

EXAMINATIONS POLICY

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Preface

This examination policy has been produced in order to rationalise the various procedures associated with examinations during the academic year. In particular, the purpose of this policy is to:

- Ensure that the planning and management of all internal and external exams are conducted efficiently and in the best interest of candidates.
- Ensure the operation of an efficient exam system with clear guidelines for all relevant members of staff.

It is the responsibility of everyone involved in the centre's exam processes to read, understand and implement this policy. This exam policy will be reviewed every year by the Senior Leadership Team (SLT) and the Examinations Officer.

This document reflects on instructions for conducting examinations in accordance with the Joint Council for Qualifications (JCQ). The instructions are for use in all AEA, GCE, GCSE, ESL, Foundation and internal/mock examinations.

The instructions are additional to any guidelines or regulations the awarding bodies have issued in their booklets or specifications. Should there be any conflict between guidelines, the JCQ Regulations shall prevail.

All correspondence relating to this policy document should be sent in the first instance, to the Senior Leadership Team and the Examinations Officer.

Exam responsibilities

Head of Centre (Headmaster)

Overall responsibility for the school as an exam centre.

- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:
- General regulations for approved centres (GR)
- Instructions for conducting examinations (ICE)
- Access Arrangements and Reasonable Adjustments (AA)
- Suspected Malpractice in Examinations and Assessments (SMEA)
- Instructions for conducting non-examination assessments (NEA) (and the instructions for conducting controlled assessment and coursework)
- Ensures the centre has appropriate accommodation to support the size of the cohorts being taught.
- Ensures the National Centre Number Register Annual Update (administered on behalf of the JCQ member awarding bodies by OCR) is responded to by the end of October confirming they are both aware of and adhering to the latest version of the JCQ regulations and instructions for conducting examinations and approves the Head of Centre formal declaration.

- Ensures the Examinations Officer (EO) attends appropriate training events offered by awarding bodies, MIS providers and other external providers to enable the exam process to be effectively managed and administered.
- Ensures a named member of staff acts as the Access Arrangements Officer.
- Ensures centre staff are supported and appropriately trained to undertake key tasks within the exams process.
- Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the EO.
- Ensures “that a teacher who teaches the subject being examined, or a senior member of teaching staff who has had overall responsibility for the candidates preparation for the examination, is not an invigilator during the timetabled written examination or on-screen test...” ICE 6.
- Ensures security within the examination process is managed according to JCQ and awarding body regulations, guidance and instructions including:
 - The location of the centre’s secure storage unit is in an area solely assigned to examinations.
 - The relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk that arrangements are in place to check that the correct question paper packets are opened by authorised members of centre staff.
- Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place (that allows the HoC to act immediately in the event of an emergency or staff absence). Please refer to **Appendix 5: Exam Contingency plan**.
- Ensures required internal appeals procedures are in place. Please refer to **Appendix 7: Internal Appeals Procedures**.
- Ensures a disability policy for exams showing the centre’s compliance with relevant legislation is in place. Please refer to **Appendix 3: Disability Policy**.
- Ensures a complaints and appeals procedure covering general complaints regarding the centre’s delivery or administration of a qualification is in place. Please refer to **Appendix 11: Complaints & Appeals procedure**.
- Ensures the centre has a child protection/safeguarding policy in place, including Disclosure and Barring Service (DBS) clearance, which satisfies current legislative requirements. Please refer to Safeguarding and Child Protection Policy.
- Ensures the centre has a data protection policy in place. Please refer to **Appendix 13: GDPR (Exams) policy**.
- Ensures the centre has documented processes in place relating to access arrangements and reasonable adjustments. Please refer to **Appendix 1: Access Arrangements Policy**.
- Ensures staff are only entered for qualifications through the centre as a last resort where entry through another centre is not available.

- Ensures the appropriate steps are taken where a candidate being entered for exams is related to a member of centre staff.
- Ensures members of centre staff do not forward e-mails and letters from awarding body or JCQ personnel without prior consent to third parties or upload such correspondence onto social media sites such as Facebook.
- Ensures members of centre staff do not advise parents/candidates to contact awarding bodies/JCQ directly.

Assistant Head: Academic

- Advises on appeals and reviews of marking.
- Ensures all members of staff and students are aware of exam protocols.

Curriculum Directors

- Oversee and manage all exam entries, mark sheets and adherence to deadlines, as set by the Examinations Officer and Exam Boards.
- Oversee and manage completion of predicted grade forms, coursework mark sheets and declaration/authentication forms.
- Provide guidance and pastoral oversight of candidates, who are unsure about exam entries or amendments to entries.
- Involvement in post-results procedures.

Teaching Staff

- Provide accurate and timely submission of all exam entries through Curriculum Directors.

Examinations Officer

- Manages the administration of all public and internal exams.
- Advises the SLT, CDs, subject teachers and other relevant support staff of annual exam timetables and application procedures as set by the various exam boards.
- Responsible for the administration of all examinations, including liaison with examination boards, ensuring that all entries are placed in accordance with JCQ deadlines and regulations.
- Production and distribution to staff and candidates of an annual calendar/schedule for all exams, in which candidates will be involved.
- To remain on-site at all times, when exams are taking place.
- Regular communication with all staff concerning imminent deadlines and events.
- Ensure that candidates are informed of and understand those aspects of the exam timetable that will affect them.
- Consult with Teaching Staff to ensure that necessary coursework is completed on time and in accordance with JCQ/Foundation guidelines.
- Provides and confirms detailed data on estimated entries.

- Receives, checks and stores securely, all exam papers and completed scripts.
- Administration of Access Arrangements.
- Identification and testing of candidate requirements for access arrangements.
- Organisation of any additional support, to assist candidates achieve their course aims.
- Advises on appeals and re-marks.
- Reports all suspicions or actual incidents of malpractice to the Head Master (Refer to the JCQ document 'Suspected Malpractice in Examinations and Assessments')
- Advises on arrangements for students with special educational needs and disabilities
- Analysis of Exam Results.
- Consult with teaching staff to ensure that necessary coursework, controlled assessments, non-examination assessments and endorsements are completed on time and in accordance with JCQ/UEF guidelines.
- Trains and deploys a team of internal invigilators as required and keeps a record of the training provided to invigilators for the required period.

Invigilators

- Responsible for maintaining the integrity of the exam.
- Distribution of exam papers within the exam hall in accordance with registers and seating plans.
- Completion of exam registers.
- Responsible for recording the details of each exam in the Exam Log Book including full reports on any incidents of malpractice.
- Collection of all exam papers and scripts in the correct order at the end of each exam and their safe return to the Examinations Officer.
- Comply with and uphold the 'Rules and Guidance for Invigilators' as outlined by the Examinations Officer and the 'Instructions for Conducting Examinations' (ICE) Yellow JCQ booklet.

Candidates

- Candidates are responsible to check and confirm exam entries.
- Responsible for checking their own exam timetables through the Student Portal and attending all scheduled exams.
- Candidates must inform the Examinations Officer/ CD if they wish to be withdrawn from a particular exam.
- Understanding coursework regulations and signing a declaration, authenticating coursework as their own.

- Candidates should ensure they arrive on time to the correct exam room.

Qualifications offered

Qualifications currently offered at this centre are decided by the SLT.

The qualifications currently on offer include A Level (GCE), University Foundation (UFP), and ESL qualifications.

The subjects offered for these qualifications in any academic year may be found in the centre's published prospectus for that year. If there are any changes to the specification, from the previous year, the Examinations Officer must be informed by CD, during the first week of the new academic year.

Decisions on whether a candidate should not take an individual subject exam will be taken in consultation with the candidate, parents, CDs and Head Master.

Exam seasons and timetables

Exam Seasons

Internal and mock-exams are scheduled as announced in the Academic Calendar for the school.

External exams are scheduled for May/June. (November for some university entrance exams)

Exam Timetables

Once confirmed, the Examinations Officer will circulate exam timetables for all internal and external exams. Students will be able to view individual timetables via the Student Portal and displayed on school noticeboards.

Entries, late entries, amendments and exam fees

Entries

The Examinations Officer will send a download of class lists to CDs to request entries for each exam subject and units. Candidates are selected for their exam entries by teaching staff through the CDs. The returned list of exam entries must clearly indicate the students to be entered for each exam unit and the cash in codes if the student's units are to be cashed in. The Examinations Officer will not make changes to entries unless instructed to do so in writing by the appropriate person. Candidates and/or parents can request a subject entry, change of level or withdrawal.

Late Entries

Entry deadlines are circulated to Curriculum Directors and Teaching staff via email and school intranet/calendar by the Examinations Officer. Late entries must be authorised by the Assistant Head (Academic) or the Headmaster.

Exam Fees (including late, amendment and withdrawal fees)

Candidates pay for all exam fees.

All late entries or amendment fees are paid by the Department, unless a candidate/parent has requested the change, in which case the candidate will pay.

The disability discrimination act (DDA), special needs and access arrangements

The Disability Discrimination Act 2005 and the Equalities Act 2010, extend the application of the DDA to general qualifications. All exam centre staff must ensure that the access arrangements and special consideration regulations and guidance are consistent with the law.

Special Educational Needs

A candidate's special needs requirements are determined by the Access Arrangements Officer who will inform subject teachers of candidates with special educational needs, who are embarking on a course leading to an exam.

Candidates, who may require access arrangements, are identified during the admissions process. Making special arrangements for candidates to take exams is the responsibility of the Examinations Officer. Submitting completed access arrangement applications to the awarding bodies via the Examinations Officer, is the responsibility of the Access Arrangements Officer. The Access Arrangements Officer is responsible for ensuring that access arrangements are applied for, by the date laid down by the Exam Boards.

Access Arrangements

All students requiring access arrangements must apply through the Access Arrangements Officer, for which they require a UK SPLD qualified assessor to undertake an assessment of needs. The assessment must be valid i.e. within the last two years of their exam year. **JCQ Form 8** must be completed with the UK standard scores from this assessment of needs.

Rooming for access arrangement candidates will be organised by the Examinations Officer. This could include separate rooms in order to accommodate extra time and/or the use of laptops and to avoid interruption and excessive noise during an exam. In these cases, a separate invigilator will be required.

Generally, any student who has resided in the UK for more than two years is not entitled to the use of a bilingual dictionary. Ultimately, there will be exceptions to the rule however these will be in accordance with the current JCQ regulations.

Other arrangements regarding the JCQ General Instructions for Conducting Exam may be provided to a candidate without prior approval.

Estimated grades

Teachers through CDs will submit Estimated Grades, in accordance with dates published by the Exam Boards to the Examinations Officer. These are based off assessment evidence typically in the form of cycle tests assessments and/or mock examinations.

Coursework and internal assessments

Candidates, who have to prepare coursework, will do so by the date stipulated by the JCQ Exam Boards. CDs must ensure that all coursework and relevant paperwork is completed and returned to the Examinations Officer by the required date.

Marks for all internally assessed coursework, are recorded and maintained by both subject teachers and the Curriculum Director. Where needed, this is then forwarded onto the Examinations Officer.

The school, in respect of appeals against Internal Assessments, has a separate policy on this subject, which is outlined below. A student may appeal against an internal assessment for a JCQ examination.

Coursework, controlled assessments and non-exam assessments (NEA), internal assessments & endorsements

Coursework/NEA/Controlled Assessments

Candidates, who have to prepare coursework, will do so by the date stipulated by the JCQ/Awarding Organisation(s).

CDs must ensure that all coursework and relevant paperwork is completed and returned to the Examinations Officer by the required date.

Teaching staff must use the JCQ documents: Instructions for conducting controlled assessments, instructions for conducting coursework and instructions for conducting non-examinations assessments. These are public documents and available from the JCQ website and the Exams Office upon request.

For more information, please refer to **Appendix 2: Controlled Assessment Policy** and **Appendix 8: Non-Examination Assessment Policy**.

Internal Assessments and Endorsements

Marks for all internally assessed coursework, are forwarded to the Examinations Officer by the CDs and will be recorded.

Internally assessed marks will be released to students, before the results are submitted to the Awarding Organisation, in line with guidance set-out in **Appendix 7: Internal Appeals Procedure**.

Examination centre organisation

Examination or other assessment processes are an important part of all courses, in that student success is dependent on them. Therefore, the school must ensure that all such processes are robust and secure.

Safe Custody of Question Papers and Other Examination Materials

Each question paper and examination material delivery must be checked carefully upon receipt and the Exam Board notified immediately, if there are any discrepancies or any other cause for concern such as:

- Discrepancies between the material received and the advice note.
- The material received does not meet the agreed requirements.
- The material has been damaged rendering it unfit for use.
- There is evidence of a breach of security.

Security

Reception staff are responsible for ensuring that the Examinations Officer is notified as soon as a delivery from the Exam Boards arrives and the delivery is recorded in the Exams Delivery Log. The delivery must be held securely in Reception until the Examinations Officer, or another member of Exams Staff can collect it. This must then be signed out and taken to the Examinations Officer for checking.

Examination papers must be locked away, ideally in lockable, fireproof, non-portable strong metal cabinets. Cabinets must be in a secure room with access restricted to key holders. Ideally, the room should be windowless. Where there are windows, arrangements must be made for them to be fitted with an effective security device (e.g. Metal bars). The door to the room should be of solid construction, have secure hinges and be fitted with a security lock. Only the following members of staff are authorised to have access to the Exam Store:

- Examinations Officer
- Headmaster
- Assistant Head (Academic)

No other employee or contractor is permitted in the store without direct supervision.

The Examinations Officer must be informed immediately if the securities of the examination papers or confidential ancillary instructions are put at risk by fire, theft, loss, damage, unauthorised disclosure or any other circumstances.

The packets of examination papers and other examination material must not be opened more than 4 hours before the time appointed for the examination concerned, except where otherwise instructed. Strict precautions must be taken to safeguard examination papers after they have been opened. In particular, they must not be removed from the school and when not in use, must be kept in a secure area.

Examination stationery will be provided by the exam boards. Such material must be stored securely at all times, so that no unauthorised person has access to them.

Timetable Start Times and Variations

All morning and afternoon exams will begin at 9.00am and 1.30pm respectively, apart from CIE, at which students must be under formal supervision at the key time for the relevant administrative zone. For timetable variations, refer to the JCQ ICE booklet for guidance.

If candidates are permitted to take an examination in a different session from other candidates, all copies of the question paper used in the earlier session must be recovered, sealed in an envelope and returned to secure storage.

Use of Calculators

Where the use of electronic calculators is permitted, candidates will be expected to provide their own calculators to examinations.

The school does hold a small number of spare calculators, however the school will not take responsibility in the case of calculator failure or if the back-up supply is depleted.

<p>Calculators must be:</p> <ul style="list-style-type: none"> ○ of a size suitable for use on the desk; ○ either battery or solar powered; ○ free of lids, cases and covers which have printed instructions or formulas. 	<p>Calculators must not:</p> <ul style="list-style-type: none"> • be designed or adapted to offer any of these facilities: - <ul style="list-style-type: none"> ○ language translators; ○ symbolic algebra manipulation; ○ symbolic differentiation or integration; ○ communication with other machines or the internet; • be borrowed from another candidate during an examination for any reason;* • have retrievable information stored in them - this includes: <ul style="list-style-type: none"> ○ databanks; ○ dictionaries; ○ mathematical formulas; ○ text.
<p>The candidate is responsible for the following:</p> <ul style="list-style-type: none"> ○ the calculator's power supply; ○ the calculator's working condition; ○ clearing anything stored in the calculator. 	

- A fault in a calculator will not be considered as justifying the giving of any special consideration.
- Calculator cases, instruction leaflets or formulae printed on the lid of cover of calculators must not be in the possession of candidates during the examination.
- Calculators must not be borrowed from other candidates in the course of an examination for any reason. The invigilator may provide a replacement calculator if available.
- Programmable calculators may be used, but no prepared programmes may be taken into the examination room.

Resources for Examinations

Resources other than calculators may be permitted for some papers, as stipulated in the exam paper notes. These may include dictionaries and editions of set texts. Candidates should be informed in advance that they are responsible for bringing with them any materials stipulated as required for the examination. Possession of unauthorised material in an examination, whether for intended use or not, constitutes an infringement which will be subject to penalty and possible disqualification.

Prohibited electronic communication/storage devices now include wristwatches with a data storage device. Any internet-enabled device is barred from the Exam Room. These must be left in a designated cloakroom, but the school will not accept responsibility for items left and are damaged or lost as a consequence.

Examination Locations

All candidates must sit the examination in the location as detailed on their personal timetable/statement of entry.

The location standards for examinations are as follows:

- The Operations Manager is responsible for ensuring all allocated exams rooms are set up as per the Exams Office in accordance with JCQ regulations.
- Due attention must be paid to such matters as heating, lighting, ventilation and the level of extraneous noise.
- No display material, which might be helpful to candidates, must be visible in the examination.
- Reliable clocks must be visible to each candidate in the examination room.
- A board displaying details must be visible to all candidates showing the centre number, examination paper title and code and the starting and finishing times of each examination.
- The seating arrangements must be such as to allow all candidates to face the same direction and prevent candidates from overlooking, intentionally or otherwise, the work of others. The minimum distance between desks (centre to centre) must be 1.25m.
- Each candidate should have a separate desk or table, of sufficient size to accommodate question papers, maps and answer booklets.
- Candidates will be seated in candidate number order.

The aforementioned standards apply to Access Arrangements candidates who may be located differently.

Invigilation arrangements

The recruitment/ deployment of Invigilators is the responsibility of the Examinations Officer. The necessary Disclosure and Barring Service (DBS) clearance for new external invigilators is the responsibility of the HR Officer. The Examinations Officer is to obtain the necessary paperwork, as directed by the HR Officer. DBS fees will be paid by the school.

The Examinations Officer through the Head of Centre must ensure that invigilation is carried out by suitably qualified and experienced adults. Whilst the Head of Centre has discretion to decide who is suitably qualified and experienced, any relative of a candidate in the examination room is specifically not eligible to serve as an invigilator.

Relevant invigilator training sessions and briefings will be given annually by the Examinations Officer.

The invigilator is the person in the examination room responsible for the conduct of a particular examination session in the presence of the candidates. Invigilators must give their whole attention to the proper conduct of the examination. Invigilators are not to perform any additional task in the examination room, talk to each other except in relation to the examination in progress.

Sufficient invigilators must be appointed to ensure that the examination is conducted in accordance with the following requirements:

- At least one invigilator must be present for every 30 candidates or part thereof.
- Invigilators may be changed, provided that the number present does not fall below the number prescribed.
- When only one invigilator is present, he/she must be able to summon assistance easily, without leaving the examination room and without disturbing the candidates i.e. mobile phone.
- Arrangements must be such that each candidate in the examination room can be observed by an invigilator at all times.
- Invigilators must be familiar with the JCQ Regulations, which govern guidelines for examinations.

If the number of candidates is over 30 in a given location, an experienced invigilator should be assigned the role of Senior Invigilator. Senior Invigilators should:

- Make their presence and identity known to other invigilators upon arrival in the examination location or staff room.
- Be on duty throughout the examination.
- Co-ordinate the start and finish of the examination in accordance with agreed protocols.
- Take responsibility for resolving any problems, which may arise during the examination.

Examination rules cannot be exhaustive and cover every eventuality. If a situation arises, which is not covered by the rules, or if for any reason the rules cannot be wholly applied, invigilators must use their discretion, with guidance from the Examinations Officer if necessary, within the principle that whatever decision is taken, the candidates are not disadvantaged. Any such irregular decisions should be noted.

Invigilators and/or the Examinations Officer must be in the examination location at least 15 minutes before the start of each examination period, to ensure that all requisite administrative functions have been undertaken; for example, that all necessary stationery etc is available and distributed to candidates' desks before candidates are admitted to the examination room.

Invigilators must exercise constant vigilance; they should, from time to time, move about the examination room at random, bearing in mind the importance of causing minimum disturbance to students. They should occasionally inspect matter on candidates' desks.

Invigilators must ensure that all examination scripts and unused books are collected at the end of the examination. Completed scripts must not be left unattended in the examination room after the examination has ended.

Invigilators may neither smoke, nor bring food into the examination room. Water is permissible.

Conduct during examinations

All examinations must be carried out in accordance with JCQ Regulations.

General

Invigilation is an essential task to ensure the proper conduct of examinations. As such:

- Exam papers must not be read by teachers, or removed from the exam room. Exam question papers may be collected from the Examinations Officer by CDs, 24 hours after the exam has taken place, in accordance with JCQ regulations.
- Candidates must observe all instructions given by an invigilator.
- A candidate who wishes to attract the attention of an invigilator shall remain seated and raise a hand.
- At the discretion of the Senior Invigilator through the Examinations Officer, a student who is unable to identify himself/herself as a candidate registered for the unit may be included if they were omitted from entries and a late entry can be made on the day of the exam and their name and candidate number added to the exam register.
- Any candidate alleged to have committed an offence under these regulations, could be subject to disciplinary/administrative procedures.

Identification of Candidates

The invigilators must be satisfied as to the identity of every candidate attending each examination session.

Students should bring their school ID badge with them to the exam or their identity should be verified by a member of staff, or using the photo on Shackleton. Please refer to: **Appendix 12: Procedure to verify the identity of all candidates** for further guidance.

Entering and Leaving Examination Rooms

Invigilators must ensure that the following rules are adhered to:

- Candidates may be admitted to the examination room not more than 15 minutes before the start of the examination, except in approved cases where extra time has been allowed for a candidate.
- No candidate may enter the examination room later than 1 hour after the start of the examination or after 30 minutes for an exam which has a duration of less than 1 hour.
- As a guide, no candidate may enter the examination room 30 mins after the start of the examination and not at all if another student has left the room. Whether we allow students to enter the room up to an hour after the exam has started (JCQ regulations) is entirely at the discretion of the school, and there would have to be exceptional circumstances to allow a student into an examination this late. The Examinations Officer must be informed immediately by the Invigilators. A very late entry form will be completed and sent to the Awarding Organisation. Whether the very late candidate is disqualified from the examination is decided by the Awarding Body.

- Candidates are expected to stay in the exam room until the full duration of the examination has passed. Candidates, who leave the examination room without the permission of an invigilator, will be deemed to have withdrawn from the examination and will not be permitted to re-enter the examination room. Students wishing to use the bathroom or who feel unwell must raise their hand to get the attention of an invigilator.
- All answer books (used and unused), are to be collected from candidates before they are permitted to leave the examination room.

Exam Stationery and Materials

The invigilator must take all reasonable steps to ensure that:

- All work, including rough work, is done in the answer books provided. Additional sheets of paper, such as graph paper and drawings, must be clearly marked with the candidates' details and fixed to the relevant answer book.
- Pages may not be removed from an answer book, nor may an answer book be removed from the examination room.
- Mathematical tables, charts and other relevant texts, which may be provided for candidates' use, are the property of the school and may not be removed from the examination room.
- Candidates will be instructed by an invigilator or by examination paper instructions and rubrics, what aids such as calculators are permissible. A candidate, who brings into the examination a calculator other than a type specified in the examination notes, commits an offence under the JCQ Regulations.

Unauthorised materials

- Unauthorised materials and mobile phones, in particular, whether or not switched on or within reach constitute an infringement of the regulations.
- Invigilators may inspect any materials or items in the examination room, or in any candidates' possession, at any time during the examination.
- If unauthorised items are taken into the examination room, such items should be placed out of reach of the candidates before the examination commences.

Starting the Examination

An examination is deemed to be in progress from the time the candidates enter the room until all scripts have been collected. However, before candidates are permitted to start work, the invigilator must ensure that candidates are seated in accordance with the prescribed seating plan.

In addition, the Invigilator must read to candidates, regulations relating to the behaviour/conduct during the examination.

Attendance Register

The Invigilator/ Examinations Officer must complete the Attendance Register during the examination, in accordance with JCQ Regulations. If a candidate is not shown on the Attendance Register, he/she may be permitted to sit the examination and their name added to the register.

If a candidate has been entered but is not present for the examination, he/she must be marked as absent on the Attendance Register.

The attendance register for each paper is only completed once all of the sessions in which the paper has been planned have been completed, including those sessions in which students with clashes sit the paper.

Behaviour during Examinations

The following rules must be strictly enforced, to ensure that candidates are not unduly disturbed during an examination:

- Throughout the whole of the examination, silence must be maintained, except when requests for additional answer books etc are made. A candidate whose behaviour persistently disturbs other candidates may be excluded from the examination.
- Candidates may not bring food into the examination room except under approved medical conditions. Water is permitted, but all labels must be removed and the liquid inside must be clear.
- A candidate may not communicate in any way with any person other than an invigilator during the examination.
- No candidate may retain during the examination, any article such as a school bag etc, which is not required for the purpose of the examination. Such articles should not be taken into the examination room. If they are, they must be left somewhere not easily accessible to the candidates, as directed by the invigilator, but remain the responsibility of the candidate.
- Except in specified cases, candidates are not permitted to bring into the examination room any written notes or other materials, which would be of value in answering examination questions.
- Any form of cheating in examinations is malpractice and will be treated as a serious offence by the school and reported to the relevant Exam Board as malpractice.

Malpractice

Wherever possible, the invigilator should remove and keep any unauthorised material that a candidate may have in the examination room.

The Examinations Officer, through the Head Master, must report all cases of suspected or actual malpractice. The Head Master has the authority to expel a candidate from the examination room, if malpractice may have been committed and in other circumstances if regarded as essential by the Head Master. This should only be done in exceptional circumstances or, if a candidate would disrupt other candidates by continuing to be in the examination room.

If candidates have committed malpractice, the awarding body may disqualify them or make them subject to other sanctions and penalties.

Emergencies

For guidance on dealing with emergencies in the exam room, please refer to **Appendix 4: Emergency Evacuation Policy**.

Finishing Examinations

Candidates will be notified in a timely fashion as the examination draws to a close. Students must take responsibility for managing their own time during the exam. At the end of the examination, candidates should be told:

- To stop writing. Allow any candidates who arrived late and have been permitted the full working time to do their examination, to continue after the normal finishing time and inform them to stop writing after the extra time allowed has passed.
- To make sure they have included necessary information on their scripts, including any extra answer booklets that may have been used.
- Make sure their answers are correctly numbered.
- When all scripts have been collected, the Invigilator should instruct the candidates to leave the room collecting their belongings on the way out.
- Once collected, scripts should be placed in the order shown on the Attendance Register and checked to ensure that all scripts are present and that candidates have used their correct candidate numbers.
- After collation, the scripts should be handed to the Examinations Officer for despatch to the Awarding Body.

Administration and Packing and Sending of Scripts

The Examinations Officer is to ensure that:

- The correct envelopes provided by the appropriate awarding body are used.
- The relevant attendance registers are sent with the scripts.
- Envelopes are fastened securely.

- Scripts are sent to the appropriate examiner without delay within one working day from the end of the examination.
- Scripts are kept securely if kept overnight.
- Packages are sent by parcel post, logging all parcels on the Exam Despatch Log obtaining a certificate of posting for each package. This certificate should be kept until results are published.
- All relevant seating plans, registers, exam details and any relevant notes are filed accordingly and retained until results have been received.

Results, certificates, review of results (RoRs) and access to scripts (ATS)

Results

- Individual student results will be promulgated on Shackleton.
- All individual candidate statement of results (electronic copy) received for the summer exams, will be sent by email to students only, unless the Examinations Officer is requested to do otherwise. A parent, or agent, if authorised by the student, can receive the statement of results on behalf of the student. The school will not forward results to any other party.

Certificates

- Certificates may be posted to students, upon request to the Examinations Officer. For addresses within the UK these will be despatched by recorded delivery. For addresses outside the UK will be made via courier. All fee's will need to be paid before despatch.
- Certificates may not be collected on behalf of a candidate by a third party unless written permission is received by email from the personal address associated with the student's account. And that named person must provide photographic ID.
- Certificates may be withheld from students who owe fees.

Review of Results (RoRs)

- RoRs for general qualifications may be requested by the school or candidate, if reasonable grounds exist for such a request, these must be approved by the subject CD.
- If the school requests a RoR, they must obtain the candidate's permission and advise the candidate that the reviewed marks are final and increase or decrease.
- When the school does not uphold a RoR, a candidate may apply to have the enquiry.
- The candidate will be liable for all fees from the Awarding Body.

Access To Scripts (ATS)

- After the release of results, candidates may ask CDs to request the return of papers within 3 days.
- If a result is queried, the Examinations Officer in conjunction with the CDs will investigate the feasibility of asking for a re-mark at the candidate's expense.
- Centre staff may Access Arrangements Officer or request scripts for investigation or, for teaching purposes. For the latter, consent from the candidate must be obtained and the fee charged to the relevant department.

Appeals procedure

Awarding bodies accept appeals in relation to three areas of their work. These are:

- Appeals against results – when a centre is still dissatisfied with an examination result or results following the enquiries about results process.
- Appeals against malpractice decisions – following a decision to apply a penalty because of malpractice in an examination/assessment.
- Appeals against decisions made in respect of access arrangements and special consideration.

In addition, some administrative decisions, such as in cases of missing scripts, may be subject to review by awarding body officers. If there is any aspect of an awarding body's interpretation or application of the procedures described in this document that a centre would wish to query or discuss, centres should not hesitate to contact the relevant awarding body appeals procedure.

Fees

Awarding bodies may charge a fee for each stage of an appeal against the outcome of an enquiry about results. Details of these fees can be obtained from the awarding body concerned. The fee will be refunded if the appeal is successful.

Appeals against the outcomes of enquiries about results

If the head of centre or private candidate is dissatisfied with examination results and has reasons to suspect they may not be accurate, the first step to take is to make an enquiry about results. Full details of enquiries about results services are given in the JCQ publication Post-Results Services – Information and guidance to centres - http://www.jcq.org.uk/exams_office/postresult_services

If doubts about the accuracy of the results still persist, following the enquiry about results process, the head of centre or private candidate should refer initially to the regulator's Code of Practice and the JCQ publication Post Results Services – Information and guidance to centres. If, after consulting these documents, the centre or private candidate is convinced that the awarding body has not followed due procedures, it is possible to submit an appeal in line with the procedures set out here.

If an appeal is accepted, an investigation into the candidates' or centre's results, and the awarding body's procedures will follow. An appeal investigation does not generally involve a further review of candidates' work.

If an original script has been returned to the centre under the Access to Scripts arrangements, it cannot subsequently form part of an enquiry about results or an appeal.

Who Can Appeal

Appeals are accepted from:

- Heads of centres on behalf of single candidates or groups of candidates
- Private candidates (that is, a candidate who pursues a course of study independently, but makes an entry and takes an examination at an approved examining centre)

Please note that appeals are not accepted from internal candidates and/or their parents or carers.

Appeals made against malpractice decisions

Malpractice is a term used to describe all forms of irregularity or breaches of the regulations in examinations and assessments, e.g. plagiarism in coursework, the introduction of unauthorised material into the examination room or maladministration.

Awarding bodies' decisions on malpractice cases are based on an inter-board agreement which is reflected in the Joint Council for Qualifications (JCQ) publication Suspected Malpractice in Examinations and Assessment: Policies and Procedures. This booklet can be obtained from the JCQ website -

<http://www.jcq.org.uk/exams-office/malpractice/>

Decisions in cases of suspected malpractice are usually made by a dedicated and trained team of officers at the relevant awarding body. In cases of serious malpractice the decision may be made by a committee of senior officers or an external committee.

Appeals may be initiated against a sanction imposed by the awarding body in cases of malpractice. It is not possible to appeal against a decision to take no further action.

Who can appeal?

Heads of Centres may appeal against sanctions affecting the centre or members of its staff (including contracted workers), and on behalf of candidates entered or registered through the centre.

Members of the centre's staff or personnel contracted to a centre (e.g. external invigilators) may appeal against sanctions imposed on them.

Private candidates (that is, a candidate who pursues a course of study independently but makes an entry and takes an examination at an approved examining centre) may appeal against sanctions imposed on them.

Third parties who have been barred from taking examinations or assessments with an awarding body may appeal against that decision.

Please note that internal candidates and/or their parents/carers are not entitled to appeal directly to the awarding body. Representations must be made to the head of centre where the candidate was registered. The Head of Centre's decision as to whether to proceed with an appeal is final.

How to appeal

The head of centre, member of staff or private candidate should submit a written request for an appeal to the relevant awarding body. There is a form (**JCQ/App1**) that may be used.

Appeals must be made within two calendar weeks of receiving the malpractice decision. Awarding bodies will reject appeals made outside of this timescale.

The head of centre, member of staff or private candidate submitting the appeal must set out as clearly as possible the grounds for the appeal and must submit any further evidence relevant to supporting the appeal.

Appeals must be based on reasonable grounds which relate to the incident in question. The following are accepted as reasonable grounds:

- The incident was not dealt with in accordance with the published procedures in the JCQ Publication Suspected Malpractice in Examinations and Assessment;
- Further evidence (including medical evidence) has come to light which changes the basis of the decision.

The following do not, by themselves, constitute grounds for an appeal:

- The individual did not intend to cheat.
- The individual has an unblemished academic record.
- The individual could lose a university place.
- The individual regrets his/her actions.

Awarding bodies reserve the right to refuse to accept an appeal application at this point if there is no further evidence to consider and if the grounds for the appeal are weak or unjustified.

Appeals relating to access arrangements and special consideration

The awarding bodies recognise that there are some candidates who are prevented from demonstrating their achievement because of:

- A permanent or long-term disability, learning difficulty or medical condition;
- A temporary disability, illness or indisposition immediate to or at the time of the examination;
- English being a second or additional language;
- the immediate circumstances of the assessment.

Access arrangements are approved before an examination or assessment and are intended to allow attainment to be demonstrated.

Special consideration is given following an examination or assessment to ensure that a candidate who has a temporary illness, injury or indisposition or who is otherwise disadvantaged by the immediate circumstances of the examination is given some compensation.

Access arrangements and special consideration decisions are based on an inter-awarding body agreement. The principles and regulations governing access arrangements and special consideration decisions are set out in the JCQ publication Access Arrangements, Reasonable Adjustments and Special Consideration. Copies

of this publication are distributed to centres each year by the JCQ and a copy can be found on the JCQ website:

<http://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration>

If the head of centre/private candidate disagrees with the decision made, a written request setting out the grounds for a Stage 1 Appeal should be forwarded to the relevant awarding body. There is a appeals form (JCQ/App1) that may be used.

Who can appeal?

Appeals are accepted from:

- Heads of Centres on behalf of a candidate or groups of candidates
- Private candidates (that is, a candidate who pursues a course of study independently but makes an entry and takes an examination at an approved examining centre)

Please note that internal candidates and/or their parents/carers are not entitled to appeal directly to the awarding body. Representations must be made to the head of centre where the candidate was registered. The head of centre's decision as to whether to proceed with an appeal is final.

How to appeal

Before undertaking an appeal, it may help if the head of centre discusses the situation with the awarding body officers responsible for appeals. Such discussions will sometimes resolve the matter without recourse to appeal.

The appeal request must be made within 2 calendar weeks of receiving the original decision letter, and should set out the grounds for the appeal. This time scale is determined by the regulators and does not make allowance for the time the centre may be closed for holidays.

Review of administrative decisions

During the processing of any examination series, circumstances arise that cause awarding bodies to make decisions that may affect a candidate's results. Where these decisions involve an element of judgement, they may be subject to a review by awarding body officers. Heads of centres who are concerned by any such administrative decisions should contact the relevant members of staff to discuss their concerns.

The more common types of administrative decisions which may be subject to review are listed below. Please note that this list is not exhaustive and other types of administrative decisions may be subject to review:

- Decisions taken in cases of very late arrival
- Decisions taken in cases of missing scripts
- Decisions involving the use of estimated marks
- Decisions taken in relation to extensions to result enquiries

Related Policies

School Behaviour Policy.

Appendices

Appendix 1: Access Arrangements

What are Access Arrangements and Reasonable Adjustments

Access arrangements

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

[AA Definitions]

Reasonable adjustments

“The Equality Act 2010 requires an Awarding Body to make reasonable adjustments where a disabled person would be at a substantial disadvantage in undertaking an assessment.

A reasonable adjustment for a particular person may be unique to that individual and may not be included in the list of available Access Arrangements.

How reasonable the adjustment is will depend on a number of factors including the needs of the disabled candidate/learner. An adjustment may not be considered reasonable if it involves unreasonable costs, timeframes or affects the security or integrity of the assessment.

There is no duty on the Awarding Bodies to make any adjustment to the assessment objectives being tested in an assessment.”

[AA Definitions]

Purpose of the Policy

The purpose of this policy is to confirm that Guildhouse fulfils “its obligations in respect of identifying the need for, requesting and implementing access arrangements.”

[JCQ ‘General regulations for approved centres’ Chapter5.5]

This document is further referred to in this policy as “GR”.

The policy is annually reviewed to ensure that arrangements are carried out in accordance with the current edition of the JCQ publication.

“Adjustments for candidates with disabilities and learning difficulties Access Arrangements and Reasonable Adjustments”

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

Disability Policy (Exams)

A large part of the access arrangements policy is covered in the Disability Policy (Exams) which covers staff roles and responsibilities in identifying the need for, requesting and implementing access arrangements and the conduct of exams. See Disability Policy (Exams), **Appendix 3** of the Examinations Policy.

The access arrangements policy further covers the assessment process and related issues in more detail.

The Assessment Process

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

- An access arrangements assessor who has successfully completed a post-graduate course at or equivalent to Level 7, including at least 100 hours relating to individual specialist assessment. An access arrangements assessor may conduct assessments to be recorded within Section C of Form 8; and/or
- An appropriately qualified psychologist registered with the Health & Care Professions Council who may conduct assessments to be recorded within Section C of Form 8 and where necessary undertake full diagnostic assessments; and/or
- A specialist assessor with a current SpLD Assessment Practising Certificate, as awarded by Patoss, Dyslexia Action or BDA and listed on the SASC website, who may conduct assessments to be recorded within Section C of Form 8 and where necessary undertake full diagnostic assessments.

And;

An access arrangements assessor must have successfully completed a post-graduate course at or equivalent to Level 7, including at least 100 hours relating to individual specialist assessment, which must include training in all of the following:

- The theoretical basis underlying psychometric tests, such as the concepts of validity and reliability; standard deviations and the normal curve; raw scores, standard scores, quotients, percentiles and age equivalent scores; the concept of statistically significant discrepancies between scores; standard error of measurement and confidence intervals.
- The appropriate use of nationally standardised tests for the age group being tested;
- The objective administration of attainment tests which can be administered individually. This must include tests of reading accuracy, reading speed, reading comprehension and spelling. Appropriate method of assessing writing skills, including speed, must be covered;
- The appropriate selection and objective use of tests of cognitive skills;
- The ethical administration of testing including the ability to understand the limitation of their own skills and experience, and to define when it is necessary to refer the candidate to an alternative professional.

[AA]

The Qualifications of the Current Assessor

- Diploma for Teachers of Pupils with Specific Learning Difficulties (Dip RSA)
- Postgraduate Diploma in Women's Studies
- Certificate in Education

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

- Qualifications are checked at initial interview
- They are photocopied at the time of employment and kept on the school system, can be accessed by emailing the school administrator
- The qualifications recognised qualification that are awarded by the BDA.

How the Assessment Process is Administered

Students are referred in 3 ways:

- Teacher referral
- Self (student) referral
- Admission: Documents received from home country on admission

Referred students are assessed by an appropriately qualified specialist teacher organised by the Access Arrangements Officer .

Tests include those approved to assess Ability, Attainment and Diagnosis.

A detailed report is produced showing quantitative and qualitative information plus recommendations for support.

Some referred students are assessed by an outside agency depending on the nature of the assessment needed. Subsequent assessment reports are stored and the report information is disseminated to required teaching staff including recommendations to support learning.

Assessment result scores are available on the Access Arrangements Officer's log.

Interventions are put in place where needed and students needing extra learning support are timetabled according to need

Access Arrangements are put in place for all appropriate students.

Recording Evidence of Need

Evidence for A Level and UFP is collected in the following ways:

- On the JCQ Form 8
- On a Test Results form (displays standard scores achieved in assessment tests)
- In individual written reports
- Work samples from teaching staff
- On an Access Arrangements Officer's register (additional learning support)
- The data is gathered by the Access Arrangements Officer
- Hard and soft copies are available

Note:

"Completing Form 8 – JCQ/AA/LD, Profile of Learning Difficulties...

Only Form 8 is acceptable. Spreadsheets, e-mail messages, centre devised equivalents of Form 8, educational psychologists' reports and other reports are not acceptable for inspection purposes..." [AA]

"A privately commissioned assessment carried out without prior consultation with the centre cannot be used to award access arrangements and cannot be used to process an application using Access arrangements online.

The Access Arrangements Officer must complete at least a 'skeleton' Section A of Form 8 prior to the candidate being assessed (Section C of Form 8)... Where a privately commissioned report, or a report from an external professional, is rejected by a centre, the head of centre or a member of the senior leadership team should provide a written rationale supporting their decision to the parent/carer.

[AA]

Gathering Evidence of Normal Way of Working

Students undergo an assessment:

The evidence is gathered by the Access Arrangements Officer

Up to date standardised tests recommended by PATOSS/Dyslexia Action are used to produce attainment scores.

Data gathered is displayed on a Test Results Form

Individual reports are written describing the findings

Individual lessons are provided where necessary

Work samples are gathered

The evidence is stored in both hard and soft copies

Processing Applications for Access Arrangements

Access arrangements online (AAO)

Applications are submitted once the evidence is gathered.

The Access Arrangements Officer with the Examinations Officer is responsible for making the applications

The necessary information is gathered prior to application

Application approved are printed off and placed in the student files in hard and soft copy

Files are located on the school computer system and exams office.

Applications requested have, so far, been granted.

Centre-delegated Access Arrangements

Information and evidence to support centre delegated arrangements is gathered, recorded and stored in individual student files in the exams office.

Word Processor Policy (Exams)

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

The school has its own form on which the policy is explained and the conditions under which the use of a laptop is approved according to JCQ regulations. See **Appendix 10: Word processor policy (exams)**

The school records the rules stipulated by the JCQ on a headed school form.

- A form is completed for those students who are approved to use a laptop according to JCQ regulations.
- The form is stored in the students' folders.

Separate Invigilation within the Centre

A decision where an exam candidate may be approved separate invigilation within the centre will be based on whether the candidate

“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]

The school would make this decision based on:

- The needs/difficulty/impairment of the individual student
- The evidence gathered to describe the need
- The advice and examples described in the JCQ regulations

Appendix 2: POLICY FOR THE MANAGEMENT OF CONTROLLED ASSESSMENTS

Purpose of the Policy

The purpose of this policy is to:

- Identify staff responsibilities in planning and managing controlled assessments;

Examine potential risks and issues relating to the implementation of controlled assessment and how these might be managed and mitigated through forward planning and remedial actions.

This policy complies with JCQ's 2020/21 General Regulations in that the centre is required to "have in place, and be available for inspection purposes, a written policy with regard to the management of controlled assessments".

This policy does not cover specific instructions for conducting controlled assessments which are provided by JCQ and awarding bodies.

Staff Responsibilities in Planning and Managing Controlled Assessment

Senior Leadership Team – Assistant Head (Academic)

- Accountable for the safe and secure conduct of controlled assessments. Ensure assessments comply with JCQ guidelines and awarding bodies' subject-specific instructions.
- At the start of the academic year, begin coordinating with Curriculum Directors/subject to schedule controlled assessments.
- Map overall resource management requirements for the year. As part of this resolve:
- Clashes/ problems over the timing or operation of controlled assessments.
- Issues arising from the need for particular facilities (rooms, IT networks, time out of school etc.)
- Ensure that all staff involved have a calendar of events
- Publish and update the internal appeals policy, which covers controlled assessments, see Appendix 7: Internal appeals procedures

Curriculum Directors

- Decide on the awarding body and specification for the subject.
- Ensure that at least 40% of overall assessment (controlled and/or external assessment) is taken in the exam series in which the qualification is certificated, to satisfy the terminal assessment requirement in accordance with the awarding body specification.
- Standardise internally the marking of all teachers involved in assessing an internally assessed component.
- Ensure that individual teachers understand their responsibilities with regard to controlled assessment.

- Ensure that individual teachers understand the requirements of the awarding body's specification and are familiar with the relevant teachers' notes, and any other subject specific instructions.
- Where appropriate, develop new assessment tasks or contextualize sample awarding body assessment tasks to meet local circumstances, in line with awarding body specifications and control requirements.

Teaching Staff

- Understand and comply with the general guidelines contained in the JCQ publication Instructions for conducting controlled assessments.
- Understand and comply with the awarding body specification for conducting controlled assessments, including any subject-specific instructions, teachers' notes or additional information on the awarding body's website.
- Supply to the exams office details of all unit codes for controlled assessments.
- Obtain confidential materials /tasks set by awarding bodies in sufficient time to prepare for the assessment(s) and ensure that such materials are stored securely at all times.
- Supervise assessments (at the specified level of control). Undertake the tasks required under the regulations, only permitting assistance to students as the specification allows.
- Ensure that students and supervising teachers sign authentication forms on completion of an assessment.
- Mark internally assessed components using the mark schemes provided by the awarding body. Submit marks through the exams office to the awarding body when required, keeping a record of the marks awarded.
- Retain candidates' work securely between assessment sessions (if more than one).
- Supply the exams office with all relevant, completed paperwork by the internal deadline.
- Post-completion, retain candidates' work securely until the closing date for enquiries about results. In the event that an enquiry is submitted, retain candidates work securely until the outcome of the enquiry and any subsequent appeal has been conveyed to the centre.
- Ask the appropriate Access Arrangements Officer for any assistance required for the administration and management of access arrangements.

Examinations Officer

- Enter students for individual units, whether assessed by controlled assessment, external exam or on-screen test, before the deadline for final entries.
- Enter students' 'cash-in' codes for the terminal exam series.
- Where confidential materials are directly received by the exams office, to be responsible for receipt, safe storage and safe transmission, whether in CD or hard copy format.
- Download and distribute mark sheets for teaching staff to use, and collect and send mark sheets to awarding bodies before deadlines.

- On the few occasions where controlled assessment cannot be conducted in the classroom arrange suitable accommodation where controlled assessment can be carried out, at the direction of the senior leadership team.

ACCESS ARRANGEMENTS OFFICIER

- Ensure access arrangements have been applied for
- Work with teaching staff and exams office to ensure requirements for support staff are met by sending a list of students who require access arrangements to Curriculum Directors and the Examinations Officer.

Risk Assessment for examination procedure – Possible risks to include

Risk	Early warning	Control to prevent	Control to resolve
Invigilator does not turn up	Phone Call or scripts not collected	Invigilator timetables – sign tear off slip to confirm dates	On busy days employ emergency invigilator or EO to cover
Fire alarm goes off			Ensure invigilators are aware of policy. SLT to assist in maintaining security of exam. Allocate specific area for exams.
Student taken ill during exam			Invigilator aware of policy, first aider on call. Special Consideration for all students.
Bad weather or transport problems	Weather report	Possible delay to start of exam	Delay start, contact Exam board, isolation of candidates if late and hold staggered sessions if necessary. Special Consideration
Students do not turn up for exam		Student timetables and information from subject teachers	Reception rings students. If more than one student very late, put in separate room, contact CM for emergency invigilation
Students turn up who are not entered		Subject teachers/CDs ensure entry checklists are correct	Find a paper, seat them, amend attendance list and make entry. Charge late fee to department. If recurring problem see SLT.
Cheating in the room	Invigilator reports problem	Warning to candidate and information from invigilator	Invigilator aware of policy, SLT on-call to deal with malpractice issue

Disruption in the room	Invigilator reports problem	Warning to candidate and information from invigilators. Information from invigilators to EO re problem students in order to isolate.	Invigilator aware of policy, SLT on-call to deal with malpractice issues
Late arrivals	Phone call or just turn up late	Candidate timetable and information from tutors	Invigilator aware of policy. Complete Late arrivals form
EO does not turn up	Phone call	Regular meetings with line manager	Line Manager to take over
Exam room flooded	Check room, or invigilator reports problem	Regular premises checks	Find alternative accommodation. Special Consideration
Wrong entry made – incorrect paper		Subject teachers/CD's ensure entry checklists are correct	Contact Exam board for copy of paper if necessary. Provide exam paper, seat and amend entry.
EO leaves/long term sick	Notification from EO	Regular meeting with line manager	Line Manager to assume role and recruitment.
Curriculum model changes	Government white paper. Information from NAA and QCA, and Exam Board's		Planning and Action Plan to implement changes. Review of job description on yearly basis.
Damage to office		Regular premises checks	Need Exam Boards' handbooks, new equipment, phone line and office space. Copies of relevant information from CD's. Contact NAA field support for assistance.
System failure or power cut			Contact IT support or electrician and if necessary NAA field support officer for assistance. Contact Exam Board to inform entries will be late.
Receiving inaccurate or late entry information		Subject teachers/CD's ensure entry checklists are correct and on time.	Charge late fee to department. If recurring problem see SLT.
Change of syllabus and no notification	Pre-release material does not arrive. Materials	Subject teachers/CD's ensure entry checklists are correct.	Contact Exam Board.

	arrive that are not expected.		
CD long term sick or leaves	Resignation or sick note.		Replacement to be nominated and EO to have input in training.
Exam Board communications systems fail	Papers do not arrive, on-line systems incorrect, difficult to contact by telephone.		Contact NAA to report problem. Give extra time for checking.

Risk Assessment Form (for examination procedures)

Department		Person completing Assessment	
Activities/Systems being assessed		Signature/Date	

	Activity	Adverse occurrence /dependency	Adverse outcome	Likelihood 1 - 3	Severity 1 - 3	Level of risk (LxS)	Control measures	Person responsible	Results
1	Absence of Examinations Officer due to illness on exams day	EO has keys to exam store, is aware of seating plans, clashes, any special requirements	Exam papers unavailable, delayed start	3	3	9	Duplicate set of keys held by Line Manager + 1 other; adequate instructions available	EO Line Manager Head of centre	
2	Computer malfunction	Exam entries, amendments cannot be made by EDI	Exam Board deadlines cannot be made	2	3	6	Notify IT Manager; ensure adequate supplies of paper entry sheets	EO Head of centre	
3	Fire during examination	Evacuation of room	Lives endangered,	2	3	6	Invigilators are aware of fire procedure;	EO Head of centre	

			exam scripts spoiled				Adequate fire alarms	Site mgr	
4	Unavailability of the London Welsh Centre, cannot use for exam	Some main exams held in here	Insufficient exam rooms may violate JCQ rules	2	3	6	Adequate fire alarms Contingency plans for spare rooms	Site mgr EO Head of centre	
5	Non-receipt of exam papers	Unable to hold exam - delayed start	Delays and upset to students	1	3	3	Check paper receipt well in advance – contact exam boards in good time	EO	
6	Human error	Candidates entered for incorrect tier	Affects student grade	3	2	6	Check of procedures by student (statement of entry) and staff (exam candidate lists) should avoid this	EO CD Student	

Risk Management for Coursework tasks

Example risks and issues	Possible remedial action		Staff (use 'RACI' to determine who should be listed)
	<u>Forward planning</u>	Action	
Timetabling			
Assessment schedule clashes with other activities	Plan/establish priorities well ahead (e.g. start of academic year) for all subjects or lines of learning	Plan dates in consultation with school calendar – negotiate with other parties	SLT, EO
Too many assessments close together across subjects or lines of learning	Plan assessments so they are spaced over the duration of the course	Space assessments to at least allow candidates some time between assessments	APA, CDs
Accommodation			

Insufficient space in classrooms for candidates	Once group sizes are known at the start of the year, flag instances where regular classroom space may not be suitable to conduct controlled assessment	Use more than one classroom or multiple sittings where necessary	EO, CM, SLT
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / centre facilities		EO, CM, SLT
Downloading awarding body set tasks			
IT system unavailable on day of assessment	Download tasks well ahead of scheduled assessment date in all cases	Book IT equipment well ahead and download tasks before scheduled date of assessment	EO, IT technicians
Teaching staff/assessors unable to access task details	Test secure access rights ahead of schedule every year and every session	Ensure teaching staff/assessors have access rights for correct area of awarding body secure extranet sites ahead of time	CDs, SLT
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Report loss to awarding body for replacement; download again	EO, SLT
Absent candidates			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates		EO, PDs
Candidates have a scheduling clash for exams or assessment (possibly offsite on consortium teaching)	Always consider candidate timetables well ahead and decide on priorities in advance to scheduling clashes	Check before booking the date; provide an alternative date, where necessary and consult awarding body procedures for dealing with timetabling clashes N.B. retakes of controlled assessment are limited	EO, SLT
Control levels for task taking			
Assessment is undertaken under incorrect level of control (time, resources, supervision and collaboration)	Ensure teaching staff/assessors know what level is applicable and understand what is	Seek guidance from the awarding body	EO, SLT

	involved. Provide training if required		
Supervision			
Student study diary/plan not provided or completed*	Ensure teaching staff/assessors are aware of the need for study diary/plans to be completed early in course	Ensure candidates start, continue and complete study diary/plans that are signed after every session	EO, CDS
Teaching staff/assessors do not understand supervision of controlled assessment is their responsibility	Ensure teaching staff/assessors understand nature of controlled assessments and their role in supervision		EO
Suitable supervisor has not been arranged for an assessment where teaching staff/assessors are not supervising	A suitable supervisor must be arranged for any controlled assessment where a teacher/assessor is not supervising, in line with the awarding body specification.		EO, SLT

* Not all controlled assessment whether for the Diploma or GCSEs will require the completion of a study diary or study plans

Example risks and issues	Possible remedial action		Staff (use 'RACI' to determine who should be listed)
	<u>Forward planning</u>	Action	
Task setting			
Teaching staff/assessors fail to correctly set tasks	Ensure teaching staff/assessors understand the task setting arrangements as defined in the awarding body specification**	Seek guidance from the awarding body	SLT
Assessments have not been moderated as required in the awarding body specification	Check specification and plan required moderation appropriately	Seek guidance from the awarding body	CDs, SLT
Security of materials			

Assessment tasks not kept secure before assessment	Ensure teaching staff understand importance of task security	Request/obtain different assessment tasks	EO
Candidates' work not kept secure during or after assessment	Define appropriate level of security, in line with awarding body requirements, for each department as necessary	Take materials to secure storage	EO, CDs
Insufficient or insecure storage space	Look at provision for suitable storage early in the course	Find alternative spaces	EO, SLT

**** All tasks whether set by the awarding body or the centre/consortium must be developed in line with the requirements of the specification.**

Example risks and issues	Possible remedial action		Staff (<i>use 'RACI' to determine who should be listed</i>)
	<u>Forward planning</u>	Action	
Deadlines			
Deadlines not met by candidates	Ensure all candidates are briefed on deadlines/penalties for not meeting them	Mark what candidates have produced by deadline and seek guidance from awarding body on further action.	CDs
Deadlines for marking and/or paperwork not met by teaching staff/assessors	Ensure teaching staff/assessors are given clear deadlines (prior to awarding body ones) to complete marking/paperwork so the exams office can process and send off marks ahead of Exam Board deadlines	Seek guidance from awarding body	CDs, SLT
Authentication			
Candidate fails to sign authentication form	Ensure all candidates have authentication forms to sign and attach to work when it is completed before handing in	Find candidate and ensure form is signed	CDs
Teaching staff/assessors fail to complete authentication forms or leave before completing authentication	Ensure teaching staff/assessors understand importance of authentication forms and the requirement of a signature	Return form to staff for signature. Ensure forms are signed as work is	CDs

		marked, not at end of season	
Marking			
Teaching staff/assessors interpret marking descriptions incorrectly	Ensure appropriate training and practicing of marking. Plan for sampling of marking during the practice phase.	Arrange for remarking. Consult awarding body specification for appropriate procedure	CDs
Centre does not run standardisation activity as required by the awarding body	Plan against the requirements for standardisation for the awarding body when and how this activity will be conducted.	Check with the awarding body whether a later standardisation event can be arranged.	CDs

Appendix 3: DISABILITY POLICY (EXAMS)

Purpose of the Policy

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

- “Recognises its duties towards disabled candidates as defined under the terms of the Equality Act 2010†. This must include a duty to explore and provide access to suitable courses, submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates.
- †or any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect”

[Quote taken directly from section 5.4 of the current JCQ publication General regulations for approved centres]

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

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

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

The Equality Act 2010 Definition of Disability

A definition is provided on page 4 of the current JCQ publication Adjustments for candidates with disabilities and learning difficulties Access Arrangements and Reasonable Adjustments

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

Identifying the need for Access Arrangements

Roles and responsibilities

Head of centre

- Is familiar with the entire contents, refers to and directs relevant centre staff to the annually updated JCQ publications including GR and AA
- Ensures the assessment process is administered in accordance with the regulations

Assistant Head (Academic)

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

- Ensures a appropriately qualified assessor(s) is appointed and that evidence of the qualification(s) of the person(s) appointed is held on file
- Ensures a policy demonstrating the centre's compliance with relevant legislation is in place
- Support the Access Arrangements Officer in determining the need for and implementing access arrangements
- Defines and documents roles, responsibilities and processes in identifying, requesting and implementing access arrangements (Access arrangements policy)

Access Arrangements Officer

- Has full knowledge and understanding of the contents, refers to and directs relevant centre staff to the annually updated JCQ publication AA
- Ensures the quality of the access arrangements process within the centre
- Leads on the access arrangements process to facilitate access for candidates
- Ensures arrangements put in place for exams/assessments reflect a candidate's normal way of working within the centre
- Ensures the need for access arrangements for a candidate will be considered on a subject by subject basis
- Presents when requested by a JCQ Centre Inspector, evidence of the assessor's qualification
- Works with teaching staff, relevant support staff and the Examinations Officer to ensure centre-delegated and awarding body approved access arrangements are put in place for candidates taking internal and external exams/assessments
- Provide information to evidence the normal way of working of a candidate
- Provides appropriate evidence to confirm the need(s) of a candidate

Assessor of candidates with learning difficulties

- Has detailed understanding of the current JCQ publication AA
- Conducts appropriate assessments to identify the need(s) of a candidate
- Completes appropriate documentation as required by the regulations of JCQ and the awarding body

Examinations Officer

- Ensures that all assessments carried out and arrangements put in place comply with JCQ and awarding body regulations and guidance
- Has detailed understanding of the current JCQ publication AA

Teaching staff

- Inform the Access Arrangements Officer of any support that might be needed by a candidate

Requesting Access Arrangements

Roles and responsibilities

Access Arrangements Officer

- Determines if the arrangements identified for a candidate require prior approval from the awarding body before the arrangements are put in place or if approval is centre-delegated
- Follows guidance in AA Chapter 8 to process approval applications for access arrangements for GCSE and GCE qualifications
- Applies for approval where this is required, through Access arrangements online (AAO), or through the awarding body where qualifications sit outside the scope of AAO
- Ensures appropriate and required evidence is held on file to confirm validation responses in AAO including the completion of JCQ Form 8, where required, and a body of evidence to substantiate the candidate's normal way of working within the centre
- Confirms by ticking the 'Confirmation' box prior to submitting the application for approval that the 'malpractice consequence statement' has been read and accepted
- Makes an awarding body referral through AAO where the initial application for approval may not be approved by AAO, where it is deemed by the centre that the candidate does meet the criteria for the arrangement(s)
- Ensures that arrangements, and approval where required, are in place before a candidate takes his/her first exam or assessment (which is externally assessed or internally assessed/externally moderated)
- Ensure a statement is provided which details the criteria the centre uses to award and allocate word processors for exams
- Ensures that where approval is required that this is applied for by the awarding body deadline
- Provides a policy on the use of word processors in exams and assessments (see word processor (exams) policy)
- Ensures the qualified assessor(s) has access to the assessment objectives for the relevant specification(s) a candidate is undertaking
- Maintains a file for each candidate that will include:

-Completed JCQ/awarding body application forms and evidence forms

-Appropriate evidence to support the need for the arrangement where required

-Appropriate evidence to support normal way of working within the centre

-In addition, for GCSE and GCE qualifications (where approval is required), a print out of the AAO approval and a signed data protection notice (which provides candidate consent to their personal details being shared)

- Presents the files when requested by a JCQ Centre Inspector
- Liaises with teaching staff regarding any appropriate modified paper requirements for candidates

- Liaises with the Exam Officer to ensure AAO approval is in place for early opening of papers where this may be required where the centre is permitted to modify a timetabled written component exam paper (copy on coloured paper, enlarge to A3 or copy to single sided print)
- Following the appropriate process(AAO for GCE and GCSE; JCQ Form 7 or Form VQ/EA), orders published modified papers, by the awarding body's deadline for the exam series, where these may be required for a candidate

Examinations Officer

- Is familiar with the entire contents of the annually updated JCQ publication GR and is aware of information contained in AA where this may be relevant to the EO role
- Ensures that arrangements, and approval where required, are in place before a candidate takes his/her first exam or assessment (which is externally assessed or internally assessed/externally moderated)

Implementing Access Arrangements and the Conduct of Exams

Roles and responsibilities

External assessments

These are assessments which are normally set and marked/examined by an awarding body which must be conducted according to awarding body instructions and/or the JCQ publication **Instructions for conducting examinations (ICE)**.

Head of centre

- Supports the ACCESS ARRANGEMENTS OFFICIER , the Examinations Officer and other relevant centre staff in ensuring appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams
- Is familiar with the Checklist for heads of centre and examination officers – The Equality Act 2010 and conduct of examinations provided in the current ICE (page 44)

Assistant Head (Academic)

- Is familiar with the Checklist for heads of centre and examination officers – The Equality Act 2010 and conduct of examinations provided in the current ICE (page 44)

ACCESS ARRANGEMENTS OFFICIER

- Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access for candidates where they are disabled within the meaning of the Equality Act (unless a temporary emergency arrangement is required at the time of an exam)
- Ensures a candidate is involved in any decisions about arrangements, adjustments and/or adaptations that may be put in place for him/her and ensures the candidate understands what will happen at exam time
- Ensures exam information (JCQ information for candidates documents, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it

- Ensures that prior to any arrangements being put in place checks are made that arrangements do not impact on any assessment criteria/competence standards being tested
- Ensures that any arrangements put in place do not unfairly disadvantage or advantage disabled candidates
- Liaises with the Examinations Officer (EO) regarding facilitation and invigilation of access arrangement candidates in exams
- Ensures an invigilator acting as a prompter is aware of the appropriate way to prompt depending on the needs of the candidate
- Liaises with the EO to ensure that invigilators are made aware of the Equality Act 2010 and are trained in disability issues
- Liaises with the EO where an invigilator may be required to support a candidate requiring an emergency (temporary) access arrangement at the time of exams
- Liaises with relevant centre staff to ensure appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams

Examinations Officer

- Is familiar with and follows the Checklist for heads of centre and examination officers – The Equality Act 2010 and conduct of examinations provided in the current ICE
- Ensures exam information (JCQ information for candidates documents, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it
- Ensures that prior to any arrangements being put in place checks are made that arrangements do not impact on any assessment criteria/competence standards being tested
- Ensures that any arrangements put in place do not unfairly disadvantage or advantage disabled candidates
- Liaises with other relevant centre staff regarding the provision of appropriate rooming and equipment that may be required to facilitate access for disabled candidates to exams
- Appoints appropriate centre staff as invigilators to support candidates (practical assistant, prompter, Oral Language Modifier, reader, scribe or Sign Language Interpreter)
- Ensures invigilators supporting candidates are appropriately trained and understand the rules of the particular access arrangement(s)
- Ensures the invigilator is known by or introduced to the candidate prior to exams
- Ensures an invigilator acting as a prompter is aware of the appropriate way to prompt depending on the needs of the candidate
- Ensures cover sheets, where these are required by the arrangement are completed as required by invigilators
- Liaises with relevant centre staff to ensure appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams

- Liaises with the Access Arrangements Officer to ensure exam information (JCQ information for candidates documents, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it
- Liaises with the Access Arrangements Officer regarding the facilitation and invigilation of access arrangement candidates
- Liaises with the Access Arrangements Officer regarding rooming of access arrangement candidates
- Liaises with the Access Arrangements Officer to ensure that invigilators are made aware of the Equality Act 2010 and are trained in disability issues
- Ensures appropriate seating arrangements are in place where different arrangements may need to be made for a candidate to facilitate access to his/her exams
- Ensures invigilators are briefed prior to each exam session of the arrangements in place for a disabled candidate in their exam room
- Checks in advance of dated exams/assessments that modified paper orders have arrived (and if not will contact the awarding body to ensure that papers are available when required)
- Makes modifications that are permitted by the centre (a question paper copied onto coloured paper, an A4 to A3 enlarged paper or a paper printed on single sheets or where a question paper may need to be scanned into PDF format where a candidate is approved the use of a computer reader) that may be required and, where approved, opens the exam question paper packet in the secure room no earlier than 90 minutes prior to the published start time of the exam
- Understands that where permitted/approved, secure exam question paper packets may need to be opened early where preparation is required by the facilitator (Oral Language Modifier, Live Speaker, Sign Language Interpreter only)
- Ensures that the invigilator only has access to the papers one hour prior to the published start time of the exam
- Provides cover sheets prior to the start of an exam where required for particular access arrangements and ensures that these have been fully completed before candidates' scripts are dispatched to examiners/markers
- Prints pre-populated cover sheets from AAO where this is required for GCSE and GCE qualifications
- Has a process in place to deal with emergency (temporary) access arrangements as they arise at the time of exams in terms of rooming and invigilation
- Liaises with the Access Arrangements Officer where a facilitator may be required to support a candidate requiring an emergency (temporary) access arrangement at the time of exams
- Where required for emergency (temporary) access arrangements, applies for approval through AAO or through the awarding body where qualifications sit outside the scope of AAO

Curriculum Directors

- Support the Access Arrangements Officer and the Examinations Officer to ensure appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams

- Be familiar with the centre's emergency evacuation procedures and the arrangements that may need to be in place for a candidate with a disability who may need assistance when an exam room is evacuated

IT Department

- IT or other specialist equipment that may need to be provided or adapted for a candidate is done so, as requested by the Examinations Officer

Operations team

- Operations staff responsible for rooms and non-specialist equipment (chairs, tables, clocks etc.) used for exams that may need to be adapted for a candidate, as directed by Examinations Officer

Word Processors

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

There are access arrangements or exceptions where a candidate may be awarded the use of a word processor in exams where he/she has a firmly established need, it reflects the candidate's normal way of working and by not being awarded a word processor would be at a substantial disadvantage to other candidates.

Exceptions might include where a candidate has, for example:

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

Allocating word processors

Appropriate exam-compliant word processors will be allocated by the IT department in liaison with the Access Arrangements Officer and the Examinations 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 published start time. The security of the exam will be maintained at all times and candidates will be supervised.

Internal Assessments

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

“Externally marked and/or externally set practical examinations taken at different times across centres are classified as ‘NEA’.”

[Quote taken from the JCQ publication Instructions for conducting non-examination assessments]

Access Arrangements Officer

- Liaises with teaching staff to implement appropriate access arrangements for candidates
- Ensures centre-delegated and awarding body approved arrangements are in place prior to a candidate taking his/her first formal supervised assessment
- Ensures candidates are aware of the access arrangements that are in place for their assessments

Examinations Officer

- Ensures centre-delegated and awarding body approved arrangements are in place prior to a candidate taking his/her first formal supervised assessment
- Ensures candidates are aware of the access arrangements that are in place for their assessments
- Ensures invigilators supporting candidates are appropriately trained and understand the rules of the particular access arrangement(s)
- Ensures invigilators supporting candidates are appropriately trained and understand the rules of the particular access arrangement(s)
- Ensures cover sheets are completed as required by invigilators
- Liaises with the teacher where an invigilator may be required to support a candidate requiring an emergency (temporary) access arrangement at the time of his/her formal supervised assessment
- Provides the Access Arrangements Officer with assessment schedules to ensure arrangements are put in place when required
- Liaises with the Access Arrangements Officer regarding assessment materials that may need to be modified for a candidate

Teaching staff

- Support the Access Arrangements Officer in implementing appropriate access arrangements for candidates

Internal Exams

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

Access Arrangements Officer

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

Teaching staff

- Support the Access Arrangements Officer in implementing appropriate access arrangements for candidates.

Exam Officer

- Provide exam materials and access arrangements that may need to be modified for a candidate.
- Provide the access arrangements with internal exam timetable to ensure arrangements are put in place when required.

Facilitating Access Examples

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

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

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

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

Example of candidate need(s)	Arrangements explored	Centre actions
A medical condition which prevents the candidate from taking exams in the centre	Alternative site for the conduct of examinations Supervised rest breaks	Access Arrangements Officer gathers evidence to support the need for the candidate to take exams at home Pastoral head provides written statement for file to confirm the need Approval confirmed by Access Arrangements Officer; AAO approval for both arrangements not required Pastoral head discussion with candidate to confirm the arrangements should be put in place EO submits appropriate 'Alternative site for the conduct of exams form' EO provides candidate with exam timetable and JCQ information for candidates Pastoral head confirms with candidate the information is understood Pastoral head agrees with candidate that prior to each exam will call to confirm fitness to take exam

		<p>EO allocates invigilator(s) to candidate's timetable; confirms time of collection of exam papers and materials.</p> <p>Invigilator monitors candidate's condition for each exam and records any issues on incident log</p> <p>Invigilator records rest breaks (time and duration) on incident log and confirms set time given for exam</p> <p>Invigilator briefs EO after each exam on how candidate's performance in exam may have been affected by his/her condition</p> <p>EO discusses with pastoral head if candidate is eligible for special consideration (candidate present but disadvantaged)</p> <p>EO processes request(s) for special consideration where applicable; incident log(s) provides supporting evidence</p> <p>Pastoral head informs candidate that special consideration has been requested</p>
Persistent and significant difficulties in accessing written text	Reader/computer reader 25% Extra time	<p>Confirms candidate is disabled within the meaning of the Equality Act 2010</p> <p>Papers checked for those testing reading</p>
	Separate invigilation within the centre	<p>Computer reader sourced for use in papers (or sections of papers) testing reading OR up to 50% extra time awarded</p> <p>Form 8, signed and dated, with Sections A, B and C completed; kept on file with body of supporting evidence, printed approval from AAO and signed data protection notice</p>
Significant difficulty in concentrating	Prompter Separate invigilation within the centre	<p>Gathers evidence to support substantial and long term adverse impairment</p> <p>Confirms with candidate how and when they will be prompted</p> <p>Briefs invigilator to monitor candidate and the method of prompting (call out his name to bring his attention back to the paper - confirms requirement for separate room)</p>

<p>A wheelchair user</p>	<p>Desk</p> <p>Rooms</p> <p>Facilities</p> <p>Seating arrangements</p> <p>Practical assistant</p>	<p>Applies for practical assistant to help candidate set up wheelchair and other equipment in a practical assessment; approval automatically fails so awarding body referral lists the tasks that will be performed</p> <p>Provides height adjustable desk in exam room</p> <p>Allocates exam room on ground floor near adapted bathroom facilities</p> <p>Spaces desks to allow wheelchair access</p> <p>Seats candidate near exam room door</p> <p>Confirms arrangements in place to assist the candidate in case of emergency evacuation of the exam room</p> <p>Practical assistant cover sheet printed from AAO; to be completed by facilitator and inserted inside the candidate's work where this may be applicable to the assessment</p>
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Appendix 4: EMERGENCY EVACUATION POLICY (EXAMS)

Purpose of the Policy

This document details how the centre handles arrangements regarding 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 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.

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.

SLT

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

Access Arrangements Officer

- 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.

Examinations Officer

- Ensures invigilators are trained in emergency evacuation procedures and how an incident and actions taken must be recorded.
- Ensures candidates are briefed (Candidate exam handbook), prior to exams taking place, on what will happen in the event of an emergency in the exam room.
- Provides invigilators with a copy of the emergency evacuation procedures for every exam room.
- Provides a standard invigilator announcement for each exam which includes appropriate information for candidates regarding what will happen if the fire alarm sounds.

- Provides an exam room incident log in each exam room.
- Liaises with the Access Arrangements Officer and other relevant staff prior to each exam where different procedures or assistance may need to be provided for a disabled candidate.
- Briefs invigilators prior to each exam where different procedures or assistance may need to be provided for a disabled candidate.
- Ensures appropriate follow-up is undertaken after an emergency evacuation reporting the incident to the awarding body and the actions taken through the special consideration process.

Invigilators

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

Teaching staff

- Support the senior leader, Access Arrangements Officer, Examinations Officer and invigilators in ensuring the safe emergency evacuation of exam rooms.

Emergency evacuation procedure

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

Actions to be taken (as detailed in the JCQ – instructions for conducting examinations section 18, 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 should leave the room in silence.

Make sure that the candidates are supervised as closely as possible while they are out of the examination room to make sure there is no discussion about the examination.

Make a note of the time of the interruption and how long it lasted.

Allow the candidates the full working time set for the examination.

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.

In the event of a fire alarm, evacuate the exam room via the nearest fire exit.

Invigilators need to escort candidates to the fire assembly point – Bloomsbury Square Park.

When/if allowed to return to the exam room, allow candidates time to settle whilst reminding them they are still under exam conditions.

Restart the exam and allow candidates the remaining time set for the exam.

Make relevant changes to the exam finishing time.

Record as much detail as you can on the exam room incident log and ensure the Examinations Officer is fully briefed at the end of the exam to enable a full report to be submitted to the awarding body.

Where not allowed to return to the exam room, or the decision is made that the exam must be abandoned, the exam contingency plan will be invoked and you will be briefed accordingly at the time.

Appendix 5: EMERGENCY EVACUATION PLAN (EXAMS)

Purpose of the Plan

This plan examines potential risks and issues that could cause disruption to the exams process at Guildhouse London. 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 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.

This plan confirms Guildhouse London is compliant with the JCQ regulation 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.*

Possible causes of potential disruption to the Exam Process

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

Criteria for implementation of the plan

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

Planning

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

Entries

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

Pre-exams

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

Exam time

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

Results and post-results

- Access to examination results affecting the distribution of results to candidates
- The facilitation of the post-results services

Centre actions to mitigate the impact of the disruption

- Assistant Head (Academic) to take over these roles

Access Arrangements Officer extended absence at key points in the exam cycle

Criteria for implementation of the plan

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

Planning

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

Pre-exams

- Approval for access arrangements not applied for to the awarding body
- Centre-delegated arrangements not put in place
- Modified paper requirements not identified in a timely manner to enable ordering to meet external deadline
- Staff providing support to access arrangement candidates not allocated and trained

Exam time

- Access arrangement candidate support not arranged for exam rooms

Centre actions to mitigate the impact of the disruption

- Examinations Officer to arrange for a temporary access to assess students pre-exams
- Examinations Officer has access to Access Arrangements Online, so can process requests
- Examinations Officer will liaise with temporary access to collect evidence of normal way of working from teaching staff

Teaching staff extended absence at key points in the exam cycle

Criteria for implementation of the plan

Key tasks not undertaken including:

- Early/estimated entry information not provided to the Examinations Officer on time; resulting in pre-release information not being received
- Final entry information not provided to the Examinations Officer on time; resulting in candidates not being entered for exams/assessments or being entered late/late or other penalty fees being charged by awarding bodies
- Non-examination assessment tasks not set/issued/taken by candidates as scheduled
- Candidates not being informed of centre assessed marks before marks are submitted to the awarding body and therefore not being able to consider appealing internal assessment decisions and requesting a review of the centre's marking
- Internal assessment marks and candidates' work not provided to meet awarding body submission deadlines

Centre actions to mitigate the impact of the disruption

- Examinations Officer to liaise with Curriculum Directors to collect early/estimated entry information
- Examinations Officer to look at previous year's entries for more information

Invigilators - lack of appropriately trained invigilators or invigilator absence

Criteria for implementation of the plan

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

Centre actions to mitigate the impact of the disruption

- Teaching staff are always briefed before the exam season on the main invigilator duties and responsibilities, they can cover in instance of invigilator absence
- Principle to authorise using invigilators from Agency staff

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

Criteria for implementation of the plan

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

Centre actions to mitigate the impact of the disruption

- Main venue is within the school building in designated class room spaces.

Failure of IT systems

Criteria for implementation of the plan

- MIS system failure at final entry deadline
- MIS system failure during exams preparation
- MIS system failure at results release time

Centre actions to mitigate the impact of the disruption

- Entries can be input directly onto awarding organisation websites in case of MIS failure
- Examinations Officer to keep timetables and seating plans on shared and local drive in case of MIS failure
- Ensure IT support is always available throughout results time to combat system failure and plan against potential issues

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

Criteria for implementation of the plan

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

Centre actions to mitigate the impact of the disruption

- Candidates to be kept at all times under formal supervision
- Invigilators to take attendance register when evacuating
- Candidates will be kept separate from other students or members of the public
- Invigilator to alert the Examinations Officer immediately and await instruction

Disruption of teaching time – centre closed for an extended period

Criteria for implementation of the plan

- Centre closed or candidates are unable to attend for an extended period during normal teaching or study supported time, interrupting the provision of normal teaching and learning
- Centre closed interrupting the of normal teaching and learning
- The centre to communicate with parents, carers and students about the potential for disruption to teaching time and plans to address this

Centre actions to mitigate the impact of the disruption

- Centre to liaise with SoE to organise facilities for teaching and learning to take place
- Centre to contact other exam venue to book classrooms
- Curriculum manager to contact teaching agency in case of staff absences

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

Criteria for implementation of the plan

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

Centre actions to mitigate the impact of the disruption

- Examinations are usually off-site
- Candidates to take exams, as scheduled on public timetable
- Examinations Officer to submit documentation outlining when/how/why candidates have been disadvantaged by the crisis

Centre unable to open as normal during the exams period

Criteria for implementation of the plan

- Centre unable to open as normal for scheduled examinations (including centre being unavailable for examinations owing to an unforeseen emergency)
- A centre which is unable to open as normal for examinations must inform each awarding organisation with which examinations are due to be taken as soon as is possible

Centre actions to mitigate the impact of the disruption

- Examinations are usually taken off-site where possible
- Examinations organised to take place on campus will be moved to an external venue – JCQ will be informed of venue change and of special consideration
- If papers cannot be retrieved from secure storage, Exams Office will contact the relevant awarding bodies to get digital copies of papers

Disruption in the distribution of examination papers

Criteria for implementation of the plan

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

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

Centre actions to mitigate the impact of the disruption

- Candidates to be kept in formal exam conditions until replacement papers arrive at exam venue
- Exams Office will contact the relevant awarding bodies to get digital copies of papers

Disruption to the transportation of completed examination scripts

Criteria for implementation of the plan

Delay in normal collection arrangements for completed examination scripts

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

Centre actions to mitigate the impact of the disruption

- Exams Office to contact awarding organisations immediately and await advice
- Exams Office to keep papers in secure storage until alternative arrangements have been made

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

It is the responsibility of the head of centre to communicate this immediately to the relevant awarding organisation(s) and subsequently to students and their parents or carers. [JCP scenario 6]

Centre actions to mitigate the impact of the disruption

- Exams Office to contact the relevant awarding bodies immediately
- Damaged scripts/assessment to be kept in secure storage as evidence

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
- Centres to contact awarding organisations about alternative options

Centre actions to mitigate the impact of the disruption

- Exams Office to have multiple ways to distribute results. Through student portal, email and post. If all of these fail, the centre will contact the awarding organisations for advice

Further guidance to inform and implement contingency planning

Ofqual

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

Contingency planning

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

Disruption to assessments or exams

In the absence of any instruction from the relevant awarding organisation, the school or college should assume that any exam or timetabled assessment should take place if it is possible for it to do so. This may mean having to locate alternative premises.

If the exam or assessment cannot take place, or if a student misses an exam or loses their assessment due to an emergency or other event outside the control of the school or college, you should discuss alternative arrangements with your awarding organisation.

The school or college should consider the following steps

Exam planning

- Review your contingency plan well in advance of each exam series.
- Ensure that copies of question papers are received and stored under secure conditions.

In the event of disruption

- Contact the relevant awarding organisation and follow its instructions.
- Take advice, or follow instructions, from relevant local or national agencies in deciding whether the school or college is able to open.
- Identify whether the exam can be sat at an alternative venue, in agreement with the relevant awarding organisation.
- Where accommodation is limited, prioritise students whose progression will be severely delayed if they do not take their exams when planned.
- Communicate with parents, carers and students regarding any changes to the exam timetable.
- Advise students, where appropriate, to sit exams in the next available series.

After the exam

- Consider whether students may be eligible for special consideration.
- Ensure that scripts are stored under secure conditions.
- 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.

The awarding organisation should take the following steps

Exam planning

- Establish, maintain and at all times comply with an up to date written contingency plan.
- Ensure that the arrangements that are in place with schools and colleges enable them to deliver and award qualifications in accordance with its conditions of recognition.

In the event of disruption

Take all reasonable steps to mitigate any negative effect, in relation to its qualifications, arising from any disruption.

Provide effective guidance to any of its centres responsible for delivering qualifications on its behalf.

Ensure that where an assessment is required to be completed under specified conditions, students complete the assessment under those conditions (other than where any reasonable adjustments or special considerations require alternative conditions).

Promptly notify the relevant regulators about any event which could have a negative effect on students, standards or public confidence.

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.

When a student misses an exam or is disadvantaged by the disruption

If you feel that the performance of all or some of your students has been negatively affected by the disruption you should ask your awarding organisation about applying for special consideration. The decision about what special consideration is, or is not appropriate, is for awarding organisations to make. Their decisions might be different, for different qualifications and for different subjects. However, we encourage awarding organisations to adopt a consistent approach, including between learners, schools or colleges, and awarding organisations, when dealing with a number of similar cases.

[Ofqual guidance extract 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, sections 1 and 2 <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

Contingency planning

The qualifications 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.

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

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

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.

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>

[JCQ guidance taken directly from JCQ Instructions for conducting examinations

<http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations>, page iv]

General regulations for approved centres

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

Guidance on alternative site arrangements

<http://www.jcq.org.uk/exams-office/forms>

Guidance on transferred candidate arrangements

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

Instructions for conducting examinations

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

A guide to the special consideration process

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

GOV.UK

Emergency planning and response: Severe weather; Exam disruption

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

Teaching time lost due to severe weather conditions

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

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

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

Statutory guidance on school closures

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

Appendix 6: 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 method of disposal
- Inform/supplement the centre-wide records management policy
- The policy is annually reviewed to ensure that records are archived/retained in accordance with current requirements.

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 Access Arrangements Officer as records owner at end of the candidate's final exam series.	Confidential waste/shredding
Alternative site arrangements	Any hard copy information generated on an alternative site arrangement. Notifications submitted online via CAP.		Confidential waste/shredding
Attendance register copies		Keep signed records of the seating plan, the invigilation arrangements and the centre's copies of the attendance registers for each examination. The awarding bodies may need to refer to these records. The centre must keep them until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later... (Reference ICE 12, 22)	Confidential waste/shredding
Awarding body administrative information	Any hard copy publications provided by awarding bodies.	To be retained until the current academic year update is provided.	Confidential waste/shredding

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Candidates' scripts	Any unwanted copies of scripts returned to the centre through the Access to Scripts (ATS) service.	To be retained securely until the awarding body's earliest date for confidential disposal of unwanted scripts.	Confidential waste/shredding
Candidates' work	Non-examination assessment work returned to the centre by the awarding body at the end of the moderation period.	<p>To be logged on return to the centre and immediately returned to subject staff as records owner.</p> <p>To be stored safely and securely along with work that did not form part of the moderation sample (including materials stored electronically)</p> <p>https://www.jcq.org.uk/exams-office/non-examination-assessments (Reference GR 3.15)</p>	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.		
Certificates	Candidate certificates issued by awarding bodies.	Retain all unclaimed certificates under secure conditions for a minimum of 12 months from the date of issue (Reference GR 5.14)	Confidential destruction
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	<p>Destroy any unclaimed certificates after retaining them for a minimum of 12 months.</p> <p>A record of certificates that have been destroyed should be retained for four years from their date of destruction</p>	Confidential destruction

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Certificate issue information	A record of certificates that have been issued.	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. Records should be kept of the certificates that are issued.	
Confidential materials: initial point of delivery logs	Logs recording awarding body confidential exam material received by an authorised member of staff at the initial point of delivery and the secure movement of packages by an authorised member of staff to the secure room for transferal to the centre's secure storage facility.		
Confidential materials: receipt, secure movement and secure storage logs	Logs recording confidential exam materials received (including encrypted materials received via email or downloaded from an awarding body's secure extranet site), checked and placed in the secure storage facility by the Examinations 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	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,	Confidential destruction

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		malpractice or other results enquiry has been completed, whichever is later. (Reference GR 5.3)	
Dispatch logs	Proof of dispatch of exam script packages to awarding body examiners covered by the DfE (Standards & Testing Agency) yellow label service		
Entry information	Any hard copy information relating to candidates' entries.		Confidential destruction
Exam question papers	Question papers for timetabled written exams.	Question papers must not be released to centre personnel for use in accordance with the above licence until after the awarding body's published finishing time for the examination or, in the case of a timetable variation, until all candidates within the centre have completed the examination. This does not restrict access to question papers by authorised centre personnel for the purpose of conducting examinations (Reference GR 6.13)	Issued to subject staff
Exam room checklists	Checklists confirming exam room conditions and invigilation arrangements for each exam session.		
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms for each exam session.		
Exam stationery	Awarding body exam stationery provided solely for the purpose of external exams.	Return unused stationery to the secure storage facility or secure room until needed for a future examination. Surplus stationery must not be used for internal	Confidential destruction

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		<p>school tests, mock examinations and non-examination assessments.</p> <p>Destroy confidentially any out-of-date stationery. (Reference ICE 30)</p>	
Examiner reports		(Where/if provided) To be immediately provided to head of department as records owner.	
Finance information	Copy invoices for exams-related fees.	To be returned to Finance department as records owner at the end of the academic year.	
Invigilation arrangements	See Exam room checklists		
Invigilator and facilitator training records		A record of the content of the training given to invigilators and those facilitating an access arrangement for a candidate under examination conditions must be available for inspection and retained on file until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later. (Reference ICE 12)	Confidential destruction
Moderator reports		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		

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Overnight supervision information	<p>The JCQ Overnight Supervision form is completed online using CAP. The JCQ Overnight Supervision Declaration form is downloaded from CAP) for signing by the candidate, the supervisor and the head of centre</p> <p>Any hard copy information relating to overnight supervision arrangements. Reports submitted online via CAP.</p>	All completed forms available for inspection until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later. Forms may be stored electronically or in hard copy paper format and must not be sent to an awarding body, unless specifically requested (Reference ICE 8)	
Post-results services: confirmation of candidate consent information	Hard copy or email record of required candidate consent	Consent forms or e-mails from candidates must be retained by the centre and kept for at least six months following the outcome of the clerical re-check or review of marking or any subsequent appeal. The awarding bodies reserve the right to inspect such documentation. (Reference PRS 4 , plus appendix A and B)	
Post-results services: requests/outcome information	Any hard copy information relating to a post-results service request (RoRs, appeals, ATS) submitted to an awarding body for a candidate and outcome information from the awarding body.		
Post-results services: tracking logs	Logs tracking to resolution all post-results service requests submitted to awarding bodies.		
Private candidate information	Any hard copy information relating to private candidates' entries.		

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Proof of postage – candidates' work	<p>Proof of postage of sample of candidates' work submitted to awarding body moderators.</p> <p>(Proof of postage of candidates' scripts to awarding body examiners/markers)</p>	<p>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.</p> <p>(Proof of postage will provide evidence that the candidates' scripts have left the centre. This will indicate that the scripts were written at the appointed time and that, should the scripts not be received by the awarding body/examiner, then special consideration may be possible.) (Reference ICE 29)</p>	
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.	<p>Keep signed records of the seating plan, the invigilation arrangements and the centre's copies of the attendance registers for each examination. The awarding bodies may need to refer to these records. The centre must keep them until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later (Reference ICE 12)</p>	Confidential destruction

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Special consideration information	Any hard copy information relating to a special consideration application which has been submitted to an awarding body for a candidate and signed evidence produced by a senior leader in support of the application.	All applications must be supported by signed evidence produced by a member of the senior leadership team. The centre must retain this evidence until after the publication of results. (Reference SC 6)	Confidential destruction
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.		

Appendix 7: INTERNAL APPEALS PROCEDURE & FORM

Appeals against Internal Assessment Decisions (Centre Assessed Marks)

This procedure confirms Guildhouse School London (centre number 11293) compliance with JCQ's General Regulations for Approved Centres 2020-2021, section 5.8 that the centre has in place "a written internal appeal procedure relating to internal assessment decisions and to ensure that details of this procedure are communicated, made widely available and accessible to all candidates" and that the centre "must inform candidates of their centre assessed marks as a candidate is allowed to request a review of the centre's marking before marks are submitted to the awarding body."

Certain components of GCE (controlled assessments and non-examination assessments) and other qualifications that contribute to the final grade of the qualification are internally assessed (marked) by the centre. The marks awarded (the internal assessment decisions) are then submitted by the deadline set by the awarding body for external moderation.

Deadlines for the submission of marks (Summer 2023 exam series)

Date	Qualification	Details
June 2022	GCE	Final date for submission of coursework marks
June 2022	A Level Fine Art & Photography only	Final date for submission of coursework marks

Guildhouse School London 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.

Guildhouse School London ensures that all centre staff follow a robust Non-examination assessment policy (for the management of GCE and GCSE non-examination assessments). This policy details all procedures relating to non-examination assessments for A Level, 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. Guildhouse School London is committed to ensuring that work produced by candidates is authenticated in line with the requirements of the awarding body. Where a number of subject teachers are involved in marking candidates' work, internal moderation and standardisation will ensure consistency of marking.

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

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

- Guildhouse School London will, having received a request for copies of materials, promptly make them available to the candidate within 2 calendar days.
- Guildhouse School London will provide candidates with sufficient time in order to allow them to review copies of materials and reach a decision.
- Guildhouse School London will provide a clear deadline for candidates to submit a request for a review of the centre's marking. Requests will not be accepted after this deadline. Requests must be made in writing within 7 calendar days of receiving copies of the requested materials completing the internal appeal form.
- The time allowed by Guildhouse School London 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.
- Guildhouse School London will ensure that the review of marking is carried out by an assessor who has appropriate competence, has had no previous involvement in the assessment of that candidate and has no personal interest in the review.
- Guildhouse School London will instruct the reviewer to ensure that the candidate's mark is consistent with the standard set by the centre.
- Guildhouse School London will 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. A written record of the review will be kept and made available to the awarding body upon request.

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

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

This procedure confirms Guildhouse School London compliance with JCQ's General Regulations for Approved Centres 2020-2021, section 5.14 that the centre has in place "a written internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support a clerical check, a review of marking, a review of moderation or an appeal..."

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

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

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

Review of Results (RoRs) offers three services.

Service 1 – clerical re-check

Service 2 – review of marking

Service 3 – review of moderation (this service is not available to an individual candidate)

Written candidate consent (informed consent via candidate email is acceptable) is required in all cases before a request for an 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 Examinations Officer, teaching staff and head of centre will investigate the feasibility of requesting an enquiry 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 an enquiry, an internal appeal can be submitted to the centre – by completing the internal appeals form at least 5 calendar days prior to the internal deadline for submitting an RoR.

The appellant will be informed of the outcome of his/her appeal.

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

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

The internal appeals form should be completed and submitted to the centre within 5 calendar days of the notification of the outcome of the RoR. Subject to the head of centre's decision, this will allow the centre to process the preliminary appeal and submit to the awarding body within the required 30 calendar days of receiving the outcome of the enquiry about results process. Awarding body fees which may be charged for the preliminary appeal must be paid to the centre by the appellant before the preliminary appeal is submitted to the awarding body (fees are available from the Examinations Officer). If the appeal is upheld by the awarding body, this fee will be refunded by the awarding body and repaid to the appellant by the centre.

Internal Appeals Arrangements Officer Calendar

Level	Subject	Awarding Organisation	Spec.	Deadline date for coursework submission	Date by which student receives internal assessment mark from teacher	Date by which student submits appeal to teacher	Date by which student receives outcome of internal appeal	Date by which teachers submit marks to exam Officer	Date by which Examinations Officer submits marks to Awarding Organisations
GCE	English Lit	Edexcel	9ET0						
GCE	History	AQA	7042/C						
EXPJ	Extended Project Qualification	AQA	7993						
GCE	Fine Art	AQA	7202						

Date Received	
Ref.	

Internal Appeals Arrangements Officer Form

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

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

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

Name of Appellant		Candidate Name (if different to appellant)	
Awarding Body		Exam Paper Code	
Subject		Exam Paper Title	
Please state the grounds for your appeal below:			
(If applicable, tick below)			
Where my appeal is against an internal assessment decision I wish to request a review of the centre's marking			
If necessary, continue on an additional page if this form is being completed electronically or overleaf if hard copy being completed.			
Appellant Signature:		Date of Signature:	

This form must be signed, dated and returned to the Examinations Officer on behalf of the head of centre to the timescales indicated in the appeals procedure.

Complaints and Appeals Log

On receipt of an Internal Appeals Form, a reference number is assigned and logged. Outcome and outcome date is recorded.

The outcome of any review of the centre's marking will be made known to the head of centre.

Ref. No	Date Received	Complaint or Appeal	Outcome	Outcome Date

Further guidance to inform and implement appeals procedures

JCQ

General Regulations for Approved Centres

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

Post-Results Services

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

JCQ AppeAccess Arrangements Officer Booklet

<https://www.jcq.org.uk/exams-office/appeAccess Arrangements Officer>

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

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

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

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

Notice to Centres – informing candidates of their centre assessed marks <https://www.jcq.org.uk/exams-office/non-examination-assessments>

Ofqual

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

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

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

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

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

Pre-reform GCE qualification-level conditions and requirements

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

Appendix 8: NON-EXAMINATION ASSESSMENT POLICY

What does this policy affect?

This policy affects the delivery of subjects of reformed GCE 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, page 3]

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

[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.”

[NEA 1]

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

The basic principles

Head of Centre

- Ensures that the centre’s non-examination assessment policy is fit for purpose

- Ensures the centre's internal appeals procedures clearly detail the procedure to be followed by candidates (or their parents/carers) appealing against internal assessment decisions (centre assessed marks) and requesting a review of the centre's marking

Senior Leaders

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

Examinations Officer

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

Curriculum Directors

- 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)
- Ensures appropriate procedures are followed to internally standardise/verify the marks awarded by subject teachers
- Understands the arrangements that the centre needs to put in place where the centre might accept private candidates (including distance learners and home educated students) for components of non-examination assessment

Subject Teacher

- Understands and complies with the general instructions as detailed in NEA

- Where these may 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 Examinations Officer is provided with relevant entry codes for subjects (whether the entry for the internally assessed component forms part of the overall entry code or is made as a separate unit entry code) to the internal deadline for entries

Task setting

Subject Teacher

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

Issuing of tasks

Subject Teacher

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

Task taking

Supervision

Subject Teacher

- Checks the awarding body's subject-specific requirements ensuring candidates take tasks under the required conditions and supervision arrangements
- Ensures there is sufficient supervision to enable the work of a candidate to be authenticated
- Ensures there is sufficient supervision to ensure the work a candidate submits is their own
- Where candidates may work in groups, keeps a record of each candidate's contribution
- Ensures candidates are aware of the JCQ documents Information for candidates - non-examination assessments and Information for candidates - Social Media
- Ensures candidates understand and comply with the regulations in relevant JCQ documents Information for candidates

Advice and feedback

Subject teacher

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

Resources

Subject Teacher

- Refers to the awarding body's specification and/or associated documentation to determine if candidates have restricted/unrestricted access to resources when planning and researching their tasks
- Ensures conditions for any formally supervised sessions are known and put in place
- Ensures conditions for any formally supervised sessions are understood and followed by candidates
- Ensures candidates understand that they are not allowed to introduce improved notes or new resources between formally supervised sessions
- Ensures that where appropriate to include references, candidates keep a detailed record of their own research, planning, resources etc.

Word and time limits

Subject Teacher

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

Collaboration and group work

Subject Teacher

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

Authentication procedures

Subject Teacher

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

Presentation of work

Subject Teacher

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

Keeping materials secure

Subject Teacher

- When work is being undertaken by candidates under formal supervision, ensures work is securely stored between sessions (if more than one session)
- When work is submitted by candidates for final assessment, ensures work is securely stored
- Follows secure storage instructions as defined in NEA 4.8
- Takes sensible precautions when work is taken home for marking
- Stores internally assessed work, including the sample returned after awarding body moderation, securely until the closing date for enquiries about results or until the outcome of an enquiry or any subsequent appeal has been conveyed to the centre
- Reminds candidates of the need to keep their own work secure at all times and not share completed or partially completed work on-line, on social media or through any other means
- Liaises with the IT Manager to ensure that appropriate arrangements are in place to restrict access between sessions to candidates' work where work is stored electronically

IT Manager

- Ensures appropriate arrangements are in place to restrict access between sessions to candidates' work where work is stored electronically

Task marking – externally assessed components

Conduct of externally assessed work

Subject Teacher

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

Examinations Officer

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

Submission of work

Subject Teacher

- Provides the attendance register to a Visiting Examiner

Examinations Officer

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

Task marking – internally assessed components

Marking and annotation

Subject Teacher

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

Internal standardisation

Examinations Officer

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

Subject teacher

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

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

Examinations 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

Storage and retention of work after submission of marks

Subject Teacher

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

Examinations Officer

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

External moderation - feedback

Heads of Department

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

Examinations 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 Access Arrangements Officer to ensure any access arrangements for eligible candidates are applied to assessments

ACCESS ARRANGEMENTS OFFICIER

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

Special consideration

Subject Teacher

- Understands that a candidate may be eligible for special consideration in assessments in certain situations where a candidate
- is absent
- produces a reduced quantity of work
- work has been lost
- Liaises with the Examinations Officer when special consideration may need to be applied for a candidate taking assessments

Examinations Officer

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

Malpractice

Head of centre

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

Subject Teacher

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

Examinations Officer

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

Enquiries about results

Head of Centre

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

Curriculum Directors

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

Subject Teacher

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

Examinations Officer

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

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

Head of Centre

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

Curriculum Directors

- Confirms understanding of the Practical Skills Endorsement for the A Level Sciences designed for use in England
- Ensures a response is provided to JCQ indicating which awarding body the centre intends to use for its entries in A level Biology, Chemistry and Physics

- Ensures where the centre intends to enter candidates for the first time for one or more of the A level subjects, the relevant awarding body will be contacted at the beginning of the course
- Undertakes training provided by the awarding body on the implementation of the practical endorsement
- Disseminates information to subject teachers ensuring the standards can be applied appropriately
- Liaises with all relevant parties in relation to arrangements for and conduct of the monitoring visit

Subject Teacher

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

Examinations Officer

- Follows the awarding body's instructions for the submission of candidates Pass or Not Classified assessment

Exam Officer

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

Curriculum Directors

Confirms understanding of the Spoken Language Endorsement for GCSE English Language specifications designed for use in England

- Ensures the required task setting and task taking instructions are followed by Subject Teachers
- Ensures Subject Teachers assess candidates, either live or from recordings, using the common assessment criteria
- Ensures for monitoring purposes, audio-visual recordings of the presentations of a sample of candidates are provided

Subject Teacher

- Ensures all the requirements in relation to the endorsement are known and understood
- Follows the required task setting and task taking instructions

- Assesses candidates, either live or from recordings, using the common assessment criteria
- Provides audio-visual recordings of the presentations of a sample of candidates for monitoring purposes
- Follows the awarding body's instructions for the submission of grades (Pass, Merit, Distinction or Not Classified) and the storage and submission of recordings

Examinations Officer

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

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

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
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>	CD, Teaching staff, IT manager, EO
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>	CD
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>	Teaching staff, CD

	<i>Candidates confirm/record they understand the marking criteria</i>	
Subject Teacher long term absence during the task setting stage	<i>See centre's exam contingency plan - Teaching staff extended absence at key points in the exam cycle</i>	Curriculum Manager, CD, EO
Issuing of tasks		
Task for legacy specification given to candidates undertaking new specification	<i>Ensures Subject Teachers take care to distinguish between requirements/tasks for legacy specifications and requirements/tasks for new specifications</i> <i>Awarding body guidance sought where this issue remains unresolved</i>	CD, EO
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</i> <i>Course information issued to candidates contains details when set task will be issued and needs to be completed by</i> <i>Set task accessed well in advance to allow time for planning, resourcing and teaching</i>	CD, Teaching staff
The wrong task is given to candidates	<i>Ensures course planning and information taken from the awarding body's specification confirms the correct task will be issued to candidates</i> <i>Awarding body guidance sought where this issue remains unresolved</i>	CD, EO

Task taking		
Supervision		
Planned assessments clash with other centre or candidate activities	<i>Assessment plan identified for the start of the course</i>	APA, CD, EO

	<i>Assessment dates/periods included in centre wide calendar</i>	
Rooms or facilities inadequate for candidates to take tasks under appropriate supervision	<p><i>Timetabling organised to allocate appropriate rooms and IT facilities for the start of the course</i></p> <p><i>Staggered sessions arranged where IT facilities insufficient for number of candidates</i></p> <p><i>Whole cohort to undertake written task in large exam venue at the same time (exam conditions do not apply)</i></p>	EO, CD
Insufficient supervision of candidates to enable work to be authenticated	<p><i>Confirm Subject Teachers are aware of and follow the current JCQ publication Instructions for conducting non-examination assessments and any other specific instructions detailed in the awarding body's specification in relation to the supervision of candidates</i></p> <p><i>Confirm Subject Teachers understand their role and responsibilities as detailed in the centre's non-examination assessment policy</i></p>	CD, EO, APA
A candidate is suspected of malpractice prior to submitting their work for assessment	<p><i>Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (chapter 9 Malpractice) are followed</i></p> <p><i>An internal investigation and where appropriate internal disciplinary procedures are followed</i></p>	APA, CD, EO
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 (chapter 2), to determine the process to be followed to apply for special consideration for the candidate</i>	APA, CD, EO
Advice and feedback		

<p>Candidate claims appropriate advice and feedback not given by Subject Teacher prior to starting on their work</p>	<p><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></p> <p><i>Regular monitoring of Subject Teacher completed records and sign-off to confirm monitoring activity</i></p> <p><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></p> <p><i>Candidate confirms/records advice and feedback given prior to starting on their work</i></p>	<p>Teaching staff, EO, CD, APA</p>
<p>Candidate claims no advice and feedback given by Subject Teacher during the task-taking stage</p>	<p><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></p> <p><i>Regular monitoring of Subject Teacher completed records and sign-off to confirm monitoring activity</i></p> <p><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></p> <p><i>Candidate confirms/records advice and feedback given during the task-taking stage</i></p>	<p>Teaching staff, EO, CD, APA</p>
<p>A third party claims that assistance was given to candidates by the Subject Teacher over and above that allowed in the regulations and specification</p>	<p><i>An investigation is conducted; candidates and Subject Teacher are interviewed and statements recorded where relevant</i></p> <p><i>Records as detailed above are provided to confirm all assistance given</i></p>	<p>Teaching staff, EO, CD, APA</p>

	<i>Where appropriate, a suspected malpractice report is submitted to the awarding body</i>	
Candidate does not reference information from published source	<p><i>Candidate is advised at a general level to reference information before work is submitted for formal assessment</i></p> <p><i>Candidate is again referred to the JCQ document Information for candidates: non-examination assessments</i></p> <p><i>Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion</i></p>	Teaching staff, EO, CD, APA
Candidate does not set out references as required	<p><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></p> <p><i>Candidate is again referred to the JCQ document Information for candidates: non-examination assessments</i></p> <p><i>Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion</i></p>	Teaching staff, EO, CD, APA
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>	CD, Teaching staff
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>	CD, Teaching staff, EO
An excluded pupil wants to complete his/her non-examination assessment(s)	<i>The awarding body specification is checked to determine if the specification is available to a candidate outside mainstream education</i>	CD, Teaching staff

	<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	<p><i>Preparatory notes and the work to be assessed are collected in and kept secure between formally supervised sessions</i></p> <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>	CD, Teaching staff, EO
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>	CD, Teaching staff
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</i></p>	CD, Teaching staff

	<i>word or time limits is known and understood</i>	
Collaboration and group work		
Candidates have worked in groups where the awarding body specification states this is not permitted	<i>Records confirm the awarding body specification has been checked to determine if group work is permitted</i> <i>Awarding body guidance sought where this issue remains unresolved</i>	Teaching staff, CD
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 Teachers sharing assessment material and candidates' work</i></p> <p><i>Records confirm that candidates have been issued with the current JCQ document Information for candidates: non-examination assessments</i></p> <p><i>Candidates confirm/record that they understand what they need to do to comply with the regulations for non-examination assessments as outlined in the JCQ document Information for candidates: non-examination assessments</i></p> <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>	Teaching staff, CD, EO
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</i></p>	Teaching staff, CD, EO

	<p><i>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>	CD, EO
Presentation of work		
Candidate does not fully complete the awarding body's cover sheet that is attached to their worked submitted for formal assessment	<p><i>Cover sheet is checked to ensure it is fully completed before accepting the work of a candidate for formal assessment</i></p>	Teaching staff, EO
Keeping materials secure		
Candidates work between formal supervised sessions is not securely stored	<p><i>Records confirm Subject Teachers are aware of and follow current JCQ publication Instructions for conducting non-examination assessments</i></p> <p><i>Regular monitoring ensures Subject Teacher use of appropriate secure storage</i></p>	Teaching staff, EO
Adequate secure storage not available to Subject Teacher	<p><i>Records confirm adequate/sufficient secure storage is available to Subject Teacher prior to the start of the course</i></p> <p><i>Alternative secure storage sourced where required</i></p>	Teaching staff, CD, EO

Task marking – externally assessed components

A candidate is absent on the day of the examiner visit for an acceptable reason	<p><i>Awarding body guidance is sought to determine if alternative assessment arrangements can be made for the candidate</i></p> <p><i>If not, eligibility for special consideration is explored and a request submitted to the awarding body where appropriate</i></p>	EO, Teaching staff, ACCESS ARRANGEMENTS OFFICIER
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>	Teaching staff, EO
Task marking – internally assessed components		
A candidate submits little or no work	<p><i>Where a candidate submits no work, the candidate is recorded as absent when marks are submitted to the awarding body</i></p> <p><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></p>	Teaching staff
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 (chapter 5), to determine eligibility and the process to be followed for shortfall in work</i>	Teaching staff, EO
The work of a candidate is lost or damaged	<i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (chapter 5), to determine eligibility and the process to be followed for lost or damaged work</i>	Teaching staff, EO
Candidate malpractice is discovered	<p><i>Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (chapter 9 Malpractice) are followed</i></p> <p><i>Investigation and reporting procedures in the current JCQ</i></p>	Teaching staff, EO, CD, APA

	<p><i>publication Suspected Malpractice in Examinations and Assessments are followed</i></p> <p><i>Appropriate internal disciplinary procedures are Access Arrangements Officer o followed</i></p>	
A teacher marks the work of his/her own child	<p><i>A conflict of interest is declared by informing the awarding body that a teacher is teaching his/her own child at the start of the course</i></p> <p><i>Marked work of said child is submitted for moderation whether part of the sample requested or not</i></p>	Teaching staff, EO, CD, AHA
An extension to the deadline for submission of marks is required for a legitimate reason	<p><i>Awarding body is contacted to determine if an extension can be granted</i></p> <p><i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (chapter 5), to determine eligibility and the process to be followed for non-examination assessment extension</i></p>	Teaching staff, EO, AHA
After submission of marks, it is discovered that the wrong task was given to candidates	<p><i>Awarding body is contacted for guidance</i></p> <p><i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (chapter 2), to determine eligibility and the process to be followed to apply for special consideration for candidates</i></p>	Teaching staff, CD, AHA, EO
A candidate wishes to appeal/request a review of the marks awarded for their work by their teacher	<p><i>Candidates are informed of the marks they have been awarded for their work prior to the marks being submitted to the awarding body</i></p> <p><i>Records confirm candidates have been informed of their marks</i></p> <p><i>Candidates are informed that these marks are subject to change through</i></p>	Teaching staff, CD, AHA, EO

	<p><i>the awarding body's moderation process</i></p> <p><i>Candidates are informed of their marks to the timescale identified in the centre's internal appeals procedure and prior to the internal deadline set by the Examinations Officer for the submission of marks</i></p> <p><i>Through email from EO and verbally from teachers, candidates are made aware of the centre's internal appeals procedures and timescale for submitting an appeal/request for a review of the centre's marking prior to the submission of marks to the awarding body</i></p>	
Deadline for submitting work for formal assessment not met by candidate	<p><i>Records confirm deadlines given and understood by candidates at the start of the course</i></p> <p><i>Candidates confirm/record deadlines known and understood</i></p> <p><i>Depending on the circumstances, awarding body guidance sought to determine if the work can be accepted late for marking providing the awarding body's deadline for submitting marks can be met</i></p> <p><i>Decision made (depending on the circumstances) if the work will be accepted late for marking or a mark of zero submitted to the awarding body for the candidate</i></p>	CD, Teaching staff
Deadline for submitting marks and samples of candidates work ignored by Subject Teacher	<p><i>Internal/external deadlines are published at the start of each academic year</i></p> <p><i>Reminders are issued through senior leaders/subject heads as deadlines approach</i></p> <p><i>Records confirm deadlines known and understood by Subject Teachers</i></p>	CD, Teaching staff

	<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>	CD, EO

Appendix 9: SPECIAL CONSIDERATION POLICY

What is Special Consideration?

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

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

[JCQ A guide to the special consideration process Chapter 1]

This document is further referred to in this policy as SC

Purpose of the Policy

The purpose of this policy is to identify roles and responsibilities in the special consideration process and confirms that [insert centre name] agrees to “submit any applications for special consideration where candidates meet the published criteria.”

[JCQ General regulations for approved centres Chapter 5]

Eligibility for Special Consideration

Roles and responsibilities

Head of Centre

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

Examinations Officer

- Understands the criteria as detailed in SC to determine where candidates will/will not be eligible for special consideration
- Ensures that, where relevant and in eligible situations, applications for special consideration will be submitted to awarding bodies

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

Candidates (or parents/carers)

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

Applying for Special Consideration

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

[SC 2]

Where a candidate may arrive for an exam and is clearly unwell, extremely distressed and/or may have sustained an injury that requires emergency access arrangements to be put in place:

- The candidate will be kept comfortable and under supervision from the required time while appropriate arrangements are put in place for them to take the exam in the best possible conditions
- A judgement will be made on how the candidate’s situation or disposition affected performance in the exam
- Where appropriate and where eligible, special consideration will be applied for

Where candidates may be affected by a major disturbance in the exam room (emergency evacuation etc.), special consideration is applied for on behalf of all candidates.

Where a candidate takes multiple exams (three or more exams) timetabled for the same day and the total duration for those papers is more than 6 hours for GCE exams (AS, A2, A-level) or more than 5 hours 30 minutes for GCSE exams including any approved extra time but not any time taken for supervised rest breaks, special consideration for an allowance on last paper taken will be applied for.

Where a candidate may be affected by a minor disturbance in the exam room caused by another candidate (momentary bad behaviour, mobile phone ringing etc.), special consideration cannot be applied for.

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

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

- Requesting an honorary certificate
- A short extension to controlled assessment/coursework/non-examination assessment deadlines
- Submitting a reduced quantity of controlled assessment/coursework/non-examination assessment (shortfall in work)
- Lost or damaged work
- Candidates taking an incorrect or defective question paper
- Candidates undertaking the wrong controlled assessment assignment

Where a candidate may be eligible for special consideration (a post assessment adjustment) in a vocational qualification, the centre will follow SC 7 and awarding body guidance to determine if, when and how an adjustment can be applied for.

Processing Applications for Special Consideration

Roles and responsibilities

Head of centre

- Ensures where a candidate may be a relative of the Examinations Officer, the application will be authorised by an alternative member of centre staff

Examinations Officer

- Ensures applications will be processed as required by the awarding bodies
- Keeps evidence to support applications on file until after the publication of results
- Meets the required deadline(s) for submitting applications

Teaching staff and/or ACCESS ARRANGEMENTS OFFICIER

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

Candidates (or parents/carers) will

- Will be asked to provide any required medical or other evidence that may be required to support an application for special consideration

Submitting Applications for Special Consideration

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

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

Timetabled written exams

- For GCE qualifications, applications for individual candidates will be submitted online by logging into the relevant awarding body secure extranet site and following the links to special consideration
- The processes for submitting a single application to cover all exams where a candidate is present but disadvantaged and a separate application for each day where a candidate is absent from an examination for an acceptable reason detailed in SC 6 will be followed
- For other qualifications, applications are submitted online where the awarding body's secure system accepts these
- The paper form 10 JCQ/SC Application for special consideration will only be completed and submitted to the awarding body where the online system does not accept applications for a particular qualification
- For groups of candidates, applications will be made online where the awarding body's secure system accepts group applications or form 10 will be completed
- The paper form 14 JCQ/ME Self certification for candidates who have missed an examination will only be completed by a candidate where circumstances warrant this and will not be used where the centre knows the candidate was ill.

Internally assessed work

- Where appropriate, applications will be made online where the awarding body's secure system accepts them or form 10 will be completed and submitted to the awarding body
- Where a short extension to a deadline is being requested an application will be submitted online or by direct email, dependent on the awarding body
- Where an application relates to a shortfall in work, this will be submitted online or by completing form 10, dependent on the awarding body
- Where an application relates to lost or damaged work, this will be submitted online or by completing form 15 JCQ/LCW Notification of lost centre assessed work, dependent on the awarding body

Post assessment adjustments – vocational qualifications

- Where relevant and eligible, form VQ/SC Application for special consideration Vocational qualifications will be completed and submitted to the awarding body
- Private candidates
- Any private candidate entered by the centre must liaise with the Examinations Officer (not the awarding body) regarding any application for special consideration

Appendix 10: WORD PROCESSOR POLICY (EXAMS)

Purpose of the Policy

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

References to 'AA' relate to JCQ Access Arrangements and Reasonable Adjustments 2021-2022 and ICE to JCQ Instructions for conducting examinations 2021-2022.

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

All correspondence relating to this policy document should be sent in the first instance, to the Senior Leadership Team and the Examinations Officer.

Principles for using a word processor

Guildhouse School London complies with AA chapter 4 Adjustments for candidates with disabilities and learning difficulties regulations and guidance as follows:

(AA 4.2.1)

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

(AA 4.2.2)

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

(AA 4.2.3)

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

(AA 4.2.4)

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

(AA 4.2.5)

The use of a word processor for candidates is only granted if it reflects the support given to the candidate as their 'normal way of working', which is defined as support:

- in the classroom (where appropriate); or
- working in small groups for reading and/or writing; or
- literacy support lessons; or
- literacy intervention strategies; and/or
- in internal school tests/examinations
- mock examinations

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

The use of a word processor

Guildhouse School London complies with AA chapter 5 Access arrangements available as follows:

(AA 5.8.1)

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

(AA 5.8.2)

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

(AA 5.8.3)

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

(AA 5.8.4)

- In all cases, ensures that a word processor cover sheet (Form 4) is completed and included with each candidate's typed script (according to the instructions issued by the individual awarding body)
- Does not simply grant the use of a word processor to a candidate because he/she prefers to type rather than write or can work faster on a keyboard, or because he/she uses a laptop at home

Word processors and their programmes

Guildhouse School London complies with ICE 8.8 Word processors instructions by ensuring:

- word processors are used as a type-writer, not as a database, although standard formatting software is acceptable
- word processors have been cleared of any previously stored data, as must any portable storage medium used
- an unauthorised memory stick is not permitted for use by a candidate
- where required, candidates are provided with a memory stick, which has been cleared of any previously stored data, by a nominated member of centre staff
- word processors are in good working order at the time of the examination
- word processors are accommodated in such a way that other candidates are not disturbed and cannot read the screen
- where a candidate using a word processor is accommodated separately, a separate invigilator is used
- word processors are either connected to a printer so that a script can be printed off, or have the facility to print from a portable storage medium
- documents are printed after the examination is over
- candidates are present to verify that the work printed is their own
- word processed scripts are inserted in/attached to any answer booklet which contains some of the answers (and according to instructions issued by the individual awarding body)
- word processors are used to produce scripts under secure conditions, and if they are not then the centre is aware that they may be refused by the awarding body
- word processors are not used to perform skills which are being assessed
- word processors are not connected to an intranet or any other means of communication.
- candidates are not given access to other applications such as a calculator (where prohibited in the examination), spreadsheets etc when using a word processor
- graphic packages or computer aided design software is not included on a word processor unless permission has been given to use these
- predictive text software or an automatic spelling and grammar check is disabled unless the candidate has been permitted a scribe or is using voice recognition technology (the script must have a completed scribe cover sheet included), or the awarding body's specification permits the use of automatic spell checking
- voice recognition technology is not included on word processors unless the candidate has permission to use a scribe or relevant software
- word processors are not used on the candidate's behalf by a third party unless the candidate has permission to use a scribe

Laptops and tablets

Guildhouse School London further complies with ICE 8.8 instructions by ensuring:

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

Accommodating word processors in examinations

- Candidates using word processors (including laptops or tablets) are internally accommodated in the following manner:
- Where possible in a separate exam room
- If in a larger room with other candidates sat at the back of the room to minimise disruption

Procedure for Facilitating Exams taken on a Laptop:

Before the exam:

- Arrange laptop as per seating plan, plug power adapter into wall.
- Turn on laptop.
- Log onto laptop using unique exams login details
- Profile will load
- Open WordPad
- Insert USB stick into USB port.

- The port will have this symbol next to it.
- Save the file to the USB drive and name the file as follows: centre number, candidate number, unit code
- Ask the candidate to write their centre number, candidate number and unit/component code at the top of the first page.
- Remind the candidate to keep saving their work.

During the exam:

- Remind the candidate to keep saving their work at appropriate intervals

End of exam:

- Ask the candidate to hit save once more and then close down the document.
- Go to the start button, click Computer and then click on the USB drive.
- Check the correct file has saved in there.
- Right click on the drive and select 'Eject' from the menu.
- The computer will then tell you it is safe to remove the hardware (USB).
- Remove the USB stick from the laptop.
- Candidate must be escorted to the exams office by an invigilator (with the USB stick)
- The Examinations Officer will print off the candidate's work.
- The candidate will write page numbers on each page.
- The candidate will write the centre number, candidate number and unit/component code on each page.
- The Examinations Officer will complete JCQ Form 4 – Word Processor cover sheet.
- The Examinations Officer and invigilator will sign the cover sheet.
- The Examinations Officer will securely attach this sheet to the candidate's work and process as usual with the other scripts.

Appendix 11: COMPLAINTS AND APPEALS ACCESS ARRANGEMENTS OFFICER PROCEDURE (EXAMS)

Purpose of the Policy

This procedure confirms Guildhouse London's compliance with JCQ's General Regulations for Approved Centres 2020-2021, section 5.7 that the centre has in place *"...a written complaints and appeals procedure which will cover general complaints regarding the centre's delivery or administration of a qualification."*

Grounds for Complaint

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

Teaching and learning

Quality of teaching and learning, for example:

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

Access arrangements

- Candidate not assessed by the centre's appointed assessor
- Candidate not involved in decisions made regarding his/her access arrangements

- Candidate did not consent to personal data being shared electronically (by the non-acquisition of a signed Data Protection Notice)
- Candidate not informed/adequately informed of the arrangements in place and the subjects or components of subjects where the arrangements would not apply
- Exam information not appropriately adapted for a disabled candidate to access it
- Adapted equipment put in place failed during exam/assessment
- Approved access arrangement(s) not put in place at the time of an exam/assessment
- Appropriate arrangements not put in place at the time of an exam/assessment as a consequence of a temporary injury or impairment

Entries

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

Conducting examinations

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

Results and Post-results

- Before exams, candidate not made aware of the arrangements for post-results services and the accessibility of senior members of centre staff after the publication of results
- Candidate not having access to a member of senior staff after the publication of results to discuss/make decision on the submission of an enquiry
- Candidate request for return of work after moderation and work not available/disposed of earlier than allowed in the regulations

- Candidate (or parent/carer) unhappy with a result (complainant to refer via Examinations 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 [insert who] to the centre's internal appeals procedure)
- Centre applied for the wrong post-results service/for the wrong exam paper for a candidate
- Centre missed awarding body deadline to apply for a post-results service
- Centre applied for a post-results service for candidate without gaining required candidate consent/permission

Complaints and appeals procedure

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

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

How to make a formal complaint

- A complaint should be submitted in writing by completing a complaints and appeals form
- Forms are available from the Examinations Officer
- Completed forms should be returned to the Examinations Officer
- Forms received will be logged by the centre and acknowledged within three calendar days

How a formal complaint is investigated

The head of centre will further investigate or appoint a member of the middle leadership team, under supervision of the Assistant Head (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 four working weeks.

Appeals

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

- Any appeal must be submitted in writing by again completing a complaints and appeals form
- Forms received will be logged by the centre and acknowledged within 3 calendar days
- The appeal will be referred to Head of Centre for consideration
- The Head of Centre will inform the appellant of the final conclusion in due course

Date Received	
----------------------	--

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



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Complaints and Appeals Log

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

Ref. No	Date Received	Complaint or Appeal	Outcome	Outcome Date

Appendix 12: VERIFYING CANDIDATE IDENTITY PROCEDURE

Verifying Candidate Identity Procedure

The identity of candidates sitting a written examination with Guildhouse London will be checked before the start of each written examination.

Placed on each desk will be a desk label, which contains a photograph of the candidate to sit the written paper at that particular session

- Candidates will be expected to wear their student ID card, which contains the same photo as the desk label
- Candidates will be instructed to place their student ID card on the desk, so that the invigilators can make sure this matches the desk label
- The Examinations Officer will be there to verify candidate identity, along with a senior member of staff present to check the identity of students
- Candidates who wear a veil for religious purposes, which obscures the face will be taken to a private room by the Examinations Officer plus a female invigilator. They will be asked to remove the veil so that their identity can be verified. Once this has been ascertained, the candidate can put their veil back in place, proceeding to the exam room as normal
- Private candidates will be expected to bring photographic documentary evidence (passport or photographic driving licence) to each and every written examination, reporting to the Head Invigilator, so that their identity can be verified. Private candidates will not be allowed to sit the examination without photographic evidence under any circumstances

Appendix 13: GENERAL DATA PROTECTION REGULATION POLICY (EXAMS)

Purpose of the Policy

This policy details how Guildhouse London (as part of CATS Global Schools in relation to exams management and administration, ensures compliance with the regulations as set out by the Data Protection Act 1998 until 24th May 2018 and the GDPR thereafter.

Students are given the right to find out what information (including personal data as defined in the GDPR)¹ the centre holds about them, how this is protected, how this can be accessed and how data breaches are dealt with.

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

- Processed fairly, lawfully and in a transparent manner
- Collected for specified, explicit and legitimate purposes
- Adequate, relevant and not excessive in relation to the purposes for which it is processed
- Accurate and where necessary kept up to date
- Kept (in a format which identifies candidates) for no longer than is absolutely necessary
- Kept safe and secure, including protecting against unauthorised or unlawful processing and against accidental loss, destruction or damage

In addition, a candidate's personal data will not be transferred outside the European Economic Area without adequate protection being put in place.

Exams-Related Information

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

Candidates' exams-related data may be shared with the following external bodies.

- Awarding bodies
- Joint Council for Qualifications (JCQ)
- Centre for Evaluation & Monitoring (CEM), Independent Schools Council (ISC), Independent Schools Inspectorate (ISI), British Council, Cambridge English Language Assessment, Department for Education, universities

¹ 1 any information relating to an identified or identifiable natural person ("data subject"); an identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person (Article 4 (1) GDPR)

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

- Hard copy
- Email
- Secure extranet site(s) –eAQA; OCR Interchange; Pearson Edexcel Online; CIE Direct.
- Management Information System (MIS) provided by Capita Unit-e, sending/receiving information via electronic data interchange (EDI) using A2C (<https://www.jcq.org.uk/about-a2c>) to/from awarding body processing systems; etc.

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

Informing Candidates of the Information Held

Guildhouse London ensures that candidates are fully aware of the information and personal data held by the centre.

All candidates are:

- Informed via information pack given once entries made
- Given access to this policy via written request

Candidates are made aware of the above once they have been entered for external examinations.²

² Personal data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs, or trade union membership, and the processing of genetic data, biometric data for the purpose of uniquely identifying a natural person, data concerning health or data concerning a natural person's sex life or sexual orientation (Article 9(1) GDPR).

Hardware and Software

The table below confirms how IT hardware, software and access to online systems is protected in line with GDPR requirements.

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Hardware	Protection measures	Warranty expiry
PC – Dell	<p>Encrypted disks; administrator access restricted to IT Staff; PC protected by real time Sophos antivirus; monthly security updates automatically deployed via MDT; users access profiles created for role specific requirements; user password policy rigorously enforced.</p> <p>Data transfer via Internal/External networks pass through successive levels of filtering and content/email checking to block Malware/Suspicious attachments and files</p>	<p>N/A</p> <p>Majority of equipment is out of warranty – security and protection is carried out by system/security/process not warranty which is for repair</p>
Laptop – Dell	As above	N/A
Laptop – Microsoft	As above	N/A
Server Systems – Dell	<p>Systems host key business software applications that support the academic operation.</p> <p>These servers are hosted in secure, dedicated Datacentres located in two principle CEG sites.</p> <p>These systems have restricted administrator access, full back-up regime, and user access to data is controlled by full AD authentication. Full event logging is in place.</p> <p>External access to networks and by default all IT equipment is protected by a combination of layers of security.</p>	Full support and maintenance agreement for all critical business systems

	<p>Every network perimeter point has a firewall (either Cisco and Fortinet). All Ciscos conduct URL filtering using Cisco Firepower, Fortigate utilise</p>	
	<p>Fortigard for content restriction and alerting.</p> <p>Data centres run a source fire module between the LAN and DC network.</p> <p>Egress filtering is all done via the Firepower rating system, destinations limited via DNS entries being locked down and restricting access. All secure configs are backed up using Solarwinds network config manager, and config backups compared against daily backups to highlight and alert against changes.</p> <p>Live changes are captured in Solarwinds and alerting set up. SSH and HTTPS secure authentication, and running SNMP V3, access to management infrastructure is via its own locked down subnet with limited user access.</p> <p>Admin interfaces are accessible via the internet ,and limited to specific external IPs.</p>	
User system security	<p>Regularly reviewed and monitored.</p> <p>Inactive or no longer required accounts are disabled and held in a graveyard account. Archive and deletion is depending on users role and need for making data available for ex- students.</p>	

	<p>Passwords are valid for 90 days then are compulsory changed, they must be a minimum of 12 mixed characters and cannot re-use the 5 previously used password.</p>	
Data Transfer – WIFI	<p>All systems transferring data via corporate WIFI are encrypted to WPA2</p> <p>Enterprise level. Guest WIFI access is via a PSK key</p>	
Software/online system		Protection measure(s)
Capita UNIT-e MIS		<p>We are aware of what data we store, and the level of sensitivity. All databases are reliant on network security and perimeter control. Access controls are in place and monitoring of the server event logs.</p> <p>Administrator accounts regularly reviewed and monitored. Restricted access to admin level privileges. Access requests go through an approval process. Local admin rights restricted to reduce client's ability to run executables.</p> <p>Inactive or no longer required user accounts are disabled and held in a graveyard account. Archive and deletion is depending on user's role and need for making data available for ex- students.</p> <p>Applications are monitored and logged using Solarwinds. Live changes are captured in Solarwinds.</p> <p>Anti-malware detection and eradication using Sophos AV which is installed on all Client machines.</p> <p>All server systems are patched in monthly maintenance windows to ensure that all appropriate system updates and security patches are applied.</p> <p>Every perimeter has a firewall and URL filtering.</p> <p>Configs are backed up using Solarwinds network config manager, and config backups compared against daily backups to highlight and alert against changes.</p>

	<p>Admin interfaces are accessible via the internet and limited to specific external IPs.</p> <p>We engage an external security firm to conduct penetration testing on CEG systems and conduct regular internal testing using proprietary tools.</p>
CEG Shackleton Staff Portal	<p>As Above.</p> <p>Access control via AD authentication</p> <p>Password Policy in place - Passwords are valid for 90 days then are compulsorily changed, they must be a minimum of 12 mixed characters and cannot re-use the 5 previously used passwords.</p>

CEG Ernest Student Portal	As Above.
Internet browser(s)	<p>Currently we do not operate restrictions to a single browser due to limitations within 3rd Party applications targeting specific browsers.</p> <p>Browsers used within CEG are Chrome, Firefox, Safari and IE. Automatic updates are applied and certain administrative functions are locked down.</p> <p>URL Filtering is employed across CEG to restrict content access.</p> <p>Firewalls restrict access to the ports made available. Hosts are locked down, and networks are segmented.</p>
Awarding body secure extranet site(s); A2C, eAQA; OCR Interchange; Pearson Edexcel Online; CIE Direct	

Dealing with Personal Data Breaches

Although personal data is handled in line with the GDPR, sometimes a personal data breach may still occur for any of the following reasons:

- Loss or theft of data or equipment on which personal data is stored
- Inappropriate access controls allowing unauthorised use
- Equipment failure
- Human error
- Unforeseen circumstances such as a fire or flood
- Hacking attack

- ‘Blagging’ offences where personal data is obtained by deceiving the organisation who holds it

If a personal data breach is identified, the centre must immediately notify CEG’s Data Protection Officer (“DPO”). The DPO will take the lead with the following steps:

Assessment of whether a Personal Data Breach needs to be notified

The DPO will assess whether the personal data breach needs to be notified to the Information Commissioner’s Office (ICO) and to individual candidates.

In both cases, the DPO will make a recommendation to the CEG executive team regarding notification in line with the GDPR and official guidance on personal data breach notification. The

executive team will decide whether to notify and their decision will be final. Both the DPO’s recommendation and the CEG executive team’s decision will be recorded as part of CEG’s accountability obligations under the GDPR.

Containment and Recovery

It will be established:

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

Assessment of Ongoing Risk

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

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

Evaluation and Response

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

- Reviewing what personal data is held and where and how it is stored
- Identifying where risks and weak points in security measures lie (for example, use of portable storage devices or access to public networks)
- Reviewing methods of sharing of personal data and transmission
- Increasing staff awareness of security when handling personal data and filling gaps through training or tailored advice
- Reviewing contingency plans
- Documenting the facts relating to the personal data breach, its effects and remedial action taken to ensure CEG's compliance with the accountability requirements of the GDPR.

Candidate Information, Audit and Protection Measures

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

An information audit is conducted annually.

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

Protection measures include:

- Secure drive accessible only to selected staff
- Secure destruction of data once deadline for retention has passed
- Password policies
- Anti-malware software

Data Retention Periods

Details of retention periods, the actions taken at the end of the retention period and method of disposal are contained in the centre's Exams archiving policy which is accessible via the Exams Policy on Shackleton or by requesting a copy from the Examinations Officer.

Access to Information

Current and former candidates can request access to the personal data held on them by making a subject access request to the Data Protection Officer in writing/email. The email address from which the request comes from will be cross-checked against the student record on Shackleton. If the email address does not appear on the student record, then the candidate will need to confirm their identity by scanning and emailing a colour copy of their passport and a recent utility bill. Requests will be dealt with within 1 month.

Third Party Access

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

Candidates' personal data will not be shared with a third party unless a request is accompanied with permission from the candidate. Permission must be provided in the form of an email from a verified email address on the student's record.

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

Table Recording Candidate Exams-Related Information Held

Information type	Information description (where required)	What personal/ special category data is/may be contained in the information	Where information is stored	How information is protected	Retention period
Access arrangements information	Information collected by Access Arrangements Officer to process access arrangements	Candidate name Candidate DOB Gender Data protection notice (candidate signature) Diagnostic testing outcome(s) Specialist report(s) (may include candidate address) Evidence of normal way of working	Access arrangements online Shackleton Lockable metal filing cabinet Sharepoint Access Arrangements folder	Secure user name and password In secure area solely assigned to members of staff Only accessible to Exams staff Only accessible to Exams staff	Retained as long as pupil records are as defined in the Retention Policy
Attendance registers copies	Registers record attendance at each written exam, are kept with seating plan and exam room incident log	Candidate name Presence at exam	Lockable filing cabinet	Only accessible by EO staff	To be retained until the deadline for RoRs or the resolution of any outstanding enquiries/appeals for the relevant exams series.
Candidates' work	Controlled assessments, coursework and non-examination assessments	Candidate name Candidate number Candidate marks and grades	Secure storage	Only accessible by EO staff	Retained until the post-results period has been completed for that exam series

Information type	Information description (where required)	What personal/ special category data is/may be contained in the information	Where information is stored	How information is protected	Retention period
Certificates	Record of achievement	Candidate name Candidate number UCI number Candidate ODB Candidate marks and grades	Lockable filing cabinet	Only accessible by EO staff	Retained securely for a minimum of 12 months from date of issue.
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	Candidate name Candidate number UCI number Candidate ODB Candidate marks and grades	In Examinations Sharepoint > Archive	Only accessible by EO staff	To be retained for 4 years from the date of certificate destruction.
Certificate issue information	A record of certificates that have been issued to candidates.	Candidate name Candidate number Candidate qualifications	Certificate collection file. Copies of post receipts or students sign-out in person, scanned and saved in file.	Only accessible by EO staff	Indefinite
Entry information	A record of which qualifications candidates have been entered for.	Candidate name, number, CEG number, preferred name, personal tutor, programme of study, qualification information	In Examinations Sharepoint > Entries folder in each academic year	Only accessible by EO staff and emailed to Head of Centre	Retained until the post-results period has been completed for that exam series
Exam room incident logs	Logs detailing the chronological activity happening in exam rooms from start to finish	Candidate name Candidate number Candidate toilet breaks	With the corresponding attendance register and seating plan in lockable filing cabinet	Only accessible by EO staff	To be retained until the deadline for RoRs or the resolution of any outstanding enquiries/appeals for the relevant exams series.
Information type	Information description (where required)	What personal/ special category data is/may be	Where information is stored	How information is protected	Retention period

		contained in the information			
Overnight supervision information	Copy of JCQ form Timetable variation and confidentiality declaration for overnight supervision for any candidate eligible for these arrangements.	Candidate name Candidate number Candidate address	In Exams Sharepoint	Only accessible by EO staff	To be retained indefinitely for JCQ inspection purposes.
Post-results services: confirmation of candidate consent information	Hard copy or email record of candidate consent for an EAR or ATS request to be submitted to an awarding body	Candidate name Candidate number Candidate results information	Post-results services file for relevant academic year	Only accessible by EO staff. Only shared with CD and APA/Head of Centre.	RoR consent to be retained for at least six months following the outcome of the enquiry or any subsequent appeal. ATS consent to be retained for at least six months from the date consent given.
Post-results services: requests/outcome information	Any hard or digital copies of 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.	Candidate name Candidate number Candidate results information	Post-results services file for relevant academic year	Only accessible by EO staff. Only shared with CD and APA/Head of Centre.	Retained for at least six months following the outcome of the enquiry or any subsequent appeal.
Post-results services: scripts provided by ATS service	Copy, digital or original exam scripts returned to the centre by the awarding body.	Candidate name Candidate number Candidate results information	Where scripts are retained by the centre, they are securely stored (including any	Only accessible by EO staff.	n/a returned to the requester after the post-results period is complete

			electronic versions) and not edited in any way or disposed of until after the awarding body deadline.		
Information type	Information description (where required)	What personal/special category data is/may be contained in the information	Where information is stored	How information is protected	Retention period
Post-results services: tracking logs	A log tracking to resolution all post-results service requests submitted to awarding bodies.	Candidate name Candidate number Candidate results information	Post-results services file for relevant academic year	Only accessible by EO staff.	Retained for at least six months following the outcome of the enquiry or any subsequent appeal.
Private candidate information	Any hard or digital copy information relating to private candidates' entries.	Candidate name, address, candidate number, email, phone number, date of birth and gender	In Exams Sharepoint > Entries	Only accessible by EO staff.	To be retained until the deadline for RoRs or the resolution of any outstanding enquiries/appeals for the relevant exams series.
Resolving clashes information	Any information relating to the resolution of a candidate's clash of exam papers or a timetable variation.	Candidate name, candidate number	In Exams Sharepoint > Entries	Only accessible by EO staff.	To be retained until the deadline for RoRs or the resolution of any outstanding enquiries/appeals for the relevant exams series.
Results information	Broadsheets of results summarising candidate final grades by subject by exam series.	Candidate name, candidate number, DOB, gender, result information	In Exams Sharepoint > Results for the relevant academic year	Only accessible by EO staff.	Records for current year plus previous 6 years to be retained as a minimum.
Seating plans	Plans showing the seating arrangements of	Candidate name	With the corresponding attendance	Only accessible by EO staff.	To be retained until the deadline for RoRs or the resolution of any

	all candidates for every exam taken.	Candidate number Candidate toilet breaks	register and incident log in lockable filing cabinet		outstanding enquiries/appeals for the relevant exams series.
Information type	Information description (where required)	What personal/special category data is/may be contained in the information	Where information is stored	How information is protected	Retention period
Special consideration information	Any hard or digital copies of information relating to a special consideration request and supporting evidence submitted to an awarding body for a candidate.	Candidate name Candidate number Candidate date of birth Candidate medical information	Lockable filing cabinet	Only accessible by EO staff.	To be retained until the deadline for RoRs or the resolution of any outstanding enquiries/appeals for the relevant exams series.
Suspected malpractice reports/outcomes	Any hard or digital copies of information relating to a suspected malpractice investigation/report submitted to an awarding body and outcome information from the awarding body.	Candidate name Candidate number	On Exams Sharepoint, filed by Academic Year > Malpractice	Only accessible by EO staff, APA, VP and Head of Centre	To be retained until the deadline for RoRs or the resolution of any outstanding enquiries/appeals for the relevant exams series.
Transfer of credit information	Any hard or digital copies of information relating to a GCE AS transfer of credit arrangement (for a legacy unitised GCE AS specification) application submitted to an awarding body for a candidate.	Candidate name Candidate number Candidate UCI	In Exams Sharepoint > Transfer of credit	Only accessible by EO staff, APA, VP and Head of Centre	To be retained until the issue of the GCE A level result for the candidate.

Information type	Information description (where required)	What personal/special category data is/may be contained in the information	Where information is stored	How information is protected	Retention period
Transferred candidate information	Any hard or digital copies of information relating to an application for a transferred candidate arrangement submitted to an awarding body for a candidate.	Candidate name Candidate number Candidate UCI	In Exams Sharepoint > Transfer of credit	Only accessible by EO staff, APA, VP and Head of Centre	To be retained until the transfer arrangements are confirmed by the awarding body.
Very late arrival reports/outcomes	Any hard or digital copies of information relating to a very late arrival report submitted to an awarding body for a candidate and outcome information from the awarding body.	Candidate name Candidate number	In Exams Sharepoint > Academic Year > Very late arrivals	Only accessible by EO staff, APA, VP and Head of Centre	To be retained until the deadline for RoRs or the resolution of any outstanding enquiries/appeals for the relevant exams series.



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