



Exams Policy

2023/24

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| APPROVED BY: | Board of Governors |
| APPROVED BY SIGNATURE (Chair): | |
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| DATE OF NEXT REVIEW: | October 2024 |

Key staff involved in the policy

| Role | Name(s) |
|---|---|
| Head of centre | Tracey Smith |
| Exams officer line manager (Senior leader) | Tracey Smith |
| Exams officer | Ben Homer |
| SENCo | Tracey Smith |
| Senior leader(s) | Tracey Smith, Sam Hayward, Bev Morris, Ben Homer, Shelley Wheeler, Rebecca Walsh |
| Exam Administrator | Caroline McGreevy |

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Updates to the previous policy are highlighted in green

Purpose of the policy

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

This exam policy will ensure that:

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

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

This policy will be communicated to all relevant centre staff.

It is the responsibility of everyone involved in the external exams process at Rigby Hall to read, understand and implement this policy.

The exams policy will be reviewed each year by the Head teacher and Exams Officer.

Where reference is made to JCQ regulations/guidelines, further details can be found at www.jcq.org.uk

Roles and responsibilities overview

- **The head of centre** is the individual who is accountable to the awarding bodies for ensuring that the centre is always compliant with the published JCQ regulations and awarding body requirements in order to ensure the security and integrity of the examinations/assessments. This individual must have the authority to deploy the necessary resources to ensure that the centre is always compliant in meeting those published JCQ regulations and awarding body requirements.
- Heads of centre must ensure that senior leadership teams and exam office personnel familiarise themselves with the entire contents of JCQ General Regulations for Approved Centres booklet. In particular, heads of centre must familiarise themselves with sections 5.1, 5.3 and 5.4.
- Heads of centre must ensure that relevant members of staff respond promptly to requests for information from awarding bodies relating to the administration and conducting of examinations/assessments. (GR, section 1)
- **The examinations officer** is the person appointed by the head of centre to act on behalf of, and be the main point of contact for, the centre in matters relating to the general administration of awarding body examinations and assessments.

- **The head of centre may not appoint themselves as the examinations officer. A head of centre and an examinations officer are two distinct and separate roles.**
- The head of centre and/or examinations officer may operate across more than one centre. In such cases the head of centre must ensure there is suitable **senior leadership team** support in place, so they can meet their obligations across all centres for which they are responsible. The head of centre must ensure that these arrangements are covered by their examination contingency plan. (GR, section 2)

Head of Centre Responsibilities

- The head of centre is the individual who is accountable to the awarding bodies for ensuring that the centre is always compliant with the published JCQ regulations and awarding body requirements to ensure the security and integrity of the examinations/assessments.
- It is the responsibility of the head of centre to ensure that all staff comply with the instructions in **the (ICE) booklet**. Failure to do so may constitute malpractice as defined in the JCQ publication Suspected Malpractice: Policies and Procedures, 1 September 2023 to 31 August 2024: <https://www.jcq.org.uk/exams-office/malpractice> (ICE Introduction)
- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:
 - General Regulations for Approved Centres (GR)
 - Instructions for Conducting Examinations (ICE)
 - Access Arrangements and Reasonable Adjustments (AA)
 - Suspected Malpractice - Policies and Procedures (SM)
 - Instructions for conducting non-examination assessments (NEA) (and the instructions for conducting coursework)
 - A guide to the special consideration process (SC)
- Ensures the centre has appropriate accommodation to support the size of the cohorts being taught including appropriate accommodation for candidates requiring access arrangements for exams and assessments and/or practical assessments
- Where/if using a third party to deliver any part of a qualification (including its assessments) at the centre:
 - maintains oversight of, and responsibility for, the delivery of the qualification in accordance with JCQ regulations and awarding body requirements
 - has in place a written agreement with the third party to ensure there is a shared understanding of the arrangement and will manage the risk of failure by the third party to deliver the expected service
 - ensures that a copy of the written agreement is available for inspection if requested by the awarding body
- **Ensures that relevant members of staff respond promptly to actions raised by the JCQ Centre Inspection Service, understanding that failure to do so could result in penalties (see National Centre Number Register and other information requirements section)**
- Ensures that the centre promptly reports any incidents to the relevant awarding body/bodies which might compromise any aspect of assessment delivery such as a cyber-attack
- Ensures other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials are briefed on the requirements for maintaining the integrity and confidentiality of the exam materials

- Ensures members of centre staff do not forward emails and letters from awarding body or JCQ personnel without prior consent to third parties or upload such correspondence onto social media sites and applications
- Ensures members of centre staff do not advise parents/candidates to contact awarding bodies/JCQ directly nor provide them with addresses/email addresses of awarding body examining/assessment personnel or JCQ personnel

Recruitment, selection, training and support

- Retains a workforce of an appropriate size and competence, including sufficient managerial and other resource, to undertake the delivery of the qualification as required by an awarding body. This includes taking reasonable steps to ensure occupational competence where this is required for the assessment of specific qualifications
- Provides fully qualified teachers to mark non-examination assessments, and/or fully qualified assessors for the verification of centre-assessed components
- Enables the relevant senior leader(s), the examinations officer (EO) and the SENCo to receive appropriate training and support in order to facilitate the effective delivery of examinations and assessments within the centre, and ensure compliance with the published JCQ regulations
- Appoints an SENCo who will determine appropriate arrangements for candidates with learning difficulties and disabilities
- Ensures that the SENCo has sufficient time to both manage the access arrangements process within the centre and familiarise him/herself with the JCQ publication Access Arrangements and Reasonable Adjustments
- Ensures that the examinations officer has sufficient time to perform their role and familiarise him/herself with relevant awarding body and JCQ documentation.

External and Internal governance arrangements

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

Escalation Process

- Has in place a member of the senior leadership team who will provide effective support and supervision of the examinations officer to ensure that the integrity and security of examinations and assessments is maintained throughout an examination series
- Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the EO
- Can confirm to an awarding body the external governance arrangements so that the awarding body has confidence in the integrity of centre activities such as the delivery of qualifications and the conducting of examinations and assessments
- Makes sure that a teacher, a teaching assistant, a tutor or a senior member of centre staff who teaches the subject being examined or a Learning Support Assistant who has supported one or more candidates, is not an invigilator during an examination.

Delivery of qualifications

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

made available to all candidates capable of undertaking them and seeking reasonable adjustments for disabled candidates

- Enables candidates to receive sufficient and up to date laboratory experience, or relevant training where required by the subject concerned

Public liability

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

Security of assessment materials

- Takes all reasonable steps to maintain the integrity of the examinations /assessments, including the security of all assessment materials, by ensuring:
 - the location of the centre's secure storage facility in a secure room which must only be used for the purpose of administering secure examination materials
 - the secure room only contains exam-related materials
 - there are between two and six keyholders only, **each keyholder** must fully understand their responsibilities as a key holder to the secure storage facility
 - access to the secure room and secure storage facility is restricted to the authorised two to six keyholders **(the exams officer must be one of the keyholders)** and staff approved by the head of centre are accompanied by a keyholder at all times
 - appropriate arrangements are in place to ensure that confidential examination materials are only handed over to authorised members of centre staff
 - appropriate arrangements are in place for handling secure electronic materials
 - the relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk
 - that when it is permitted to remove question paper packets from secure storage, and to avoid potential breaches of security, arrangements are in place to carefully check and record that the correct question paper packets are opened
(If it is ever subsequently identified following this check that the wrong question paper packet has been opened, it will be resealed and the incident reported to the relevant awarding body's Malpractice Investigation Team immediately)
- Makes arrangements to receive, check and store question papers and examination material safely and securely at all times and for as long as required in accordance with the current JCQ publication Instructions for conducting examinations
- Makes arrangements to receive and issue material received from the awarding bodies to staff and candidates, and notify them of any advice and instructions relevant to the examinations and assessments
- Allows candidates access to relevant pre-release materials on, or as soon as possible after, the date specified by the awarding bodies

Malpractice

- Through taking an ethical approach and working proactively to avoid malpractice among students and staff takes all reasonable steps to prevent the occurrence of any malpractice/maladministration before, during and after assessments have taken place

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

Policies/procedures

- Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place (that allow the senior leadership team to act immediately in the event of an emergency or where the head of centre, the examinations officer or SENCo is absent at a critical stage of the examination cycle)

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

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

Exam Contingency Plan

- See Appendix A - Exam Contingency Plan

Lockdown Policy

- See Appendix B - Lockdown Policy

Internal Appeals Procedures

- See Appendix C - Internal Appeals Procedure
- Ensures an internal appeals procedures is in place and drawn to the attention of candidates and (where relevant) their parents/carers

Equalities Policy

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

Complaints and Appeals Procedure (Exams)

- See Appendix D - Complaints and Appeals Procedure (Exams)
- Ensures a complaints and appeals procedure covering general complaints regarding the centre's delivery or administration of a qualification is in place and drawn to the attention of candidates and their parents/carers

Child Protection/Safeguarding Policy

- Ensures the centre has a child protection/safeguarding policy in place, including Disclosure and Barring Service (DBS) clearance, which satisfies current legislative requirements
- See Child Protection/Safeguarding Policy on the School Website Policy page

Data Protection Policy

- Ensures the centre has a data protection policy in place that complies with General Data Protection Regulation and Data Protection Act 2018 regulations
- See Data Protection Policy on the School Website Policy page

Whistleblowing Policy

- Ensures the centre has a whistleblowing policy in place
- See Whistleblowing Policy on the School Website Policy page

Access Arrangements Policy

- See Appendix E - Access arrangement policy

Conflicts of interest

- Ensures the relevant awarding bodies are informed before the published deadline for entries for each examination series of any potential conflict of interest where:
- a member of centre staff is taking a qualification at the centre which includes internally assessed components/units (noting that being entered by the centre must be as a last resort where unable to find an alternative centre)
- a candidate is being taught and prepared for a qualification which includes internally assessed components/units by a member of centre staff with a close relationship to the candidate
- Maintains clear records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected by the above, and where:
 - a member of exams office staff has a close relationship to a candidate being entered for exams and assessments at the centre or at another centre
 - a member of centre staff is taking a qualification at the centre which does not include internally assessed components/units (noting that being entered by the centre must be as a last resort where unable to find an alternative centre)
 - a member of centre staff is taking a qualification at another centre
- See Appendix F - Conflicts of Interest Policy

National Centre Number Register and other information requirements

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

part of the National Centre Number Register (NCNR) annual update **by completion of the Head of Centre Declaration**

- Understands that this responsibility cannot be delegated to a member of the senior leadership team or the examinations officer, and acknowledges that failure to respond to the NCNR annual update, and/or the head of centre's declaration, will result in:
 - the centre status being suspended
 - the centre not being able to submit examination entries
 - the centre not receiving or being able to access question papers and ultimately, awarding bodies could withdraw their approval of the centre

Centre inspections

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

Exams Officer

- Understands the contents of annually updated JCQ publications including:
 - General Regulations for Approved Centres
 - Instructions for Conducting Examinations
 - Suspected Malpractice - Policies and Procedures
 - Post-results services (PRS)
 - A guide to the special consideration process
- Completes/submits the National Centre Number Register annual update (administered on behalf of the JCQ member awarding bodies by OCR <https://ocr.org.uk/administration/ncn-annual-update/>) by the end of October each year
 - Confirms the details or informs the awarding bodies of any changes to the centre's contact details through the National Centre Number Register
 - Informs the National Centre Number Register Team **immediately** (e-mail address – ncn@ocr.org.uk) if any changes occur after the National Centre Number Register annual update has taken place
 - (Where it may be applicable) Informs the National Centre Number Register Team no later than 6 weeks prior to moving to a new address or a re-location of the secure storage facility
 - Informs the National Centre Number Register Team immediately of any other changes in circumstances that could affect the centre's status
- Is familiar with the contents of annually updated information from awarding bodies on administrative procedures, key tasks, key dates and deadlines, and informs other staff accordingly
- Ensures key tasks are undertaken and key dates and deadlines met

- Recruits, trains and deploys a team of internal/external invigilators; appoints lead invigilators, as required and keeps a record of the content of training provided to invigilators for the required period
- Works with the SENCo to ensure invigilators supervising access arrangement candidates and those acting as a facilitator supporting access arrangement candidates fully understand the respective role and what is and what is not permissible in the exam room
- Supports the head of centre in ensuring that awarding bodies are informed (where required) of any conflict of interest declared by members of centre staff and in maintaining records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected before the published deadline for entries for each examination series
- Briefs other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials on the requirements for maintaining the integrity and confidentiality of the exam materials

Senior leaders

- Are familiar with the contents, refer to and direct relevant centre staff to annually updated JCQ publications including:
 - General Regulations for Approved Centres
 - Instructions for Conducting Examinations
 - Access Arrangements and Reasonable Adjustments
 - Suspected Malpractice - Policies and Procedures
 - Instructions for conducting non-examination assessments (and the instructions for conducting coursework)
 - A guide to the special consideration process

Additional Learning Support (ALS) lead/Special educational needs co-ordinator (SENCo)

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

Teaching staff

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

Invigilators

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

Reception staff

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

Site staff

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

Candidates

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

The exam cycle

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

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

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

Planning: roles and responsibilities

Information sharing

Head of centre

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

Exams officer

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

Information gathering

Exams officer

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

Senior leaders

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

Access arrangements

Head of centre

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

SEnCo

- Assesses candidates (or works with the appropriately qualified assessor as appointed by the head of centre) to identify access arrangements/reasonable adjustments requirements
- Gathers **evidence** to support the need for access arrangements for a candidate
- Liaises with teaching staff to gather evidence of **normal way of working** of an affected candidate
- Determines candidate eligibility for arrangements or adjustments that are centre-delegated
- Gathers signed **Personal data consent** forms from candidates where required and ensures **Data protection confirmation(s)** by the examinations officer or SENCo are completed
- Applies for **approval** through **Access arrangements online** (AAO) via the **Centre Admin Portal** (CAP), where required or through the awarding body where qualifications sit outside the scope of AAO
- Keeps a file for each candidate for JCQ inspection purposes containing all the required documentation (if documentation is stored electronically, an e-folder must be created for

each individual candidate. The candidate's e-folder must hold each of the required documents for inspection)

- Employs good practice in relation to the Equality Act 2010
- Liaises with the EO regarding exam time arrangements for access arrangement candidates
- Ensures staff appointed to facilitate access arrangements for candidates are thoroughly trained and understand the rules of the particular arrangement(s) and keeps a record of the content of training provided to facilitators for the required period
- Works with the EO to ensure invigilators and those acting as a facilitator fully understand the respective role and what is and what is not permissible in the exam room
- Liaises with the relevant member of the senior leadership team on the centre's policy on the use of word processors in examinations

Word Processor Policy (Exams)

Senior leaders, Teaching staff

- Support the SENCo in determining and implementing appropriate access arrangements
- Provide a statement for inspection purposes which details the criteria the centre uses to award and allocate word processors for examinations.
- See Appendix G - Word Processor Policy (Exams)

Alternative Rooming Arrangements Policy (Exams)

- Ensures criteria for candidates granted **alternative rooming arrangements** is clear, meets JCQ regulations and best meets the needs of individual candidates and remaining candidates in main exam rooms
- See Appendix H - Alternative Rooming Arrangement Policy

Internal assessment and endorsements

Head of centre

Controlled assessments, coursework and non-examination assessments

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

Non-examination Assessment Policy

- Ensures any irregularities relating to the production of work by candidates are investigated and dealt with internally if discovered prior to a candidate signing the

authentication statement (where required) or reported to the awarding body if a candidate has signed the authentication statement.

- See Appendix I - Non-Examination Assessment Policy

Senior leaders

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

Teaching staff

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

Exams officer

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

Invigilation

Head of centre

- Ensures relevant support is provided to the EO in recruiting, training and deploying a team of invigilators
- Ensures, if contracting supply staff to act as invigilators, that such persons are competent and fully trained, understanding what is and what is not permissible (and not taking on its own an assurance from a recruitment agency, that this is the case)

- Determines if additional invigilators will be deployed in timed Art exams in addition to the subject teacher to ensure the supervision of candidates is maintained at all times

Exams officer

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

Entries: roles and responsibilities

Estimated entries

Exams officer

- Requests estimated or early entry information, where this may be required by awarding bodies, from teachers in a timely manner to ensure awarding body external deadlines for submission can be met
- Makes candidates aware of the JCQ **Information for candidates – Privacy Notice** at the start of a vocational qualification or when entries are being processed for a general qualification

Senior leaders

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

Final entries

Head of centre

- Ensures appropriate controls are in place which allow accurate data to be submitted to the awarding bodies, e.g. entries

Teachers

- Completes accredited qualification admission sheet for each subject they are entering students for in a timely manner as directed by the EO.
- Submits the admission sheets to the exams administrator and EO as per the directed deadlines.

Exams officer

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

Senior leaders and Teachers

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

Entry fees

- Rigby Hall will pay all normal exam fees on behalf of the candidates.
- Authorised late entry or amendment fees are paid by Rigby Hall.
- Candidates or departments will not be charged for changes of tier, withdrawals made by proper procedures or alterations arising from administrative processes provided these are made within the time allowed by the awarding bodies.
- The Exam Officer will inform staff of the deadline for action in advance for each series.

Late entries

Exams officer

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

Senior leaders and Teachers

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

Re-sit entries

- Where appropriate candidates will be entered for re-sits following conversations between subject leads and Exams Officer.

- Fees will be paid by Rigby Hall School.

Candidate statements of entry

Exams officer

- Provides teachers with statements of entry for checking

Teaching staff

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

Candidates

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

Pre-exams: roles and responsibilities

Access arrangements

SENCo

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

Briefing candidates

Exams officer

- Issues individual exam timetable information to candidates and informs candidates of any contingency sessions awarding bodies may identify in the event of national or significant local disruption to exams
- Prior to exams issues relevant JCQ information for candidates documents
- Where relevant, issues relevant awarding body information to candidates
- Issues centre exam information to candidates including information on:
 - exam timetable clashes
 - arriving late for an exam
 - absence or illness during exams
 - what equipment is/is not provided by the centre

- food and drink in exam rooms
- wrist watches in exam rooms
- when and how results will be issued and the staff that will be available
- the post-results services information and how the centre will deal with requests from candidates
- when and how certificates will be issued

Access to Scripts, Reviews of Results and Appeals Procedures

- After the release of results, candidates may request the return of written exam papers according to the published deadline according to the JCQ and exam boards.
- Rigby Hall School staff may also request scripts for investigation or for teaching purposes. For the latter, the signed consent of the candidates must be obtained.
- Re-marks cannot be applied for once the original script has been returned.
- The cost of ATS will be paid for by Rigby Hall School.
- Processing the requests for ATS will be the responsibility of the Exams Officer.

Dispatch of exam scripts

Exams officer

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

Estimated grades

Senior leaders

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

Exams officer

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

Internal assessment and endorsements

Head of centre

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

SENCo

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

Teaching staff

- Support the SENCo in implementing appropriate access arrangements for candidates undertaking internal assessments and practical endorsements
- Assess and authenticate candidates' work
- Assess endorsed components

- Ensure candidates are informed of centre assessed marks prior to marks being submitted to awarding bodies

Senior leaders

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

Exams officer

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

Candidates

- Authenticate their work as required by the awarding body

Invigilation

Exams officer

- Provides an annually reviewed/updated invigilator handbook to invigilators, trains new invigilators on the current regulations on appointment and updates experienced invigilators on any regulation changes
- Deploys invigilators effectively to exam rooms throughout an exam series (including the provision of a roving invigilator where a candidate and invigilator (acting as a practical assistant, reader or scribe) are accommodated on a 1:1 basis to enter the room at regular intervals in order to observe the conducting of the exam, ensuring all relevant rules are being adhered to and supporting the practical assistant/reader and/or scribe in maintaining the integrity of the exam)
- Allocates invigilators to exam rooms (or where supervising candidates due to a timetable clash) according to the required ratios
- Liaises with the SENCo regarding the facilitation and invigilation of access arrangement candidates

SEnCo

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

Invigilators

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

JCQ Centre Inspections

Exams officer or Senior leader

- Will accompany the Inspector throughout a visit

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

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

Seating and identifying candidates in exam rooms

Exams officer

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

Candidate Identification Procedure

- Ensures invigilators are aware of the procedure
- Provides seating plans for exam rooms according to JCQ and awarding body requirements (and ensures candidates with access arrangements are identified on the seating plan and invigilators are informed of those candidates with access arrangements and made aware of the access arrangement(s) awarded)
- See Appendix J - Candidate identification procedure.

Invigilators

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

Security of exam materials

Exams officer

- Confirms appropriate arrangements are in place to ensure that confidential materials are only handed over to those authorised by the head of centre
- Ensures access to the secure room is restricted and staff approved by the head of centre are accompanied by a keyholder at all times. There must be between two and six keyholders only, (the exams officer must be one of the keyholders), each keyholder must fully understand their responsibilities as a key holder to the secure storage facility
- Has a process in place to demonstrate the receipt, secure movement and secure storage of confidential exam materials within the centre
- Ensures a log is kept at the initial point of delivery recording confidential materials received and signed for by authorised staff within the centre and that appropriate arrangements are in place for confidential materials to be immediately transferred to the secure storage facility until they can be removed from the dispatch packaging and checked in the secure room before being returned to the secure storage facility in timetable order
- Carefully checks question paper packets when they are removed from the dispatch packing and keeps a log of the check
- Ensures the secure storage facility contains only current and live confidential material (ensuring that past examination question papers, internal tests and mock examinations are not kept in the centre's secure storage facility)

- Ensures that examination stationery, e.g. answer booklets and formula booklets are stored in the secure room (attempting to store this material in the secure storage facility, when sufficient space allows)
- Ensures the integrity and security of any electronic question paper is maintained during the downloading, printing and collating process (ensuring printing is carried out in a secure environment to prevent unauthorised personnel accessing live assessment materials and ensuring only authorised members of centre staff have access to electronic question papers)
- At least two and no more than six members of centre staff should be authorised to handle secure electronic materials, one of whom must be the exams officer*. Other members of centre staff may assist with printing and collation provided they are under supervision.
- *For AQA examinations, one member of centre staff can be authorised to handle secure electronic material.

Reception staff

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

Teaching staff

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

Timetabling and rooming

Exams officer

- Produces a master centre exam timetable for each exam series
- Identifies and resolves candidate exam timetable clashes according to the regulations (only applying overnight supervision arrangements as a last resort, once all other options have been exhausted and according to the centre's policy)
- Identifies exam rooms and specialist equipment requirements
- Allocates invigilators to exam rooms (or where supervising candidates due to an exam timetable clash) according to required ratios
- Liaises with site staff to ensure exam rooms are set up according to JCQ and awarding body requirements
- Liaises with the SENCo regarding rooming of access arrangement candidates

SEnCo

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

Site staff

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

Alternative site arrangements

Exams officer

- Ensures question papers will only be taken to an alternative site where the published criteria for an alternative site arrangement has been met
- Will inform the JCQ Centre Inspection Service to timescale by submitting a JCQ Alternative Site arrangement notification through CAP (or through the awarding body where a qualification may sit outside the scope of CAP) of any alternative sites that will be used to conduct timetabled examination components of the qualifications listed in the JCQ regulations

Centre consortium arrangements

Exams officer

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

Senior leaders

- Inform the EO of any joint teaching arrangements in place and where the centre is acting as the consortium co-ordinator

Transferred candidate arrangements

Exams officer

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

Internal exams

Exams officer

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

SENCo

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

Teaching staff

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

Exam time: roles and responsibilities

Access arrangements

Exams officer

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

Candidate absence

Candidate Absence Policy

- See Appendix K - Candidate Absence Policy

Invigilators

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

Candidates

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

Candidate behaviour

See *Irregularities* below.

Candidate belongings

See *Unauthorised items* below.

Candidate late arrival

Exams officer

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

Invigilators

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

Candidate Late Arrival Policy

- See Appendix L - Candidate Late Arrival policy.

Conducting exams

Head of centre

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

Exams officer

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

Dispatch of exam scripts

Exams officer

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

Exam papers and materials

Exams officer

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

Exam rooms

Head of centre

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

Food and Drink Policy (Exams)

- See Appendix M - Food and Drink policy (Exams).

Leaving the Examination Room Policy

- Candidates who are allowed to leave the examination room temporarily must be accompanied by a member of centre staff. This must not be the candidate's subject teacher or a subject expert for the examination in question. Those candidates may be allowed extra time at the discretion of the centre to compensate for their temporary absence. (ICE 23)

Exams officer

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

Senior leaders

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

Emergency Evacuation Procedures

- See Appendix N - Emergency evacuation procedures.

Site staff

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

Invigilators

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

Candidates

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

Irregularities

Head of centre

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

Managing Behaviour Policy (Exams)

- See Appendix O - Managing behaviour during exams policy.

Senior leaders

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

Exams officer

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

Invigilators

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

Malpractice

See *Irregularities* above.

Special consideration

Senior leaders

- Provide signed evidence to support eligible applications for special consideration

Exams officer

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

Candidates

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

Unauthorised items

Arrangements for unauthorised items taken into the exam room

- In the examination room candidates must not have access to items other than those stated in the instructions on the question paper, the stationery list or the specification for that subject.
- Potential technological/web enabled sources of information are not permitted.
- All unauthorised items are left outside of the examination room
- Any pencil cases taken into the examination room must be see-through.
- Any unauthorised items that have been taken into the examination room must be placed out of reach of the candidates (and not under their desks) before the examination starts. This would normally be at the front of the examination room or a similar arrangement that enables the invigilator to control access to the items.
- If candidates have access to unauthorised items in the examination room this may be considered as malpractice. They could be subject to penalties in accordance with the JCQ publication *Suspected Malpractice in Examinations and Assessments: Policies and Procedures*.
- Prior to the examination starting, the invigilator must ensure that candidates have removed their wrist watches, placing them on their desks.
- A head of centre may, if he/she so wishes, prohibit candidates bringing a wrist watch into the examination room. In this case candidates would be required to leave their watches outside of the examination room. (ICE 18)

Invigilators

- Are informed of the arrangements through training

Internal exams

Exams officer

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

Invigilators

- Conduct internal exams as briefed by the EO

Results and post-results: roles and responsibilities

Internal assessment

Senior leaders

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

Managing results day(s)

- Candidates will receive individual result slips on results days by either;
 - Emailed to the primary contact
 - Collected and signed for in person at Rigby Hall School
 - By post to their home address (Rigby Hall will provide self-addressed envelope)
- Arrangements for the school to be open on results day are made by the Head teacher.
- The provision of staff on results day is the responsibility of the Head teacher.

Senior Leaders

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

Exams officer

- Works with senior leaders to ensure procedures for managing the main summer results day(s) (a results day programme) are in place

Accessing Results

Head of Centre

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

Exams officer

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

Post-Results Service

Head of centre

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

Exams officer

- Provides information to candidates and staff on the services provided by awarding bodies and the fees charged (see also above **Briefing candidates** and **Access to Scripts, Reviews of Results and Appeals Procedures**)
- Publishes internal deadlines for requesting the services to ensure the external deadlines can be effectively met
- Provides a process to record requests for services and to collect candidate informed consent (**after** the publication of results) and fees where relevant
- Submits requests to awarding bodies to meet the external deadline for the particular service
- Tracks requests to conclusion and informs candidates and relevant centre staff of outcomes
- Updates centre results information, where applicable

Teaching staff

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

Candidates

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

Certificates

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

- Candidates will receive their certificated in person at Rigby Hall School on a designated Presentation Evening date.
- Certificates can be collected on behalf of a candidate by third parties, provided they have written authority from the candidate to do so, and bring suitable identification with them that confirms who they are.
- Rigby Hall School retains certificates for one year.
- A new certificate can be issued by an awarding organisation upon request by a candidate, subject to charge.

Exams review: roles and responsibilities

Exams officer

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

Senior leaders

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

Retention of records: roles and responsibilities

Exams officer

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

Exams Archiving Policy

- See Appendix P - Exams Archiving Policy

Appendix A – Exam Contingency Plan

Purpose of the plan

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

Alongside internal processes, this plan is informed by the Ofqual (and Northern Ireland Council for the Curriculum, Examinations and Assessment) Exam system contingency plan: England, Wales and Northern Ireland which provides guidance in the publication What schools and colleges and other centres should do if exams or other assessments are seriously disrupted and the JCQ Joint Contingency Plan for the Examination System in England, Wales and Northern Ireland and the JCQ document Preparing for disruption to examinations (Effective from 1 September 2023).

This plan also confirms Rigby Hall School is compliant with the JCQ regulation (section 5.3, *General Regulations for Approved Centres 2020-2021*) that the centre *has in place a written examination contingency plan which covers all aspects of examination administration. This will allow members of the senior leadership team to act immediately in the event of an emergency or staff absence.*

National Centre Number Register and other information requirements

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

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

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

Possible causes of disruption to the exam process

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

Criteria for implementation of the plan

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

Planning

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

Entries

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

Pre-exams

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

Exam time

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

Results and post-results

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

Centre actions

- Head Teacher to appoint a member of administrative staff to take over responsibilities should absence of Examinations Officer have potential to affect the meeting of deadlines.
- Staff members to work closely with Examination 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 Head Teacher and appointed member of administrative staff.

2. SENCo extended absence at a critical stage of the exam cycle

Criteria for implementation of the plan

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

Planning

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

Pre-exams

- *approval for access arrangements not applied for to the awarding body*
- *centre-delegated arrangements not put in place*
- *modified paper requirements not identified in a timely manner to enable ordering to meet external deadline*

- *staff providing support to access arrangement candidates not allocated and trained*
- Exam time*
- *access arrangement candidate support not arranged for exam rooms*

Centre actions

- Examination Officer to ensure access arrangements are in place by January for all students eligible where possible.
- Examination Officer to plan access arrangements for exam days in advance of Summer Series, in consultation with teaching staff and invigilators.
- Should the internal assessor not be available, the school is to source an external organisation to run assessments via the local authority.

3. Teaching staff extended absence at a critical stage of the exam cycle

Criteria for implementation of the plan

Key tasks not undertaken including:

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

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

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

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

Centre actions

- Examination Officer responsible for ensuring deadlines are met for estimated entries. Any omissions to be referred to Head Teacher.
- Reports to be made to SLT and the Head Teacher for any key teaching staff who do not meet deadlines at key points in the exams cycle.
- Head Teacher responsible for ensuring the priority of teaching is the examination cohort and 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

- Examination Officer to consult with the Head Teacher for recruiting invigilators on an on-going basis. Advance planning is required to ensure enough staff are available for the exam sittings.
- Examination Officer to meet with invigilators prior to exams to update on any information or paperwork required for the exam sittings.

- Invigilators are to be made aware to contact the Head Teacher and Examination Officer prior to his / her starting time if they are unable to attend to allow centre staff to sought cover through Administrative staff of Support Staff.

5. Exam rooms - lack of appropriate rooms or main venues unavailable at short notice

Criteria for implementation of the plan

Exams officer unable to identify sufficient/appropriate rooms during exams timetable planning

Insufficient rooms available on peak exam days

Main exam venues unavailable due to an unexpected incident at exam time

Centre actions

- Examinations Officer is responsible for ensuring planning of rooms is completed by the end of 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.
- Head Teacher and Assistant Head Teacher to liaise with Examinations Officer to ensure there is no disruption to exams due to room shortages.

6. Failure of IT systems / Cyber-Attack

Criteria for implementation of the plan

MIS system failure at final entry deadline

MIS system failure during exams preparation

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

MIS system failure at results release time

Where a cyber-attack may compromise any aspect of delivery

Centre actions

- Examination Officer to contact awarding bodies directly to arrange alternative methods of information exchange.
- Head Teacher informed.
- Contact ICT technician / provider/ support to resolve the failure in our IT system as quickly as possible.

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

Criteria for implementation of the plan

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

Centre actions

- Examination Officer, Invigilators, other examinations staff and candidates to follow the emergency evacuation procedure.
- Centre to communicate with parents and students through phone calls/school text messaging system if necessary.
- Awarding bodies to be contacted immediately to obtain advice and next steps.

8. Disruption of teaching time in the weeks before an exam – centre closed for an extended period

Criteria for implementation of the plan

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

Centre actions

- Head Teacher and SLT to decide which year groups are kept off school, with minimal disruption for students involved in external examinations.
- Staff able to come into school will support the students in school with priority given to exam cohort.
- Centre to communicate with parents and students through phone calls/school text messaging system if necessary.

9. Candidates may not be able to take examinations – centre remains open

Criteria for implementation of the plan

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

Centre actions

- Contact boards involved for advice/special considerations.
- Examination Officer to find alternative venue or next available opportunity to sit examination.

10. Centre may not be able to open as normal during the exams period

(including centre being unavailable for examinations owing to an unforeseen emergency)

Criteria for implementation of the plan

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

Centre actions

- Contact boards involved as soon as possible for guidance.
- Open for candidate only if possible.
- Consider using alternative venue, in agreement with awarding bodies (liaise with Head Teacher and SLT).
- Offer students the opportunity to sit the next series if applicable.

11. 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

- If papers are not received a week before the exam the Examinations Officer is to contact the appropriate board.
- Examination Officer to communicate with boards to arrange alternative delivery arrangements, or downloading of secure papers.

12. 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

- Examination Officer to get a designated member administrative staff to contact Parcel Force prior to exam date to confirm collection and after if collection not made.
- Examination Officer to communicate with boards for approval of alternative arrangements. As a last resort examination officer and member of SLT or designated administrative staff can take exam script bags to Post Office.
- Examination Officer to place examinations script bags containing the completed papers back into a secure area until arrangements have been made for collection.

13. Assessment evidence is not available to be marked

Criteria for implementation of the plan

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

Centre actions

- Examination Officer to contact board immediately.
- Students marks to be submitted based on appropriate evidence and or apply for special consideration.
- Candidates offered the opportunity to re-take in subsequent series if applicable.
- Teaching staff to copy/photograph any assessment evidence that can be re-submitted to the board.

14. 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

- Contact ICT provider/support to resolve ICT issues as soon as possible.
- Request paper copies from the examination boards to distribute.
- School will contact students / parents as required.

Further guidance to inform and implement contingency planning

DfE

Meeting digital and technology standards in schools and colleges

Cyber Security Standards for schools and colleges

Cyber crime and cyber security: a guide for education providers

DfE Cyber Security Guidance – March 2023

Ofqual

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

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

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

Contingency planning

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

Disruption to assessments or exams

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

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

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

Steps you should take

Exam planning

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

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

In the event of disruption

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

5. In the event of an evacuation during an examination please refer to JCQ's Centre emergency evacuation procedure.
6. Communicate with students, parents and carers any changes to the exam or assessment timetable or to the venue.
7. Communicate with any external assessors or relevant third parties regarding any changes to the exam or assessment timetable.

After the exam

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

Steps the awarding organisation should take

Exam planning

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

In the event of disruption

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

After the exam

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

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

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

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

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

Wider communications

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

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

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

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

Widespread national disruption to the taking of examinations or assessments

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

Regulators will provide advice to government departments on implications for examinations and assessments, including exam timetables.

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

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

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

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

General contingency guidance

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

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

JCQ

15.1 The qualification regulators, JCQ and government departments responsible for education have prepared and agreed information for schools and colleges in the event of examinations being seriously disrupted. This jointly agreed information will ensure consistency of response in the event of major disruption to the examinations system affecting significant numbers of candidates.

Further information may be found at:

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

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

15.3 All centres must have a written examination contingency plan which covers all aspects of examination administration. This will allow members of the senior leadership

team to act immediately in the event of an emergency or where the head of centre, examinations officer or SENCo is absent at a critical stage of the examination cycle. The examination contingency plan should reinforce procedures in the event of the centre being unavailable for examinations owing to an unforeseen emergency.

All relevant centre staff must be familiar with the examination contingency plan. Consideration should be given as to how these arrangements will be communicated to candidates, parents and staff should disruption to examinations occur. 15.4 In the event that the head of centre decides the centre cannot be opened for scheduled examinations, the relevant awarding body must be informed as soon as possible. Awarding bodies will be able to offer advice regarding the alternative arrangements for conducting examinations that may be available and the options for candidates who have not been able to take scheduled examinations.

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

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

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

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

In the event of national disruption to a day of examinations in summer 2024, the awarding bodies will liaise with the qualification regulators and government departments to agree the most appropriate option for managing the impact. As a last resort the affected examinations will be rescheduled. Although every effort would be taken to keep the impact to a minimum, it is possible that there could be more than one timetable date affected following the disruption, up to and including the contingency day. Centres will be alerted if it is agreed to reschedule the examinations and the affected candidates will be expected to make themselves available in such circumstances. The decision regarding the rescheduling of examinations will always rest with the awarding body. The centre must conduct the examination on the scheduled date unless instructed to do otherwise by the awarding body.

Where candidates choose not to be available for the rescheduled examination(s) for reasons other than those traditionally covered by special consideration, they will not be eligible for enhanced grading arrangements. Centres must therefore ensure candidates and parents are aware of this contingency arrangement so that they may take it into account when making their plans for the summer.

(JCQ guidance above taken directly from Instructions for conducting examinations 2023-2024 <http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations>, section 15, Contingency planning)

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

JCQ Preparing for disruption to examinations (Effective from 1 September 2022)

www.jcq.org.uk/exams-office/general-regulations/

JCQ Notice to Centres - Examination contingency plan/examinations policy

www.jcq.org.uk/exams-office/general-regulations/notice-to-centres--exam-contingency-plan/

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

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

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

Instructions for conducting examinations www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations

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

Guidance for centres on cyber security (Effective from November 2023)

www.jcq.org.uk/exams-office/general-regulations/

Information for centres affected by RAAC – the delivery of non-examination assessments and the special consideration process www.jcq.org.uk/exams-office/non-examination-assessments/

GOV.UK

Emergency planning and response: Exam and assessment disruption

www.gov.uk/government/publications/emergency-planning-and-response-for-education-childcare-and-childrens-social-care-settings

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

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

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](https://www.ncsc.gov.uk)

Appendix B – Lockdown Policy (Exams)

Purpose of the policy

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

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

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

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

Rigby Hall School has devised lockdown procedures during the conducting of examinations after consulting ProtectUK guidance.

- In the event of a lockdown during an examination the focus before, during and after an exam will be:
- training staff engaged/involved in the conducting of examinations
- how to achieve an effective lockdown
- implementing Run, Hide, Tell principles
- the welfare and safety of exam candidates and centre staff engaged in the conducting of examinations
- how to let people know what's happening
- maintaining the integrity and security of the examinations/assessments process

Roles and responsibilities

Head of centre

- To ensure that a dedicated lockdown alarm tone is in place and recognised by all staff and candidates
- To ensure that all staff involved in the conducting of examinations are trained in how to raise the alarm for a lockdown, act effectively and made aware of their responsibilities
- To arrange appropriate training for all exams-related staff in lockdown procedures
- To ensure that candidates are aware of the procedures relating to a lockdown, particularly those arriving late for an examination who cannot access the exam room due it being locked down
- To ensure that all candidates and staff are aware of an exit point in case an intruder manages to gain access, or the exam room becomes unsafe
- To provide written lockdown procedures for exam room/invigilator use
- To inform the relevant Emergency Services immediately in the case of any potential threat to the safety of exams staff and candidates

Senior leadership team (SLT)

- To have 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 quickly and physically secure access/egress points
- To be aware of an effective communication system to inform authorities of the situation
- To complete attendance registers as soon as possible so candidates can be identified in the event of a lockdown
- Where safe/possible, to communicate with the exams officer during a lockdown to confirm the situation in a particular exam room

Lockdown procedure

Before an examination

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

- A member of SLT will be present around exam room areas
- Candidates will be instructed to enter the exam room immediately
- Candidates will be instructed to remain silent, hide under exam desks or sit against a wall/around a corner but not near the door and to ensure mobile phones are on silent and non-vibrate mode
- Where safe/possible, the SLT member will communicate (via mobile phone/walkie talkie) the situation to the exams officer (ensuring that all mobile phones/walkie talkies are on silent and non-vibrate mode)
- The exams officer will collate the information from all exam rooms and forward this to the head of centre immediately
- Invigilators will
 - lock all windows and close all curtains/blinds
 - switch off all lights
 - lock all doors and/or use tables, or any other furniture, to barricade the entrance to the examination room
 - take an attendance register/head count if possible

- (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 close their answer booklets
 - collect the attendance register
 - make a note of time when the examination was suspended
 - instruct candidates to remain silent, leave all examination materials on their desks and hide under desks
 - where safe/possible, communicate (via mobile phone/walkie talkie) the situation to the exams officer (ensuring that all mobile phones/walkie talkies are on 'silent' mode).
 - lock all windows and close any/all curtains/blinds
 - switch off all lights
 - lock all doors and/or use tables, or any other furniture, to barricade the entrance to the examination room
 - (if the threat is a chemical or toxic release) instruct candidates to cover their nose and mouth (their own clothing can be used) and attempt to use anything to hand to seal up cracks around doors and any vents into the room
- Where safe/possible, 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 desks/tables
 - where safe/possible, communicate (via mobile phone/walkie talkie) the situation to the exams officer (ensuring that all mobile phones/walkie talkies are on silent and non-vibrate mode)
 - lock all windows and close any/all curtains/blinds
 - switch off all lights

- lock all doors and/or use tables, or any other furniture, to barricade the entrance to the exam room
- (if the threat is a chemical or toxic release) instruct candidates to cover their nose and mouth (their own clothing can be used) and attempt to use anything to hand to seal up cracks around doors and any vents into the room
- Where safe/possible, 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 formal exam conditions and allow a settling down period
 - allow candidates the full working time remaining to do their examination
 - recalculate the revised finish time(s)
 - tell the candidates to open their answer booklets and re-start their exam
 - amend the revised finish time(s) on display to candidates
 - note how long the lockdown lasted on the exam room incident log (to later inform a report to the awarding body/bodies and where relevant, any centre-wide lockdown recording form/log)
- The exams officer will
 - safely/securely store all collected exam papers and materials pending awarding body advice/guidance
 - and where this may be applicable:
 - ensure appropriate follow-up is undertaken after the incident, reporting the incident to the awarding body and the actions taken, where this may be applicable
 - where this may be applicable, ensure a full report of the incident is produced and retained on file if required by an awarding body
 - where this may be applicable, ensure an online application for special consideration is submitted to the relevant awarding body where candidates have been disadvantaged
- At the earliest immediate opportunity the head of centre will ensure that any breach of question paper security or malpractice is reported to the awarding body
- Where applicable/possible/available, SLT/exams officer will:
- discuss any alternative exam sittings with the awarding body/bodies
- offer, arrange and provide support services to staff and candidates

- At the earliest opportunity, SLT/head of centre will prepare a communication to parents/carers advising them of events (including relevant actions and outcomes)
- Where possible, exams staff and candidates will be invited to attend an assembly led by the head of centre to discuss the lockdown and offer ongoing support
- If this is not possible, communications will be provided via a centre text/email/newsletter and information uploaded to the centre website

Appendix C – Internal Appeals Procedure

Purpose of the procedure

This procedure confirms Rigby Hall School compliance with JCQ's **General Regulations for Approved Centres** (sections 5.3z, 5.8) that the centre will:

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

This procedure covers appeals relating to:

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

Centre decisions relating to other administrative issues

Appeals against internal assessment decisions (centre assessed marks)

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

This procedure confirms Rigby Hall School compliance with JCQ's General Regulations for Approved Centres (section 5.7) that the centre will:

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

Rigby Hall 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.

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

Candidates' work will be marked by staff who have appropriate knowledge, understanding and skill, and who have been trained in this activity. Rigby Hall School is committed to ensuring that work produced by candidates is authenticated in line with the requirements of

the awarding body. Where a number of subject teachers are involved in marking candidates' work, internal moderation and standardisation will ensure consistency of marking.

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

Rigby Hall School will

1. ensure that candidates are informed of their centre assessed marks so that they may request a review of the centre's marking before marks are submitted to the awarding body.
2. inform candidates that they will need to explain on what grounds they wish to request a review of an internally assessed mark as a review will only focus on the quality of work submitted.
3. inform candidates that they may request copies of materials (for example, a copy of their marked work, the relevant specification, the mark scheme and any other associated subject-specific documents) to assist them in considering whether to request a review of the centre's marking of the assessment.
4. having received a request for copies of materials, promptly make them available to the candidate (or for some marked assessment materials, such as artwork and recordings, inform the candidate that the originals will be shared under supervised conditions) within 10 calendar days.
5. inform candidates they will not be allowed access to original assessment material unless supervised
6. provide candidates with sufficient time to allow them to review copies of materials and reach a decision.
7. provide a clear deadline for candidates to submit a request for a review of the centre's marking. Requests will not be accepted after this deadline. Requests must be made in writing within 10 calendar days of receiving copies of the requested materials by completing the internal appeals form.
8. allow 14 calendar days for the review to be carried out, to make any necessary changes to marks and to inform the candidate of the outcome, all before the awarding body's deadline.
9. ensure that the review of marking is carried out by an assessor who has appropriate competence, has had no previous involvement in the assessment of that candidate and has no personal interest in the review.
10. instruct the reviewer to ensure that the candidate's mark is consistent with the standard set by the centre.
11. inform the candidate in writing of the outcome of the review of the centre's marking.

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

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

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

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

This procedure confirms Rigby Hall School 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].

Candidates are also informed of the arrangements for post-results services and the availability of senior members of centre staff immediately after the publication of results, **before** they sit any exams and the accessibility of senior members of centre staff immediately after the publication of results.

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

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

Reviews of Results (RoRs) offers three services.

- 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

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 is submitted to the awarding body as with these services candidates' marks and subject grades may be lowered. Candidate consent can only be collected after the publication of results.

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

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

If the candidate (or his/her parent carer) believes there are grounds to appeal against the centre's decision not to support a review, an internal appeal can be submitted to the centre [by completing the internal appeals form] at least 10 calendar days prior to the internal deadline for submitting a request for a review.

The appellant will be informed of the outcome of his/her appeal [before the internal deadline for submitting a RoR].

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

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

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

Rigby Hall 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, Rigby Hall 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 Rigby Hall 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 Rigby Hall Schools 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 Rigby Hall 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 10 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 10 working days of the appeal being received and logged by the centre.

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

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

Appeals regarding centre decisions relating to other administrative issues

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

Where Rigby Hall 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 10 working days of the decision being made known to the appellant.

The appellant will be informed of the outcome of the appeal 10 working days of the appeal being received and logged by the centre.

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

Internal Appeals form

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

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

| FOR CENTRE USE ONLY | |
|---------------------|--|
| Date received | |
| Reference No. | |

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

Please state the grounds for your appeal below:

(If applicable, tick below)

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

Appellant signature:

Date of signature:

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

Appeals log

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

The outcome of any review of the centre's marking will be made known to the head of centre. A written record of the review will be kept and logged as an appeal, so information can be easily made available to an awarding body upon request.

| Ref No. | Date received | Appellant Name | Outcome | Outcome date |
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Further guidance to inform and implement appeals

JCQ publications

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

Ofqual publications

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

Appendix D - Complaints and Appeals Procedure (Exams)

Purpose of the policy

This policy confirms Rigby Hall School 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 which will cover general complaints regarding the centre's delivery or administration of a qualification.

Grounds for complaint

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

Teaching and learning

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

Access arrangements and special consideration

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

- Candidate unhappy with centre decision relating to access arrangements or special consideration (complainant to refer via Ben Homer 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 if provided by the awarding body

Results and Post-results

- Before exams, candidate not made aware of the arrangements for post-results services and the accessibility of senior members of centre staff after the publication of results
- Candidate not having access to a member of senior staff after the publication of results to discuss/make decision on the submission of 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 Ben Homer to the centre's *internal appeals procedure*)
- Centre fails to adhere to its internal appeals procedure
- Centre applied for the wrong post-results service/for the wrong exam 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, Rigby Hall 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 formal complaint should be submitted in writing by completing a **complaints and appeals form**.
- Forms are available from the Exams Officer
- Completed forms should be returned to the Exams Officer or Head of Centre
- Forms received will be logged by the centre and acknowledged within 5 calendar days

How a formal complaint is investigated

- The head of centre will further investigate or appoint a member of the senior leadership team (who is not involved in the grounds for complaint and has no personal interest in the outcome) to investigate the complaint and report on the findings and conclusion
- The findings and conclusion will be provided to the complainant within 3 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 **complaints and appeals form**
- Forms received will be logged by the centre and acknowledged within 5 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

| FOR CENTRE USE ONLY | |
|---------------------|--|
| Date received | |
| Reference No. | |

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

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

| | |
|--|---|
| Name of complainant | name different to complainant/appellant |
| Candidate name if different to complainant | |
| Please state the grounds for your complaint/appeal below | |
| <p>If your grounds are lengthy please write as bullet points; please keep to the point and include relevant detail such as dates, names etc. and provide any evidence you may have to support what you say</p> <p><i>If necessary, continue on an additional page if this form is being completed electronically or overleaf if hard copy being completed</i></p> <p>Detail any steps you have already taken to resolve the issue(s) and what you would consider to be a good resolution to the issue(s)</p> | |
| 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/appeals are assigned a reference number and logged. Outcome and outcome date is also recorded.

| Ref No. | Date received | Complaint Name | Outcome | Outcome date |
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Appendix E – Access Arrangements Policy

What are access arrangements and reasonable adjustments?

Access arrangements

Access arrangements are agreed **before** an assessment. They allow candidates with **specific needs**, such as special educational needs, disabilities or temporary injuries to access the assessment and show what they know and can do without changing the demands of the assessment. The intention behind an access arrangement is to meet the needs of an individual candidate without affecting the integrity of the assessment. Access arrangements are the principal way in which awarding bodies comply with the duty under the Equality Act 2010* to make 'reasonable adjustments'. (¹AA, Definitions)

Reasonable adjustments

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

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

An adjustment will not be approved if it:

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

This is because the adjustment is not 'reasonable'. (¹AA, Definitions)

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

Purpose of the policy

The purpose of this policy is to confirm that Rigby Hall School has a written record which clearly shows the centre is leading on the access arrangements process and is complying with its obligation to identify the need for, request and implement access arrangements.

(JCQ's **General Regulations for Approved Centres**, section 5.4)

This publication is further referred to in this policy as GR

This policy is maintained and held by the SENCo alongside the individual files/e-folders of each access arrangements candidate. Each file/e-folder contains detailed records of all the essential information that is required to be held according to the regulations.

Where the SENCo is storing documentation electronically he/she **must** create an e-folder for each individual candidate. The candidate's e-folder **must** hold each of the required documents for inspection. (¹AA, section 4.2)

The policy is annually reviewed to ensure that processes are carried out in accordance with the current edition of the JCQ publication 'Adjustments for candidates with disabilities and learning difficulties - **Access Arrangements and Reasonable Adjustments**'.

¹This publication is further referred to in this policy as AA

General principles

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

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

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

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

Arrangements **must** always be approved **before** an examination or assessment.

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

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

Equalities Policy (Exams)

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

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

The assessment process

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

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

All assessors are experienced teachers with QTS and experience of working with children with a range of SEND. Exact details of assessors and their qualifications remain confidential and will only be made available to relevant school inspections upon request to the Head of School.

Appointment of assessors of candidates with learning difficulties

Evidence of the assessor's qualification is obtained and checked against the current requirements (AA 7.3)

This process is carried out prior to the assessor undertaking any assessment of a candidate (AA 7.3)

A photocopy of the assessor's certificate(s) (or a printout of screenshot of HCPC or SASC registration, or screenshot of other relevant qualification listing) is kept on file (AA 7.3, 7.4)

Reporting the appointment of the assessor(s)

Evidence that the assessor(s) is/are suitably qualified is held on file for inspection purposes (AA 7.4)

When requested, the evidence will be presented to the JCQ Centre Inspector by the Exams Officer who will present the evidence to the inspector.

In the case of appropriately professionals who are directly employed within the centre, there is no need to record the names of these individuals within Access arrangements online. (AA 7.4)

The names of all other assessors, who are assessing candidates studying qualifications as covered by AA must be entered into Access arrangements online to confirm their status (AA 7.4)

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

Guidelines for the assessment of the candidate's learning difficulties by an assessor will be followed and Form 8 (JCQ/AA/LD - Profile of Learning Difficulties) will be completed (AA 7.5, 7.6).

Arrangements must be made for the candidate to be assessed by the centre's appointed assessor (AA 7.5).

Assessors must personally conduct the assessments. They must not sign off assessments carried out by another professional (AA 7.5).

The assessor must carry out tests which are relevant to support the application (AA 7.5).

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

Additional information:

Subject teachers meet on a regular basis to discuss individual pupils, their needs and support required to allow them to learn in lessons. Prior to examinations a specialist teacher conducts WRAT tests with pupils to assess their reading, writing and cognitive abilities. Following meetings with teachers and careful reference to the JCQ Access Arrangements and Reasonable Adjustments (orange booklet), pupils are given appropriate support based on their need for the examinations. Care is taken not to provide support which gives them either an advantage or a disadvantage for the upcoming exams, but instead fair support is provided based on their need and abilities. Mock examinations allow a judgement to be made on support offered and slight alterations can be made to pupil's access arrangements if necessary

Picture of need/normal way of working

Rigby Hall School confirms:

Before the candidate's assessment, the person appointed in the centre must provide the assessor with background information, i.e. a picture of need has been painted as per Part 1 of Form 8. The centre and the assessor must work together to ensure a joined-up and consistent process. (AA 7.5.2)

An independent assessor must contact the centre and ask for evidence of the candidate's normal way of working and relevant background information. This must take place before the candidate is assessed.

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

An independent assessor must discuss access arrangements with the person appointed in the centre. The responsibility to request access arrangements specifically lies with the centre. (AA 7.5.3)

Additional information:

AA 7.5 Guidelines for the assessment of the candidate's learning difficulties by an assessor and 7.6 Completing Form 8 – JCQ/AA/LD, Profile of Learning Difficulties

Processing access arrangements and adjustments

Arrangements/adjustments requiring awarding body approval

Access arrangements online (AAO) is a tool provided by JCQ member awarding bodies for centres to apply for required access arrangement approval for the qualifications covered by the tool. This tool also provides the facility to order modified papers for those qualifications included. (Refer to AA, chapter 8 (Processing applications for access arrangements and adjustments) and chapter 6 (Modified papers).

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

Centre-delegated arrangements/adjustments

Decisions relating to the approval of centre delegated arrangements are made by The Head of School (may liaise with SLT). Appropriate evidence, where required by the arrangement, is held on file by Examination Officer .

Centre-specific criteria for particular arrangements/adjustments

Word Processor Policy (Exams)

An exam candidate may be approved the use of a word processor where this is appropriate to the candidate's needs and not simply because the candidate now wants to type rather than write in exams or can work faster on a keyboard, or because they use a laptop at home. The use of a word processor must reflect the candidate's normal way of working within the centre.

The Word Processor Policy (Exams) details the criteria Rigby Hall School uses to award and allocate word processors in examinations/assessments.

~~Separate Invigilation~~ Alternative Rooming Arrangements Policy

A decision where an exam candidate may be approved ~~separate invigilation within the centre~~ alternative rooming arrangements, e.g. a room for a smaller group of candidates with similar needs (formerly known as separate invigilation) will be made by the SENCo.

The decision will be based on:

- whether the candidate has a substantial and long term impairment which has an adverse effect **and**
- the candidate's normal way of working within the centre (AA, section 5.16)

See Alternative Rooming Arrangement Policy.

Appendix F - Conflicts of Interest Policy

Introduction

It is the responsibility of the head of centre to ensure that Rigby Hall School has a written conflicts of interest policy in place available for inspection. This policy confirms that Rigby Hall 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 Rigby Hall School manages conflicts of interest under normal delivery arrangements in accordance with the regulations.

General principles

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

Declaration process

A Declaration of Personal Interest form for Summer 2024 will be sent by the Exams Officer by email to all centre staff involved in the process. Staff will be required to:

- confirm their understanding of what a personal interest in a candidate relates to
- (where applicable) declare no personal interest in any candidate
- (where applicable) declare a personal interest in a candidate and identify their role(s) in the arrangements
- confirm awareness of the need to maintain the confidentiality of the grades and endorsements determined by the centre
- return the completed declaration to the Exams Officer by the 1st May 2024.

Managing conflicts of interest

A Conflicts of Interest log for Summer 2024 will be maintained to record any potential conflicts of interest declared by centre staff. The log will record the nature of potential conflict and a decision by the Exams Officer, if this is deemed a potential risk to the integrity of the centre's assessments (where applicable). The log will record appropriate additional controls put in place to mitigate any potential risk to the integrity of the centre's assessments and to ensure fairness in later process reviews and appeals, carefully considering the need if to separate duties and personnel. Individual awarding body instruction/guidance will be followed if there is any change (for summer 2024) to their normal procedures for informing of conflicts of interest.

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)

Additional responsibilities:

The role of the exams office/officer

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

Appendix G – Word Processor Policy

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

References in this policy to AA and ICE relate to/are directly taken from the Access Arrangements and Reasonable Adjustments 2023-2024 and Instructions for conducting examinations 2023-2024 publications.

Introduction

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

(AA 4.2.1)

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

(AA 4.2.2)

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

(AA 4.2.3)

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

(AA 4.2.1)

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

(AA 4.2.7)

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

Purpose of the policy

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

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

The criteria Rigby Hall School uses to award and allocate word processors for examinations and assessments:

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

Exceptions

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

- the candidate may have an approved access arrangement in place, for example the use of a scribe/speech recognition technology
- the candidate has a firmly established need, it reflects the candidate's normal way of working and by not being awarded a word processor would be at a substantial disadvantage to other candidates

The centre will

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

For example, a candidate with:

- a learning difficulty which has a substantial and long-term adverse effect on their ability to write legibly
 - a medical condition
 - a physical disability
 - a sensory impairment
 - planning and organisational problems when writing by hand
 - poor handwriting (AA 5.8.4)
- only permit the use of a word processor where the integrity of the assessment can be maintained (AA 4.2.1)
 - not grant the use of a word processor where it will compromise the assessment objectives of the specification in question (AA 4.2.2)
 - consider on a subject-by-subject basis if the candidate will need to use a word processor in each specification (AA 4.2.3)
 - process access arrangements/reasonable adjustments at the start of the course, or as soon as practicable having firmly established a picture of need and normal way of working, ensuring arrangements are always approved before an examination or assessment (AA 4.2.4)
 - provide the use of word processors to candidates in non-examination assessment components as standard practice unless prohibited by the specification (AA 5.8.2)

The centre will not:

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

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

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

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

A candidate using a word processor is accommodated in a room for a smaller group of candidates with similar needs, etc

In compliance with the regulations the centre:

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

(ICE 14.25)

The centre will ensure the word processor:

- is only used in a way that ensures a candidate's script is produced under secure conditions
- is not used to perform skills which are being assessed
- is in good working order at the time of the exam
- is accommodated in such a way that other candidates are not disturbed and cannot read the screen
- is used as a typewriter, not as a database, although standard formatting software is acceptable
- is cleared of any previously stored data
- does not give the candidate access to other applications such as a calculator (where prohibited in the examination), e-mail, the Internet, social media sites, spreadsheets
- does not include graphic packages or computer aided design software unless permission has been given to use these
- does not have any predictive text software or an automatic spelling and grammar check enabled unless the candidate has been permitted a scribe or is using speech recognition

technology (a scribe cover sheet must be completed), or the awarding body's specification permits the use of automatic spell checking

- does not include computer reading (text to speech) software unless the candidate has permission to use a computer reader
- does not include speech recognition technology unless the candidate has permission to use a scribe or relevant software
- is not used on the candidate's behalf by a third party unless the candidate has permission to use a scribe

Portable storage medium

(ICE 14.25)

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

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

Printing the script after the exam has ended

(ICE 14.25)

The centre will ensure:

- the word processor is either connected to a printer so that a script can be printed off, or have the facility to print from a portable storage medium
- the candidate is present to verify that the work printed is his or their own
- a word processed script is attached to any answer booklet which contains some of the answers
- if a candidate omits to insert the required header or footer, he/she is instructed to handwrite the details as a header or footer; the candidate is supervised throughout this process to ensure that he/she is solely performing this task and not re-reading their answers or amending their work in any way (ICE 14.22)

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

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

Allocating word processors at the time of the assessment

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

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

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

Appendix H - Non-Examination Assessment Policy

What does this policy affect?

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

The 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*

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

[NEA 1]

What are non-examination assessments?

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

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

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

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

The basic principles

Head of centre

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

Senior leaders

- Ensure the correct conduct of non-examination assessments (including endorsements) which comply with NEA and awarding body subject-specific instructions

- Ensure the centre-wide calendar records assessment schedules by the start of the academic year

Quality assurance (QA) lead/Lead internal verifier

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

Subject head/lead

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

Subject teacher

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

Exams officer

- Signposts the annually updated JCQ publication NEA to relevant centre staff
- Carries out tasks where these may be applicable to the role in supporting the administration/management of non-examination assessment

Task setting

Subject teacher

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

Issuing of tasks

Subject teacher

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

Task taking

Supervision

Subject teacher

- Checks the awarding body's subject-specific requirements ensuring candidates take tasks under the required conditions and supervision arrangements
- Ensures there is sufficient supervision to enable the work of a candidate to be authenticated
- Ensures there is sufficient supervision to ensure the work a candidate submits is their own
- Is confident where work may be completed outside of the centre without direct supervision, that the work produced is the candidate's own.
- Where candidates may work in groups, keeps a record of each candidate's contribution
- Ensures candidates are aware of the current JCQ documents Information for candidates - non-examination assessments and Information for candidates - Social Media
- Ensures candidates understand and comply with the regulations in relevant JCQ documents Information for candidates
- *Ensures candidates:*
 - *understand that information from all sources must be referenced*
 - *receive guidance on setting out references*
 - *are aware that they must not plagiarise other material*

Advice and feedback

Subject teacher

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

Resources

Subject teacher

- Refers to the awarding body's specification and/or associated documentation to determine if candidates have restricted/unrestricted access to resources including the internet and AI when planning and researching their tasks
- Refers to the JCQ document *AI Use in Assessments: Protecting the Integrity of Qualifications* (<http://www.jcq.org.uk/exams-office/malpractice>) as well as the awarding body's specification and/or associated documentation published by the awarding bodies and the regulator
 - By referencing this document, makes candidates aware of the appropriate and inappropriate use of AI, the risks of using AI, and the possible consequences of using AI inappropriately in a qualification assessment
- Ensures conditions for any formally supervised sessions are known and put in place
- Ensures appropriate arrangements are in place to keep the work to be assessed, and any preparatory work, secure between any formally supervised sessions, including work that is stored electronically
- Ensures conditions for any formally supervised sessions are understood and followed by candidates
- Ensures candidates understand that they are not allowed to introduce augmented notes or new resources between formally supervised sessions
- Ensures that where appropriate to include references, candidates keep a detailed record of their own research, planning, resources etc.

Word and time limits

Subject teacher

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

Collaboration and group work

Subject teacher

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

Authentication procedures

Subject teacher

- Where required by the awarding body's specification:
 - ensures candidates sign a declaration confirming the work they submit for final assessment is their own unaided work
 - signs the teacher declaration of authentication confirming the requirements have been met

- Keeps signed candidate declarations on file until the deadline for requesting reviews of results has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later
- Provides signed candidate declarations where these may be requested by a JCQ Centre Inspector
- Where there may be doubt about the authenticity of the work of a candidate or if malpractice is suspected, follows the authentication procedures and malpractice information in NEA and informs a member of the senior leadership team
- Understands that if, during the external moderation process, it is found that the work has not been properly authenticated, the awarding body will set the mark(s) awarded by the centre to zero

Presentation of work

Subject teacher

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

Keeping materials secure

Subject teacher

- When work is being undertaken by candidates under formal supervision, ensures work is securely stored between sessions (if more than one session)
- When work is submitted by candidates for final assessment, ensures work is securely stored
- Follows secure storage instructions as defined in NEA 4.8
- Takes sensible precautions when work is taken home for marking
- Stores internally assessed work, including the sample returned after awarding body moderation, securely until the closing date for reviews of results or until the outcome of a review or any subsequent appeal has been completed
- If post-results services have not been requested, returns internally assessed work to candidates (if requested by a candidate) after the deadline for requesting a review of results for the relevant series
- If post-results services have been requested, returns internally assessed work to candidates (if requested by a candidate) once the review of results and any subsequent appeal has been completed
- Reminds candidates of the need to keep their own work secure at all times and not share completed or partially completed work on-line, on social media or through any other means (Reminds candidates of the contents of the JCQ document Information for candidates – Social Media)

- Where work is stored electronically, liaises with the IT Manager to ensure the protection and back-up of candidates' work and that appropriate arrangements are in place to restrict access to it between sessions
- Understands that during the period from the submission of work for formal assessment until the deadline for requesting a review of results, copies of work may be used for other purposes, provided that the originals are stored securely as required

IT Manager

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

Task marking – externally assessed components

Conduct of externally assessed work

Subject teacher

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

Exams officer

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

Submission of work

Subject teacher

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

Exams officer

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

- Ensures that the package in which the work is despatched is robust and securely fastened
- Despatches the work to the awarding body's instructions by the required deadline

Task marking – internally assessed components

Marking and annotation

Head of centre

- Makes every effort to avoid situations where a candidate is assessed by a person who has a close personal relationship with the candidate, for example, members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g son/daughter)
- Where this cannot be avoided, ensures the possible conflict of interest is declared to the relevant awarding body and the marked work is submitted for moderation whether or not it is part of the moderation sample

Subject head/lead

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

Subject teacher

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

Internal standardisation

Quality assurance (QA) lead/Lead internal verifier

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

- Retains evidence that internal standardisation has been carried out

Subject teacher

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

Submission of marks and work for moderation

Subject teacher

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

Exams officer

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

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

Storage and retention of work after submission of marks

Subject teacher

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

Exams officer

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

External moderation – the process

Subject teacher

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

External moderation – feedback

Subject head/lead

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

Exams officer

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

Access arrangements

Subject teacher

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

Special educational needs coordinator (SENCo)

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

Special consideration and loss of work

Subject teacher

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

Exams officer

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

Malpractice

Head of centre

- Understands the responsibility to immediately report to the relevant awarding body any alleged, suspected or actual incidents of malpractice involving candidates, teachers, invigilators or other administrative staff
- Ensures any irregularity identified by the centre before the candidate has signed the authentication statement (where required) are dealt with under its own internal procedures, with no requirement to report the irregularity to the awarding body (The only exception being where the awarding body's confidential assessment materials has been breached, the breach must be report to the awarding body)
- Is familiar with the JCQ publication Suspected Malpractice in Examinations and Assessments: Policies and Procedures

- Ensures that those members of teaching staff involved in the direct supervision of candidates producing non-examination assessment are aware of the potential for malpractice and ensures that teaching staff are reminded that failure to report allegations of malpractice or suspected malpractice constitutes malpractice in itself

Subject teacher

- Is aware of the JCQ Notice to Centres - Sharing NEA material and candidates' work to mitigate against candidate and centre malpractice
- *Ensures candidates understand what constitutes malpractice in non-examination assessments*
- Ensures candidates understand the JCQ document Information for candidates - non-examination assessments
- Ensures candidates understand the JCQ document Information for candidates - Social Media
- Escalates and reports any alleged, suspected or actual incidents of malpractice involving candidates to the head of centre

Exams officer

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

Post-results services

Head of centre

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

Subject head/lead

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

Subject teacher

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

Exams officer

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

Private candidates

Subject head/lead

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

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

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

| Issue/Risk | Centre actions to manage issue/mitigate risk | Action by |
|--|--|-----------|
| Issuing of tasks | | |
| 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> | |
| 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> | |
| 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> | |
| A candidate (or parent/carer) expresses concern about safeguarding, confidentiality or faith in undertaking a task such as a presentation that may be recorded | <i>Ensures the candidate's presentation does not form part of the sample which will be recorded Contacts the awarding body at the earliest opportunity where unable to record the required number of candidates for the monitoring sample</i> | |
| Task taking | | |
| Supervision | | |
| 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> | |
| 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 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> | |
| 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> | |
| 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> | |
| Advice and feedback | | |
| Candidate claims appropriate advice and feedback not | <i>Ensures a centre-wide process is in place for subject teachers to record all information provided to candidates before work begins as part of the centre's quality assurance procedures</i> | |

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

| Issue/Risk | Centre actions to manage issue/mitigate risk | Action by |
|---|--|-----------|
| | <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> | |
| Word and time limits | | |
| 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> | |
| Collaboration and group work | | |
| 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> | |
| Authentication procedures | | |
| <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 Notice to Centres - Sharing NEA 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> <p><i>The candidate's work is not accepted for assessment</i></p> <p><i>A mark of zero is recorded and submitted to the awarding body</i></p> | |
| Candidate does not sign their authentication statement/declaration | <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 they understand what they need to do to comply with the regulations as outlined in the JCQ document Information for candidates: non-examination assessments</i></p> <p><i>Declaration is checked for signature before accepting the work of a candidate for formal assessment</i></p> | |
| Subject teacher not available to sign authentication forms | <p><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></p> | |
| Presentation of work | | |

| Issue/Risk | Centre actions to manage issue/mitigate risk | Action by |
|--|---|-----------|
| 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> | |
| Keeping materials secure | | |
| 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</i> <i>Regular monitoring/internal audit ensures subject teacher use of appropriate secure storage</i> | |
| Adequate secure storage not available to subject teacher | <i>Records confirm adequate/sufficient secure storage is available to subject teacher prior to the start of the course</i> <i>Alternative secure storage sourced where required</i> | |
| Candidates work produced electronically is not securely stored | <i>Records confirm subject teachers are aware of and follow current JCQ publication Instructions for conducting non-examination assessments</i> <i>Internal processes and regular monitoring/internal audit by IT Manager ensures:</i> <ul style="list-style-type: none"> • <i>access to this material is restricted (insert how)</i> • <i>appropriate security safeguards are in place (insert names/types of protection)</i> • <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)</i> • <i>any sensitive digital media is encrypted (according to awarding body guidance to ensure that the method of encryption is suitable) to ensure the security of the data stored within it (insert relevant details of how)</i> | |
| Task marking – externally assessed components | | |
| 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</i> <i>If not, eligibility for special consideration is explored and a request submitted to the awarding body where appropriate</i> | |
| A candidate is absent on the day of the examiner visit for an unacceptable reason | <i>The candidate is marked absent on the attendance register</i> | |
| Task marking – internally assessed components | | |
| 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</i> <i>Where a candidate submits little work, the work produced is assessed against the assessment criteria and a mark allocated appropriately; where the work does not meet any of the assessment criteria a mark of zero is submitted to the awarding body</i> | |
| A candidate is unable to finish their work for unforeseen reason | <i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 5), to determine eligibility and the process to be followed for shortfall in work</i> | |
| The work of a candidate is lost or damaged | <i>Relevant staff are signposted to the JCQ publication Instructions for conducting non-examination assessments (section 8), to determine eligibility and the process to be followed for lost or damaged work</i> | |

| Issue/Risk | Centre actions to manage issue/mitigate risk | Action by |
|---|---|-----------|
| Candidate malpractice is discovered | <i>Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (section 9 Malpractice) are followed</i> <i>Investigation and reporting procedures in the current JCQ publication Suspected Malpractice: Policies and Procedures are followed</i> <i>Appropriate internal disciplinary procedures are also followed</i> | |
| A teacher assesses the work of a candidate with whom they have a close personal relationship e.g. members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) | <i>A possible conflict of interest is declared by informing the awarding body before the published deadline for entries for each examination series</i> <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</i> <i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 5), to determine eligibility and the process to be followed for non-examination assessment extension</i> | |
| After submission of marks, it is discovered that the wrong task was given to candidates | <i>Awarding body is contacted for guidance</i> <i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 2), to determine eligibility and the process to be followed to apply for special consideration for candidates</i> | |
| 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</i> <i>Records confirm candidates have been informed of their marks</i> <i>Candidates are informed that these marks are subject to change through the awarding body's moderation process</i> <i>Candidates are informed of their marks to the timescale identified in the centre's internal appeals procedure and prior to the internal deadline set by the exams officer for the submission of marks</i> <i>Through the candidate exam handbook, candidates are made aware of the centre's internal appeals procedures and timescale for submitting an appeal/request for a review of the centre's marking prior to the submission of marks to the awarding body</i> | |
| 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</i> <i>Candidates confirm/record deadlines known and understood</i> <i>Depending on the circumstances, awarding body guidance sought to determine if the work can be accepted late for marking providing the awarding body's deadline for submitting marks can be met</i> <i>Decision made (depending on the circumstances) if the work will be accepted late for marking or a mark of zero submitted to the awarding body for the candidate</i> | |

| Issue/Risk | Centre actions to manage issue/mitigate risk | Action by |
|---|---|-----------|
| 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</i> <i>Reminders are issued through senior leaders/subject heads as deadlines approach</i> <i>Records confirm deadlines known and understood by subject teachers</i> <i>Where appropriate, internal disciplinary procedures are followed</i> | |
| 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 I - Alternative Rooming Arrangement Policy

Introduction

(Formerly known as separate invigilation) Alternative rooming arrangements (for example, a room for a smaller group of candidates with similar needs) is an available access arrangement as defined in the JCQ regulations. This is an arrangement where a candidate with an established difficulty may be eligible to take their examinations in a smaller environment away from the main examination room.

Purpose of the policy

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

1. Decisions on the awarding of the arrangement

At Rigby Hall School, decisions on the awarding of the arrangement are made by: the Exams Officer.

Decisions are based on:

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

2. Criteria for the awarding of the arrangement

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

- The candidate has an established difficulty as defined in section 5.16 of the JCQ's Access Arrangements and Reasonable Adjustments publication (ICE 14.18)
- The candidate's disability is established within the centre and known to relevant staff or a senior member of staff with pastoral responsibilities (AA 5.16)
- Alternative rooming arrangements reflects the candidate's normal and current way of working in internal tests and mock examinations (AA 5.16)
- Where a candidate sits their examinations in a smaller environment away from the main examination room, the regulations and guidance within the JCQ publication Instructions for conducting examinations will be adhered to, particularly in relation to accommodation and invigilation arrangements (ICE 14.18)

3. Other rooming arrangements

At Rigby Hall School arrangements for seating candidates in rooms separate to the main cohort may be put in place in other circumstances.

Appendix J – Candidate Identification Procedure

Purpose of the procedure

The purpose of this procedure is to confirm that Rigby Hall School:

- verifies the identity of all students that it enters for examinations or assessments (GR 5.6)
- has processes in place to be satisfied that all candidate identities have been checked (GR 5.6)
- has written procedures in place to verify the identity of all candidates at the time of the examination or assessment (GR 5.9)

1. Process to check candidate identity

Internal candidates

The identity of students on roll at Rigby Hall School is checked as part of the initial registration process. (GR 5.6)

The process is:

- Rigby Hall School don't currently accept private or external candidates.

2. Procedures to verify candidate identity at the time of the examination/assessment

Invigilators are able to establish the identity of all candidates sitting examinations by following the arrangements in place to carry out adequate checks. (ICE 16.1)

The arrangements at Rigby Hall School are:

- Invigilators will be informed of those candidates with access arrangements and made aware of the access arrangement(s) awarded (ICE 16.4)

Appendix K - Candidate Absence Policy

Purpose of the policy

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

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

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

Identifying and dealing with candidate absence

A candidate will be considered absent from an examination if:

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

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

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

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

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

Roles and Responsibilities

Overview

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

- Tracey Smith – Head of Centre
- Ben Homer - Exams Officer

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

- Sam Hayward – Deputy Head

The role of invigilators

Invigilators will:

- Be informed of the process for dealing with absent candidates through training

- Ensure that absent candidates are clearly indicated on the attendance register (ICE 22.3)

The role of candidates

Candidates will be:

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

3. Special consideration

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

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

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

- Ben Homer & Tracey Smith

Appendix L - Candidate Late Arrival Policy

Purpose of the policy

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

A candidate will be considered late if they arrive:

- after the start of the examination and (for an examination which lasts an hour or more) up to 10.00am for a morning examination or up to 2.30pm for an afternoon examination (ICE 21.1)

A candidate will be considered very late if they arrive:

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

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

- the correct procedures are followed when dealing with a candidate who arrives late to an examination

Candidates who arrive late

The following procedures are applied at Rigby Hall School in relation to candidates who arrive late to examinations:

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

- A candidate who arrives very late will be warned that the awarding body may not accept their script (ICE 21.4)
- A candidate who arrives in the afternoon for a paper that had been re-arranged for a morning session, may be allowed to take the paper at the published time as long as the candidate has not had any contact with candidates who sat the paper earlier. The awarding body will be informed of the situation and will decide whether or not to accept the script (ICE 21.5)
- In all cases the centre will submit a declaration for the very late arrival of a candidate for examinations, in accordance with the current JCQ publication **Instructions for conducting examinations** (GR 5.9)

Roles and responsibilities

The role of the exams office/officer

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

The role of invigilators

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

Appendix M - Food and Drink Policy (Exams)

Purpose of the policy

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

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

Food and drink in the examination room

- Food and drink is allowed in the examination room at the discretion of the head of centre (ICE 18.2)
- Any food and drink brought into the examination room whether by the candidate or the centre must be free from packaging and all labels are removed from drink containers (ICE 18.2)

To enable invigilators to check these items quickly and efficiently:

- food brought into the examination room by the candidate must be free of packaging and in a transparent container (ICE 18.2)
- drink bottles must be transparent with all labels removed which would include transparent, reusable plastic bottles (ICE 18.2)

The following arrangements are applied at Rigby Hall School:

- Water is encouraged within the examination room to aid concentration and hydration.
- All bottles are checked and labels removed.
- If a bottle arrives with its label it is removed by the invigilator.
- No other drink other than water is allowed
- Food is allowed for those students who request this as part of a medical condition (eg diabetic) It is not generally encouraged.

Roles and responsibilities

The role of the exams office/officer

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

The role of the invigilator

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

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

The role of the head of centre

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

Appendix N - Emergency evacuation procedures

Purpose of the policy

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

When is an emergency evacuation required?

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

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

As each incident may be different, advice will be sought from the relevant awarding body as soon as it is safe to do so, particularly where the centre is concerned about the security of the examination(s). (ICE 25.6)

Where candidates are unable to return to the building to complete the examination, the relevant awarding body will be contacted immediately for advice. The awarding bodies have procedures in place to ensure that candidates are not disadvantaged where they are unable to complete the examination due to circumstances beyond their control. (ICE 25.6)

Emergency evacuation of an exam room

Roles and responsibilities

Head of centre

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

Senior leader

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

Special educational needs coordinator (SENCo)

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

Exams officer

- Ensures invigilators are trained in emergency evacuation procedures and how an incident and actions taken must be recorded
- Ensures candidates are briefed [insert how, as example: through Candidate Exam Handbook, assembly etc.], prior to exams taking place, on what will happen in the event of an emergency in the exam room
- Provides invigilators with a copy of the emergency evacuation procedure for every exam room
- Provides a standard invigilator announcement for each exam room which includes appropriate instructions for candidates about emergency procedures and what will happen if the fire alarm sounds
- Provides an exam room incident log in each exam room
- Liaises with the SENCo and other relevant staff prior to each exam where different procedures or assistance may need to be provided for a disabled candidate
- Briefs invigilators prior to each exam where different procedures or assistance may need to be provided for a disabled candidate
- Ensures appropriate follow-up is undertaken after an emergency evacuation, reporting the incident to the awarding body and the actions taken ~~through application of the special consideration process where applicable (in cases where a group of candidates have been disadvantaged by a particular event)~~
- Ensures a full report of the incident is produced and retained on file if required by an awarding body (ICE 25.4)
- Ensures an online application for special consideration is submitted to the relevant awarding body where candidates have been disadvantaged (ICE 25.7)

Invigilators

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

Other relevant centre staff

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

Recording details

As soon as practically possible and safe to do so, details should be recorded. Details must include:

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

Further details could include:

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

Emergency evacuation procedure

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

| EMERGENCY EVACUATION PROCEDURE |
|---|
| Actions to be taken (as detailed in current JCQ <u>Instructions for conducting examinations</u> section 25.3, Emergencies) |
| Stop the candidates from writing |
| Collect the attendance register (in order to ensure all candidates are present) |
| Evacuate the examination room in line with the instructions given by the appropriate authority |
| Advise candidates to leave all question papers and scripts in the examination room Candidates must be advised to close their answer booklet |
| Ensure the candidates leave the room in silence |
| Ensure candidates are supervised as closely as possible while they are out of the examination room so that there is no discussion about the examination |
| Make a note of the time of the interruption and how long it lasted |
| Allow the candidates the remainder of the working time set for the examination once it resumes |
| If there are only a few candidates, consider the possibility of taking the candidates (with question papers and scripts) to another place to finish the examination |
| Make a full report of the incident and of the action taken and send to the relevant awarding body |

Appendix O - Managing behaviour during exams policy

Purpose of the policy

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

1. Briefing candidates

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

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

At Rigby Hall School candidates are made aware of JCQ information/briefed by:

- A member of SMT during a pre-exam briefing, followed by a reminder immediately before entering the exam room.
- The briefing session would reinforce what candidates must and must not do when sitting written examinations and/or on-screen tests, and when producing coursework and/or non-examination assessments.

2. Candidate malpractice

- 'Malpractice', means any act, default or practice which is a breach of the Regulations (SMPP 1.2)
- Suspected malpractice means all alleged or suspected incidents of malpractice (SMPP 2)
- '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)
- Inappropriate behaviour by a candidate in the examination room is deemed 'candidate malpractice'
- Failure by a centre to notify, investigate and report to an awarding body all allegations of malpractice or suspected malpractice constitutes malpractice in itself (SMPP 1.7)
- Examples of inappropriate behaviour/actions that constitute 'candidate malpractice' are provided in the final section of this policy.

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

The following requirements are applied at Rigby Hall School:

- Candidates are under formal examination conditions from the moment they enter the room in which they will be taking their examination(s) until the point at which they are

permitted to leave. Any malpractice suspected or actual, from this point must be reported to the relevant awarding body (ICE 19.1)

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

4. Roles and responsibilities

The role of the invigilator

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

The role of the exams office/officer

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

The role of the head of centre

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

The role of the senior leader

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

Examples of 'candidate malpractice'

These include (but are not limited to):

Introduction of unauthorised material into the examination room

- Own blank paper - used for rough work; used for final answers
- Calculators, dictionaries (when prohibited) - not used; used or attempted to use
- Bringing into the examination room notes in the wrong format or prohibited annotations - notes/annotations go beyond what is permitted but do not give an advantage; content irrelevant to subject; notes/annotations are relevant and give an unfair advantage - notes/annotations introduced in a deliberate attempt to gain an advantage
- Unauthorised notes, study guides and personal organisers - content irrelevant to subject; content relevant to subject; relevant to subject and evidence of use
- Mobile phone or similar electronic devices (including iPod, MP3/4 player, memory sticks, smartphone, smartwatch, AirPods, earphones and headphones) - not in the candidate's possession but make a noise in the examination room; in the candidate's possession but no evidence of being used by the candidate; in the candidate's possession and evidence of being used by the candidate
- Watches (not smartwatches) - in candidate's possession

Breaches of examination conditions

- A breach of the instructions or advice of an invigilator, supervisor, or the awarding body in relation to the examination rules and regulations - minor non-compliance: e.g. sitting in a non-designated seat / continuing to write for a short period after being told to stop; major non-compliance: e.g. refusing to move to a designated seat / significant amount of writing after being told to stop; related non-compliance
- Failing to abide by the conditions of supervision designed to maintain the security and integrity of the examinations - leaving examination early (no loss of integrity) / removing script from the examination room, but evidence of the integrity was maintained; removing script from examination room but with no proof that the script is safe / taking home materials; deliberately breaking a timetable clash supervision arrangement / removing script from the examination room and with proof that the script has been tampered with / leaving examination room early so integrity is impaired
- Disruptive behaviour in the examination room or assessment session (including use of offensive language) - minor disruption lasting a short time / calling out, causing noise, turning around; repeated or prolonged disruption; unacceptably rude remarks; being removed from the examination room / taking another's possessions; warnings ignored / provocative or aggravated behaviour / repeated or loud offensive comments / physical assault on staff or property

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

- Verbal communication - isolated incidents of talking before the start of the examination or after papers have been collected; talking during the examination about matters not related to the exam / accepting examination related information; talking about examination related matters during the exam / whispering answers to questions
- Communication - passing/receiving written communications which clearly have no bearing on the assessment; accepting assessment related information; passing assessment related information to other candidates / helping one another / swapping scripts

Offences relating to the content of candidates' work

- The inclusion of inappropriate, offensive or obscene material in scripts, controlled assessments, coursework, non-examination assessments or portfolios - isolated offensive words or drawings; frequent offensive words or drawings; isolated obscenity or offensive comments directed at an individual or group; frequent obscenities / discriminatory language, remarks or drawings directed at an individual or group
- Plagiarism: unacknowledged copying from or reproduction of third party sources (including the internet and AI tools); incomplete referencing - minor amount of plagiarism/poor referencing in places; plagiarism from work listed in the bibliography or referenced/acknowledged / or minor amount of plagiarism from a source not listed in the bibliography or referenced/acknowledged; plagiarism from work not listed in the bibliography or referenced/acknowledged / or plagiarised text consists of the substance of the work submitted and the source is listed in the bibliography or referenced/acknowledged

(Taken from SMPP, Appendix 6)

Appendix P - Exams Archiving Policy

Purpose of the policy

The purpose of this policy is to:

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

| Record type | Record(s) description (where required) | Retention information/period | Action at end of retention period (method of disposal) |
|---|---|--|---|
| Access arrangements information | Any hard copy information kept by the EO relating to an access arrangement candidate. | To be returned to SENCo as records owner at end of the candidate's final exam series. | |
| Alternative site arrangements | Any hard copy information generated on an alternative site arrangement. Notifications submitted online via CAP. | | |
| Attendance register copies | | (Reference ICE 12, 22: ...keep signed records of the seating plan, the invigilation arrangements and the centre's copies of the attendance registers for each examination. The awarding bodies may need to refer to these records. The centre must keep them until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later... keep a copy of the attendance register until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later) | Confidential waste/shredding |
| Awarding body exams administration information | Any hard copy publications provided by awarding bodies. | To be retained until the current academic year update is provided. | |
| Candidates' scripts | Any unwanted copies of scripts returned to | To be retained securely until the awarding | Confidential disposal |

| Record type | Record(s) description (where required) | Retention information/period | Action at end of retention period (method of disposal) |
|---|---|---|---|
| | the centre through the Access to Scripts (ATS) service. | body's earliest date for confidential disposal of unwanted scripts. (Reference GR 3.15: ... ensure that when scripts that have been returned under access to scripts arrangements are no longer required, they are disposed of in a confidential manner, but no earlier than the dates specified by the awarding bodies...) | |
| Candidates' work | Non-examination assessment work returned to the centre by the awarding body at the end of the moderation period. | To be logged on return to the centre and immediately returned to subject staff as records owner. To be stored safely and securely along with work that did not form part of the moderation sample (including materials stored electronically) (Reference GR 3.15: ...store safely and securely all non-examination assessments, controlled assessments, coursework or portfolios, retained in, or returned to, the centre until the deadline for a review of moderation has passed or until a review of moderation, an appeal or a malpractice investigation has been completed, whichever is later. This includes materials stored electronically. See paragraph 4.8 of the JCQ publication <i>Instructions for conducting non - examination assessments</i> https://www.jcq.org.uk/exams-office/non-examination-assessments) | Returned to candidates or safe disposal |
| Centre consortium arrangements for centre assessed work | Any hard copy information generated or relating to consortium arrangements for centre assessed work. Applications submitted online via CAP. | | |

| Record type | Record(s) description (where required) | Retention information/period | Action at end of retention period (method of disposal) |
|--|--|--|---|
| Certificates | Candidate certificates issued by awarding bodies. | (Reference GR 5.14: ...retain all unclaimed certificates under secure conditions for a minimum of 12 months from the date of issue) | Confidential destruction |
| Certificate destruction information | A record of unclaimed certificates that have been destroyed. | (Reference GR 5.14: ...destroy any unclaimed certificates after retaining them for a minimum of 12 months. They must be destroyed in a confidential manner. Centres that do not have a means of destroying certificates confidentially may return them to the respective awarding body. A record of certificates that have been destroyed should be retained for four years from their date of destruction. However, candidates should be informed that some awarding bodies do not offer a replacement certificate service. In such circumstances the awarding body will issue a Certifying Statement of Results... (Where an awarding body issues a replacement certificate, or a Certifying Statement of Results, this will provide an accurate and complete record of results for all qualifications covered by the original certificate.) ...return any certificates requested by the awarding bodies. Certificates always remain the property of the awarding bodies. | Confidential destruction |
| Certificate issue information | A record of certificates that have been issued. | (Reference GR 5.14: ...obtain and maintain accurate candidate contact information to ensure the correct and secure despatch of certificates... distribute certificates to all candidates without delay and regardless of any disputes (such as non-payment of fees). Certificates must not be withheld without prior permission from an awarding body which will only be given in very exceptional circumstances. A record should be kept of the certificates that are issued...) | |
| Confidential materials: initial point of delivery logs | Logs recording awarding body confidential exam materials received by an authorised member of staff at the initial point of delivery and the secure movement of packages by an | | |

| Record type | Record(s) description (where required) | Retention information/period | Action at end of retention period (method of disposal) |
|--|---|---|---|
| | authorised member of staff to the secure room for transferal to the centre's secure storage facility. | | |
| Confidential materials: receipt, secure movement and secure storage logs | Logs recording confidential exam materials received (including encrypted materials received via email or downloaded from an awarding body's secure extranet site), securely moved, checked and placed in the secure storage facility by the exams officer (or other authorised member of centre staff) throughout the period the materials are confidential. | | |
| Conflicts of interest records | Records demonstrating the management of conflicts of interest. | (Reference GR 5.3 : ...The records may be inspected by a JCQ Centre Inspector and/or awarding body staff. They might be requested in the event of concerns being reported to an awarding body. The records must be retained until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.) | |
| Dispatch logs | Proof of dispatch of exam script packages to awarding body examiners covered by the DfE (Standards & Testing Agency) yellow label service (England only) . | | |
| Entry information | Any hard copy information relating to candidates' entries. | | |

| Record type | Record(s) description (where required) | Retention information/period | Action at end of retention period (method of disposal) |
|-------------------------|---|--|---|
| Exam question papers | Question papers for timetabled written exams. | <p>(Reference <u>ICE</u> 31: Question papers must not be released to centre personnel until after the awarding body's published finishing time for the examination or, in the case of a timetable variation, until all candidates within the centre have completed the examination.</p> <p>For CCEA examinations question papers must not be released until 24 hours after the published finishing time for the examination.)</p> <p>(Reference <u>GR</u> 6.13: ...For confidentiality purposes question papers must not be released to centre personnel for use in accordance with the above licence until after the awarding body's published finishing time for the examination or, in the case of a timetable variation, until all candidates within the centre have completed the examination. This does not restrict access to question papers by authorised centre personnel for the purpose of conducting examinations...)</p> | Issued to subject staff |
| Exam room checklists | Checklists confirming exam room conditions and invigilation arrangements for each exam session. | | |
| Exam room incident logs | Logs recording any incidents or irregularities in exam rooms for each exam session. | | |
| Exam stationery | Awarding body exam stationery provided solely for the purpose of external exams. | (Reference <u>ICE</u> 30: ...return unused stationery to the secure storage facility or secure room until needed for a future examination. Surplus stationery must not be used for internal school tests, mock examinations and non-examination assessments... destroy confidentially any out-of-date stationery.) | Confidential destruction |
| Examiner reports | | (Where/if provided) To be immediately provided to head of department as records owner. | |

| Record type | Record(s) description (where required) | Retention information/period | Action at end of retention period (method of disposal) |
|--|--|--|---|
| Finance information | Copy invoices for exams-related fees. | To be returned to Finance department as records owner at the end of the academic year. | |
| Handling secure electronic materials logs | (Where used by the centre) Logs recording the arrangements applied when handling secure electronic materials provided to the centre and accessed by the exams officer (or other authorised member of centre staff) | | |
| Invigilation arrangements | See <i>Exam room checklists</i> | | |
| Invigilator and facilitator training records | | (Reference ICE 12: A record of the content of the training given to invigilators and those facilitating an access arrangement for a candidate under examination conditions must be available for inspection and retained on file until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.) | |
| Moderator reports | | (Where printed from electronic copy) To be immediately provided to head of department as records owner. | |
| Moderation returns logs | Logs recording the return of candidates' work to the centre by the awarding body at the end of the moderation period. | | |
| Overnight supervision information | The JCQ <i>Overnight Supervision</i> form is completed online using CAP. The JCQ | (Reference ICE 8: ...keep all completed forms available for inspection until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later. Forms | |

| Record type | Record(s) description (where required) | Retention information/period | Action at end of retention period (method of disposal) |
|--|---|--|---|
| | Overnight Supervision Declaration form is downloaded from CAP) for signing by the candidate, the supervisor and the head of centre. Any hard copy information relating to overnight supervision arrangements. Reports submitted online via CAP. | may be stored electronically or in hard copy paper format and must not be sent to an awarding body, unless specifically requested...) | |
| Post-results services: confirmation of candidate consent information | Hard copy or email record of required candidate consent. | (Reference PRS 4.2, plus appendix A and B: Consent forms or emails from candidates must be retained by the centre and kept for at least six months following the outcome of the clerical re-check or review of marking or any subsequent appeal. The awarding bodies reserve the right to inspect such documentation.) | |
| Post-results services: requests/outcome information | Any hard copy information relating to a post-results service request (RoRs, appeals, ATS) submitted to an awarding body for a candidate and outcome information from the awarding body. | | |
| Post-results services: tracking logs | Logs tracking to resolution all post-results service requests submitted to awarding bodies. | | |
| Private candidate information | Any hard copy information relating to private candidates' entries. | | |

| Record type | Record(s) description (where required) | Retention information/period | Action at end of retention period (method of disposal) |
|---|---|---|---|
| Proof of postage – candidates' work | Proof of postage of sample of candidates' work submitted to awarding body moderators. (Proof of postage of candidates' scripts to awarding body examiners/markers) | (Reference ICE 29: Centres not involved in the secure despatch of exam scripts service... must obtain proof of postage/despatch for each packet of scripts, which must be retained on the centre's files until the results are published, in case of loss or damage. (Proof of postage will provide evidence that the candidates' scripts have left the centre. This will indicate that the scripts were written at the appointed time and that, should the scripts not be received by the awarding body/examiner, then special consideration may be possible.) ...) | |
| Resolving timetable clashes information | Any hard copy information relating to the resolution of a candidate's clash of timetabled exam papers | | |
| Results information | Broadsheets of public examination results summarising candidate final grades by subject by exam series. | Records for current year plus previous 6 years to be retained as a minimum. | |
| Seating plans | Plans showing the seating arrangements of all candidates for every exam taken. | (Reference ICE 12: ...keep signed records of the seating plan, the invigilation arrangements and the centre's copies of the attendance registers for each examination. The awarding bodies may need to refer to these records. The centre must keep them until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later...) | |
| Second pair of eyes check records/forms | Records of the check that must take place by a second person (additional to the person removing question paper packets from secure storage) immediately before a question paper packet is opened. | (Reference ICE 5,, 18: In order to avoid potential breaches of security, care must be taken to ensure that the correct question paper packets are opened. A member of centre staff, additional to the person removing the question paper packets from secure storage, e.g. an invigilator, must check the day, date, time, subject, unit/component and tier of entry, if appropriate, immediately before a question paper packet is opened. This second pair of eyes check must be recorded.) | |

| 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 application which has been submitted to an awarding body for a candidate and appropriate evidence signed by a senior leader. | (Reference <u>SC 6</u> : All applications must be supported by appropriate evidence signed by a member of the senior leadership team. The centre must retain this evidence until after the publication of results.) | |
| Suspected malpractice reports/outcomes | Any hard copy information relating to a suspected or actual malpractice investigation/report submitted to an awarding body and outcome information from the awarding body. | | |
| Transferred candidate arrangements | Any hard copy information relating to a transferred candidate arrangement. Applications submitted online via CAP. | | |
| Very late arrival reports/outcomes | Any hard copy information relating to a candidate arriving very late to an exam. Reports submitted online via CAP. | | |