeal against the centre's decision relating to an administrative issue

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

<b>Name of appellant</b>		<b>Candidate name if different to appellant</b>	
<b>Awarding body</b>		<b>Exam paper code</b>	
<b>Subject</b>		<b>Exam paper title</b>	

Please state the grounds for your appeal below

*(If applicable, tick below)*

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

Appellant signature: \_\_\_\_\_ Date of signature: \_\_\_\_\_

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



### Appeals log

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

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

Ref No.	Date received	Appeal	Outcome	Outcome date

### Further guidance to inform and implement appeals

#### JCQ

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

#### Ofqual

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



## Appendix 3

### Controlled Assessment Policy

#### Procedure

Departments arrange the Controlled Assessment/Internal Assessment/NEA in consultation with the member of SLT with responsibility for exams. This should include details of the level of control needed, the number of staff and rooms required and, if appropriate, the number and dates for provision of Invigilator supervision. The Exams Officer and Cover Manager will then confirm whether the Controlled Assessment can take place at the requested time. This will happen during the summer term of the year preceding the Controlled Assessments taking place.

If departments wish to change or further specify the timing of their Assessments, they must submit this request to the Examinations Officer and Cover Manager. The member of SLT with responsibility for exams will confirm whether this change is acceptable.

Where Assessments occur under high levels of control, and where students are using computers, then the IT technicians must be informed at least four weeks in advance. The IT technicians will then ensure that the appropriate levels of access and control are in place when the Assessment is taking place.

#### Setting Assessments

- Departments must check whether tasks are to be set by the Awarding Body or by departments themselves. This information is contained in the subject specifications.
- Teaching and Controlled Assessment must be entirely separate.
- Candidates should know the assessment criteria.
- All assessments must be set in line with the Awarding Body specification and procedures.

#### Completing Controlled Assessments

- Awarding Bodies will impose a high, medium or low level of control.
- The Subject Leader must ensure that they are fully aware of the appropriate level of control set by the Exam Board and the requirements that teachers and students must follow.
- The JCQ Instructions for conducting non-examination assessments must be followed.
- If necessary the Subject Leader must arrange with the Exams Officer for provision of material (e.g. JCQ posters), supervision by invigilators and any materials provided by the Exam Board (e.g. registers)

#### Students with Extra Time

- Many students are entitled to up to 25% extra time in their examinations. They are also entitled to that 25% extra for Controlled Assessment. Subject teachers should ensure that appropriate arrangements are in place to ensure they have their extra time. One way to manage this is to have a longer window for Controlled Assessment than most students will need. Most students will therefore finish their Controlled Assessment early, and can move onto other tasks set by the teacher. Those who require extra time, or who have missed lessons, can then complete their Controlled Assessment in the window available.
- The Examinations Officer will ensure that Subject Leaders have the names of these students.

#### Use of Images

Where learners include videos or photos of themselves to be used in Controlled Assessments, subject teachers must check with the Data Officer that consent has been given by parents/carers. No videos or



photos of students may be used without parental consent.

### **Security**

- Work may be stored by subject departments if this is in line with Exam Board regulations.
- Written work must be secured in a locked metal cabinet.
- Where there is a practical need, materials can be left in a locked classroom from the end of one session to the start of the next. This may also happen where materials need to dry overnight etc.

### **Authentication Procedures**

- Work must be authenticated by candidates and teachers, using the authentication form produced by Awarding Bodies. If a form is not provided students must be asked to sign a form stating that the work is their own unaided work and teachers must sign to confirm that the work is solely the students as was carried out under the required conditions.
- Where work has not been authenticated, the Awarding Body will give 0 marks.

### **Internal and External Standardisation**

- There must be one person in overall charge of standardisation for each specification (usually the Subject Leader or Key Stage 4 manager).
- Refer to Awarding Body specifications and to JCQ Instructions for conducting non-examination assessments.
- There should be trial marking exercises before marking of all scripts.
- Standardisation procedures should take place after marking of all scripts.
- Details on annotation are included in the JCQ Instructions for conducting no-examination Assessments.
- Departments must retain evidence that internal standardisation has been carried out.
- Procedures for external standardisation are similar to coursework.

### **Submission of Marks**

- Marks must be submitted to the Awarding Body by the required date.
- Samples required for external moderation must be despatched.
- Those not required for moderation must be stored securely until all possible post-results services have been exhausted.
- Assessments can be returned after deadline for enquiries about results has passed or after an Review of Results has been exhausted.

### **Malpractice**

Candidates must not:

- Submit work which isn't their own;
- Lend their work to others;
- Allow others to use their own independently sourced material;
- Use any information without attribution;
- Any malpractice must be reported to the Examinations Officer.

### **Miscellaneous Assessment Issues**

- Candidates may appeal against the marks awarded by the school using the school's Appeals Procedure (see Appendix 1).
- Candidates suffering prolonged absence may be able to submit a reduced quantity of work provided all assessment objectives have been covered. A special consideration form exists for this.



## **Staff Responsibilities for GCSE Controlled Assessment**

### **Senior Leadership Team:**

- Are accountable for the safe and secure conduct of Controlled Assessments. Ensure assessments comply with JCQ guidelines and Awarding Bodies' subject-specific instructions;
- At the start of the academic year, begin coordinating with Subject Leaders/subject to schedule Assessments;
- Map overall resource management requirements for the year. As part of this resolve:
  - Clashes/ problems over the timing or operation of Assessments;
  - Issues arising from the need for particular facilities (rooms, IT networks, time out of school etc).
- Ensure that all staff involved have a calendar of events;
- Create, publish and update an internal appeals policy for Internal Assessments.

### **Subject Leaders:**

- Decide on the Awarding Body and specification for a particular GCSE;
- Ensure that the assessment is conducted in accordance with the Awarding Body specification and JCQ regulations;
- Standardise internally the marking of all teachers involved in assessing an internally assessed component;
- Ensure that individual teachers understand their responsibilities with regard to Assessment;
- Ensure that individual teachers understand the requirements of the Awarding Body's specification, JCQ regulations and are familiar with the relevant teachers' notes, and any other subject specific instructions;
- Where appropriate, develop new assessment tasks or contextualize sample Awarding Body assessment tasks to meet local circumstances, in line with Awarding Body specifications and control requirements;
- Supply to the Exams Officer details of all unit codes for Controlled Assessments and if needed arrange provision of materials and invigilator supervision with the Exams Officer.

### **Teaching Staff:**

- Understand and comply with the general guidelines contained in the JCQ publication Instructions for conducting Non-examination Assessments;
- Understand and comply with the Awarding Body specification for conducting Assessments, including any subject-specific instructions, teachers' notes or additional information on the Awarding Body's website;
- Obtain confidential materials/tasks set by Awarding Bodies in sufficient time to prepare for the assessment(s) and ensure that such materials are stored securely at all times;
- Supervise assessments (at the specified level of control). Undertake the tasks required under the regulations, only permitting assistance to students as the specification allows;
- Ensure that students and supervising teachers sign authentication forms on completion of an assessment;
- Mark internally assessed components using the mark schemes provided by the Awarding Body. Submit marks through the Exams office to the Awarding Body when required, keeping a record of the marks awarded;
- Retain candidates' work securely between assessment sessions (if more than one);
- Post-completion, retain candidates' work securely until the closing date for enquiries about results. In the event that an enquiry is submitted, retain candidates work securely until the outcome of the





enquiry and any subsequent appeal has been conveyed to the centre;

- Ask the SENDCo for any assistance required for the administration and management of access arrangements e.g. for students with Special Educational Needs, who need laptops, or who have been granted extra time.

**Exams Officer:**

- Enters students for individual units, whether assessed by internal assessment, external exam or on-screen test, before the deadline for final entries;
- Enters students' 'cash-in' codes for the terminal exam series;
- Where confidential materials are directly received by the Exams Officer, is responsible for receipt, safe storage and safe transmission, whether in CD or hard copy format;
- Downloads and distributes registers for teaching staff to use, and collects and sends registers to Awarding Bodies before deadlines;
- Liaises with the Subject Leader to ensure the collection and sends assessment samples required by the external moderator;
- On the few occasions where assessment cannot be conducted in the classroom, arranges suitable accommodation and invigilation if appropriate to allow assessment to be carried out, at the direction of the Senior Leadership Team;
- Ensures access arrangements granted by the Awarding Bodies are provided, including providing information to the SENDCo to enable them to provide support staff for students who are entitled to them, where this support is above and beyond the support such students normally receive in lessons.

**The Member of SLT Responsible for SENDCo:**

- Ensures access arrangements have been applied for prior to the commencement of any NEA work;
- Supports the Examinations Officer to ensure that access arrangements granted by the Awarding Bodies are met, including providing support staff for students who are entitled to them.



## Appendix 4

### Controlled Assessment Risk Management Process

	Remedial Action		Staff
	Forward planning	Action	
Timetabling			
Controlled assessment schedule clashes with other activities	Plan/establish priorities well ahead (e.g. at the start of the academic year)	Plan dates in consultation with school calendar – negotiate with other parties	Subject Leader/ member of SLT with responsibility for exams.
Too many controlled assessments close together across GCSE subjects	Plan controlled assessments so they are spaced over the duration of the course	Space controlled assessments to allow candidates adequate time between them	Subject Leader/ member of SLT with responsibility for exams.
Accommodation			
Insufficient space in classrooms for candidates	Once the size of the cohort is known at the start of the year, flag instances where regular classroom space may not be suitable to conduct controlled assessments	Use more than one classroom or multiple sittings where necessary	Subject Leader/ member of SLT with responsibility for exams.
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms/centre facilities		Cover Manager
Control Levels for Task Taking			
The assessment is undertaken under incorrect level of control (time, resources, supervision and collaboration)	Ensure teaching staff know what level is applicable and understand what is involved. Provide training if required	Seek guidance from the Awarding Body	Exams Officer & Subject Teacher



<b>Absent Candidates</b>			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates		
<b>Downloading Awarding Body Set Tasks</b>			
IT system unavailable on day of assessment	Download tasks well ahead of scheduled assessment date in all cases	Book IT equipment well ahead and download tasks before scheduled date of assessment	I.T. Network Support Manager
Teaching staff unable to access task details	Test secure access rights ahead of controlled assessment schedule every year and every session	Ensure teaching staff have access rights for the correct area of Awarding Body secure extranet sites well ahead of the controlled assessment schedule	Exams Officer
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Contact Awarding Body and ask for replacement task; download again	Exams Officer
<b>Supervision</b>			
Student study diary/plan not provided or completed*	Ensure teaching staff are aware of the need for study diary/plans to be completed early in course	Ensure candidates start, continue and complete study diary/plans that are signed after every session	Subject Teacher
Teaching staff do not understand that the supervision of controlled assessments is their responsibility	Ensure teaching staff fully understand the nature of controlled assessments and their role in supervising assessments		Exams Officer
A suitable supervisor has not been arranged for an assessment where teaching staff are <b>not</b> supervising	A suitable supervisor must be arranged for any controlled assessment session where a teacher is not supervising, in line with		Exams Officer



	the Awarding Body's specification		
<b>Task Setting</b>			
Teaching staff fail to correctly set tasks	Ensure teaching staff fully understand the task setting arrangements as defined in the Awarding Body's specification**	Seek guidance from the Awarding Body	Exams Officer
Assessments have not been moderated in line with the Awarding Body's specification	Check specification and plan required moderation appropriately	Seek guidance from the Awarding Body	Subject Leader
<b>Security of Materials</b>			
Assessment tasks not kept secure before assessment	Ensure teaching staff fully understand the importance of task security	Contact the Awarding Body to request/obtain different assessment tasks	Exams Officer
Candidates' work not kept secure during or after assessment	Define the appropriate level of security, in line with the Awarding Body's requirements, for each department as necessary	Seek guidance from the Awarding Body	Exams Officer
Insufficient or insecure storage space	Look at provision for suitable storage at the start of the GCSE course	Find alternative storage within the centre	Exams Officer
<b>Deadlines</b>			
Deadlines not met by candidates	Ensure all candidates are briefed on deadlines and the penalties for not meeting them	Mark what candidates have produced by the deadline  Seek guidance from Awarding Body on further action	Subject Teacher
Deadlines for marking and/or paperwork not met by teaching staff	Ensure teaching staff are given clear deadlines (prior to the Awarding Body deadline) to complete	Seek guidance from Awarding Body	Exams Officer/ Senior Leadership



	marking/paperwork (Marks can then be processed and submitted ahead of Awarding Body deadlines)		
<b>Authentication</b>			
Candidate fails to sign authentication form	Ensure all candidates have authentication forms to sign  Ensure that the authentication form is securely attached to their work when it is completed and handed in for marking	Find candidate and ensure authentication form is signed	Subject Leader
Teaching staff fail to complete authentication forms or leave before completing the authentication process	Ensure teaching staff fully understand the importance of authentication forms and the requirement of a signature	Return the authentication form to the teacher for signature  Ensure authentication forms are signed as work is marked	Subject Leader/ Exams Officer
<b>Marking</b>			
Teaching staff interpret marking descriptions incorrectly	Ensure appropriate training and practicing of marking  Plan for sampling of marking during the practice phase	Arrange for re-marking  Consult the Awarding Body's specification for appropriate procedures	Subject Leader/ Senior Leadership
Centre does not run the standardisation activity as required by the Awarding Body	Plan against the Awarding Body's requirements for standardisation, i.e. when and how this activity must be conducted	Check with the Awarding Body whether a later standardisation event can be arranged	Exams Officer/ Senior Leadership

\* Not all GCSE controlled assessments will require the completion of a study diary or study plans

\*\* All tasks whether set by the Awarding Body or the centre **must** be developed in line with the requirements of the specification.



## Appendix 5

### BTEC Appeals Procedures

All students will be informed about the Appeals Procedure and have access to a copy of the written procedure.

The Appeals Procedure is set in three stages and will be overseen by the Quality Nominee.

The Head of the Centre will be provided with any appeals and their outcome.

There are only 3 grounds on which a learner can appeal:

- 1. If they feel the grading criteria were being met and the teacher failed to recognise this;***
- 2. If they feel that they have not been supported appropriately during the assessment of the unit by the assessor;***
- 3. If the teacher is not willing to accept alternative evidence as meeting the evidence requirement.***

#### **Stage 1 - (This stage should be undertaken within 3 working days)**

1. The learner communicates the grounds for appeal to the assessor by completing the stage 1 of the Appeals form and providing the evidence for assessment. The learner can obtain the form from the Programme Manager.
2. The assessor makes the Programme Manager and Quality Nominee aware of the grounds for appeal and then re-assesses the work in the normal way against the unit requirements.
3. The assessor will complete the outcome part of the stage 1 form.
4. The assessor communicates the re-assessment to the learner and makes the Programme Manager aware of the outcome.
5. If the learner is still dissatisfied with the outcome of the first stage of appeal then they can progress to stage 2.

#### **Stage 2 – (This stage should be undertaken within 3 working days)**

1. The learner communicates the grounds for appeal by completing the second stage of the appeals form and supplying the relevant evidence to the Lead Internal Verifier – unless the initial decision was made by the Lead Internal Verifier, in which case another assessor from the same programme, or a Lead Internal Verifier from another programme undertakes this role.
2. The Lead Internal Verifier, or other verifier, makes the Quality Nominee aware that the appeal has reached the second stage. The Programme Manager internally verifies the work in the normal way against the unit requirements.
3. The Lead Internal Verifier will complete the outcome part of the stage 2 form.
4. The Lead Internal Verifier communicates the outcome of the internal verification to the learner. He/she will also make the assessor and quality nominee aware of the outcome.
5. If the learner is still dissatisfied with the outcome of the second stage of appeal then we move to the final stage of appeal.

#### **Stage 3 – (This stage should be undertaken within 5 working days)**

1. The learner communicates the grounds for appeal by completing the final part of the Appeals form and supplying the relevant evidence to the Quality Nominee.



2. At this stage the Quality Nominee will call a meeting of at least 3 people to re-examine the evidence (at least one of whom should not have been involved with the assessment decision) from the team of BTEC assessors and Lead Internal Verifiers.
3. The work will be re-examined by this team and they will complete the part of the stage 3 form.
4. The Quality Nominee will then hold a meeting with the Head of Centre and learners concerned to communicate the outcome of the appeal.
5. Learners can be allowed to have representation by a parent/guardian if requested.
6. Written records of all appeals should be kept by the school including the outcome of the appeal and reasons for the outcome.
7. A copy of the appeals record should be given to the learner.
8. Full details of any appeal must be made available to Edexcel on request.
9. Edexcel should be informed by the school if any outcome of an appeal has implications for the conduct of assessments of the issue of results at the school.

Edexcel will consider an appeal from the Centre only after the Centre's own internal appeals procedure has been exhausted. Edexcel generally expects most appeals from individual learners to be resolved within the Centre.

Edexcel will only consider appeals submitted by the Head of Centre/Headteacher. The following are situations where an appeal can be made:

- The Centre disagrees with the outcome(s) from Edexcel's external quality assurance activities;
- The Centre questions an approval (centre or qualification approval) or a qualification decision (e.g. malpractice) made by Edexcel;
- A learner considers that a decision continues to disadvantage them even after the outcome of the Centre's Internal Appeals Procedure.

## **BTEC Centre Malpractice Procedures**

### **Definition of Malpractice**

Centre malpractice relates to the conduct of the assessments and/or the processing of candidates' work, mark sheets, cumulative assessment records, certificate claim forms, etc.

### **Examples of Centre Malpractice:**

- Failing to despatch/provide candidate's coursework to the Standards Verifier/Lead Internal Verifier for Quality, Review and Development;
- The inappropriate retention of certificates;
- Failing to retain candidate's coursework in secure conditions after the authentication statements have been signed;
- Failing to report an instance of suspected candidate malpractice in assignments to the appropriate Awarding Body as soon as possible after such an instance occurs or is discovered;
- Failing to conduct a thorough investigation into suspected assessment malpractice when asked to do so by an Awarding Body.

Investigations resulting from allegations of malpractice will be investigated by the Headteacher. Any Centre staff suspected of malpractice will be informed of their responsibilities and rights in the first instance.



## **BTEC Candidate Malpractice Procedures**

Teachers are responsible for checking the validity of the learners' internally assessed units. This will avoid candidate malpractice.

### **Examples of Candidate Malpractice:**

- Making a false declaration of authenticity. (Example, when sections of the work have been done by others);
- Misusing assessment material and resources;
- The inclusion of inappropriate, offensive or obscene material in coursework assignments;
- Theft (where a candidate's work is removed or stolen), with the intention to pass the coursework off as one's own;
- The alteration of any results document, including certificates;
- A breach of the instructions or advice of a teacher in relation to the assessment rules and regulations;
- Failing to abide by the conditions of supervision designed to maintain the security of the BTEC assessments;
- Collusion: working collaboratively with other candidates, beyond what is permitted;
- Copying from another candidate, allowing work to be copied;
- The deliberate destruction of another's work;
- Disruptive behaviour during an assessment session (including the use of offensive language);
- Assisting others in the production of coursework;
- Plagiarism: unacknowledged copying from published sources; incomplete referencing.

### **How to Deter Candidate Malpractice**

Teachers should ensure that a large proportion of assigned work is completed with supervision. The Programme Leader or teacher should cover the following topics with all learners during the induction period:

- Inform learners of the Centre's policy on malpractice and the penalties for attempted and actual incidents of malpractice;
- Show learners the appropriate formats to record cited texts and other materials or information sources including websites;
- Refer to the BTEC Centre Handbook and Learner Handbook for policies;
- Programme Managers should also introduce procedures for assessing work in a way that reduces or identifies malpractice, e.g. plagiarism, collusion, cheating, etc. These procedures may include:
  - Periods of supervised sessions during which evidence for assignments/tasks/coursework is produced by the learner;
  - Altering assessment assignments/tasks/tools on a regular basis;
  - The assessor assessing work for a single assignment/task in a single session for the complete cohort of learners;
  - Using oral questions with learners to ascertain their understanding of the concepts, application, etc. within their work;
  - Assessors getting to know their learners' styles and abilities, etc.

Learners have a responsibility to ensure all work they hand in to be marked is their own. Any additional help or support that they have received must be reported to the assessor before the candidate signs the





Authentication of Work statement.

**Responding to Suspected Candidate Malpractice**

This will be reported to the Programme Manager who will inform the Quality Nominee and the Exams Officer. An investigation of the alleged malpractice will follow. Consequences will vary on the outcome of the investigation but may include the candidate's malpractice being reported to Edexcel. This may result in the candidate being withdrawn from the course and/or being prevented from taking a qualification with this board for one year.



## Appendix 6

### Exam Contingency Plan

#### Purpose of the Plan

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

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

#### National Centre Number Register and other information requirements

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

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

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

#### Causes of Potential Disruption to the Exam Process:

##### 1. Exams Officer extended absence at key points in the exam process (cycle)

###### Criteria for Implementation of the Plan:

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

- *Planning*
  - Annual data collection exercise not undertaken to collate information on qualifications and Awarding Body specifications being delivered;
  - Annual exams plan not produced identifying essential key tasks, key dates and deadlines;
  - Sufficient invigilators not recruited and trained.
- *Entries*
  - Awarding Bodies not being informed of early/estimated entries which prompts release of early information required by teaching staff;
  - Candidates not being entered with Awarding Bodies for external exams/assessment;
  - Awarding Body entry deadlines missed or late or other penalty fees being incurred.



- *Pre-exams*
  - Exam timetabling, rooming allocation; and invigilation schedules not prepared;
  - Candidates not briefed on exam timetables and Awarding Body information for candidates;
  - Exam/assessment materials and candidates' work not stored under required secure conditions;
  - Internal assessment marks and samples of candidates' work not submitted to Awarding Bodies/external moderators.
- *Exam time*
  - Exams/assessments not taken under the conditions prescribed by Awarding Bodies;
  - Required reports/requests not submitted to Awarding Bodies during exam/assessment periods e.g. very late arrival, suspected malpractice, special consideration;
  - Candidates' scripts not dispatched as required to Awarding Bodies.
- *Results and post-results*
  - Access to examination results affecting the distribution of results to candidates;
  - The facilitation of the post-results services.

Centre Actions:

- Exams Assistant to be trained in the key duties for short-term absences. In case of a long-term absence the SLT member with responsibility for examinations to provide support for responsibilities, should absence of the Exams Officer have the potential to affect the meeting of deadlines;
- Exam Assistant to work closely with the Exams Officer to ensure they are up to date with the exam cycle and responsibilities at each point in time. This will be done under the supervision of the SLT member with responsibility for examinations and Head of Centre.

## **2. SENDCo/Member of SLT with Responsibility for SENDCo Extended Absence at Key Points in the Exam Cycle**

Criteria for Implementation of the Plan:

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

- *Planning*
  - Candidates not tested/assessed to identify potential access arrangement requirements;
  - Evidence of need and evidence to support normal way of working not collated.
- *Pre-exams*
  - Approval for access arrangements not applied for to the Awarding Body;
  - Modified paper requirements not identified in a timely manner to enable ordering to meet external deadline;
  - Staff providing support to access arrangement candidates not allocated and trained.
- *Exam time*
  - Access arrangement candidate support not arranged for exam rooms.

Centre Actions:

- Head of Centre responsible for ensuring position is filled should absence have the potential to disrupt exam preparation;
- SENDCo to gather evidence of need during mock exam;



- If necessary, external assessor to be used for gathering evidence;
- SENDCo to liaise with the Exams Officer to ensure access arrangements are in place by the Spring term for all eligible students where possible;
- SENDCo to plan access arrangements for exam days in advance of the Summer series.

### **3. Teaching Staff Extended Absence at Key Points in the Exam Cycle**

#### Criteria for Implementation of the Plan:

Key tasks not undertaken including:

- Early/estimated entry information not provided to the Exams Officer on time, resulting in pre-release information not being received;
- Final entry information not provided to the exams officer on time, resulting in:
  - Candidates not being entered for exams/assessments or being entered late;
  - Late or other penalty fees being charged by Awarding Bodies;
- Internal assessment marks and candidates' work not provided to meet submission deadlines.

#### Centre Actions:

- Exams Officer responsible for ensuring deadlines are met for estimated entries. Any omissions to be referred to Head of Centre;
- Head of Centre responsible for ensuring the priority for teaching the examination cohort. Staff will be covered in good time, by trained professionals, in all circumstances.

### **4. Invigilators - Lack of Appropriately Trained Invigilators or Invigilator Absence**

#### Criteria for Implementation of the Plan:

- Failure to recruit and train sufficient invigilators to conduct exams;
- Invigilator shortage on peak exam days;
- Invigilator absence on the day of an exam.

#### Centre Actions:

- Exams Officer to work with the HR Manager on the recruitment of invigilators in the Autumn term of the summer series. Advance planning required to ensure enough are available for the sittings;
- Exams Officer to recruit and train new invigilators if necessary;
- Cover Supervisor and other admin staff to also receive updated exam invigilator training to ensure back up is available in case of invigilator absence.

### **5. Exam Rooms - Lack of Appropriate Rooms or Main Venues Unavailable at Short Notice**

#### Criteria for Implementation of the Plan:

- Exams Officer unable to identify sufficient/appropriate rooms during exams timetable planning;
- Insufficient rooms available on peak exam days;
- Main exam venues unavailable due to an unexpected incident at exam time.

#### Centre Actions:



- Exams Officer responsible for ensuring planning of rooms is completed by the end of the Spring term to identify potential rooming issues;
- Alternative venues within the school to be made available by teaching staff in the event of an unexpected incident;
- SLT to support with re-rooming and supervision of students if outdoor areas need to be used;
- Head of Centre to liaise with the Exams Officer to ensure no disruption due to room shortages.

## **6. Failure of IT Systems or Cyber Attack**

### 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;
- Power outage immediately prior to or during an on-screen test;
- Where a cyber-attack may compromise any aspect of delivery.

### Centre Actions:

- Exams Officer to liaise with IT Network Support Manager to ensure IT support is available at crucial times;
- Exams Officer to have laptop as an alternative method of accessing exam boards;
- Exams Officer Promptly report any incidents to the relevant awarding body/bodies which might compromise any aspect of assessment.
- Exam laptops to be used to complete assessments if possible;
- School ICT Disaster Recovery Policy to be activated;
- Head of Centre to be informed.
- 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 work / Using the NCSC's free Web Check and Mail Check services to help protect from cyber-attacks

## **7. Disruption of Teaching Time – Centre Closed for an Extended Period**

### Criteria for Implementation of the Plan:

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

### Centre Actions:

- Head of Centre responsible for finding alternative venues/methods of learning;
- Priority given to exam cohort with rooming provided in Cox Green Leisure Centre or Community Centre;
- Centre to communicate with parents and students through EduLink.

## **8. Candidates Unable to Take Examinations Because of a Crisis – Centre Remains Open**



Criteria for Implementation of the Plan:

- Candidates are unable to attend the examination centre to take examinations as normal.

Centre Actions:

- Procedures for absence outlined to students in examination information given out each year;
- Exams Officer to liaise with the SLT member with responsibility for examinations, student and parents to find alternative venue - phone Cox Green Community Centre, Braywick Leisure Centre and RBWM Town Hall;
- Advise on next opportunity to sit the examination/apply for special consideration as required.

## **9. Centre Unable to Open as Normal During the Exams Period**

Criteria for Implementation of the Plan:

- Centre unable to open as normal for scheduled examinations;
- *\*In the event that the Head of Centre decides the centre cannot be opened for scheduled examinations, the relevant Awarding Body must be informed as soon as possible. Awarding bodies will be able to offer advice regarding the alternative arrangements for conducting examinations that may be available and the options for candidates who have not been able to take scheduled examinations.*

Centre Actions:

- Open for exam candidates only, if possible;
- Use alternative venue, in agreement with awarding organisations - phone Cox Green Community Centre, Braywick Leisure Centre and RBWM Town Hall;
- Offer students the opportunity to sit the next series.

## **10. Disruption in the Distribution of Examination Papers**

Criteria for Implementation of the Plan:

- Disruption to the distribution of examination papers to the centre in advance of examinations.

Centre Actions:

- The centre to communicate with awarding organisations to organise alternative delivery of papers.

## **11. Disruption to the Transportation of Completed Examination Scripts**

Criteria for Implementation of the Plan:

- Delay in normal collection arrangements for completed examination scripts.

Centre Actions:

- Exams Officer to communicate with Awarding Bodies for approval of alternative delivery arrangements.



## 12. Assessment Evidence is not Available to be Marked

### Criteria for Implementation of the Plan:

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

### Centre Actions:

- Exams Officer to communicate with Awarding Bodies immediately;
- Student marks to be submitted based on appropriate evidence;
- Candidates offered the opportunity to retake in subsequent series.

## 13. Centre Unable to Distribute Results as Normal

### Criteria for Implementation of the Plan:

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

### Centre Actions:

- Exams Officer and Head of Centre to assess alternative arrangements for issuing results with the regulators;
- Phone Cox Green Community Centre, Braywick Leisure Centre and RBWM Town Hall to use as alternative venues;
- Head of Centre to inform students and parents about delay as soon as possible through EduLink.

## 14. 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:

- Follow the emergency evacuation plan to ensure students safety and if possible the security of exam materials;
- Contact the Exam Boards to seek advice;
- If possible move candidates to alternative venues within the school;
- Exams Officer to download materials if required;
- SLT to support with re-rooming and supervision of students if outdoor areas need to be used;
- Exams Officer to apply for Special Consideration if applicable.

## Further Guidance to Inform and Implement Contingency Planning

### Ofqual

- *Joint contingency plan in the event of widespread disruption to the examination system in England, Wales and Northern Ireland* <https://www.gov.uk/government/publications/exam-system->



[contingency-plan-england-wales-and-northern-ireland/what-schools-and-colleges-should-do-if-exams-or-other-assessments-are-seriously-disrupted](https://www.gov.uk/government/publications/exam-system-contingency-plan-england-wales-and-northern-ireland/what-schools-and-colleges-should-do-if-exams-or-other-assessments-are-seriously-disrupted)<https://www.gov.uk/government/publications/exam-system-contingency-plan-england-wales-and-northern-ireland/what-schools-and-colleges-should-do-if-exams-or-other-assessments-are-seriously-disrupted>)

#### JCQ

- *General regulations* <http://www.jcq.org.uk/exams-office/general-regulations>
- *Guidance on alternative site arrangements* <http://www.jcq.org.uk/exams-office/forms>
- *Instructions for conducting examinations* <http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations>
- *A guide to the special consideration process* <http://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance>
- *JCQ Joint Contingency Plan* [www.jcq.org.uk/exams-office/other-documents](http://www.jcq.org.uk/exams-office/other-documents)

#### GOV.UK

- *Exam and assessment disruption*; [www.gov.uk/government/publications/emergency-planning-and-response-for-education-childcare-and-childrens-social-care-settings](http://www.gov.uk/government/publications/emergency-planning-and-response-for-education-childcare-and-childrens-social-care-settings)
- *Dispatch of exam scripts guide: Ensuring the service runs smoothly; Contingency planning* <https://www.gov.uk/government/publications/dispatch-of-exam-scripts-yellow-label-service/dispatch-of-exam-scripts-guide>

#### National Cyber Security Centre

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

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

Ransomware attacks continue and the Department is reminding centres to review the NCSC advice and to take precautions. This includes ensuring that you have backups in place for your key services and data. For ease of reference, the Department has highlighted key links relating to the NCSC cyber security guidance below:

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





## Appendix 7

### Exam Disability Policy

#### Purpose of the Policy

This document is provided as an exams-specific supplement to the centre-wide Special Educational Needs & Disability (SEND) policy and the Special Educational Needs Information Report (SIR) which details how the centre recognises its duties towards disabled candidates as defined under the terms of the Equality Act 2010. This includes a duty to explore and provide access to suitable courses, submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to candidates with Special Educational Needs or Disabilities.

The requirement for this policy is stipulated in the JCQ publication “General Regulations for Approved Centres”

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

This policy details how the centre facilitates access to exams and assessments for candidates with Special Educational Needs or Disabilities, as defined under the terms of the Equality Act 2010, by outlining staff roles and responsibilities in relation to:

- Identifying the need for appropriate arrangements, reasonable adjustments and/or adaptations (referred to in this policy as ‘access arrangements’);
- Requesting access arrangements;
- Implementing access arrangements and the conduct of exams.

#### The Equality Act 2010 Definition of Disability

A definition is provided in the current JCQ publication *Adjustments for candidates with disabilities and learning difficulties* [Access Arrangements and Reasonable Adjustments](#) see Appendix A

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

#### Identifying the Need for Access Arrangements

##### Roles and Responsibilities

###### Head of Centre:

- Is familiar with the entire contents, refers to and directs relevant centre staff to the annually updated JCQ publications including GR and AA;
- Ensures an appropriately qualified assessor(s) is appointed and that evidence of the qualification(s) of the person(s) appointed is held on file.

###### Senior Leader:

- Is familiar with the entire contents of the annually updated JCQ publications including GR and AA;
- Ensures the quality of the access arrangements process within the centre;
- Ensures staff roles, responsibilities and processes in identifying, requesting and implementing access arrangements are clearly defined and documented;



- Ensures the assessment process is administered in accordance with the regulations;
- Supports the SENDCo/the member of SLT with responsibility for SENDCo in determining the need for and implementing access arrangements.

#### **Special Educational Needs Coordinator (SENDCo)/The member of SLT with responsibility for SENDCo**

- Has full knowledge and understanding of the contents, refers to and directs relevant centre staff to the annually updated JCQ publication AA;
- Leads on the access arrangements process to facilitate access for candidates;
- Defines and documents roles, responsibilities and processes in identifying, requesting and implementing access arrangements (*Access arrangements policy*);
- If not the appropriately qualified assessor, works with the person/persons appointed, on all matters relating to assessing candidates and the administration of the assessment process;
- Ensures that all assessments carried out and arrangements put in place comply with JCQ and Awarding Body regulations and guidance;
- Ensures arrangements put in place for exams/assessments reflect a candidate's *normal way of working* within the centre;
- Ensures the need for access arrangements for a candidate will be considered on a subject by subject basis;
- Presents when requested by a JCQ Centre Inspector, evidence of the assessor's qualification;
- Works with teaching staff, relevant support staff and the exams officer to ensure centre-delegated and Awarding Body approved access arrangements are put in place for candidates taking internal and external exams/assessments;
- Provides information to evidence the normal way of working of a candidate;
- Conducts appropriate assessments to identify the need(s) of a candidate;
- Provides appropriate evidence to confirm the need(s) of a candidate;
- Completes appropriate documentation as required by the regulations of JCQ and the Awarding Body.

#### **Teaching Staff:**

- Inform the SENDCo/the member of SLT with responsibility for SENDCo of any support that might be needed by a candidate.

#### **Assessor of Candidates with Learning Difficulties:**

- Will be an appropriately qualified access arrangements assessor/psychologist/specialist assessor);
- Has detailed understanding of the current JCQ publication AA.

#### **Requesting Access Arrangements**

#### **Roles and Responsibilities**

#### **Special Educational Needs Coordinator (SENDCo)/The member of SLT with responsibility for SENDCo:**

- Determines whether the arrangements identified for a candidate require prior approval from the Awarding Body before the arrangements are put in place or whether approval is centre-delegated;
- Follows guidance in AA to process approval applications for access arrangements for GCSE and GCE qualifications;
- Liaises with the Exams Officer to apply for approval, where this is required, through *Access arrangements online* (AAO) or through the Awarding Body where qualifications sit outside the scope of AAO;



- Ensures appropriate and required evidence is held on file to confirm validation responses in AAO including the completion of JCQ Form 8, Form 8RF, Form 9 or Form BD25, where required, and a body of evidence to substantiate the candidate's normal way of working within the centre;
- Liaises with the Exams Officer to make an *Awarding Body referral* through AAO where the initial application for approval may not be approved by AAO, where it is deemed by the centre that the candidate does meet the criteria for the arrangement(s);
- Ensures that arrangements, and approval where required, are in place before a candidate takes their first exam or assessment (which is externally assessed or internally assessed/externally moderated);
- Ensures that where approval is required that this is applied for by the Awarding Body deadline;
- Maintains a file for each candidate that will include:
  - Completed JCQ/Awarding Body application forms and evidence forms;
  - Appropriate evidence to support the need for the arrangement where required;
  - Appropriate evidence to support normal way of working within the centre;
  - In addition, for GCSE and GCE qualifications (where approval is required), a print out of the AAO approval and a signed data protection notice (which provides candidate consent to their personal details being shared).
- Presents the files when requested by a JCQ Centre Inspector;
- Liaises with teaching staff regarding any appropriate modified paper requirements for candidates.

#### **Exams Officer:**

- Is familiar with the entire contents of the annually updated JCQ publication [GR](#) and is aware of information contained in [AA](#) where this may be relevant to the Exams Officer role;
- Liaises with the SENDCo to ensure AAO approval is in place for early opening of papers where this may be required where the centre is permitted to modify a timetabled written component exam paper (copy on coloured paper, enlarge to A3 or copy to single sided print);
- Following the appropriate process (AAO for GCE and GCSE; *JCQ Form 7* or *Form VQ/EA*), orders published modified papers, by the Awarding Body's deadline for the exam series, where these may be required for a candidate.

### **Implementing Access Arrangements and the Conduct of Exams**

#### **Roles and Responsibilities**

##### **External Assessments**

These are assessments which are normally set and marked/examined by an Awarding Body which must be conducted according to Awarding Body instructions and/or the JCQ publication [Instructions for conducting examinations](#) (ICE).

##### **Head of Centre:**

- Supports the member of SLT with responsibility for SENDCo, the Exams Officer and other relevant centre staff in ensuring appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams;
- Is familiar with the *Checklist for heads of centre and examination officers – The Equality Act 2010 and conduct of examinations* provided in the current [ICE](#);
- Appoints appropriate centre staff as facilitators to support candidates (practical assistant, prompter, Oral Language Modifier, reader, scribe or Sign Language Interpreter).

#### **Special Educational Needs Coordinator (SENDCo)/The Member of SLT with Responsibility for SENDCo**



- Ensures a candidate is involved in any decisions about arrangements, adjustments and/or adaptations that may be put in place for him/her and ensures the candidate understands what will happen at exam time;
- Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access for candidates where they are disabled within the meaning of the Equality Act (unless a temporary emergency arrangement is required at the time of an exam);
- Liaises with the Exams Officer regarding facilitation and invigilation of access arrangement candidates in exams;
- Ensures that any arrangements put in place do not unfairly disadvantage or advantage SEND candidates;
- Ensures facilitators supporting candidates are appropriately trained and understand the rules of the particular access arrangement(s);
- Ensures the facilitator is known by or introduced to the candidate prior to exams;
- Ensures a facilitator acting as a prompter is aware of the appropriate way to prompt depending on the needs of the candidate;
- Liaises with the Exams Officer to ensure that invigilators are made aware of the Equality Act 2010 and are trained in SEND issues;
- Liaises with the Exams Officer where a facilitator may be required to support a candidate requiring an emergency (temporary) access arrangement at the time of exams.

**Exams Officer:**

- Liaises with the SENDCo/the member of SLT with responsibility for SENDCo and other relevant centre staff to ensure appropriate arrangements, adjustments and adaptations are in place to facilitate access for SEND candidates to exams;
- Liaises with the SENDCo/the member of SLT with responsibility for SENDCo to ensure exam information (JCQ information for candidates' documents, individual exam timetable etc.) is adapted where this may be required for a SEND candidate to access it;
- Liaises with the SENDCo/the member of SLT with responsibility for SENDCo regarding the facilitation and invigilation of access arrangement candidates;
- Liaises with the SENDCo/the member of SLT with responsibility for SENDCo regarding rooming of access arrangement candidates;
- Liaises with the SENDCo/the member of SLT with responsibility for SENDCo to ensure that invigilators are made aware of the Equality Act 2010 and are trained in SEND issues;
- Ensures that prior to any arrangements being put in place checks are made that arrangements do not impact on any assessment criteria/competence standards being tested;
- Liaises with other relevant centre staff regarding the provision of appropriate rooming and equipment that may be required to facilitate access for SEND candidates to exams;
- Ensures appropriate seating arrangements are in place where different arrangements may need to be made for a candidate to facilitate access to their exams;
- Ensures invigilators are briefed prior to each exam session of the arrangements in place for a disabled candidate in their exam room;
- Checks in advance of dated exams/assessments that modified paper orders have arrived (and if not will contact the Awarding Body to ensure that papers are available when required);
- Makes modifications that are permitted by the centre (a question paper copied onto coloured paper, an A4 to A3 enlarged paper or a paper printed on single sheets or where a question paper may need to be scanned into PDF format where a candidate is approved the use of a computer reader) that may be required and, where approved, opens the exam question paper packet in the secure room no earlier than 90 minutes prior to the published start time of the exam;



- Understands that where permitted/approved, secure exam question paper packets may need to be opened early where preparation is required by the facilitator (Oral Language Modifier, Live Speaker, Sign Language Interpreter only);
- Ensures that the facilitator only has access to the papers one hour prior to the published start time of the exam;
- Provides cover sheets prior to the start of an exam where required for particular access arrangements and ensures that these have been fully completed before candidates' scripts are dispatched to examiners/markers;
- prints pre-populated cover sheets from AAO where this is required for GCSE and GCE qualifications
- Has a process in place to deal with emergency (temporary) access arrangements as they arise at the time of exams in terms of rooming and invigilation;
- Liaises with the SENDCo/the member of SLT with responsibility for SENDCo where a facilitator may be required to support a candidate requiring an emergency (temporary) access arrangement at the time of exams;
- Where required for emergency (temporary) access arrangements, applies for approval through AAO or through the Awarding Body where qualifications sit outside the scope of AAO.

#### **Other Relevant Centre Staff:**

- Support the SENDCo/the member of SLT with responsibility for SENDCo and the Exams Officer to ensure appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams

#### **Internal Assessments**

These are non-examination assessments (NEA) which are normally set by a centre/Awarding Body, marked and internally verified by the centre and moderated by the Awarding Body. Externally marked and/or externally set practical examinations taken at different times across centres are classified as 'NEA'.

#### **Special Educational Needs Coordinator (SENDCo)/The Member of SLT with Responsibility for SENDCo:**

- Liaises with teaching staff to implement appropriate access arrangements for candidates;
- Liaises with the teacher where a facilitator may be required to support a candidate requiring an emergency (temporary) access arrangement at the time of his/her formal supervised assessment;
- Ensures centre-delegated and Awarding Body approved arrangements are in place prior to a candidate taking his/her first formal supervised assessment;
- Ensures facilitators supporting candidates are appropriately trained and understand the rules of the particular access arrangement(s).

#### **Teaching Staff**

- Support the SENDCo/the member of SLT with responsibility for SENDCo in implementing appropriate access arrangements for candidates;
- Ensures candidates are aware of the access arrangements that are in place for their assessments;
- Ensures cover sheets are completed as required by facilitators;
- Provide the SENDCo/the member of SLT with responsibility for SENDCo with assessment schedules to ensure arrangements are put in place when required;
- Liaise with the SENDCo/the member of SLT with responsibility for SENDCo regarding assessment materials that may need to be modified for a candidate.



### **Internal Exams**

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

### **Exams Officer**

- Liaises with SENDCo/the member of SLT with responsibility for SENDCo and teaching staff to implement appropriate access arrangements for candidates.

### **Special Educational Needs Coordinator (SENDCo)/The Member of SLT with Responsibility for SENDCo**

- Liaises with the Exams Officer and teaching staff to implement appropriate access arrangements for candidates;
- Provide suitably trained facilitators to support candidates.

### **Teaching Staff**

- Support the SENDCo/the member of SLT with responsibility for SENDCo and Exams Officer in implementing appropriate access arrangements for candidates;
- Provide exam materials that may need to be modified for a candidate.



### **Facilitating Access - Examples**

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

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

- Adapting assessment arrangements;
- Adapting assessment materials;
- The provision of specialist equipment or adaptation of standard equipment;
- Adaptation of the physical environment for access purposes.

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

<b>Example of Candidate Need(s)</b>	<b>Arrangements Explored</b>	<b>Centre Actions</b>
Persistent and significant difficulties in accessing written text	Reader/computer reader  25% Extra time  Separate invigilation within the centre	<i>Confirms candidate is disabled within the meaning of the Equality Act 2010</i>  <i>Papers checked for those testing reading</i>  <i>Computer reader sourced for use in papers (or sections of papers) testing reading OR up to 50% extra time awarded</i>  <i>Form 8, signed and dated, with Sections A, B and C completed; kept on file with body of supporting evidence, printed approval from AAO and signed data protection notice</i>
Significant difficulty in concentrating	Prompter  Separate invigilation within the centre	<i>Gathers evidence to support substantial and long-term adverse impairment</i>  <i>Confirms with candidate how and when they will be prompted</i>  <i>Briefs invigilator to monitor candidate and the method of prompting (call out his name to bring his attention back to the paper - confirms requirement for separate room)</i>
A wheelchair user	Desk  Rooms  Facilities  Seating arrangements  Practical assistant	<i>Applies for practical assistant to help candidate set up wheelchair and other equipment in a practical assessment; approval automatically fails so Awarding Body referral lists the tasks that will be performed</i>  <i>Provides height adjustable desk in exam room</i>  <i>Allocates exam room on ground floor near adapted bathroom facilities</i>  <i>Spaces desks to allow wheelchair access</i>  <i>Seats candidate near exam room door</i>  <i>Confirms arrangements in place to assist the candidate in case of emergency evacuation of the exam room</i>  <i>Practical assistant cover sheet printed from AAO; to be completed by facilitator and inserted inside the candidate's work where this may be applicable to the assessment</i>





Suffers from anxiety and panic attacks	Small room Sit near exit Supervised rest breaks	<i>SAFE Manager gathers evidence of need and informs Exams Officer</i>  <i>Candidate is seated near the exit in a small room with provision for supervised rest breaks if required.</i>
Anorexic candidate	Supervised rest breaks	<i>SAFE Manager obtains medical evidence.</i>  <i>Candidate allowed supervised rest breaks for eating</i>
A medical condition which prevents the candidate from taking exams in the centre	Alternative site for the conduct of examinations  Supervised rest breaks	<i>SENDCo gathers evidence to support the need for the candidate to take exams at home</i>  <i>SAFE Manager provides written statement for file to confirm the need</i>  <i>Approval confirmed by SENDCo; AAO approval for both arrangements not required</i>  <i>SAFE Manager discussion with candidate to confirm the arrangements should be put in place</i>  <i>Exams Officer submits appropriate 'Alternative site for the conduct of exams form'</i>  <i>Exams Officer provides candidate with exam timetable and JCQ information for candidates</i>  <i>SAFE Manager confirms with candidate the information is understood</i>  <i>SAFE Manager agrees with candidate that prior to each exam will call to confirm fitness to take exam</i>  <i>Exams Officer allocates invigilator(s) to candidate's timetable; confirms time of collection of exam papers and materials</i>  <i>Invigilator monitors candidate's condition for each exam and records any issues on incident log</i>  <i>Invigilator records rest breaks (time and duration) on incident log and confirms set time given for exam</i>  <i>Invigilator briefs Exams Officer after each exam on how candidate's performance in exam may have been affected by his/her condition</i>  <i>Exams Officer discusses with SAFE Manager head if candidate is eligible for special consideration (candidate present but disadvantaged)</i>  <i>Exams Officer processes request(s) for special consideration where applicable; incident log(s) provides supporting evidence</i>  <i>SAFE Manager informs candidate that special consideration has been requested</i>





## The Equality Act 2010 Definition of Disability

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

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

- Identifying a physical or mental impairment;
- Looking into adverse effects and assessing which are substantial;
- Considering if substantial adverse effects are long term;
- Judging the impact of long-term adverse effects on normal day to day activities.

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

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

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

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

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

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

The guidance from the Office for Disability Issues referred to above illustrates the factors which might reasonably be regarded as having a substantial adverse effect on normal day to day activities. Factors that might reasonably be expected not to have a substantial adverse effect are also provided.

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

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

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

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



## Appendix 8

### Exams Archiving Policy

#### Key Staff Involved in the Exams Archiving Process

Role	Name(s)
Exams Officer	Mr George Hart
Exams Officer Line Manager (Senior Leader)	Miss Kim Gratton
Head of Centre	Mr Danny Edwards
The member of SLT with responsibility for SENDCo	Ms Sian Hughes
Finance Manager	Mrs Caroline Dunne
IT & Facilities Operations Manager	Mr Tom Smith
Subject Leads	See latest staff list

#### Purpose of the policy

The purpose of this policy is to:

- ▶ Identify exams-related information/records held by the Exams Office;
- ▶ Identify the retention period;
- ▶ Determine the action required at the end of the retention period and the method of disposal;
- ▶ Inform or supplement the centre-wide records management policy.



Record Type	Record(s) Description (Where Required)	Retention Information/Period	Action at End of Retention Period (Method of Disposal)
Access arrangements information	Any hard copy information kept by the SENDCo/the member of SLT with responsibility for SENDCo relating to an access arrangement candidate.	To be retained by the SENDCo/the member of SLT with responsibility for SENDCo as records owner at end of the candidate's final exam series. Year 11 if they move to college or the age of 25 if they stay on to the Sixth Form.	Confidential waste/shredding
Attendance register copies		To be retained until after the deadline for RoRs or until any appeal, malpractice or other results enquiry has been completed, whichever is later. [Reference <a href="#">ICE 22</a> ]	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.	Safe disposal
Candidates' work	Non-examination assessment work (Inc. Non-examination assessment, coursework, portfolios) returned to the centre after Awarding Body moderation.	To be immediately returned to subject staff as records owner. To be stored safely and securely along with work that did not form part of the moderation sample (including materials stored electronically) until after the deadline for RoRs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series. [Reference <a href="#">GR 3, 5</a> ]	Returned to candidates or safe disposal
Certificates		Unclaimed/uncollected certificates to be retained securely for a minimum of 12 months from date of issue. [Reference <a href="#">GR 5</a> ]	Confidential destruction
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	To be retained for 4 years from the date of certificate destruction. [Reference <a href="#">GR 5</a> ]	Confidential destruction



Record Type	Record(s) Description (Where Required)	Retention Information/Period	Action at End of Retention Period (Method of Disposal)
Certificate issue information	A record of certificates that have been issued to candidates.	[Reference <a href="#">GR 5</a> ]	
Confidential materials delivery logs	A log recording confidential materials delivered by awarding bodies to the centre and issued to authorised staff.	To be stored in safe storage until appropriate date of pre-release.	Confidential destruction
Confidential materials tracking logs	A log to track materials taken from or returned to secure storage throughout the time the material is confidential.	To be retained until after the deadline for RoRs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential destruction
Dispatch logs	Proof of dispatch of exam script packages to Awarding Body examiners covered by the <a href="#">DfE (Standards &amp; Testing Agency) yellow label service</a>	To be retained until after the deadline for RoRs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential destruction
Entry information	Any hard copy information relating to candidates' entries.	To be retained until after the deadline for RoRs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential destruction
Exam question papers	Question papers for timetabled written exams.	Issued to teaching staff after the published finishing time of the exam and only when all candidates in the centre have completed the exam.  Instructions issued by an individual Awarding Body relating to the use of question papers for vocational qualifications after the examination has taken place are followed.  [Reference <a href="#">ICE 23</a> and <a href="#">GR 5,6</a> ]	Confidential destruction if not collected by teaching staff
Exam room checklists	Checklists confirming room conditions and invigilation arrangements for each exam room.	To be retained until after the deadline for RoRs or until any appeal, malpractice or other results	Confidential destruction



Record Type	Record(s) Description (Where Required)	Retention Information/Period	Action at End of Retention Period (Method of Disposal)
		enquiry has been completed, whichever is later. [Reference <a href="#">ICE 11</a> ]	
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms.	To be retained until after the deadline for RoRs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential destruction
Exam stationery		When Awarding Body or JCQ common stationery is considered surplus or is out-of-date it will be disposed of. [Reference <a href="#">ICE 30</a> ]	Confidential disposal
Examiner reports		To be immediately provided to head of department as records owner.	
Finance information	Copy invoices for exams-related fees.	To be returned to Finance department as records owner at the end of the academic year.	
Invigilation arrangements	<i>See Exam room checklists</i>		
JCQ publications	Any hard copy publications provided by JCQ.	To be retained until the current academic year update is provided.	
Moderator reports		To be immediately provided to the Head of Centre and Subject Leader as records owner.	
Overnight supervision information	Copy of JCQ form <i>Timetable variation and confidentiality declaration for overnight supervision</i> for any candidate eligible for these arrangements.	To be retained for JCQ inspection purposes for the relevant exam series.	Confidential destruction
Post-results services: confirmation of	Hard copy or email record of candidate consent for an EAR or ATS request to be submitted to an Awarding Body	EAR consent to be retained for at least six months following the outcome of the enquiry or any subsequent appeal.	Confidential destruction



Record Type	Record(s) Description (Where Required)	Retention Information/Period	Action at End of Retention Period (Method of Disposal)
candidate consent information		ATS consent to be retained for at least six months from the date consent given.	
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.		Confidential destruction
Post-results services: scripts provided by ATS service	Copies of exam scripts (or an electronic image of the script) returned to the centre by the Awarding Body/copies downloaded by the centre where the Awarding Body provides online access to scripts.	Where copies of scripts are retained by the centre, they must be securely stored (including any electronic versions) until they are no longer required.	Confidential disposal
Post-results services: tracking logs	A log tracking to resolution all post-results service requests submitted to Awarding Bodies.		
Private candidate information	Any hard copy information relating to private candidates' entries.	To be retained until after the deadline for RoRs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential destruction
Proof of postage – candidate work	Proof of postage of sample of candidates' work to Awarding Body moderators.	To be retained until the work is returned to the Centre.	
Seating plans	Plans showing the seating arrangements of all candidates for every exam taken.	To be retained until after the deadline for RoRs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.  [Reference <a href="#">ICE 11</a> ]	Confidential destruction



Record Type	Record(s) Description (Where Required)	Retention Information/Period	Action at End of Retention Period (Method of Disposal)
Special consideration information	Any hard copy information relating to a special consideration request and supporting evidence submitted to an Awarding Body for a candidate.	Evidence supporting an on-line special consideration application and evidence supporting a candidate's absence from an exam must be kept until after the publication of results.	Confidential destruction
Suspected malpractice reports/outcomes	Any hard copy information relating to a suspected malpractice investigation/report submitted to an Awarding Body and outcome information from the Awarding Body.	Until the Awarding Body confirms the outcome of the investigation and all appeals have finished.	Confidential destruction
Transfer of credit information	Any hard copy information relating to a GCE AS transfer of credit arrangement (for a legacy unitised GCE AS specification) application submitted to an Awarding Body for a candidate.	To be retained until the issue of the GCE A level result for the candidate.	
Transferred candidate information	Any hard copy information relating to an application for a transferred candidate arrangement submitted to an Awarding Body for a candidate.	To be retained until the transfer arrangements are confirmed by the Awarding Body.	Confidential destruction
Very late arrival reports/outcomes	Any hard copy information relating to a very late arrival report submitted to an Awarding Body for a candidate and outcome information from the Awarding Body.	To be retained until after the deadline for RoRs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential destruction



## Appendix 9

### General Data Protection Regulation Policy

Refer to Cox Green School GDPR Policy on website





## Appendix 10

### Lockdown Policy

Role	Name(s)
Head of Centre	Mr Danny Edwards
Exams Officer	Mr George Hart
SLT member(s)	Miss Kim Gratton

#### Purpose of the Policy

This policy details the measures taken at Cox Green School 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.

Cox Green School has devised lockdown procedures after consulting GOV.UK's [Developing Dynamic Lockdown Procedures](#) 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.



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- ▶ 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 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 accountability 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.



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## 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;
- ▶ 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' 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;
  - ▶ (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:
  - ▶ Tell candidates to stop writing immediately and turn their papers over;
  - ▶ Collect the attendance register;
  - ▶ Make a note of time when the examination was suspended;
  - ▶ Instruct candidates to remain silent, leave all examination materials on their desks and hide under exam desk;
  - ▶ Where safe/possible, communicate (via mobile phone/walkie talkie) the situation to the Exams Officer (ensuring that all mobile phones/walkie talkies are on 'silent' mode);
  - ▶ Lock all windows and close all curtains/blinds;
  - ▶ Switch off all lights;
  - ▶ Lock all doors and/or use tables, or any other furniture, to barricade the entrance to the examination room;
  - ▶ (if the threat is a chemical or toxic release) instruct candidates to cover their nose and mouth (their own clothing can be used) and attempt to use anything to hand to seal up cracks around doors and any vents into the room.
- ▶ Where safe/possible, 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:
  - ▶ Stop dismissing candidates from the exam room;
  - ▶ Instruct candidates who have left the room to re-enter the exam room;
  - ▶ Instruct candidates to remain silent and hide under examination tables;
  - ▶ Where safe/possible, communicate (via mobile phone/walkie talkie) the situation to the Exams Officer (ensuring that all mobile phones/walkie talkies are on 'silent' mode);
  - ▶ 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 exam room;
  - ▶ (If the threat is a chemical or toxic release) instruct candidates to cover their nose and mouth (their own clothing can be used) and attempt to use anything to hand to seal up cracks around doors and any vents into the room;
- ▶ Where safe/possible, 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:
  - ▶ The sound of a defined alarm; or
  - ▶ The identification/authorisation of Emergency Service officers/SLT/Head of Centre entering each exam room.
- ▶ A specific word or phrase may be used to confirm that the instruction to end the lockdown is genuine;
- ▶ Invigilators will undertake a head count/register and confirm attendance with the exams officer/SLT;
- ▶ Where applicable and if advised to do so by SLT/ Head of Centre, and following JCQ guidelines, if there is sufficient time remaining, candidates may restart their examination;
- ▶ Invigilators will then:
  - ▶ Ask candidates to return to their desks, remind them they are under exam conditions and allow a settling down period;
  - ▶ Recalculate the revised finish time(s) to allow for the full exam time;
  - ▶ Tell the candidates to turn their papers over and re-start their exam;
  - ▶ Amend the revised finish time(s) on display to candidates;



- 
- ▶ Note how long the lockdown lasted on the exam room incident log (to later inform a report to the awarding bodies and where relevant, any centre-wide lockdown recording form/log);
  - ▶ The Exams Officer will:
    - ▶ Provide a report of the incident for Awarding Bodies (via the special consideration process or as advised by Awarding Bodies);
    - ▶ Safely/securely store all collected exam papers and materials pending Awarding Body advice/guidance;
  - ▶ Where applicable/possible/available, SLT/Exams Officer will:
    - ▶ Negotiate any alternative exam sittings with the Awarding Bodies;
    - ▶ Offer, arrange and provide support services to staff and candidates.
  - ▶ At the earliest opportunity, SLT/Head of Centre will prepare a communication to parents/carers advising them of events (including relevant actions and outcomes);
  - ▶ Where possible, exams staff and candidates will be invited to attend an assembly lead by the Head of Centre to discuss the lockdown and offer ongoing support;
    - ▶ If this is not possible, communications will be provided via a centre text/email/newsletter and information uploaded to the centre website.



## Appendix 11

### Word Processor Policy

#### Key Staff Involved in Awarding and Allocating Word Processors for Exams

Role	Name(s)
The member of SLT with responsibility for SENDCo	Ms Sian Hughes
Exams Officer	Mr George Hart
SLT member(s)	Miss Kim Gratton
IT & Facilities Operations Manager	Mr Tom Smith

#### Introduction

This policy on the use of word processors in examinations and assessments is reviewed and updated annually, on the publication of updated JCQ regulations and guidance contained in the publications Access Arrangements and Reasonable Adjustments and Instructions for conducting examinations.

References to 'AA' relate to JCQ *Access Arrangements and Reasonable Adjustments 2030-2024* and ICE to JCQ *Instructions for conducting examinations 2023-2024*.

#### Purpose of the Policy

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

#### Principles for Using a Word Processor

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

##### (AA 4.2.1)

- ▶ Candidates with access to word processors are allowed to do so in order to remove barriers for disabled candidates which prevent them from being placed at a substantial disadvantage as a consequence of persistent and significant difficulties;
- ▶ The use of word processors is only permitted whilst ensuring that the integrity of the assessment is maintained, at the same time as providing access to assessments for a disabled candidate;

##### (AA 4.2.2)

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



(AA 4.2.3)

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

(AA 4.2.4)

- ▶ The use of a word processor is normally considered and agreed where appropriate at the start of the course providing the centre has firmly established a picture of need and normal way of working for a candidate;
- ▶ Candidates are made aware when they will have the use of a word processor for timetabled examinations and non-examination assessments;

(AA 4.2.5)

- ▶ The use of a word processor for candidates is only granted if it reflects the support given to the candidate as their 'normal way of working', which is defined as support:
  - ▶ In the classroom (where appropriate); or
  - ▶ Working in small groups for reading and/or writing; or
  - ▶ Literacy support lessons; or
  - ▶ Literacy intervention strategies; and/or
  - ▶ In internal school tests/examinations;
  - ▶ Mock examinations.

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

### **The Use of a Word Processor**

Cox Green School complies with AA chapter 5 *Access arrangements available* as follows:

(AA 5.8.1)

- ▶ Provides a word processor with the spelling and grammar check facility/predictive text disabled (switched off);
- ▶ Only grants the use of a word processor to a candidate where it is their normal way of working (see 4.2.5 above) within the centre;
- ▶ Only grants the use of a word processor to a candidate if it is appropriate to their needs (for example, the quality of language significantly improves as a result of using a word processor due to problems with planning and organisation when writing by hand);

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

(AA 5.8.2)

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



(AA 5.8.3)

- ▶ Allows candidates to use a word processor in an examination to type certain questions, i.e. those requiring extended writing, and handwrite shorter answers;
- ▶ Are also aware that examinations which have a significant amount of writing, as well as those that place a greater demand on the need to organise thought and plan extended answers, are those where candidates will frequently need to type. Examinations which require more simplistic answers are often easier to handwrite within the answer booklet. The candidate avoids the difficulty of visually tracking between the question paper and screen;

(AA 5.8.4)

- ▶ In all cases, ensures that a word processor cover sheet (Form 4) is completed and included with each candidate's typed script (according to the instructions issued by the individual Awarding Body);
- ▶ Does not simply grant the use of a word processor to a candidate because they prefer to type rather than write or can work faster on a keyboard, or because they use a laptop at home.

### **Word Processors and Their Programmes**

Cox Green School complies with ICE 14.20 *Word processors* instructions by ensuring:

- ▶ Word processors are used as a type-writer, not as a database, although standard formatting software is acceptable;
- ▶ Word processors have been cleared of any previously stored data, as must any portable storage medium used;
- ▶ An unauthorised memory stick is not permitted for use by a candidate;
- ▶ Where required, candidates are provided with a memory stick, which has been cleared of any previously stored data, by a nominated member of centre staff;
- ▶ Word processors are in good working order at the time of the examination;
- ▶ Word processors are accommodated in such a way that other candidates are not disturbed and cannot read the screen;
- ▶ Where a candidate using a word processor is accommodated separately, a separate invigilator is used;
- ▶ Word processors are either connected to a printer so that a script can be printed off, or have the facility to print from a portable storage medium;
- ▶ Documents are printed after the examination is over;
- ▶ Candidates are present to verify that the work printed is their own;
- ▶ Word processed scripts are inserted in/attached to any answer booklet which contains some of the answers (and according to instructions issued by the individual Awarding Body);
- ▶ Word processors are used to produce scripts under secure conditions, and if they are not then the centre is aware that they may be refused by the Awarding Body;
- ▶ Word processors are not used to perform skills which are being assessed;
- ▶ Word processors are not connected to an intranet or any other means of communication;
- ▶ Candidates are not given access to other applications such as a calculator (where prohibited in the examination), spreadsheets etc. when using a word processor;
- ▶ Graphic packages or computer aided design software is not included on a word processor unless permission has been given to use these;





- ▶ Predictive text software or an automatic spelling and grammar check is disabled unless the candidate has been permitted a scribe or is using voice recognition technology (the script must have a completed scribe cover sheet included), or the Awarding Body's specification permits the use of automatic spell checking;
- ▶ Voice recognition technology is not included on word processors unless the candidate has permission to use a scribe or relevant software;
- ▶ Word processors are not used on the candidate's behalf by a third party unless the candidate has permission to use a scribe.

### **Laptops and Tablets**

Cox Green School further complies with ICE 14.20 instructions by ensuring:

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

### **Accommodating Word Processors in Examinations**

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

- ▶ Seated in a separate room in order to minimise keyboard noise and allow printing.



## Appendix 12

### NEA Policy

#### Key Staff Involved in the Conduct of Non-Examination Assessments

Role	Name(s)
Head of Centre	Mr Danny Edwards
Quality assurance lead/ Lead internal verifier	Mr Danny Edwards
SLT Member(s)	Miss Kim Gratton
The member of SLT with responsibility for SENDCo	Ms Sian Hughes
Exams Officer	Mr George Hart

#### What Does this Policy Affect?

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

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

[Definition taken directly from the JCQ publication 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 with respect to non-examination assessments;
- Manage risks associated with non-examination assessments.

What are non-examination assessments?

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



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

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

## **Procedures for Planning and Managing Non-Examination Assessments Identifying Staff Roles and Responsibilities**

### **The Basic Principles**

#### **Head of Centre:**

- Ensures that the centre's *non-examination assessment policy* is fit for purpose;
- Ensures the centre's *internal appeals procedures* clearly detail the procedure to be followed by candidates (or their parents/carers) appealing against internal assessment decisions (centre assessed marks) and requesting a review of the centre's marking.

#### **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;
- Where applicable, liaise with all relevant parties in relation to arrangements for and conduct of the monitoring visit for GCSE (9-1) Computer Science.

#### **Quality Assurance (QA) Lead/Lead Internal Verifier:**

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

#### **Subject Leader:**

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



- Understands the arrangements that the centre needs to put in place where the centre might accept private candidates (including distance learners and home educated students) for components of non-examination assessment.

#### **Subject Teacher**

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

#### **Exams Officer**

- Signposts the annually updated JCQ publication *Instructions for conducting non-examination assessments* to relevant centre staff;
- Carries out tasks where these may be applicable to the role in supporting the administration/management of non-examination assessment.

#### **Task Setting**

##### **Subject Teacher:**

- Selects tasks from a choice provided by the Awarding Body OR designs tasks where this is permitted by criteria set out within the subject specification;
- Makes candidates aware of the criteria used to assess their work.

#### **Issuing of Tasks**

##### **Subject Teacher:**

- Determines when set tasks are issued by the Awarding Body;
- Identifies date(s) when tasks should be taken by candidates;
- Accesses set tasks in sufficient time to allow planning, resourcing and teaching and ensures that materials are stored securely at all times;
- Ensures requirements for legacy specification tasks and new specification tasks are distinguished between.

#### **Task Taking**

#### **Supervision**

##### **Subject Teacher**

- Checks the Awarding Body's subject-specific requirements ensuring candidates take tasks under the required conditions and supervision arrangements;
- Ensures there is sufficient supervision to enable the work of a candidate to be authenticated;
- Ensures there is sufficient supervision to ensure the work a candidate submits is their own;



- Where candidates may work in groups, keeps a record of each candidate's contribution;
- Ensures candidates are aware of the JCQ documents Information for candidates - non-examination assessments and Information for candidates - Social Media;
- Ensures candidates understand and comply with the regulations in relevant JCQ documents *Information for candidates*.
- Ensures candidates:
  - understand that information from all sources must be referenced
  - receive guidance on setting out references
  - are aware that they must not plagiarise other material

## Advice and Feedback

### Subject Teacher

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

## 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;
- Refers to the JCQ document AI Use in Assessments: Protecting the Integrity of Qualifications (<http://www.jcq.org.uk/exams-office/malpractice>) as well as the awarding body's specification and/or associated documentation published by the awarding bodies and the regulator
  - By referencing this document, makes candidates aware of the appropriate and inappropriate use of AI, the risks of using AI, and the possible consequences of using AI inappropriately in a qualification assessment
- 
- Ensures conditions for any formally supervised sessions are known and put in place;
- Ensures conditions for any formally supervised sessions are understood and followed by candidates;
- Ensures candidates understand that they are not allowed to introduce improved notes or new resources between formally supervised sessions;
- Ensures that where appropriate to include references, candidates keep a detailed record of their own research, planning, resources etc.



## Word and Time Limits

### Subject Teacher:

- Refers to the Awarding Body's specification to determine where word and time limits apply/are mandatory.

## Collaboration and Group Work

### Subject Teacher:

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

## Authentication Procedures

### Subject Teacher:

- Where required by the Awarding Body's specification:
  - Ensures candidates sign a declaration confirming the work they submit for final assessment is their own unaided work;
  - Signs the teacher declaration of authentication confirming the requirements have been met;
- Keeps signed candidate declarations on file until the deadline for enquiries about results has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later;
- Provides signed candidate declarations where these may be requested by a JCQ Centre Inspector;
- Where there may be doubt about the authenticity of the work of a candidate or if malpractice is suspected, follows the authentication procedures and malpractice information in [NEA](#) and informs the Exams Officer.

## Presentation of Work

### Subject Teacher:

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

## Keeping Materials Secure

### Subject Teacher:

- When work is being undertaken by candidates under formal supervision, ensures work is securely stored between sessions (if more than one session);
- When work is submitted by candidates for final assessment, ensures work is securely stored
- Follows secure storage instructions as defined in [NEA 4.8](#);
- Takes sensible precautions when work is taken home for marking;



- Stores internally assessed work, including the sample returned after Awarding Body moderation, securely until the closing date for enquiries about results or until the outcome of an enquiry or any subsequent appeal has been conveyed to the Centre;
- Reminds candidates of the need to keep their own work secure at all times and not share completed or partially completed work on-line, on social media or through any other means;
- Liaises with the IT Manager to ensure that appropriate arrangements are in place to restrict access between sessions to candidates' work where work is stored electronically.

**IT Manager:**

- Ensures appropriate arrangements are in place to restrict access between sessions to candidates' work where work is stored electronically. Task Marking – Externally Assessed Components

**Conduct of Externally Assessed Work**

**Subject Teacher:**

- Liaises with the Exams Officer regarding arrangements for the conduct of any externally assessed non-examination component of a specification;
- Liaises with the Visiting Examiner where this may be applicable to any externally assessed component.

**Exams Officer**

- Arranges timetabling, rooming and invigilation where this is applicable to any externally assessed non-examination component of a specification;
- Conducts the externally assessed component within the window specified by the Awarding Body;
- Conducts the externally assessed component according to the JCQ publication *Instructions for conducting examinations*.

**Submission of Work**

**Subject Teacher:**

- Provides the attendance register to a Visiting Examiner.

**Exams Officer:**

- Provides the attendance register to the subject teacher where the component may be assessed by a Visiting Examiner;
- Ensures the Awarding Body's attendance register for any externally assessed component is completed correctly to show candidates who are present and any who may be absent;
- Where candidates' work must be despatched to an Awarding Body's examiner, ensures the completed attendance register accompanies the work;
- Keeps a copy of the attendance register until after the deadline for enquiries about results for the exam series;
- Packages the work as required by the Awarding Body and attaches the examiner address label;
- Despatches the work to the Awarding Body's instructions by the required deadline.



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## Task Marking – Internally Assessed Components

### Marking and Annotation

#### Subject Teacher

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

#### Internal Standardisation

##### Quality Assurance (QA) Lead/Lead Internal Verifier

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

#### Subject Teacher:

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

#### Consortium Arrangements

##### Subject Leader:

- Ensures a consortium co-ordinator is nominated (where this may be required as the consortium lead);
- Liaises with the Exams Officer to ensure form JCQ/CCA is submitted to the Awarding Body 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.





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**Exams Officer:**

- Arranges completion of form JCQ/CCA Centre consortium arrangements for centre - assessed work;
- Submits form JCQ/CCA to the deadline for each exam series affected;
- Submits marks to the Awarding Body deadline;
- Where relevant, liaises with other consortium exams officers to arrange despatch of a single moderation sample to the Awarding Body deadline;
- Where relevant (as the consortium lead), retains all candidates' work in the consortium until after the deadline for enquiries about results for the exam series.

**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 the moderator is provided with authentication of candidates' work, confirmation that internal standardisation has been undertaken and any other subject-specific information where this may be required.

**Exams Officer:**

- Inputs and submits marks online via the Awarding Body secure extranet site, keeping a record of the marks submitted to the external deadline/Confirms with subject teachers that marks have been submitted to the Awarding Body deadline;
- Where responsible for marks input, ensures checks are made that marks for any additional candidates are submitted and ensures mark input is checked before submission to avoid transcription errors;
- Submits the requested samples of candidates' work to the moderator by the Awarding Body deadline, keeping a record of the work submitted/Confirms with Subject teacher that the moderation sample has been submitted to the Awarding Body deadline;
- Ensures that for postal moderation:
  - Work is dispatched in packaging provided by the Awarding Body;
  - Moderator label(s) provided by the Awarding Body are affixed to the packaging;
  - Proof of dispatch is obtained and kept on file until the successful issue of final results;
- Through the subject teacher, ensures the moderator is provided with authentication of candidates' work, confirmation that internal standardisation has been undertaken and any other subject-specific information where this may be required.



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## Storage and Retention of Work after Submission of Marks

### Subject Teacher:

- Keeps a record of names and candidate numbers for candidates whose work was included in the moderation sample;
- Retains all marked candidates' work (including any sample returned after moderation) under secure conditions until after the deadline for enquiries about results;
- Takes steps to protect any work stored electronically from corruption and has a back-up procedure in place;
- Retains evidence of work where retention may be a problem (for example, photos of artefacts etc).

### Exams Officer:

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

## External Moderation - Feedback

### Subject Leader:

- Checks moderator reports and ensures that any remedial action, if necessary, is undertaken before the next examination series.

### Exams Officer:

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

## Access Arrangements

### Subject Teacher:

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

### Special Educational Needs Coordinator (SENDCo):

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



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## Special Consideration

### Subject Teacher:

- Understands that a candidate may be eligible for special consideration in assessments in certain situations where a candidate:
  - Is absent;
  - Produces a reduced quantity of work;
  - Work has been lost;
- Liaises with the Exams Officer when special consideration may need to be applied for a candidate taking assessments.

### Exams Officer:

- Refers to/directs relevant staff to the JCQ publication A guide to the special consideration process;
- Where a candidate is eligible, submits an application for special consideration via the Awarding Body's secure extranet site to the prescribed timescale;
- Where application for special consideration via the Awarding Body's secure extranet site is not applicable, submits the required form to the Awarding Body to the prescribed timescale;
- Keeps required evidence on file to support the application.

## Malpractice

### Head of Centre:

- Understands the responsibility to immediately report to the relevant Awarding Body any alleged, suspected or actual incidents of malpractice involving candidates, teachers, invigilators or other administrative staff;
- Is familiar with the JCQ publication Suspected Malpractice in Examinations and Assessments: Policies and Procedures;
- Ensures that those members of teaching staff involved in the direct supervision of candidates producing non-examination assessment are aware of the potential for malpractice and ensures that teaching staff are reminded that failure to report allegations of malpractice or suspected malpractice constitutes malpractice in itself.

### Subject Teacher:

- Is aware of the JCQ Notice to Centres - Teachers sharing assessment material and candidates' work;
- Ensures candidates understand the JCQ document Information for candidates - non-examination assessments;
- Ensures candidates understand the JCQ document Information for candidates - Social Media;
- Escalates and reports any alleged, suspected or actual incidents of malpractice involving candidates to the Head of Centre.

### Exams Officer:

- Signposts the JCQ publication Suspected Malpractice in Examinations and Assessments: Policies and Procedures to the Head of Centre;
- Signposts the JCQ Notice to Centres - Teachers sharing assessment material and candidates' work to subject heads;
- Signposts candidates to the relevant JCQ information for candidates' documents;



- Where required, supports the Head of Centre in investigating and reporting incidents of alleged, suspected or actual malpractice.

### Post-Results Services

#### Head of Centre:

- Ensures the centre's *internal appeals procedures* clearly detail the procedure to be followed by candidates (or their parents/carers) appealing against a centre decision not to support an application for clerical check, a review of marking, a review of moderation or an appeal.

#### Subject Leader:

- Provides relevant support to subject teachers making decisions about enquiries about results.

#### Subject Teacher:

- Provides advice and guidance to candidates on their results and the post-results services available;
- Provides the Exams Officer with the original sample or relevant sample of candidates' work that may be required for an Review of Results to the internal deadline;
- Supports the Exams Officer in collecting candidate consent where required.

#### Exams Officer:

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

### Practical Skills Endorsement for the A Level Sciences Designed for Use in England

#### Head of Centre:

- Provides a signed declaration as part of the National Centre Number Register Annual Update, that all reasonable steps have been or will be taken to ensure that all candidates at the centre have had, or will have, the opportunity to undertake the prescribed practical activities;
- Ensures new lead teachers undertake the required training provided by the Awarding Body on the implementation of the practical endorsement;
- Ensures relevant centre staff liaise with all relevant parties in relation to arrangements for and conduct of the monitoring visit.

#### Subject Leader:

- Confirms understanding of the *Practical Skills Endorsement for the A Level Sciences designed for use in England*;
- Ensures where the centre intends to enter candidates for the first time for one or more of the A level subjects, the relevant Awarding Body will be contacted at the beginning of the course;
- Undertakes training provided by the Awarding Body on the implementation of the practical endorsement;



- Disseminates information to subject teachers ensuring the standards can be applied appropriately;
- Liaises with all relevant parties in relation to arrangements for and conduct of the monitoring visit.

**Subject Teacher:**

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

**Exams Officer:**

- Follows the Awarding Body's instructions for the submission of candidates *Pass* or *Not Classified* assessment.

**Spoken Language Endorsement for GCSE English Language Specifications Designed for Use in England**

**Head of Centre:**

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

**Quality Assurance (QA) Lead/Lead Internal Verifier:**

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

**Subject Leader:**

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

**Subject Teacher:**

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



### **Exams Officer**

- Follows the Awarding Body's instructions for the submission of grades and the storage and submission of recordings.



## Management of Issues and Potential Risks Associated with Non-Examination Assessments

Issue/Risk	Centre Actions to Manage Issue/Mitigate Risk	Action by
Centre staff malpractice	<p>Records confirm that relevant centre staff are familiar with and follow:</p> <ul style="list-style-type: none"> <li>the current JCQ publication Instructions for conducting non-examination assessments</li> </ul> <p>the JCQ document Notice to Centres - Sharing NEA material and candidates' work - <a href="http://www.jcq.org.uk/exams-office/non-examination-assessments">www.jcq.org.uk/exams-office/non-examination-assessments</a></p>	SLT overseeing exams/ Exams Officer
Candidate malpractice	<p>Records confirm that candidates are informed and understand they must not:</p> <ul style="list-style-type: none"> <li>submit work which is not their own</li> <li>make available their work to other candidates through any medium</li> <li>allow other candidates to have access to their own independently sourced material</li> <li>assist other candidates to produce work</li> <li>use books, the internet, AI or other sources without acknowledgement or attribution</li> <li>submit work that has been word processed by a third party without acknowledgement</li> <li>include inappropriate, offensive or obscene material</li> </ul> <p>Records confirm that candidates have been made aware of the JCQ documents Information for candidates - non-examination assessments and Information for candidates – Social Media - <a href="http://www.jcq.org.uk/exams-office/information-for-candidates-documents">www.jcq.org.uk/exams-office/information-for-candidates-documents</a> and understand they must not post their work on social media</p>	SLT overseeing exams/ Exams Officer
<b>Task Setting</b>		
Awarding Body set task: IT failure/corruption of task details where set task details accessed from the Awarding Body online	<p>Awarding Body key date for accessing/downloading set task noted prior to start of course.</p> <p>IT systems checked prior to key date.</p> <p>Alternative IT system used to gain access.</p> <p>Awarding Body contacted to request direct email of task details.</p>	I.T. Technical Support
Centre set task: Subject teacher fails to meet the assessment criteria as detailed in the specification	<p>Ensures that subject teachers access Awarding Body training information, practice materials etc.</p> <p>Records confirmation that subject teachers understand the task setting arrangements as defined in the Awarding Body's specification.</p> <p>Samples assessment criteria in the centre set task.</p>	Subject Leader



Candidates do not understand the marking criteria and what they need to do to gain credit	<i>A simplified version of the Awarding Body's marking criteria described in the specification that is not specific to the work of an individual candidate or group of candidates is produced for candidates. Records confirm all candidates understand the marking criteria. Candidates confirm/record they understand the marking criteria.</i>	Subject Leader
Subject teacher long term absence during the task setting stage	<i>See centre's exam contingency plan - Teaching staff extended absence at key points in the exam cycle.</i>	
<b>Issuing of Tasks</b>		
Task for legacy specification given to candidates undertaking new specification	<i>Ensures subject teachers take care to distinguish between requirements/tasks for legacy specifications and requirements/tasks for new specifications. Awarding Body guidance sought where this issue remains unresolved</i>	Quality Assurance Lead/Lead Internal Verifier
Awarding Body set task not issued to candidates on time	<i>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.</i>	Exams Officer
The wrong task is given to candidates	<i>Ensures course planning and information taken from the Awarding Body's specification confirms the correct task will be issued to candidates. Awarding Body guidance sought where this issue remains unresolved.</i>	Exams Officer
Subject teacher long term absence during the issuing of tasks stage	<i>See centre's exam contingency plan - Teaching staff extended absence at key points in the exam cycle.</i>	
<b>Task Taking</b>		
<b>Supervision</b>		
Planned assessments clash with other centre or candidate activities	<i>Assessment plan identified for the start of the course Assessment dates/periods included in centre wide calendar.</i>	Subject Leader & Exams Officer
Rooms or facilities inadequate for candidates to take tasks under appropriate supervision	<i>Timetabling organised to allocate appropriate rooms and IT facilities for the start of the course. Staggered sessions arranged where IT facilities insufficient for number of candidates.</i>	Exams Officer





	<i>Whole cohort to undertake written task in large exam venue at the same time (exam conditions do not apply).</i>	
Insufficient supervision of candidates to enable work to be authenticated	<i>Confirm subject teachers are aware of and follow the current JCQ publication. Instructions for conducting non-examination assessments and any other specific instructions detailed in the Awarding Body's specification in relation to the supervision of candidates. Confirm subject teachers understand their role and responsibilities as detailed in the Centre's non-examination assessment policy.</i>	Subject Leader
A candidate is suspected of malpractice prior to submitting their work for assessment	<i>Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (section 9 Malpractice) are followed. An internal investigation and where appropriate internal disciplinary procedures are followed.</i>	Head of Centre & Exams Officer
Access arrangements were not put in place for an assessment where a candidate is approved for arrangements	<i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 2), to determine the process to be followed to apply for special consideration for the candidate.</i>	SENDCo
<b>Advice and Feedback</b>		
Candidate claims appropriate advice and feedback not given by subject teacher prior to starting on their work	<i>Ensures a centre-wide process is in place for subject teachers to record all information provided to candidates before work begins as part of the centre's quality assurance procedures. Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity. Full records kept detailing all information and advice given to candidates prior to starting on their work as appropriate to the subject and component. Candidate confirms/records advice and feedback given prior to starting on their work.</i>	Quality Assurance Lead/Lead Internal Verifier
Candidate claims no advice and feedback given by subject teacher during the task-taking stage	<i>Ensures a centre-wide process is in place for subject teachers to record all advice and feedback provided to candidates during the task-taking stage as part of the centre's quality assurance procedures. Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity. Full records kept detailing all advice and feedback given to candidates during the task-taking stage as appropriate to the subject and component. Candidate confirms/records advice and feedback given during the task-taking stage.</i>	Subject Leader



A third party claims that assistance was given to candidates by the subject teacher over and above that allowed in the regulations and specification	<i>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.</i>	Head of Centre & Exams Officer
Candidate does not reference information from published source	<i>Candidate is advised at a general level to reference information before work is submitted for formal assessment. Candidate is again referred to the JCQ document Information for candidates: non-examination assessments. Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion.</i>	Subject Leader
Candidate does not set out references as required	<i>Candidate is advised at a general level to review and re-draft the set out of references before work is submitted for formal assessment. Candidate is again referred to the JCQ document Information for candidates: non-examination assessments. Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion.</i>	Subject Leader
Candidate joins the course late after formally supervised task taking has started	<i>A separate supervised session(s) is arranged for the candidate to catch up.</i>	Exams Officer & Subject Leader
Candidate moves to another centre during the course	<i>Awarding Body guidance is sought to determine what can be done depending on the stage at which the move takes place.</i>	Exams Officer
An excluded pupil wants to complete his/her non-examination assessment(s)	<i>The Awarding Body specification is checked to determine if the specification is available to a candidate outside mainstream education. If so, arrangements for supervision, authentication and marking are made separately for the candidate</i>	Head of Centre
<b>Resources</b>		
A candidate augments notes and resources between formally supervised sessions	<i>Preparatory notes and the work to be assessed are collected in and kept secure between formally supervised sessions.</i>	Subject Leader



	<p><i>Where memory sticks are used by candidates, these are collected in and kept secure between formally supervised sessions.</i></p> <p><i>Where work is stored on the centre's network, access for candidates is restricted between formally supervised sessions.</i></p>	
A candidate fails to acknowledge sources on work that is submitted for assessment	<p><i>Candidate's detailed record of his/her own research, planning, resources etc. is checked to confirm all the sources used, including books, websites and audio/visual resources.</i></p> <p><i>Awarding Body guidance is sought on whether the work of the candidate should be marked where candidate's detailed records acknowledges sources appropriately.</i></p> <p><i>Where confirmation is unavailable from candidate's records, Awarding Body guidance is sought and/or a mark of zero is submitted to the Awarding Body for the candidate.</i></p>	Subject Leader
<b>Word and Time Limits</b>		
A candidate is penalised by the Awarding Body for exceeding word or time limits	<p><i>Records confirm the Awarding Body specification has been checked to determine if word or time limits are mandatory.</i></p> <p><i>Where limits are for guidance only, candidates are discouraged from exceeding them.</i></p> <p><i>Candidates confirm/record any information provided to them on word or time limits is known and understood.</i></p>	Subject Leader
<b>Collaboration and Group Work</b>		
Candidates have worked in groups where the Awarding Body specification states this is not permitted	<p><i>Records confirm the Awarding Body specification has been checked to determine if group work is permitted.</i></p> <p><i>Awarding Body guidance sought where this issue remains unresolved.</i></p>	Subject Leader
<b>Authentication Procedures</b>		
<p>A teacher has doubts about the authenticity of the work submitted by a candidate for internal assessment</p> <p>Candidate plagiarises other material</p>	<p><i>Records confirm subject staff have been made aware of the JCQ document Teachers sharing assessment material and candidates' work.</i></p> <p><i>Records confirm that candidates have been issued with the current JCQ document Information for candidates: non-examination assessments.</i></p> <p><i>Candidates confirm/record that they understand what they need to do to comply with the regulations for non-examination assessments as outlined in the JCQ document Information for candidates: non-examination assessments.</i></p>	Head of Centre & Exams Officer



	<i>The candidate's work is not accepted for assessment A mark of zero is recorded and submitted to the Awarding Body.</i>	
Candidate does not sign their authentication statement/declaration	<i>Records confirm that candidates have been issued with the current JCQ document Information for candidates: non-examination assessments. Candidates confirm/record they understand what they need to do to comply with the regulations as outlined in the JCQ document Information for candidates: non-examination assessments. Declaration is checked for signature before accepting the work of a candidate for formal assessment.</i>	Subject Leader
Subject teacher not available to sign authentication forms	<i>Ensures a centre-wide process is in place for subject teachers to sign authentication forms at the point of marking. candidates work as part of the centre's quality assurance procedures.</i>	Senior Leader
<b>Presentation of Work</b>		
Candidate does not fully complete the Awarding Body's cover sheet that is attached to their worked submitted for formal assessment	<i>Cover sheet is checked to ensure it is fully completed before accepting the work of a candidate for formal assessment.</i>	Subject Leader
<b>Keeping Materials Secure</b>		
Candidates work between formal supervised sessions is not securely stored	<i>Records confirm subject teachers are aware of and follow current JCQ publication Instructions for conducting non-examination assessments. Regular monitoring ensures subject teacher use of appropriate secure storage.</i>	Subject Leader
Adequate secure storage not available to subject teacher	<i>Records confirm adequate/sufficient secure storage is available to subject teacher prior to the start of the course. Alternative secure storage sourced where required.</i>	Exams Officer
Candidates work produced electronically is not securely stored	<i>Records confirm subject teachers are aware of and follow current JCQ publication Instructions for conducting non-examination assessments Internal processes and regular monitoring/internal audit by IT Manager ensures:</i> <ul style="list-style-type: none"> <li><i>access to this material is restricted (insert how)</i></li> <li><i>appropriate security safeguards are in place (insert names/types of protection)</i></li> <li><i>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</i></li> </ul>	



	<i>(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)</i>	
<b>Task Marking – Externally Assessed Components</b>		
A candidate is absent on the day of the examiner visit for an acceptable reason	<i>Awarding Body guidance is sought to determine if alternative assessment arrangements can be made for the candidate. If not, eligibility for special consideration is explored and a request submitted to the Awarding Body where appropriate.</i>	Exams Officer
A candidate is absent on the day of the examiner visit for an unacceptable reason	<i>The candidate is marked absent on the attendance register.</i>	Head of Centre
<b>Task Marking – internally Assessed Components</b>		
A candidate submits little or no work	<i>Where a candidate submits no work, the candidate is recorded as absent when marks are submitted to the Awarding Body. Where a candidate submits little work, the work produced is assessed against the assessment criteria and a mark allocated appropriately; where the work does not meet any of the assessment criteria a mark of zero is submitted to the Awarding Body.</i>	Subject Leader
A candidate is unable to finish their work for unforeseen reason	<i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 5), to determine eligibility and the process to be followed for shortfall in work.</i>	Exams Officer
The work of a candidate is lost or damaged	<i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 5), to determine eligibility and the process to be followed for lost or damaged work.</i>	Subject Leader & Exams Officer
Candidate malpractice is discovered	<i>Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (section 9 Malpractice) are followed. Investigation and reporting procedures in the current JCQ publication Suspected Malpractice in Examinations and Assessments are followed. Appropriate internal disciplinary procedures are also followed.</i>	Head of Centre & Exams Officer
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	<i>A possible conflict of interest is declared by informing the Awarding Body before the published deadline for entries for each exam period.</i>	Subject Leader



and similar close relationships) or close friends and their immediate family (e.g. son/daughter)	<i>Marked work of said candidate is submitted for moderation whether part of the sample requested or not.</i>	
An extension to the deadline for submission of marks is required for a legitimate reason	<i>Awarding Body is contacted to determine if an extension can be granted. Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 5), to determine eligibility and the process to be followed for non-examination assessment extension.</i>	Exams Officer
After submission of marks, it is discovered that the wrong task was given to candidates	<i>Awarding Body is contacted for guidance. Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 2), to determine eligibility and the process to be followed to apply for special consideration for candidates.</i>	Exams Officer
A candidate wishes to appeal/request a review of the marks awarded for their work by their teacher	<i>Candidates are informed of the marks they have been awarded for their work prior to the marks being submitted to the Awarding Body. Records confirm candidates have been informed of their marks. Candidates are informed that these marks are subject to change through the Awarding Body's moderation process. Candidates are informed of their marks to the timescale identified in the centre's internal appeals procedure and prior to the internal deadline set by the exams officer for the submission of marks. Through the candidate exam handbook, candidates are made aware of the centre's internal appeals procedures and timescale for submitting an appeal/request for a review of the centre's marking prior to the submission of marks to the Awarding Body.</i>	Subject Leader & Exams Officer
Deadline for submitting work for formal assessment not met by candidate	<i>Records confirm deadlines given and understood by candidates at the start of the course. Candidates confirm/record deadlines known and understood. Depending on the circumstances, Awarding Body guidance sought to determine if the work can be accepted late for marking providing the Awarding Body's deadline for submitting marks can be met. Decision made (depending on the circumstances) if the work will be accepted late for marking or a mark of zero submitted to the Awarding Body for the candidate.</i>	Subject Leader & Exams Officer



Deadline for submitting marks and samples of candidates work ignored by subject teacher	<i>Internal/external deadlines are published at the start of each academic year. Reminders are issued through senior leaders/subject heads as deadlines approach. Records confirm deadlines known and understood by subject teachers. Where appropriate, internal disciplinary procedures are followed.</i>	Head of Centre
Subject teacher long term absence during the marking period	<i>See centre's exam contingency plan (Teaching staff extended absence at key points in the exam cycle).</i>	





## **Appendix 13**

### **Safeguarding/Child Protection Policy**

Refer to school policy on website.





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## Appendix 14

### Exams Whistleblowing Policy

#### Introduction

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

The Head of Centre and Board of Trustees at Cox Green School aim to create and maintain an approach to examinations that reflects an ethical culture, and encourages staff and students to be aware of and report practices that could compromise the integrity and security of examinations.

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

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

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

This policy sets out the whistleblowing procedures at Cox Green School. The Deputy Head teacher, Andy Shields, who is also a member of the Senior Leadership Team and responsible for handling any cases of exam whistleblowing. He is fully aware of the contents of this policy and will escalate any instances of malpractice to the relevant Awarding Body/Bodies.

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

#### Purpose of the Policy

This policy:

- Encourages individuals to raise concerns, which will be fully investigated by appropriately trained and experienced individuals;
- Identifies how to report concerns;
- Explains how such concerns will be investigated and sets expectations regarding the reporting of outcomes;
- Provides details of relevant bodies to whom concerns about wrongdoing can be reported,

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

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

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



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including awarding organisations and regulators;

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

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

### **The Whistleblower**

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

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

### **Reporting**

If a member of centre staff involved in the management, administration and/or conducting of examinations (such as Exams Officer, Exams Assistant or Invigilator), a student or a member of the public (such as a parent/carer) has a concern or reason to believe that malpractice has or will occur in an examination or assessment, concerns should normally be raised initially with the member of the member of SLT with responsibility for exams. However, there may be times when it may be more appropriate to refer the issue direct to the Board of Trustees, most often when the allegation is against the Head of Centre.

### **Examples of Malpractice**

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

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

### **Whistleblowing Procedure**

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

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



suspected.

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

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

- The qualifications and subjects involved;
- The centre involved;
- The names of staff/candidates involved;
- The regulations breached/specific nature of suspected malpractice;
- When and where the suspected malpractice occurred;
- Whether multiple examination series are affected;
- If the issue has been reported to the centre and what the outcome was;
- How the issue became apparent.

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

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

### **Anonymity**

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

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

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

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

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

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

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

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



## Appendix 15

### Conflict of Interest Policy (Exams)

#### Key Staff Involved

Role	Name(s)
Exams Officer	Mr George Hart
Exams Officer Line Manager (Senior Leader)	Miss Kim Gratton
Head of Centre	Mr Danny Edwards
The member of SLT with responsibility for SENDCo	Ms Sian Hughes

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

Manages conflicts of interest by informing the awarding bodies, before the published deadline for entries for each examination series, of:

- any members of centre staff who are taking qualifications at their own centre which include internally assessed components/units
- any members of centre staff who are teaching and preparing members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) for qualifications which include internally assessed components/units and

maintains clear records of all instances where:

- exams office staff have members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) being entered for examinations and assessments either at the centre itself or other centres
- centre staff are taking qualifications at their own centre which do not include internally assessed components/units
- centre staff are taking qualifications at other centres (GR 5.3)

#### Purpose of the policy

The purpose of this policy is to confirm how Cox Green School manages conflicts of interest under normal delivery arrangements in accordance with the regulations.



### **General principles**

A process is in place to Collect any declaration of interest. from All centre staff. to Identify and manage any potential conflicts of interest.

### **Declaration process**

An electronic copy of a declaration of interest form is sent to all centre staff) in October. Completed forms must be returned to the Exams Officer within fourteen days.

### **Managing conflicts of interest**

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

### **Roles and responsibilities**

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

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

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

- Ensure the process for collecting declarations of interest is undertaken.



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**Identify and follow the awarding body's administrative process for submitting details of members of staff who are:**

- Taking qualifications which include internally assessed components/units at their own centre
- Teaching and preparing members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) for qualifications which include internally assessed components/units (GR 5.3)
- Retain the records of the measures taken to mitigate any potential risk to the integrity of the qualifications affected until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later (GR 5.3)



## Appendix 16

### Malpractice Policy (Exams)

#### Key Staff Involved

Role	Name(s)
Exams Officer	Mr George Hart
Exams Officer Line Manager (Senior Leader)	Miss Kim Gratton
Head of Centre	Mr Danny Edwards
The member of SLT with responsibility for SENDCo	Ms Sian Hughes

#### Introduction

##### What is malpractice and maladministration?

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

- a breach of the Regulations
- a breach of awarding body requirements regarding how a qualification should be delivered
- a failure to follow established procedures in relation to a qualification which:
- gives rise to prejudice to candidates
- compromises public confidence in qualifications
- compromises, attempts to compromise or may compromise the process of assessment, the integrity of any qualification or the validity of a result or certificate
- damages the authority, reputation or credibility of any awarding body or centre or any officer, employee or agent of any awarding body or centre

##### Candidate malpractice

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



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### **Centre staff malpractice**

'Centre staff malpractice' means malpractice committed by:

- a member of staff, contractor (whether employed under a contract of employment or a contract for services) or a volunteer at a centre; or
- an individual appointed in another capacity by a centre such as an invigilator, a Communication Professional, a Language Modifier, a practical assistant, a prompter, a reader or a scribe (SMPP 2)

### **Suspected malpractice**

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

### **Purpose of the plan**

To confirm Cox Green School:

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

### **General principles**

In accordance with the regulations Cox Green School will:

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

### **Preventing malpractice**

Cox Green School has in place:

- Robust processes to prevent and identify malpractice, as outlined in section 3 of the JCQ publication Suspected Malpractice: Policies and Procedures (SMPP 4.3)
- This includes ensuring that all staff involved in the delivery of assessments and examinations understand the requirements for conducting these as specified in the following JCQ documents and any further awarding body guidance:
  - General Regulations for Approved Centres 2023-2024
  - Instructions for conducting examinations (ICE) 2023-2024
  - Instructions for conducting coursework 2023-2024
  - Instructions for conducting non-examination assessments 2023-2024





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- Access Arrangements and Reasonable Adjustments 2023-2024
  - A guide to the special consideration process 2023-2024
  - Suspected Malpractice: Policies and Procedures 2023-2024
  - Plagiarism in Assessments
  - AI Use in Assessments: Protecting the Integrity of Qualifications
  - A guide to the awarding bodies' appeals processes 2023-2024 (SMPP 3.3.1)

### **Artificial intelligence (AI)**

Artificial intelligence (AI) tools are now widespread and easy to access. Staff, pupils and parents/carers may be familiar with generative chatbots such as ChatGPT and Google Bard. Cox Green School recognises that AI has many uses to help pupils learn, but may also lend itself to cheating and plagiarism.

Pupils **may not** use AI tools:

- During assessments, including internal and external assessments, and coursework
- To write their homework or class assignments, where AI-generated text is presented as their own work

Pupils may use AI tools:

- As a research tool to help them find out about new topics and ideas
- When specifically studying and discussing AI in schoolwork, for example in IT lessons or art homework about AI-generated images. All AI-generated content must be properly attributed
- Where a pupil uses an AI tool, the pupil should retain a copy of the question(s) asked and the AI-generated responses. Pupils must submit this along with the assessment.

Staff should:

- Be aware that AI tools are still being developed and should use such tools with caution as they may provide inaccurate, inappropriate or biased content
- Make students aware of the risks of using AI tools and that they need to appropriately reference AI as a source of information to maintain the integrity of assessments

For more information on AI misuse, see JCQ's 'AI Use in Assessments: Protecting the Integrity of Qualifications'. Any misuse of AI tools may be treated as malpractice.

### **Informing and advising candidates**

A candidate briefing is held at the start of each academic year and, again, before the start of the summer exam season.

This briefing will highlight best practice and also covers examples of learner malpractice (as outlined in appendix B).



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## Identification and reporting of malpractice

### Escalating suspected malpractice issues

- Once suspected malpractice is identified, any member of staff at the centre can report it using the appropriate channels (SMPP 4.3)
- Suspected malpractice should be reported to the Exams Officer and/or Head of Centre
- Concerns regarding the Exams Officer should be reported to the Head of Centre
- Concerns about the Head of Centre should be reported to the Principal.

### Reporting suspected malpractice to the awarding body

- The head of centre will notify the appropriate awarding body immediately of all alleged, suspected or actual incidents of malpractice, using the appropriate forms, and will conduct any investigation and gathering of information in accordance with the requirements of the JCQ publication Suspected Malpractice: Policies and Procedures (SMPP4.1.3)
- The head of centre will ensure that where a candidate who is a child/vulnerable adult is the subject of a malpractice investigation, the candidate's parent/carer/ appropriate adult is kept informed of the progress of the investigation (SMPP 4.1.3)
- Form JCQ/M1 will be used to notify an awarding body of an incident of candidate malpractice. Form JCQ/M2 will be used to notify an awarding body of an incident of suspected staff malpractice/maladministration (SMPP 4.4, 4.6)
- Malpractice by a candidate discovered in a controlled assessment, coursework or non-examination assessment component prior to the candidate signing the declaration of authentication need not be reported to the awarding body but will be dealt with in accordance with the centre's internal procedures. The only exception to this is where the awarding body's confidential assessment material has potentially been breached. The breach will be reported to the awarding body immediately (SMPP 4.5)
- If, in the view of the investigator, there is sufficient evidence to implicate an individual in malpractice, that individual (a candidate or a member of staff) will be informed of the rights of accused individuals (SMPP 5.33)
- Once the information gathering has concluded, the head of centre (or other appointed information-gatherer) will submit a written report summarising the case to the relevant awarding body, accompanied by the information obtained during the course of their enquiries (SMPP 5.35)
- Form JCQ/M1 will be used when reporting candidate cases; for centre staff, form JCQ/M3 will be used (SMPP 5.37)
- The awarding body will decide on the basis of the report, and any supporting documentation, whether there is evidence of malpractice and if any further investigation is required. The head of centre will be informed accordingly (SMPP 5.40)

### Communicating malpractice decisions

Once a decision has been made, it will be communicated in writing to the head of centre as soon as possible. The head of centre will communicate the decision to the individuals concerned and pass on



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details of any sanctions and action in cases where this is indicated. The head of centre will also inform the individuals if they have the right to appeal (SMPP 11.1)

### **Appeals against decisions made in cases of malpractice**

Cox Green School will:

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



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## Appendix A – Examples of Staff Malpractice

The following are examples of staff malpractice. This is not an exhaustive list. Other instances of malpractice may be identified and considered by the awarding bodies at their discretion.

### Breach of security

- Any act which breaks the confidentiality of question papers or materials, and their electronic equivalents, or the confidentiality of candidates' scripts or their electronic equivalents.

It could involve:

- failing to keep examination material secure prior to an examination;
- discussing or otherwise revealing secure information in public, e.g. internet forums;
- moving the time or date of a fixed examination beyond the arrangements permitted within the JCQ publication Instructions for conducting examinations.
- Conducting an examination before the published date constitutes centre staff malpractice and a clear breach of security;
- failing to supervise adequately candidates who have been affected by a timetable variation; (This would apply to candidates subject to overnight supervision by centre personnel or where an examination is to be sat in an earlier or later session on the scheduled day.)
- permitting, facilitating or obtaining unauthorised access to examination material prior to an examination;
- failing to retain and secure examination question papers after an examination in cases where the life of the paper extends beyond the particular session. For example, where an examination is to be sat in a later session by one or more candidates due to a timetable variation;
- tampering with candidate scripts or controlled assessments or coursework after collection and before despatch to the awarding body/examiner/moderator;
- o (This would additionally include reading candidates' scripts or photocopying candidates' scripts prior to despatch to the awarding body/examiner. The only instance where photocopying a candidate's script is permissible is where he/she has been granted the use of a transcript.)
- failing to keep candidates' computer files secure which contain controlled
- assessments or coursework.

### Deception

- Any act of dishonesty in relation to an examination or assessment, but not limited to:
  - inventing or changing marks for internally assessed components (e.g. coursework) where there is no actual evidence of the candidates' achievement to justify the marks awarded;
  - manufacturing evidence of competence against national standards;
  - fabricating assessment and/or internal verification records or authentication statements;



- entering fictitious candidates for examinations or assessments, or otherwise subverting the assessment or certification process with the intention of financial gain (fraud);
- substituting one candidate's controlled assessment or coursework for another.

### **Improper assistance to candidates**

- Any act where assistance is given beyond that permitted by the specification or regulations to a candidate or group of candidates, which results in a potential or actual advantage in an examination or assessment.
  - For example: assisting candidates in the production of controlled assessments or coursework, or evidence of achievement, beyond that permitted by the regulations;
  - sharing or lending candidates' controlled assessments or coursework with other candidates in a way which allows malpractice to take place;
  - assisting or prompting candidates with the production of answers;
  - permitting candidates in an examination to access prohibited materials (dictionaries, calculators etc.);
  - prompting candidates in an examination/assessment by means of signs, or verbal or written prompts;
  - assisting candidates granted the use of an Oral Language Modifier, a practical assistant, a prompter, a reader, a scribe or a Sign Language Interpreter beyond that permitted by the regulations. Failure to co-operate with an investigation
  - failure to make available information reasonably requested by an awarding body in the course of an investigation, or in the course of deciding whether an investigation is necessary; and/or
  - failure to investigate on request in accordance with the awarding body's instructions or advice; and/or
  - failure to investigate or provide information according to agreed deadlines; and/or
  - failure to report all suspicions of malpractice.



## Appendix B – Examples of Learner Malpractice

The following are examples of learner malpractice. This is not an exhaustive list. Other instances of malpractice may be identified and considered by the awarding bodies at their discretion. For example:

- the alteration or falsification of any results document, including certificates;
- a breach of the instructions or advice of an invigilator, supervisor, or the awarding body in relation to the examination or assessment rules and regulations;
- failing to abide by the conditions of supervision designed to maintain the security of the examinations or assessments;
- collusion: working collaboratively with other candidates, beyond what is permitted;
- copying from another candidate (including the use of IT to aid the copying);
- allowing work to be copied e.g. posting written coursework on social networking sites prior to an examination/assessment;
- the deliberate destruction of another candidate's work;
- disruptive behaviour in the examination room or during an assessment session (including the use of offensive language);
- exchanging, obtaining, receiving, passing on information (or the attempt to) which could be examination related by means of talking, electronic, written or non-verbal communication;
- making a false declaration of authenticity in relation to the authorship of controlled assessments, coursework or the contents of a portfolio;
- allowing others to assist in the production of controlled assessments, coursework or assisting others in the production of controlled assessments or coursework;
- the misuse, or the attempted misuse, of examination and assessment materials and resources (e.g. exemplar materials);
- being in possession of confidential material in advance of the examination;
- bringing into the examination room notes in the wrong format (where notes are permitted in examinations) or inappropriately annotated texts (in open book examinations);
- the inclusion of inappropriate, offensive or obscene material in scripts, controlled assessments, coursework or portfolios;
- impersonation: pretending to be someone else, arranging for another person to take one's place in an examination or an assessment;
- plagiarism: unacknowledged copying from published sources or incomplete referencing;
- theft of another candidate's work; For further information see Appendix E Plagiarism
- bringing into the examination room or assessment situation unauthorised material, for example: notes, study guides and personal organisers, own blank paper, calculators (when prohibited), dictionaries (when prohibited), instruments which can capture a digital image, electronic dictionaries (when prohibited), translators, wordlists, glossaries, iPods, mobile phones, earphones/earbuds, AirPods, watches or other similar electronic devices;
- the unauthorised use of a memory stick or similar device where a candidate uses a word processor;
- behaving in a manner so as to undermine the integrity of the examination.
- Improper use of AI



## Appendix C – Examples of Maladministration

The following are examples of maladministration. This is not an exhaustive list. Other instances of maladministration may be identified and considered by the awarding bodies at their discretion. Failure to adhere to the regulations regarding the conduct of controlled assessments, coursework and examinations or malpractice in the conduct of the examinations/assessments and/or the handling of examination question papers, candidate scripts, mark sheets, cumulative assessment records, results and certificate claim forms, etc.

For example:

- failing to ensure that candidates' coursework or work to be completed under controlled conditions is adequately monitored and supervised;
- inappropriate members of staff assessing candidates for access arrangements who do not meet the criteria as detailed within Chapter 7 of the JCQ publication Access Arrangements and Reasonable Adjustments;
- failure to use current assignments for assessments;
- failure to train invigilators adequately, leading to non-compliance with the JCQ publication Instructions for conducting examinations;
- failing to issue to candidates the appropriate notices and warnings, e.g. JCQ Information for candidates documents;
- failure to inform the JCQ Centre Inspection Service of alternative sites for examinations;
- failing to post notices relating to the examination or assessment outside all rooms (including Music and Art rooms) where examinations and assessments are held;
- not ensuring that the examination venue conforms to the requirements as stipulated in the JCQ publication Instructions for conducting examinations;
- the introduction of unauthorised material into the examination room, either prior to or during the examination; (N.B. this precludes the use of the examination room to coach candidates or give subject-specific presentations, including power-point presentations, prior to the start of the examination).