



## Kesteven & Sleaford High School

### A Robert Carre Trust School

#### Examinations Policy

##### Rationale

Public examinations provide vital summative assessment, generally at the end of a Key Stage. This assessment gives information to students, parents, other education institutions, local authority and government agencies and employers about knowledge, understanding and skills achieved. To this end the school participates willingly in the administration of these examinations in the best interests of the students and the school. In addition, other internally set and marked examinations may take place at other stages in a student's progress through the school in order to both prepare for public examinations and check student learning.

##### Purpose

To ensure that:

- The exams system in this school combines entitlement with flexibility;
- Students are given the opportunity to demonstrate the highest achievement of which they are capable and competent; administration helps them to achieve their best;
- Students undertake examinations knowing what is expected of them in terms of preparation and behaviour;
- Students and parents are guided in their decisions about whether to withdraw an examination entry and to do so with full knowledge of the implications for careers or future education;
- Staff understand fully their obligations and responsibilities with relation to examinations; they are well informed and supported
- All exams and assessments are conducted according to JCQ and awarding body regulations, guidance and instructions, thus maintaining the integrity and security of the exam/assessment system at all times.
- All aspects of the school's exam process is documented, supporting the exams contingency plan, and other relevant exams-related policies, procedures and plans are signposted to
- Accurate examination data is available to inform target setting;
- Curriculum planning, target setting and careers links take into account up-to-date information on the current examinations system.

##### Guidelines

Responsibilities for public examinations:

- **Head of School (Head of Centre)** – The 'Head of Centre' is the most senior operational officer on the organisation. It is the responsibility of the Head of Centre to ensure that all staff comply with the instructions in this policy.
- **Senior Team** – organisation of teaching and learning and therefore of the opportunities for external validation of courses followed at Key Stage 4 and post-16. Assistant Head Curriculum line manages the Exams Officer and supports in the logistical arrangements for examinations, referring queries to the Head of Centre where necessary;
- **Exams Officer** – administration of entries, relevant paperwork, organisation of examination sessions and examination data, posting of examination papers and post results procedures;
- **Invigilators** – supervise the organisation and conduct of the examinations.

## **Introduction to Public Examinations**

Each school within The Robert Carre Trust operates as a separate centre for examinations purposes and administration. There is an expectation that all students who have completed a course in any Ofqual-approved qualification will be entered for the external examination, including coursework, internal assessment or Non-Examination Assessment requirements.

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

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

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

*The departments concerned must have provided ample advice and opportunity for a student in difficulties to make up any lost ground. Clear deadlines and targets must have been set.*

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

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

## **Additional Needs and Access Arrangements**

Applications for access arrangements are overseen by the SENCO in collaboration with the examinations office. (See Appendix 2) Protocols are revised and updated annually in line with the Joint Council for Qualifications (JCQ) regulations.

The expectation of JCQ is that wherever access arrangements are put in place for exams that as far as possible they are in line with normal working practice.

## **GCSE and GCE**

Late fees are payable if the examination board's deadlines are not met. These may be charged to the relevant departments. Information regarding individual students' (syllabus code, option code, tier level etc.) must be made available to the Examinations Officer using the correct pro-forma at least two weeks before the examination boards' deadlines for the relevant examination season, as notified by the Examinations Officer in the schedule of key dates published in September.

The printout of entries must be signed as correct and returned to the Examinations Officer, a copy being kept for departmental records.

Non-Examination Assessments will be supported by the Examinations Office and suitable supervision 3 arrangements made if requested by Heads of Subject.

It is the subject leader's responsibility to ask the Examinations Officer to claim an award (Cash-in) for all students at the end of an AS course, whether or not they are continuing their subject to A-level. This also applies to any student who leaves the sixth form after completing the AS qualification.

## **BTEC**

BTEC registration is usually done via EDI by the Examinations Office before the end of November for the following summer. Data is supplied by the responsible Head of Subject and printouts checked and signed as for GCSE above. Late fees may be payable if the examination boards' deadlines are not met. These may be charged to the relevant departments.

All registrations are entered by the Examinations Office.

## **External Candidates**

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

## **Examinations Information**

Students will be informed of their examination entries by a printout of their personal subject entry list and by copies of their personal timetables, which will be circulated as soon as available, but not less than two weeks before the date of the examination.

Seating plans will be posted outside Examination Halls on the morning of exams.

At the beginning of every examination, the subject leader or a representative should be present to check attendance with an up-to-date list of entries, and to carry out any administrative checks regarding the paper requested by the Examinations Officer.

Except for the administrative checks required above, no teacher is admitted to any Examinations Hall or room. No teacher may have access to the paper until the day after the examination. Any teacher arriving unannounced in the Examinations Hall without authority to carry out the administrative checks may be required to stay until the end of the examination.

All invigilation is carried out by appointed and trained (JCQ Regs) invigilators under the direction of the Examinations Officer.

The identity of all candidates (internal and external) will be verified through the use of photographic evidence such as school records, passports and driving licences as appropriate.

## **Invigilators**

Invigilators are paid an hourly rate based on the required time for each examination. They are expected to arrive at least 45 minutes to one hour before the starting time for the examination session and carry out any duties directed by the Examinations Officer. They will receive a detailed briefing before every exam session.

Invigilators have any responsibility delegated by the Examinations Officer in respect of the conduct of the examination, including necessary supervision and direction of students in and around the 4 examination halls.

Invigilators are directed to keep records of all matters relating to the administration and conduct of the examinations. Any of these records may be inspected by JCQ Examinations Inspectors.

Invigilators receive annual training updates of JCQ and UAB requirements and instruction in the standards required by The Robert Carre Trust. It is a condition of employment that all attend at least one training session.

Recruitment of invigilators is in line with all other staff recruitment and follows the principles laid down in Safe Recruitment. Appointment is subject to interview and successful clearance being received from DBS.

### **Inspection of Arrangements**

JCQ (Joint Council for Qualifications) Inspectors will arrive without notice to inspect and report on all arrangements connected with the administration of examinations, including security and the identities of people authorised to be in the examination room. Their report is passed to all the examination boards and is available for OFSTED.

Facilities for the secure storage of all examination materials and papers in the separate centres will be used; these have been regularly inspected by JCQ and been assessed as fit for purpose. Teachers may not access these facilities.

### **Publication of Results**

Results are available electronically in each school for the use of the Senior Leadership teams only on the day before Publication of Results to students. The results will be downloaded by the Examinations Officer through EDI and other methods approved by JCQ.

Results will be published according to the plans published by the Examinations Officer in consultation with the SLT.

Teachers may not access the results until the morning of Publication Day.

Students may have no access to results until the official publication time appointed by the examination boards.

EAR (Enquiries about Results) services are available to students and staff immediately on publication of results. Any query or uncertainty about the veracity or reliability of marking should immediately be passed to the Examinations Officer, who will provide any necessary support to resolve the uncertainty and explain any procedures that may need to be followed.

### **Internal Examinations**

The Examinations Officer assists the Assistant Head in the administration and running of mock GCSE, GCE and other internal examinations, where invigilation and examination conditions are similar to the arrangements for public examinations.

### **STEP, BMAT, ELAT, PPE and other tests**

These tests may be arranged and run with Examination Office support and/or other suitably trained personnel. Administration and tests will be conducted in line with the regulations laid down by the relevant awarding body.

University entrance tests will be run according to the regulations set down by the various institutions requiring the assessment or test.

**Agreed by SLT January 2021**

**Next Review due January 2022 (annually)**

## **Appendices**

1. Exam Contingency Plan
  - 1.a Escalation Process
2. Internal Appeals Procedure
3. Non-Examination Assessments Policy
4. Emergency Evacuation Policy
5. Use of Word Processors
6. Complaints and appeals procedure
7. Identification of Candidates
8. EAR policy
9. Process to check qualifications of centre's assessor
10. Safeguarding Policy (see [www.robertcarretrust.uk](http://www.robertcarretrust.uk) website)
11. GDPR Policy relating to exams
12. Disability policy
13. BTEC Policy
14. Exams Procedures - Internal Document Only

# Exam contingency plan

## 2020-21

This plan is reviewed annually to ensure compliance with current regulations

Approved/reviewed by	
Date of next review	

## Key staff involved in contingency planning

Role	Name(s)
Head of centre	<b>Josephine Smith</b>
Exams officer line manager (Senior Leader)	<b>Gaynor White</b>
Exams officer	<b>Sarah Ross</b>
SENCo	<b>Debbie Collett</b>
SLT member(s)	

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## Purpose of the plan

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

Alongside internal processes, this plan is informed by the Ofqual *contingency plan: England, Wales and Northern Ireland* which provides guidance in the publication *What schools and colleges and other centres should do if exams or other assessments are seriously disrupted* and the JCQ Joint Contingency Plan in the event of widespread disruption to the Examination System in England, Wales and Northern Ireland.

This plan also confirms KSHS is compliant with the JCQ regulation (section 5.3, *General Regulations for Approved Centres 2020-21*) that the centre *has in place a written examination contingency plan which covers all aspects of examination administration. This will allow members of the senior leadership team to act immediately in the event of an emergency or staff absence. The examination contingency plan should reinforce procedures in the event of the centre being unavailable for examinations, or on results day, owing to an unforeseen emergency.*

## Possible causes of disruption to the exam process

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

#### Criteria for implementation of the plan

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

#### *Planning*

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

#### *Entries*

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

#### *Pre-exams*

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

#### *Exam time*

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

#### *Results and post-results*

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

Centre actions to mitigate the impact of the disruption

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

**2. SENCo extended absence at key points in the exam cycle**

Criteria for implementation of the plan

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

*Planning*

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

*Pre-exams*

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

*Exam time*

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

Centre actions to mitigate the impact of the disruption

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

**3. Teaching staff extended absence at key points in the exam cycle**

Criteria for implementation of the plan

*Key tasks not undertaken including:*

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

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

*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

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

#### 4. Invigilators - lack of appropriately trained invigilators or invigilator absence

##### Criteria for implementation of the plan

*Failure to recruit and train sufficient invigilators to conduct exams*

*Invigilator shortage on peak exam days*

*Invigilator absence on the day of an exam*

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

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

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

##### Criteria for implementation of the plan

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

*Insufficient rooms available on peak exam days*

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

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

Alternative venues to be sourced from the cover supervisor.

#### 6. 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

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

#### 7. 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

Emergency evacuation policy to be followed

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

Criteria for implementation of the plan

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

Centre actions to mitigate the impact of the disruption

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

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

Criteria for implementation of the plan

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

Centre actions to mitigate the impact of the disruption

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

**10. Centre unable to open as normal during the examinations period (including in the event of the centre being unavailable for examinations owing to an unforeseen emergency)**

Criteria for implementation of the plan

*Centre unable to open as normal for scheduled examinations*

Centre actions to mitigate the impact of the disruption

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

**11. Disruption in the distribution of examination papers**

Criteria for implementation of the plan

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

Centre actions to mitigate the impact of the disruption

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

**12. Disruption to the transportation of completed examination scripts**

Criteria for implementation of the plan

*Delay in normal collection arrangements for completed examination scripts*

Centre actions to mitigate the impact of the disruption

Where examinations are part of the national 'yellow label' service or where awarding organisations arrange collections, centres should seek advice from awarding organisations and should not make their own arrangements for transportation unless told to do so by the awarding organisation.

For any examination where centres make their own arrangements for transportation, centres should investigate alternative dispatch options that comply with the requirements detailed in the JCQ Instructions for conducting Examinations.

Centre to ensure secure storage of completed examination papers until collection,

**13. Assessment evidence is not available to be marked**

Criteria for implementation of the plan

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

Centre actions to mitigate the impact of the disruption

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

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

Criteria for implementation of the plan

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

Centre actions to mitigate the impact of the disruption

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

(Facilitation of post results services: - centre to make arrangements to make post results requests at an alternative location ☒ centres to contact the relevant awarding organisation if electronic post results requests are not possible)

# Further guidance to inform procedures and implement contingency planning

## Ofqual

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

### 1. Contingency planning

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

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

#### 1.1 Covid specific guidance:

- [Guidance for schools Covid-19](#) from the Department for Education in England (subject to frequent updates as the situation changes)
- [Responsibility for autumn GCSE, AS and A level exam series](#) from the Department for Education in England
- [Action for FE Colleges](#) from the Department for Education in England
- [Public health guidance to support autumn exams](#) from the Department for Education
- [Education and childcare: coronavirus](#) from Welsh Government
- [Covid-19 - guidance for school and educational settings](#) from Department of Education in Northern Ireland

#### 1.2 General contingency guidance

- [Emergency planning and response](#) from the Department for Education in England
- [Opening and closing local-authority-maintained schools](#) from the Department for Education in England
- [Exceptional closure days](#) from the Department of Education in Northern Ireland
- [Checklist - exceptional closure of schools](#) from the Department of Education in Northern Ireland
- [School closures](#) from NI Direct
- [Opening schools in extremely bad weather](#) - guidance for schools from the Welsh Government
- [Procedures for handling bomb threats](#) from the National Counter Terrorism Security Office.

### 2. Disruption to assessments or exams

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

You should discuss alternative arrangements with your awarding organisation if:

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

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

### 3. Steps you should take

#### 3.1 Exam planning

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

#### 3.2 In the event of disruption

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

6. Communicate with parents, carers and students any changes to the exam or assessment timetable or to the venue.
7. Communicate with any external assessors or relevant third parties regarding any changes to the exam or assessment timetable.

### **3.3 After the exam**

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

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

##### **4.1 Exam planning**

Establish and maintain, and at all times comply with, an up-to-date, written contingency plan.

Ensure that the arrangements in place with centres and other third parties enable them to deliver and award qualifications in accordance with their conditions of recognition.

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

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

##### **4.3 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.

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

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

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

See also:

- [JCQ's guidance on special considerations](#)

#### **6. Wider communications**

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

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

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

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

#### **7. Widespread national disruption**

The governments' view across England, Wales and Northern Ireland was that education should continue in 2020/21 with schools remaining open and that examinations and assessments will go ahead in both autumn 2020 and summer 2021. That position has now changed with GCSEs and A levels unlikely to go ahead as planned

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

We will update our practice as necessary should national disruption occur with any further relevant links. An additional CAG protocol will be created as required

[Ofqual guidance extract above taken directly from the *Exam system contingency plan: England, Wales and Northern Ireland - What schools and colleges and other centres should do if exams or other assessments are seriously disrupted*, (updated 01 October 2020) <https://www.gov.uk/government/publications/exam-system-contingency-plan-england-wales-and-northern-ireland/what-schools-and-colleges-should-do-if-exams-or-other-assessments-are-seriously-disrupted>]

## JCQ

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

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

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

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

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

15.5 The awarding bodies will designate a 'contingency day' for examinations. This is consistent with the qualification regulators' document *Exam system contingency plan: England, Wales and Northern Ireland* - <https://www.gov.uk/government/publications/examsystem-contingency-plan-england-wales-and-northern-ireland>

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

In the event that there is national disruption to a day of examinations in summer 2021, the awarding bodies will liaise with the qualification regulators and government departments to agree the most appropriate option for managing the impact. As a last resort the affected examinations will be rescheduled. Although every effort would be taken to keep the impact to a minimum, it is possible that there could be more than one timetable date affected following the disruption, up to and including the contingency day. Centres will be alerted if it was agreed to reschedule the examinations and the affected candidates will be expected to make themselves available in such circumstances. The decision regarding the re-scheduling of examinations will always rest with the awarding body. The centre must conduct the examination on the scheduled date unless instructed to do otherwise by the awarding body.

Where candidates choose not to be available for the rescheduled examination(s) for reasons other than those traditionally covered by special consideration, they will not be eligible for enhanced grading arrangements. Centres must therefore ensure candidates and parents are aware of this contingency arrangement so that they may take it into account when making their plans for the summer. However, the awarding bodies will not insist upon candidates being available throughout the entire timetable period as a matter of course.

[JCQ guidance above taken directly from JCQ *Instructions for Conducting Examinations 2020-21*

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

JCQ Joint Contingency Plan <http://www.jcq.org.uk/exams-office/other-documents>

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

Guidance notes on *alternative site* arrangements <http://www.jcq.org.uk/exams-office/online-forms>

Guidance notes concerning *transferred candidates* <http://www.jcq.org.uk/exams-office/online-forms>

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

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



## **GOV.UK**

*Emergency planning and response: Severe weather; Exam disruption*

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

Opening and closing local-authority-maintained schools [www.gov.uk/government/publications/school-organisation-maintained-schools](http://www.gov.uk/government/publications/school-organisation-maintained-schools)

*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>

## **Wales**

*School closures – opening schools in extreme bad weather*

<http://gov.wales/topics/educationandskills/publications/guidance/schoolclosuresfaq/?lang=en>

## **Northern Ireland**

*Exceptional closure days* <https://www.education-ni.gov.uk/articles/exceptional-closure-days>

*Checklist for Principals when considering Opening or Closure of School* <https://www.education-ni.gov.uk/publications/checklist-exceptional-closure-schools>

*School closures* <https://www.nidirect.gov.uk/articles/school-closures>

## **National Counter Terrorism Security Office**

Procedures for handling bomb threats [www.gov.uk/government/publications/bomb-threats-guidance/procedures-for-handling-bomb-threats](http://www.gov.uk/government/publications/bomb-threats-guidance/procedures-for-handling-bomb-threats)

# Escalation Process

## 2020/21

This process is reviewed annually to ensure compliance with current regulations

Approved/reviewed by	
Date of next review	

## Purpose of the process

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

## Before examinations (Planning)

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

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

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

### Main duties and responsibilities relate to:

- Centre status
- Confidentiality
- Communication
- Recruitment, selection and training of staff
- Internal governance arrangements
- Delivery of qualifications
- Public liability
- Conflicts of interest
- Controlled assessments, coursework and non-examination assessments
- Security of assessment materials
- National Centre Number Register
- Centre inspections

Additional JCQ publication for reference:

- Centre Inspection Service Changes

- Policies

Specific JCQ publications for reference:

- General Regulations for Approved Centres (section 5)
- Instructions for conducting examinations (section 25)
- Access Arrangements and Reasonable Adjustments (section 5)

- Personal data, freedom of information and copyright

Additional JCQ publication for reference:

- Information for candidates – Privacy Notice

## Before examinations (Entries and Pre-exams)

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

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

- General Regulations for Approved Centres (section 5)
- Instructions for conducting examinations (sections 1-15)
- Access Arrangements and Reasonable Adjustments (sections 6-8)

### Main duties and responsibilities relate to:

- Access arrangements and reasonable adjustments
- Entries

Additional JCQ publications for reference:

- Key dates in the examination cycle
- Guidance Notes for Transferred Candidates
- Alternative Site guidance notes
- Guidance notes for overnight supervision of candidates with a timetable variation

- Centre assessed work

Additional JCQ publication for reference:

- Guidance Notes – Centre Consortium Arrangements

- Candidate information

Additional JCQ publications for reference:

- Information for candidates documents
- Exam Room Posters

## During examinations (Exam time)

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

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

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

### Main duties and responsibilities relate to:

- Conducting examinations and assessments

Additional JCQ publication for reference:

- Guidance Notes – Very Late Arrival
- Malpractice
- Retention of candidates' work

## After examinations (Results and Post-Results)

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

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

- General Regulations for Approved Centres (section 5)

### **Main duties and responsibilities relate to:**

- Results

Additional JCQ publication for reference:

- Release of Results notice

- Post-results services and appeals

Additional JCQ publications for reference:

- Post-Results Services
- JCQ Appeals Booklet (A guide to the awarding bodies' appeals processes)

- Certificates

# Internal appeals procedures

## 2020-21

These procedures are reviewed annually to ensure compliance with current regulations

Approved/reviewed by	
Date of next review	

## 1. Appeals against internal assessment decisions (centre assessed marks)

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

This procedure confirms KSHS's compliance with JCQ's *General Regulations for Approved Centres 2020-21* section 5.7 that the centre will:

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

Certain components of GCSE and GCE (legacy GCE coursework, GCE and GCSE 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 2021 exam series)**

#### **These are available on p40/41**

KSHS is committed to ensuring that whenever its staff mark candidates' work this is done fairly, consistently and in accordance with the awarding body's specification and subject-specific associated documents.

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

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

KSHS will

1. ensure that candidates are informed of their centre assessed marks so that they may request a review of the centre's marking before marks are submitted to the awarding body.
2. inform candidates that they will need to explain on what grounds they wish to request a review of an internally assessed mark as a review will only focus on the quality of their work in meeting the published assessment criteria

3. inform candidates that they may request copies of materials (for example, as a minimum, a copy of their marked assessment material (work) and the mark scheme or assessment criteria plus additional materials which may vary from subject to subject, to assist them in considering whether to request a review of the centre's marking of the assessment.
4. having received a request for copies of materials, promptly make them available to the candidate (or for some marked assessment materials, such as art work and recordings, inform the candidate that these will be shared under supervised conditions) within four calendar days.
5. Inform candidates they will not be allowed access to original assessment material unless supervised
6. provide candidates with sufficient time in order to allow them to review copies of materials and reach a decision, informing candidates that if their decision is to request a review they will need to explain what they believe the issue to be
7. provide a clear deadline for candidates to submit a request for a review of the centre's marking. Requests will not be accepted after this deadline. Requests must be made in writing within 3 calendar days of receiving copies of the requested materials by completing the **internal appeals form**.
8. allow seven calendar days for the review to be carried out, to make any necessary changes to marks and to inform the candidate of the outcome, all before the awarding body's deadline.
9. ensure that the review of marking is carried out by an assessor who has appropriate competence, has had no previous involvement in the assessment of that candidate and has no personal interest in the review.
10. instruct the reviewer to ensure that the candidate's mark is consistent with the standard set by the centre.
11. inform the candidate in writing of the outcome of the review of the centre's marking.

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

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

The moderation process carried out by the awarding 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.

## **2. 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 KSHS's compliance with JCQ's *General Regulations for Approved Centres 2020/21 section 5.13* 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. Full details of these services, internal deadlines for requesting a service and fees charged are provided by the exams officer.

Candidates are also informed of the arrangements for post-results services and the availability of senior members of centre staff immediately after the publication of results **before** they sit any exams by information in assembly time and a letter home.

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

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

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

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

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

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

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

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

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

7. Where relevant, advise an affected candidate to inform any third party (such as a university or college) that a review of marking has been submitted to an awarding body]

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

and JCQ Appeals Booklet (A guide to the awarding bodies' appeals processes <https://www.jcq.org.uk/exams-office/appeals>) 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 five calendar days of the notification of the outcome of the RoR. Subject to the head of centre's decision, this will allow the centre to process the preliminary appeal and submit to the awarding body within the required **30 calendar days** of receiving the outcome of the review of results process. Awarding body fees which may be charged for the preliminary appeal must be paid to the centre by the appellant before the preliminary appeal is submitted to the awarding body (fees are available from the exams officer). If the appeal is upheld by the awarding body, this fee will be refunded by the awarding body and repaid to the appellant by the centre.

## Internal appeals form

FOR CENTRE USE ONLY	
Date received	
Reference No.	

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

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

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

**Please state the grounds for your appeal below**

*(If applicable, tick below)*

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

Appellant signature:

Date of signature:

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

## Complaints and appeals log

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

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

Ref No.	Date received	Complaint or Appeal	Outcome	Outcome date

## Further guidance to inform and implement appeals procedures

### JCQ publications

- ▶ *General Regulations for Approved Centres*  
<https://www.jcq.org.uk/exams-office/general-regulations>
- ▶ *Post-Results Services*  
<https://www.jcq.org.uk/exams-office/post-results-services>
- ▶ *JCQ Appeals Booklet*  
<https://www.jcq.org.uk/exams-office/appeals>
- ▶ *Notice to Centres - Reviews of marking (centre assessed marks)*  
<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 publications

- ▶ *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>

# Non-examination assessment policy

## 2020-21

This policy is reviewed annually to ensure compliance with current regulations

Approved/reviewed by	
Date of next review	

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## What does this policy affect?

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

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

[Definition taken directly from the JCQ publication [Instructions for conducting non-examination assessments](#),

Foreword]

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

## Purpose of the policy

The purpose of this policy, as defined by JCQ, is to

- ▶ cover procedures for planning and managing non-examination assessments
- ▶ define staff roles and responsibilities with respect to non-examination assessments
- ▶ manage risks associated with non-examination assessments

## 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

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

#### Senior leaders

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



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

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

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

### **Subject head/lead**

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

### **Subject teacher**

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

### **Exams officer**

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

## **Task setting**

### **Subject teacher**

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

## **Issuing of tasks**

### **Subject teacher**

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

## Task taking

### Supervision

#### Subject teacher

- ▶ Checks the awarding body's subject-specific requirements ensuring candidates take tasks under the required conditions and supervision arrangements
- ▶ Ensures there is sufficient supervision to enable the work of a candidate to be authenticated
- ▶ Ensures there is sufficient supervision to ensure the work a candidate submits is their own
- ▶ Is confident where work may be completed outside of the centre without direct supervision, that the work produced is the candidate's own.
- ▶ Where candidates may work in groups, keeps a record of each candidate's contribution
- ▶ Ensures candidates are aware of the current JCQ documents [Information for candidates - non-examination assessments](#) and [Information for candidates - Social Media](#)
- ▶ Ensures candidates understand and comply with the regulations in relevant JCQ documents  
Information for candidates

#### Advice and feedback

#### Subject teacher

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

#### Resources

#### Subject teacher

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

#### Word and time limits

#### Subject teacher

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

#### Collaboration and group work

#### Subject teacher

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

### **Authentication procedures**

#### **Subject teacher**

- ▶ Where required by the awarding body's specification
  - ensures candidates sign a declaration confirming the work they submit for final assessment is their own unaided work
  - signs the teacher declaration of authentication confirming the requirements have been met
- ▶ Keeps signed candidate declarations on file until the deadline for requesting reviews of results has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later
- ▶ Provides signed candidate declarations where these may be requested by a JCQ Centre Inspector
- ▶ Where there may be doubt about the authenticity of the work of a candidate or if malpractice is suspected, follows the authentication procedures and malpractice information in [NEA](#) and informs a member of the senior leadership team
- ▶ Understands that if, during the external moderation process, it is found that the work has not been properly authenticated, the awarding body will set the mark(s) awarded by the centre to zero

### **Presentation of work**

#### **Subject teacher**

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

### **Keeping materials secure**

#### **Subject teacher**

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

- ▶ If post-results services have been requested, returns internally assessed work to candidates (if requested by a candidate) once the review of results and any subsequent appeal has been completed
- ▶ Reminds candidates of the need to keep their own work secure at all times and not share completed or partially completed work on-line, on social media or through any other means (Reminds candidates of the contents of the JCQ document Information for candidates – Social Media)
- ▶ Where work is stored electronically, liaises with the IT Manager to ensure the protection and back-up of candidates' work and that appropriate arrangements are in place to restrict access to it between sessions

### **IT Manager**

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

### **Task marking – externally assessed components**

#### **Conduct of externally assessed work**

##### **Subject teacher**

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

##### **Exams officer**

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

#### **Submission of work**

##### **Subject teacher**

- ▶ Provides the attendance register to a Visiting Examiner

##### **Exams officer**

- ▶ Provides the attendance register to the subject teacher where the component may be assessed by a Visiting Examiner
- ▶ Ensures the awarding body's attendance register for any externally assessed component is completed correctly to show candidates who are present and any who may be absent
- ▶ Where candidates' work must be despatched to an awarding body's examiner, ensures the completed attendance register accompanies the work

- ▶ Keeps a copy of the attendance register until after the deadline for reviews of results for the exam series
- ▶ Packages the work as required by the awarding body and attaches the examiner address label
- ▶ Ensures that the package in which the work is despatched is robust and securely fastened
- ▶ Despatches the work to the awarding body's instructions by the required deadline

## Task marking – internally assessed components

### Marking and annotation

#### Head of centre

- ▶ Ensures where a teacher is teaching, preparing and assessing a candidate with whom they have a close relationship, e.g., members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g., son/daughter) a conflict of interest is declared to the awarding body and the marked work of the child submitted for moderation, whether it is part of the moderation sample or not

#### Subject head/lead

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

#### Subject teacher

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

### Internal standardisation

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

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

#### Subject teacher

- ▶ Indicates on work (or cover sheet) the date of marking

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

### **Consortium arrangements**

#### **Subject head/lead**

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

#### **Subject teacher**

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

#### **Exams officer**

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

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

#### **Subject teacher**

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

### **Exams officer**

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

### **Storage and retention of work after submission of marks**

#### **Subject teacher**

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

#### **Exams officer**

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

### **External moderation – the process**

#### **Subject teacher**

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

#### **External moderation – feedback**

#### **Subject head/lead**

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

#### **Exams officer**

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



## Access arrangements

### Subject teacher

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

### Special educational needs coordinator (SENCo)

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

## Special consideration and loss of work

### Subject teacher

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

### Exams officer

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

## Malpractice

### Head of centre

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



## Subject teacher

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

## Exams officer

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

## Post-results services

### Head of centre

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

### Subject head/lead

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

### Subject teacher

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

### Exams officer

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

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

### Head of centre

- ▶ Returns an online 'Head of Centre declaration' at the time of the National Centre Number Register annual update confirming that all reasonable steps have been or will be taken to ensure that all candidates at the centre have had, or will have, the opportunity to undertake the prescribed practical activities
- ▶ Ensures new lead teachers undertake the required training provided by the awarding body on the implementation of the practical endorsement

- Ensures relevant centre staff liaise with all relevant parties in relation to arrangements for and conduct of the monitoring visit

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

- ▶ Ensures arrangements are in place for implementing the requirements of the practical endorsement appropriately and applying the standards appropriately.

#### **Subject head/lead**

- ▶ Confirms understanding of the *Practical Skills Endorsement for the A Level Sciences designed for use in England* and ensures any relevant JCQ/awarding body instructions are followed
- ▶ Ensures where the centre intends to enter candidates for the first time for one or more of the A level subjects, the relevant awarding body will be contacted at the beginning of the course
- ▶ Undertakes any training provided by the awarding body on the implementation of the practical endorsement
- ▶ Disseminates information to subject teachers ensuring the standards can be applied appropriately
- ▶ Liaises with all relevant parties in relation to arrangements for and conduct of a monitoring visit

#### **Subject teacher**

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

#### **Exams officer**

- ▶ Accepts contact with the monitor and passes information to the subject lead for a visit to be arranged with at least two weeks notice
- ▶ Confirms with the subject teacher that assessment outcomes have been submitted to the awarding body to the external deadline/Follows the awarding body's instructions for the submission of candidates *Pass* or *Not Classified* assessment outcome

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

#### **Head of centre**

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

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

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

#### **Subject head/lead**

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

#### Subject teacher

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

#### Exams officer

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

#### Private candidates

#### Subject head/lead

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

#### Qualification/Subject specific additional information

This section provides additional information/procedures for planning and managing non-examination assessments in specific subjects of qualifications. For 2019/20 the subject leaders will

- ensure sufficient time is given within the timetable to complete the required tasks. (The table below indicates the percentage of the course which for which the Non-examined Material counts towards.)
- ensure that raw marks are issued to students by the date shown in the table.
- ensure that samples of candidate's work are provided to the awarding body for monitoring purposes to the external deadline provided and provided to the exams officer by the internal deadline

Exam Board	Subject	% of Total	Year Group	Date for Issuing Raw Marks to students
<b>GCSE</b>				
AQA	Design & Technology Product Design (Textiles and RM)	50%	11	20 <sup>th</sup> March 2021
OCR	Food Preparation and Nutrition	50%	11	20 <sup>th</sup> March 2021
OCR	Computer Science	0% 20hrs	11	N/A – This is a compulsory element but no marks are issued
Edexcel	Art (Fine Art)	60%	11	20 <sup>th</sup> March 2021

Edexcel	Art (Graphic Communication)	60%	11	20 <sup>th</sup> March 2021
AQA	Physical Education	40%	11	22 <sup>nd</sup> February 2021
Edexcel	Music	60%	11	20 <sup>th</sup> March 2021
AQA	Drama	40%	11	20 <sup>th</sup> March 2021
<b>GCE (A Level)</b>				
AQA	Design and Technology Textiles	50%	13	1 <sup>st</sup> May 2021
Edexcel	Applied Science (Single)	42%	13	1 <sup>st</sup> May 2021
AQA	Biology, Chemistry	0%	13	1 <sup>st</sup> May 2021
Edexcel	Physics – Practicals			
Edexcel	English Literature	20%	13	1 <sup>st</sup> May 2021
WJEC	English Language	20%	13	1 <sup>st</sup> May 2021
AQA	History	20%	13	1 <sup>st</sup> May 2021
Edexcel	Art – Fine Art	60%	13	1 <sup>st</sup> May 2021
Edexcel	Photography	60%	13	1 <sup>st</sup> May 2021
OCR	Computer Science	20%	13	1 <sup>st</sup> May 2021
Edexcel	Geography	20%	13	1 <sup>st</sup> May 2021
Edexcel	Drama and Theatre	40%	13	1 <sup>st</sup> May 2021

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

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

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

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



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



The work of a candidate is lost or damaged	<i>Relevant staff are signposted to the JCQ publication Instructions for conducting non-examination assessments (section 8), to determine eligibility and the process to be followed for lost or damaged work</i>	
Candidate malpractice is discovered	<i>Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (section 9 Malpractice) are followed Investigation and reporting procedures in the current JCQ publication Suspected Malpractice: Policies are followed Appropriate internal disciplinary procedures are also followed</i>	
A teacher marks the work of a candidate with whom they have a close relationship e.g. Members of their family (includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter)	<i>A conflict of interest is declared by informing the awarding body that a teacher is preparing/teaching said child at the start of the course Marked work of said child is submitted for moderation whether part of the sample requested or not</i>	
An extension to the deadline for submission of marks is required for a legitimate reason	<i>Awarding body is contacted to determine if an extension can be granted Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 5), to determine eligibility and the process to be followed for non-examination assessment extension</i>	
After submission of marks, it is discovered that the wrong task was given to candidates	<i>Awarding body is contacted for guidance Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 2), to determine eligibility and the process to be followed to apply for special consideration for candidates</i>	
A candidate wishes to appeal/request a review of the marks awarded for their work by their teacher	<i>Candidates are informed of the marks they have been awarded for their work prior to the marks being submitted to the awarding body Records confirm candidates have been informed of their marks Candidates are informed that these marks are subject to change through the awarding body's moderation process Candidates are informed of their marks to the timescale identified in the centre's internal appeals procedure and prior to the internal deadline set by the exams officer for the submission of marks Through the candidate exam handbook, candidates are made aware of the centre's internal appeals procedures and timescale for submitting an appeal/request for a review of the centre's marking prior to the submission of marks to the awarding body</i>	
Deadline for submitting work for formal assessment not met by candidate	<i>Records confirm deadlines given and understood by candidates at the start of the course Candidates confirm/record deadlines known and understood Depending on the circumstances, awarding body guidance sought to determine if the work can be accepted late for marking providing the awarding body's deadline for submitting marks can be met Decision made (depending on the circumstances) if the work will be accepted late for marking or a mark of zero submitted to the awarding body for the candidate</i>	
Deadline for submitting marks and samples of candidates work ignored by subject teacher	<i>Internal/external deadlines are published at the start of each academic year Reminders are issued through senior leaders/subject heads as deadlines approach Records confirm deadlines known and understood by subject teachers Where appropriate, internal disciplinary procedures are followed</i>	
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>	

## Emergency Evacuation

### When is an emergency evacuation required?

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

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

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

### Emergency evacuation of an exam room

The invigilator/teacher **must** take the following action in an emergency such as a fire alarm, bomb alert or any other emergency which requires and evacuation of an examination/controlled assessment room.

Invigilators and Kesteven and Sleaford High School have been informed that they must take the following action in accordance with JCQ *Instructions for conducting examinations*.

- Stop candidates from writing
- Collect the attendance register (in order to ensure all candidates are present)

In the event of a fire alarm at the school during examinations the instruction is for **invigilators should await instructions from the H&S Officer / Site Manager or a member of Senior Leadership Team whether the examination room(s) should be evacuated.**

- Evacuate the examination room in line with the instructions given by the appropriate authority
- Advise candidates to leave all question papers, scripts and stationery in the examination room (if there are only a handful of candidates, consider the possibility of taking the candidates with question papers and scripts) to another place to finish the examination. Candidates must be advised to close their answer booklet.
- Ensure candidates leave the room in silence and proceed to the fire assembly point
- Ensure candidates are supervised as closely as possible while they are out of the examination room to make sure that there is no discussion about the examination
- Make a note of the time of the interruption and how long it lasted
- Allow candidates the remainder of the working time set for the examination once it resumes
- Give candidates 5 minutes to recollect their thoughts and gather themselves before re-starting the examination.
- Make notes of the incident to enable the examinations officer to produce a full report of the incident and of the action taken to send to the relevant awarding body.

### Recording details

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

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

- the actual finishing time(s) of the resumed examination(s)

Further details could include

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

# KESTEVEN & SLEAFORD HIGH SCHOOL

## WORD PROCESSOR POLICY

Some students may benefit from the use of a word processor during some or all of their examinations.

For example, candidates with:-

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

This list is not exhaustive. Each case will be considered on its merits with a decision made by the SENCO in consultation with SLT.

In all cases the use of a word processor must reflect the candidate's NORMAL WAY OF WORKING within the centre and be appropriate to the candidate's needs. The use of a word processor will not be granted to a candidate because he/she prefers, to type, works faster on a keyboard, or because they use a laptop/PC at home. Permission to use a laptop/device in class should not be taken to imply permission to use this arrangement in examinations.

### Exceptions

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

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

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

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

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

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

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

The centre will ensure the word processor:

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

Does not have any predicative text software or an automatic spelling and grammar check enabled unless the candidate has been permitted a scribe or is using speech recognition technology ( a scribe cover sheet must be completed), or the awarding body's specification permits the use of automatic spell checking

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

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

# Complaints and appeals procedure (exams)

2020-21

This procedure is reviewed annually to ensure compliance with current regulations

Approved/reviewed by	
Date of next review	

## Key staff involved in the complaints and appeals procedure

<b>Role</b>	<b>Name(s)</b>
Head of centre	<b>Mrs J Smith</b>
SLT members	<b>Mrs G White, Mrs D Collett, Mrs Moncur</b>
Exams officer	<b>Sarah Ross</b>

## Purpose of the procedure

This procedure confirms KSHS's compliance with JCQ's General Regulations for Approved Centres 2020-2021, section 5.8 that the centre will *draw to the attention of candidates and their parents/carers their written complaints and appeals procedure which will cover general complaints regarding the centre's delivery or administration of a qualification.*

## Grounds for complaint

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

### Teaching and learning

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

### Access arrangements

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

### Entries

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



- ▶ Candidate entered for a wrong exam/assessment
- ▶ Candidate entered for a wrong tier of entry

### **Conducting examinations**

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

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

- ▶ Before exams, candidate not made aware of the arrangements for post-results services and the accessibility of senior members of centre staff after the publication of results
- ▶ Candidate not having access to a member of senior staff after the publication of results to discuss/make decision on the submission of a review enquiry
- ▶ Candidate request for return of work after moderation and work not available/disposed of earlier than allowed in the regulations
- ▶ Candidate (or parent/carer) unhappy with a result (complainant to refer via exams officer to awarding body *post-results services*)
- ▶ Candidate (or parent/carer) unhappy with a centre decision not to support a clerical re-check, a review of marking, a review of moderation or an appeal
- ▶ 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, KSHS encourages him/her to try to resolve this informally in the first instance. A concern or complaint should be made in person, by telephone or in writing to the head of centre.

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

### How to make a formal complaint

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

### How a formal complaint is investigated

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

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

## Complaints and appeals form

FOR CENTRE USE ONLY	
Date received	
Reference No.	

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

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

Name of complainant/appellant

Candidate name if different to complainant/appellant

Please state the grounds for your complaint/appeal below

If your complaint is lengthy please write as bullet points; please keep to the point and include relevant detail such as dates, names etc. and provide any evidence you may have to support what you say

Your appeal should identify the centre's failure to follow procedures as set out in the relevant policy, and/or issues in teaching and learning which have impacted the candidate

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

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

Complainant/appellant signature:

Date of signature:

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

## Complaints and appeals log

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

Ref No.	Date received	Complaint or Appeal	Outcome	Outcome date



## **Kesteven & Sleaford High School Selective Academy**

### **Identification of Candidates Policy**

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

#### **Internal Candidates**

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

#### **External Candidates**

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

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

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

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

1. If a candidate wishes to query a result, they must do so as a matter of urgency. Awarding Bodies set very strict deadlines for any enquiries. These deadlines and associated costs will be published on results days.
2. Any query should first be discussed with the appropriate subject teacher.
3. The following Enquiries about Results (EARs) are available:

Service 1 – Re-check of all clerical procedures leading to a result

Service 2 – Post-results review of the original marking to ensure the agreed mark scheme has been applied correctly

Service 3 – Post-results review of moderation to ensure the assessment criteria has been fairly, reliably and consistently applied

4. The following Access to Scripts (ATS) options are available:

A photocopy of scripts after Service 1 or service 2 has occurred

Original scripts can be returned

5. The Examinations Office should be approached by either the teacher or student to submit the enquiry or ATS request.
6. For all EARs the candidate must complete Appendix A from the JCQ instructions on Post Results Services. This confirms that the candidate understands that the remark may result in the original mark being lowered as well as raised.
7. If the school is to query the results then the appropriate form should be completed confirming who will pay for the remark. The Headteachers signature will be required.
8. If the student is to query the result then appropriate payment, in the form of a cheque, must be provided to the Examinations Officer, before the enquiry can be submitted. The cheque will be held securely by the Examinations Officer until the enquiry has been finalised. If the EAR results in the original overall certification grade remaining unchanged then a charge will apply and the candidates' fee will be cashed. If the original certification is amended then there will be no charge and the fee will be returned to the student.
9. Any Service 3 EARs should be requested by the teacher using the appropriate paperwork from the Examinations Officer. No candidate's consent is required.
10. The outcome of the EAR will be communicated to the original requestor.



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

**2020/21**

By the start of the academic year 2020/21, 1<sup>st</sup> September 20, all specialist assessors as appointed by heads of centre must be either:

- a qualified psychologist registered with the Health & Care Professions Council (HCPC); or
- a specialist assessor with a current SpLD Assessment Practising Certificate; or
- a specialist assessor with a post-graduate qualification in individual specialist assessment at or equivalent to level 7.

JCQ statement “Appointment of specialist assessors for candidates with learning difficulties”

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

KSHS specialist assessor is	Mrs Dawn Bradshaw
Specialist Qualification	Dip RSA (SpLD) Level 7
Name of awarding body	University of Nottingham



## **GDPR Policy specific to examinations.**

### **Purpose of the policy**

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

Students are given the right to find out what information the centre holds about them, how this is protected, how this can be accessed and how data breaches are dealt with.

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

- used fairly and lawfully
- used for limited, specifically stated purposes
- used in a way that is adequate, relevant and not excessive
- accurate
- kept for no longer than is absolutely necessary
- handled according to people's data protection rights
- kept safe and secure
- not transferred outside the European Economic Area without adequate protection

To ensure that the centre meets the requirements of the DPA and GDPR, all candidates' exam information – even that which is not classified as personal or sensitive – is covered under this policy.

### **Section 1 – Exams-related information**

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

Candidates' exams-related data may be shared with the following organisations:

- Awarding bodies
- Joint Council for Qualifications
- DfE, Local Authority, RCT MAT, the press

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

- hard copy
- email
- secure extranet site(s) e.g. eAQA; OCR Interchange; Pearson Edexcel Online; WJEC Secure services
- Sims Management Information System (MIS) provided by Advance Learning - sending/receiving information via electronic data interchange (EDI) using A2C (<https://www.jcq.org.uk/about-a2c>) to/from awarding body processing systems



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

## **Section 2 – Informing candidates of the information held**

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

All candidates are:

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

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

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

## **Section 4 – Dealing with data breaches**

Although data is handled in line with DPA/GDPR regulations, a data breach may occur for any of the following reasons:

- loss or theft of data or equipment on which data is stored
- inappropriate access controls allowing unauthorised use
- equipment failure
- human error
- unforeseen circumstances such as a fire or flood
- hacking attack
- ‘blagging’ offences where information is obtained by deceiving the organisation who holds it

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

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

The Data Protection Officer will lead on investigating the breach.

It will be established:

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

### **2. Assessment of ongoing risk**

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

- what type of data is involved?

- how sensitive is it?
- if data has been lost or stolen, are there any protections in place such as encryption?
- what has happened to the data? If data has been stolen, it could be used for purposes which are harmful to the individuals to whom the data relates; if it has been damaged, this poses a different type and level of risk
- regardless of what has happened to the data, what could the data tell a third party about the individual?
- how many individuals' personal data are affected by the breach?
- who are the individuals whose data has been breached?
- what harm can come to those individuals?
- are there wider consequences to consider such as a loss of public confidence in an important service we provide?

### **3. Notification of breach**

Notification will take place to enable individuals who may have been affected to take steps to protect themselves or to allow the appropriate regulatory bodies to perform their functions, provide advice and deal with complaints

### **4. Evaluation and response**

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

- reviewing what data is held and where and how it is stored
- identifying where risks and weak points in security measures lie (for example, use of portable storage devices or access to public networks)
- reviewing methods of data sharing and transmission
- increasing staff awareness of data security and filling gaps through training or tailored advice
- reviewing contingency plans

## **Section 5 – Candidate information, audit and protection measures**

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

An information audit is conducted 3 years.

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

Protection measures may include:

- password protected area on the centre's intranet
- secure drive accessible only to selected staff
- information held in secure area

## **Section 6 – Data retention periods**

Details of retention periods, the actions taken at the end of the retention period and method of disposal are contained in the centre's archiving policy contained in the GDPR policy.

## **Section 7 – Access to information**

Current and former candidates can request access to the information/data held on them by making a **subject access request** to the Data Protection Officer in writing/email. The person's ID will need to be

confirmed if a former candidate is unknown to current staff. All requests will be dealt with within 30 calendar days.

### **Third party access**

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

Candidates' personal data will not be shared with a third party [insert your centre's process for sharing data with a third-party e.g. unless a request is accompanied with permission from the candidate and appropriate evidence (where relevant), to verify the ID of both parties, provided].

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

## Section 8 – Table recording candidate exams-related information held

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

For further details of how long information is held, refer to section 6 of this policy (**Data retention periods**)

Information type	Information description (where required)	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
<b>Access arrangements information</b>		<p>Candidate name</p> <p>Candidate DOB</p> <p>Gender</p> <p>Data protection notice (candidate signature)</p> <p>Diagnostic testing outcome(s)</p> <p>Specialist report(s) (may also include candidate address)</p> <p>Evidence of normal way of working</p>	<p>Access arrangements online</p> <p>MIS</p> <p>Lockable metal filing cabinet</p>	<p>Secure user name and password</p> <p>In secure area solely assigned to exams</p>	
<b>Alternative site arrangements</b>			<p>Information emailed between sites regarding pupils data and then kept in a secure location.</p>	<p>Emails between the sites in the Joint Sixth form are password protected (between KSHS and St. Georges, whilst internal emails between the Robert Carre Trust are protected by the schools network</p>	
<b>Attendance registers copies</b>			<p>In locked examination store</p>		
<b>Candidates' work</b>			<p>Locked filing cabinets in subject areas.</p>		

Information type	Information description (where required)	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
			Transferred to examination store		
<b>Certificates</b>			Locked Examination store	Locked examination store	
<b>Certificate destruction information</b>					
<b>Certificate issue information</b>					
<b>Entry information</b>			SIMS Locked Examination store		
<b>Exam room incident logs</b>			Locked Examination store		
<b>Overnight supervision information</b>			Locked Examination store		
<b>Post-results services: confirmation of candidate consent information</b>			Locked Examination store		
<b>Post-results services: requests/outcome information</b>			Locked Examination store		
<b>Post-results services: scripts provided by ATS service</b>			Locked Examination store		
<b>Post-results services: tracking logs</b>			Locked Examination store		

<b>Information type</b>	<b>Information description (where required)</b>	<b>What personal/sensitive data is/may be contained in the information</b>	<b>Where information is stored</b>	<b>How information is protected</b>	<b>Retention period</b>
<b>Private candidate information</b>			Emails Locked Examination store	IT data protection	
<b>Resolving clashes information</b>			Emails		
<b>Results information</b>			Locked Examination store		
<b>Seating plans</b>			Locked Examination store		
<b>Special consideration information</b>			Locked Examination store		
<b>Suspected malpractice reports/outcomes</b>			Locked Examination store		
<b>Transfer of credit information</b>			Locked Examination store		
<b>Transferred candidate information</b>			Locked Examination store Emails		
<b>Very late arrival reports/outcomes</b>			Locked Examination store		



# **Kesteven & Sleaford High School**

## **Disability Policy (Exams)**

**2020/21**

This policy is reviewed annually to ensure compliance with current regulations

## Key staff involved in the policy

Role	Name(s)
SENCo	<b>Mrs M Watts</b>
SENCo line manager (Senior Leader)	<b>Mrs D Collett</b>
Head of centre	<b>Mrs J Smith</b>
Assessor(s)	
Access arrangement facilitator(s)	<b>Mrs M Watts</b>



## 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

*“recognise 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 staff roles, responsibilities and processes in identifying, requesting and implementing access arrangements for candidates (including private candidates) are clearly defined and documented
- ▶ Ensures that all assessments carried out and arrangements put in place comply with JCQ and awarding body regulations and guidance
- ▶ Ensures the quality of the access arrangements process within the centre
- ▶ Ensures a policy demonstrating the centre’s compliance with relevant legislation is in place

#### Senior leaders

- ▶ Are familiar with the entire contents of the annually updated JCQ publications including [GR](#) and [AA](#)

- ▶ Defines and documents roles, responsibilities and processes in identifying, requesting and implementing access arrangements (*Access arrangements policy*)

### **Exams Officer**

- ▶ Support the SENCo in determining the need for and implementing access arrangements
- ▶ Provides a policy on the use of word processors in exams and assessments
- ▶ Presents when requested by a JCQ Centre Inspector, evidence of the assessor's qualification

### **Special educational needs coordinator (SENCo)**

- ▶ Has full knowledge and understanding of the contents, refers to and directs relevant centre staff to the annually updated JCQ publication [AA](#)
- ▶ Ensures an appropriately qualified assessor(s) is appointed and that evidence of the qualification(s) of the person(s) appointed is held on file
- ▶ Ensures the assessment process is administered in accordance with the regulations
- ▶ Ensure a statement is provided which details the criteria the centre uses to award and allocate word processors for exams
- ▶ Leads on the access arrangements process to facilitate access for candidates
- ▶ Ensures 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
- ▶ Works with teaching staff, relevant support staff and the exams officer to ensure centre-delegated and awarding body approved access arrangements are put in place for candidates taking internal and external exams/assessments
- ▶ Provides appropriate evidence to confirm the need(s) of a candidate
- ▶ Completes appropriate documentation as required by the regulations of JCQ and the awarding body

### **Teaching staff**

- ▶ Inform the SENCo of any support that might be needed by a candidate
- ▶ Provide information to evidence the normal way of working of a candidate

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

- ▶ Provide comments/observations to support the SENCo in *painting a holistic picture of need* confirming *normal way of working* for a candidate

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

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

- ▶ Has detailed understanding of the current JCQ publication [AA](#)
- ▶ Conducts appropriate assessments to identify the need(s) of a candidate

## Requesting access arrangements

### Roles and responsibilities

#### Special educational needs coordinator (SENCo)

- ▶ Determines if the arrangements identified for a candidate require prior approval from the awarding body before the arrangements are put in place or if approval is centre-delegated
- ▶ Follows guidance in [AA](#) Section 8 to process approval applications for access arrangements for those qualifications listed on page 2 of [AA](#)
- ▶ 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 (*Application for access arrangements – Profile of learning difficulties*), where required, and a body of evidence to substantiate the candidate's normal way of working within the centre
- ▶ Ensures where form 8 is required to be completed, the original form is signed by hand and dated as required **prior** to approval being sought and that the original form is provided for processing and inspection purposes
- ▶ Ensures the names of all other assessors, who are assessing candidates studying qualifications as listed on page 2 of [AA](#), are entered into AAO to confirm their status including any professionals working outside 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 where approval is required that this is applied for by the awarding body deadline
- ▶ Maintains a file for each candidate that will include:
  - ▶ completed JCQ/awarding body application forms and evidence forms
  - ▶ appropriate evidence to support the need for the arrangement where required
  - ▶ appropriate evidence to support normal way of working within the centre
  - ▶ in addition, for those qualifications listed on page 2 of [AA](#) (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)
  - ▶ Liaises with teaching staff regarding any appropriate modified paper requirements for candidates

#### Exams officer

- ▶ Is familiar with the entire contents of the annually updated JCQ publication [GR](#) and is aware of information contained in [AA](#) where this may be relevant to the 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)
- ▶ Presents the files when requested by a JCQ Centre Inspector
- ▶ Liaises with the SENCo to ensure arrangements are in place to either order a non-interactive electronic (PDF) question paper or to open question paper packets in the secure room within 90 minutes of the published starting time for the exam where the centre is permitted to modify a timetabled written component exam paper (copy on coloured paper, enlarge to A3 or copy to single sided print)

## Implementing access arrangements and the conduct of exams

### External assessments

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

### Head of centre

- ▶ Supports the SENCo, the exams officer and other relevant centre staff in ensuring appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams
- ▶ 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)
- ▶ Appoints appropriate centre staff as facilitators to support candidates (practical assistant, prompter, Oral Language Modifier, reader, scribe or Sign Language Interpreter)

### SLT

- ▶ Senior staff responsible for 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
- ▶ Ensures facilitators supporting candidates are appropriately trained and understand the rules of the particular access arrangement(s)

### Special educational needs coordinator (SENCo)

- ▶ Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access for candidates where they are disabled within the meaning of the Equality Act (unless a temporary emergency arrangement is required at the time of an exam)
- ▶ 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 exams officer (EO) regarding facilitation and invigilation of access arrangement candidates in exams
- ▶ Liaises with other relevant centre staff regarding the provision of appropriate rooming and equipment that may be required to facilitate access for disabled candidates to exams
- ▶ 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 a facilitator may be required to support a candidate requiring an emergency (temporary) access arrangement at the time of exams
- ▶ Makes modifications that are permitted by the centre (a question paper copied onto coloured paper, an A4 to A3 enlarged paper or a paper printed on single sheets or where a question paper

may need to be scanned into PDF format where a candidate is approved the use of a computer reader) that may be required and either accesses a non-interactive electronic (PDF) question paper or opens the exam question paper packet in the secure room no earlier than 90 minutes prior to the 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 those qualifications listed on page 2 of [AA](#)
- ▶ 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

### Exams 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](#) (page 44)
- ▶ Ensures a record of the training given to those facilitating an access arrangement for a candidate under examination conditions is kept and retained 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
- ▶ Ensures the facilitator is known by or introduced to the candidate prior to exams
- ▶ Ensures a facilitator acting as a prompter is aware of the appropriate way to prompt depending on the needs of the candidate
- ▶ Ensures invigilators supervising access arrangement candidates are trained in their role and understand the invigilation arrangements required for access arrangement candidates as detailed in [ICE](#) 7 and 8
- ▶ Ensures cover sheets, where these are required by the arrangement are completed as required by facilitators
- ▶ Liaises with the SENCo and other relevant centre staff to ensure appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams
- ▶ Liaises with the SENCo to ensure exam information (JCQ information for candidates documents, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it
- ▶ Liaises with the SENCo regarding the facilitation and invigilation of access arrangement candidates
- ▶ Liaises with the SENCo regarding rooming of access arrangement candidates
- ▶ Liaises with the SENCo to ensure that invigilators are made aware of the Equality Act 2010 and are trained in disability issues
- ▶ Ensures 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)
- ▶ Understands that where permitted/approved, secure exam question paper packets may need to be opened early where preparation is required by the facilitator (Oral Language Modifier, Live Speaker, Sign Language Interpreter only)
- ▶ Ensures that the facilitator only has access to the papers 60 minutes prior to the published start time of the exam
- ▶ Liaises with the SENCo where a facilitator may be required to support a candidate requiring an emergency (temporary) access arrangement at the time of exams

## Other relevant centre staff

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

## IT Support

- ▶ Staff responsible for **IT or other specialist equipment** that may need to be provided or adapted for a candidate

## Site Team

- ▶ 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
- ▶ Estates/site staff responsible for **rooms and non-specialist equipment** (chairs, tables, clocks etc.) used for exams that may need to be adapted for a candidate

## 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](#), Foreword]

## Special educational needs coordinator (SENCo)

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

## Teaching staff

- ▶ Support the SENCo in implementing 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
- ▶ Provide the SENCo with assessment schedules to ensure arrangements are put in place when required
- ▶ Liaise with the SENCo regarding assessment materials that may need to be modified for a candidate

## Exams Officer

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

## Internal exams

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

## Exams Officer

- ▶ Provide exam materials that may need to be modified for a candidate

## Special educational needs coordinator (SENCo)

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

## Teaching staff

- ▶ Support the SENCo in implementing appropriate access arrangements for candidates
- ▶ Provide the SENCo 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
- ▶ 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	<p><i>SENCo gathers evidence to support the need for the candidate to take exams at home</i></p> <p><i>Pastoral head provides written statement for file to confirm the need</i></p> <p><i>Approval confirmed by SENCo; AAO approval for both arrangements not required</i></p> <p><i>Pastoral head discussion with candidate to confirm the arrangements should be put in place</i></p> <p><i>EO submits appropriate 'Alternative site for the conduct of exams form'</i></p> <p><i>EO provides candidate with exam timetable and JCQ information for candidates</i></p> <p><i>Pastoral head confirms with candidate the information is understood</i></p> <p><i>Pastoral head agrees with candidate that prior to each exam will call to confirm fitness to take exam</i></p> <p><i>EO allocates invigilator(s) to candidate's timetable; confirms time of collection of exam papers and materials</i></p> <p><i>Invigilator monitors candidate's condition for each exam and records any issues on incident log</i></p> <p><i>Invigilator records rest breaks (time and duration) on incident log and confirms set time given for exam</i></p> <p><i>Invigilator briefs EO after each exam on how candidate's performance in exam may have been affected by his/her condition</i></p> <p><i>EO discusses with pastoral head if candidate is eligible for special consideration (candidate present but disadvantaged)</i></p> <p><i>EO processes request(s) for special consideration where applicable; incident log(s) provides supporting evidence</i></p>

		<i>Pastoral head informs candidate that special consideration has been requested</i>
Persistent and significant difficulties in accessing written text	Reader/computer reader 25% Extra time Separate invigilation within the centre	<i>Confirms candidate is disabled within the meaning of the Equality Act 2010</i> <i>Papers checked for those testing reading</i> <i>Computer reader/examination reading pen sourced for use in papers (or sections of papers) testing reading OR up to 50% extra time awarded</i> <i>A short concise file note produced on centre headed paper, signed and dated kept on file, confirming the nature of the candidate's impairment and that the use of a computer reader and/or a reader reflects his/her normal and current way of working within the centre</i>  <i>(25% Extra time - Form 8 completed as appropriate)</i>  <i>Supporting evidence, AAO approval and signed candidate personal data consent form kept on file</i>
Significant difficulty in concentrating	Prompter Separate invigilation within the centre	<i>Gathers evidence to support substantial and long term adverse impairment</i> <i>Confirms with candidate how and when they will be prompted</i> <i>Briefs invigilator to monitor candidate and the method of prompting (call out his name to bring his attention back to the paper - confirms requirement for separate room)</i>
A wheelchair user	Desk Rooms Facilities Seating arrangements Practical assistant	<i>Applies for practical assistant to help candidate set up wheelchair and other equipment in a practical assessment; approval automatically fails so awarding body referral lists the tasks that will be performed</i> <i>Provides height adjustable desk in exam room</i> <i>Allocates exam room on ground floor near adapted bathroom facilities</i> <i>Spaces desks to allow wheelchair access</i> <i>Seats candidate near exam room door</i>  <i>Confirms arrangements in place to assist the candidate in case of emergency evacuation of the exam room</i>  <i>Practical assistant cover sheet printed from AAO; to be completed by facilitator and inserted inside the candidate's work where this may be applicable to the assessment</i>



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- A. Responsibilities
- B. Registration and Certification Policy
- C. Assessment Policy
- D. Internal Verification Policy
- E. Appeals Policy
- F. Assessment Malpractice Policy
- G. Recognition of prior learning
- H. Distance and Blended Learning Policy

## Responsibilities

### **Exams Officer**

Responsible for timely, accurate and valid registration, transfer, withdrawal and certificate claims for learners.

### **Programme Leader**

Responsible for ensuring learner details held by Pearson are accurate and that an audit trail of learner assessment and achievement is accessible.

Responsible for managing programme delivery and assessment of the learners, to ensure coverage of all units and grading criteria.

### **Quality Nominee**

Responsible for coordinating and monitoring the learner details held with Pearson.

The Quality Nominee ensures that centre internal verification and standardisation processes operate, acts as the centre coordinator and main point of contact for BTEC programmes. The Quality Nominee ensures Pearson quality assurance reports are monitored and any remedial action is carried out.

Required to inform Pearson of any acts of malpractice.

### **Senior Management**

Responsible for overseeing the registration, transfer, withdrawal and certificate claims for learners to ensure that awarding body deadlines are met.

Responsible for judging whether assessment decisions are valid, fair and unbiased.

### **Assessor**

Responsible for carrying out assessment to national standards. The assessor provides feedback to learners; assures the authenticity of learner work; records and tracks achievement.

Responsible for providing clear achievement feedback to learners.

If assessment decisions are questioned, the Assessor is responsible for processing the learner's appeal within the agreed time.

Responsible for designing assessment opportunities which limit the opportunity for malpractice and for checking the validity of the learner's work.

### **Internal verifier**

A member of staff able to verify assessor decisions and validate assignments. The Internal Verifier records findings, gives assessor feedback, and oversees remedial action. Responsible for judging whether assessment decisions are valid, fair and unbiased.

Responsible for malpractice checks when internally verifying work.

### **Lead Internal Verifier**

By registering with Pearson, has access to standardisation materials which may be used with assessors to ensure that national standards are understood. The Lead Internal Verifier must agree and sign off assessment and internal verification plans.

A member of the programme team who oversees the implementation of an effective internal verification centre system in their subject area. The Lead Internal Verifier is required to register annually and undergoes the necessary standardisation processes.

Responsible for judging whether assessment decisions are valid, fair and unbiased.

Responsible for malpractice checks when internally verifying work.

**Learner**

Responsible for initiating the appeals procedure, in the required format, within a defined time frame, when s/he has reason to question an assessment decision

**Head of Centre**

Responsible for submitting an appeal in writing, to Pearson if the learner remains dissatisfied with the outcome of the centre's internal appeals procedures.

Should seek proactive ways to promote a positive culture that encourages learners to take individual responsibility for their learning and respect the work of others.

Responsible for any investigation into allegations of malpractice.

## Registration and Certification Policy

### Aim:

- To register individual learners to the correct programme within agreed timescales.
- To claim valid learner certificates within agreed timescales.
- To construct a secure, accurate and accessible audit trail to ensure that individual learner registration and certification claims can be tracked to the certificate which is issued for each learner.

### In order to do this, the centre will:

- Register each learner for overall qualification within specified timeframes
- Register learners to complete external examinations within the allocated exam series
- Provide a mechanism for programme teams to check the accuracy of learner registrations
- Inform Pearson of any changes to registrations and process withdrawals, transfers or changes to learner details
- make each learner aware of their registration status
- learners may achieve at one qualification size and 'top up' to a larger size provided that both qualifications are based on the same specification i.e. have the same unit identification codes.
- ensure that certificate claims are made within specified timeframes and based solely on internally verified assessment records
- audit certificate claims made to the awarding body
- audit the certificates received from the awarding body to ensure accuracy and completeness
- keep all records safely and securely for three years post certification.

### Procedure

#### Qualification registration

1.1 All registrations must be made within the first 4 weeks of a learner enrolling onto their course. This includes programmes that do not follow the academic year. The Exams officer will process the registrations via Edexcel Online on behalf of each department.

1.2 For learners starting a qualification at the beginning of the academic year, the Subject Leader will provide a list of learner names to the exams officer 2 weeks prior to the registration deadline (November 1<sup>st</sup>) each year. All student details are put on a downloadable spreadsheet including first and last name, date of birth, course description and estimated completion date.

1.3 Once the registrations have been made, a confirmation report will be shared with the Subject Leader and QN to confirm correct names have been registered onto the correct qualification. Any amendments made must be passed to the Examination Officer in a reasonable time period before the deadline of November 1<sup>st</sup>. No formal assessment can take place until registrations are confirmed.

#### Withdrawals

1.4 The Subject Leader must inform the Examinations Officer within 5 working days of any learner who withdraws from their qualification. The Exams officer will then withdraw the learner within Edexcel Online. All requests for withdrawal should be made to the Exams Officer by no later than the 25<sup>th</sup> January. The Exams Officer will submit the request for learner deletion to [examsofficers@pearson.com](mailto:examsofficers@pearson.com) by no later than the 31<sup>st</sup> January.

#### External Examination

1.5 For January/February/March 2021 examinations series the entry deadline was November 2020. All student details are provided by the subject leader and exams officer on a downloadable spreadsheet including first and last name, date of birth, course description with exam Unit number and title. Please refer to the list below for Exam series dates:

Qualification	Examination Window	Entries Deadline	Late Fees (from)	Amendment Deadline	High Late Fees (from)
International GCSE	07 - 15 January 2021	19 October 2020	20 October 2020	18 November 2020	20 November 2020
Edexcel Awards	07 - 13 January 2021	19 October 2020	20 October 2020	18 November 2020	20 November 2020
Project Qualifications	10 January 2021 *	19 October 2020	20 October 2020	18 November 2020	20 November 2020
BTEC Tech Awards	01 - 04 February 2021	1 November 2020	02 November 2020	N/A	20 November 2020
BTEC Firsts	06 - 14 January 2021	1 November 2020	02 November 2020	N/A	20 November 2020
BTEC Firsts	03 - 05 February 2021	1 November 2020	02 November 2020	N/A	20 November 2020
BTEC Nationals	06 - 19 January 2021 **	1 November 2020	02 November 2020	N/A	20 November 2020
BTEC Technicals - Set Tasks	01 - 04 March 2021	19 January 2021	20 January 2021	16 February 2021***	17 February 2021

Following the government announcement on 4<sup>th</sup> January 2021 there continue to be on going changes to the examination series. These will be monitored here: <https://support.pearson.com/uk/s/article/Entries-UK-Centre-Entry-Deadlines>

1.6 Once registrations for external exams have been made, a confirmation report will be shared with the Subject Leader and QN to confirm correct names have been registered onto the correct Unit and exam series. Any amendments required must be passed to the Examination Officer within 5 working days and before the Entry Deadline.

1.7 Learners can only be registered for an exam re-sit subject to the number of entitlements within the qualification they are undertaking.

## Certification

1.8 Certification claims should only be made after completion of all Quality Assurance activities to include QMR, Internal Verification and successful outcome of Standards Verification.

1.9 All achievements will be claimed via Edexcel online by the Examination officer

1.10 All student details are provided by the Subject Leader on a downloadable spreadsheet including first and last name, date of birth, course description with Unit numbers and grades awarded. All grades submitted must be based solely on internally verified assessment records and should be reported using the grades below:

U – Unclassified

P1 – Level 1 Pass (NQF BTEC Firsts only & RQF Tech Awards)

M1 (RQF Tech Awards Only)

P – Pass

M – Merit

D – Distinction

1.11 Data should be submitted for all learners on these occasions:

- at the end of each year/stage of the programme: by **5 July for programmes following a normal academic year**, or as soon as possible thereafter, even where learners are retaking assessments or tests (especially important for UCAS applicants)
- **immediately after completion for non-academic year programmes**
- **on transfer** of the learner to another programme/centre
- for all learners who have withdrawn from the programme, even where no success has been achieved (especially important for UCAS applicants).

1.12 Once achievement claims have been made, a confirmation report will be shared with the Subject Leader and QN to confirm correct submission of learner achievement.

1.13 Certificates received from the awarding body will be checked by the Examinations officer and LIV to ensure accuracy against claims made before release to learner. Any queries raised will be reviewed by the subject Leader.

1.14 Any amendments required must be passed to the Examination Officer within 5 working days who will liaise with the Pearson account specialist for resolve.

1.15 Learners work to be retained for 12 weeks post certification before the learners have an opportunity to collect.

1.16 All audit evidence will be retained electronically for a minimum of 3 years.

#### Links

**Information manual:** this is published by Pearson each year and provides detailed information for Exams Officers about registration and certification procedures for all Pearson programmes:

[https://qualifications.pearson.com/content/dam/pdf/Support/Quality%20Assurance/centre\\_guide\\_to\\_quality\\_management\\_review\\_2018\\_19\\_final.pdf](https://qualifications.pearson.com/content/dam/pdf/Support/Quality%20Assurance/centre_guide_to_quality_management_review_2018_19_final.pdf)

Policy Update

Version 2.Reviewed January 2021, next review January 2022

**Aim:**

- To ensure that assessment methodology is valid, reliable and does not disadvantage or advantage any group of learners or individuals
- To ensure that the assessment procedure is open, fair and free from bias and to national standards
- To ensure that there is accurate and detailed recording of assessment decisions.

**In order to do this, the centre will:**

- ensure that learners are provided with assignments that are fit for purpose, to enable them to produce appropriate evidence for assessment
- produce a clear and accurate assessment plan at the start of the programme/academic year
- provide clear, published dates for handout of assignments and deadlines for summative assessment
- assess learner's evidence using only the published assessment and grading criteria
- ensure that assessment decisions are impartial, valid and reliable
- not limit or 'cap' learner achievement if work is submitted late
- develop assessment procedures that will minimise the opportunity for malpractice
- maintain accurate and detailed records of assessment decisions
- maintain a robust and rigorous internal verification procedure
- provide samples for standards verification as required by the awarding organisation
- monitor standards verification reports and undertake any remedial action required
- share good assessment practice between all BTEC programme teams

**Procedure****Assessment****Assessment plans**

2.1 All assessment planning will be carried out by the assessment team and overseen by the LIV before the start of the academic year. The plan will need to be approved by the LIV before teaching and learning takes place.

2.2 The LIV will review the assessment plan in accordance with the qualification specification to ensure it fully meets the required Rule of Combination and programme duration. The Plan must be signed and dated by the LIV to authorise its use with each cohort.

2.3 Any amendments required to the assessment plan in year must be approved by the LIV before changes can take effect.

**Resubmission/ retakes**

2.4 it may be appropriate for the Lead Internal Verifier to authorise one opportunity for a learner to resubmit evidence to meet assessment criteria targeted by an assignment.

2.5 the Lead Internal Verifier will only authorise a resubmission if all of the following conditions are met:

1. the learner has met initial deadlines set in the assignment, or has met an agreed deadline extension
2. the tutor judges that the learner will be able to provide improved evidence without further guidance
3. the assessor has authenticated the evidence submitted for assessment and the evidence is accompanied by a signed and dated declaration of authenticity by the learner.

2.6 if a learner has not met the conditions listed above, the Lead Internal Verifier will not authorise a resubmission.

2.7 if the Lead Internal Verifier does authorise a resubmission, it must be:

1. recorded on the assessment form
2. given a deadline for resubmission within 10 working days\* of the learner receiving the results of the assessment [\* the 10 working days will be within term time, in the same academic year as the original submission.]
3. undertaken by the learner without further guidance.

2.8 retakes of internally assessed units are available to learners studying BTEC Nationals on the NQF.

2.9 Conditions for retaking:

1. If a learner has met all of the conditions listed above in the opportunity for resubmission, but has still not achieved the targeted pass criteria following the resubmission of an assignment, the Lead Internal Verifier may authorise one retake opportunity to meet the required pass criteria.

2. The Lead Internal Verifier must only authorise a retake in exceptional circumstances where they believe it is necessary, appropriate and fair to do so.
3. The retake must be a new task or assignment targeted only to the pass criteria which were not achieved in the original assignment.
4. The assessor must agree and record a clear deadline before the learner starts a retake.
5. The learner and the assessor must sign declarations of authentication as they both did for the previous submissions.
6. The assessor cannot award a merit or distinction grade for a retake.
7. The learner will not be allowed any further resubmissions or retakes.
8. Standards Verifiers will require you to include evidence of any retakes in sampling.

### **Assignment Design**

2.10 Approved assignment briefs (AAB's) must be reviewed prior to assessment. Assignment templates must be standardised and follow the version used for AAB's.

2.11 Tasks within the assignment brief must follow the requirements specified by the awarding body and must accurately reflect the assessment criteria

2.12 All assignments must be validated by the LIV at least 2 weeks before the planned issue date

### **Assessment Recording**

2.13 Assessors must keep an up to date tracker that monitors learner progress and confirms grades awarded for each assignment/unit.

### **Links**

**BTEC Qualification Specifications:** these provide guidance on assessment for each BTEC qualification. All staff teaching on BTEC programmes should have access to the relevant specification. They are published on the website: [www.btec.co.uk](http://www.btec.co.uk)  
**Pearson BTEC Assessment & Grading Policy:** this is BTEC's policy on the application of grading criteria when assessing BTEC programmes: [www.edexcel.com/policies](http://www.edexcel.com/policies)

**BTEC Centre Guides to Internal Assessment:** A valuable resource for centres in planning, quality assuring and delivering BTEC programmes: [https://qualifications.pearson.com/content/dam/pdf/BTEC-Firsts/news/Guide to Internal Assessment for BTEC Firsts and Nationals.pdf](https://qualifications.pearson.com/content/dam/pdf/BTEC-Firsts/news/Guide%20to%20Internal%20Assessment%20for%20BTEC%20Firsts%20and%20Nationals.pdf)

Version 2. Reviewed January 2021, next review January 2022



## Internal Verification Policy

### Aim:

- To ensure there is an accredited Lead Internal Verifier in each principal subject area
- To ensure that Internal Verification is valid, reliable and covers all Assessors and programme activity.
- To ensure that the Internal Verification procedure is open, fair and free from bias
- To ensure that there is accurate and detailed recording of Internal Verification decisions.

### In order to do this, the centre will ensure that:

- where required by the qualification, a Lead Internal Verifier is appropriately appointed for each subject area, is registered with Pearson and has undergone the necessary standardisation processes
- the Lead Internal Verifier oversees effective Internal Verification systems in their subject area
- staff are briefed and trained in the requirements for current Internal Verification procedures
- effective Internal Verification roles are defined, maintained and supported
- Internal Verification is promoted as a developmental process between staff
- standardised Internal Verification documentation is provided and used
- all centre assessment instruments are verified as fit for purpose
- an annual Internal Verification schedule, linked to assessment plans, is in place
- an appropriately structured sample of assessment from all programmes, units, sites and Assessors is Internally Verified, to ensure centre programmes conform to national standards
- secure records of all Internal Verification activity are maintained
- the outcome of Internal Verification is used to enhance future assessment practice.

### Procedure

#### IV Schedules

3.1 The LIV will formulate an IV schedule/plan that covers all assessors over the academic year.

3.2 The LIV will prepare an IV plan that will RAG rate each assessor to ensure that sampling is appropriate to the level of experience and amount of assessment undertaken over the academic year.

3.3 The IV schedule will cover every unit delivered within the qualification and will be stored electronically.

#### LIV Registration

3.4 LIV allocated by the QN will need to register as LIV for their subject area before the end of September each year. This will need to be completed within the OSCA platform within Edexcel Online.

3.5 LIV will access OSCA materials and use these to standardise the team for the NQF qualification.

#### IV of Assignments

3.6 The assessor will be required to submit every assignment to the IV at least 2 weeks before the planned issue date for validation and approval. No assignment can be issued to learners without IV approval.

3.7 The IV will complete an IV assignment brief for every assignment and confirm it fully meets the requirements of the qualification assessment criteria. A copy of the report will be uploaded onto the electronic shared drive.

3.8 All actions set by the IV must be completed within 10 working days and before issue to learners. Further approval must be gained from IV before the assignment can be issued.

#### IV assessment decisions

3.9 The IV will sample at least 4 learners from each assignment that has been formally assessed using the IV assessment decisions record. The sample will need to cover the range of grades awarded to learners and must be selected by the IV.

3.10 All actions set by the IV must be completed within 5 working days and before feedback is issued to learners.

#### **Maintenance of records**

**3.11** Assessors must keep an up to date tracker that monitors learner progress and confirms grades awarded for each assignment/unit. A copy must be kept on the electronic shared drive for a minimum of 3 years.

#### **Links**

**BTEC qualification specifications:** These provide guidance on assessment for each BTEC qualification. All staff teaching on BTEC programmes must have access to the relevant specification. They are published on our website: [www.btec.co.uk](http://www.btec.co.uk)

**Pearson BTEC Assessment & Grading Policy:** This is our policy on the application of grading criteria when assessing BTEC programmes: [www.edexcel.com/policies](http://www.edexcel.com/policies)

**BTEC Centre Guide to Internal Verification:** A valuable resource for centres in planning, quality assuring and delivering BTEC programmes: [https://qualifications.pearson.com/content/dam/pdf/btec-brand/BTEC\\_Centre\\_Guide\\_to\\_Internal\\_Verification.pdf](https://qualifications.pearson.com/content/dam/pdf/btec-brand/BTEC_Centre_Guide_to_Internal_Verification.pdf)

Version 2. Reviewed January 2021, next review January 2022

## Appeals Policy

### Aim:

- To enable the learner to enquire, question or appeal against an assessment decision
- To attempt to reach agreement between the learner and the Assessor at the earliest opportunity
- To standardise and record any appeal to ensure openness and fairness
- To facilitate a learner's ultimate right of appeal to the Awarding Body, where appropriate
- To protect the interests of all learners and the integrity of the qualification.

### In order to do this, the centre will:

- inform the learner at induction, of the Appeals Policy and procedure
- record, track and validate any appeal
- forward the appeal to the Awarding Body when a learner considers that a decision continues to disadvantage her/him after the internal appeals process has been exhausted
- keep appeals records for inspection by the Awarding Body for a minimum of 18 months
- have a staged appeals procedure
- will take appropriate action to protect the interests of other learners and the integrity of the qualification, when the outcome of an appeal questions the validity of other results
- monitor appeals to inform quality improvement.

### Links

**BTEC qualification specifications:** These provide guidance on assessment for each BTEC qualification. All staff teaching on BTEC programmes should have access to the relevant specification. They are published on our website: [www.btec.co.uk](http://www.btec.co.uk)

**Policy on Appeals Concerning BTEC & Pearson NVQ Qualifications:** This is Pearson's policy on learner appeals. Please note, this does not apply until internal centre processes have been exhausted: [www.edexcel.com/policies](http://www.edexcel.com/policies)

### Procedure

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

### Learner induction

1. KSHS will ensure that candidates are informed of their centre assessed marks so that they may request a review of the centre's marking before marks are submitted to the awarding body. (Exam Board)
2. KSHS will inform candidates that they may request copies of materials to assist them in considering whether to request a review of the centre's marking of the assessment.

### Stages of Appeal

3. KSHS will, having received a request for copies of materials, promptly make them available to the candidate. However, it is important to note that candidates **can make no amendments** to the submitted work.
4. KSHS will provide candidates with sufficient time in order to allow them to review copies of materials and reach a decision.
5. KSHS will provide a clear deadline for candidates to submit a request for a review of the centre's marking. Requests will not be accepted after this deadline. Requests **must** be made in writing using the request form.
6. KSHS will allow sufficient time for the review to be carried out, to make any necessary changes to marks and to inform the candidate of the outcome, all before the awarding body's deadline.
7. KSHS will ensure that the review of marking is carried out by an assessor who has appropriate competence, has had no previous involvement in the assessment of that candidate and has no personal interest in the review.
8. KSHS will instruct the reviewer to ensure that the candidate's mark is consistent with the standard set by the centre.

9. KSHS will inform the candidate in writing of the outcome of the review of the centre's marking.

#### **Recording and Monitoring**

10. The outcome of the review of the centre's marking will be made known to the head of centre. A written record of the review will be kept and made available to the awarding body upon request.
11. This process will be monitored throughout by the Assistant Head – Curriculum.

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

Version 2. Reviewed January 2021, next review January 2022

**Aim:**

- To identify and minimise the risk of malpractice by staff or learners
- To respond to any incident of alleged malpractice promptly and objectively
- To standardise and record any investigation of malpractice to ensure openness and fairness
- To impose appropriate penalties and/or sanctions on learners or staff where incidents (or attempted incidents) of malpractice are proven
- To protect the integrity of this centre and BTEC qualifications.

**In order to do this, the centre will:**

- seek to avoid potential malpractice by using the induction period and the learner handbook to inform learners of the centre's policy on malpractice and the penalties for attempted and actual incidents of malpractice
- show learners the appropriate formats to record cited texts and other materials or information sources
- ask learners to declare that their work is their own
- ask learners to provide evidence that they have interpreted and synthesised appropriate information and acknowledged any sources used
- conduct an investigation in a form commensurate with the nature of the malpractice allegation. Such an investigation will be supported by the Head of Centre and all personnel linked to the allegation. It will proceed through the following stages:
- make the individual fully aware at the earliest opportunity of the nature of the alleged malpractice and of the possible consequences should malpractice be proven
  1. give the individual the opportunity to respond to the allegations made
  2. inform the individual of the avenues for appealing against any judgment made
  3. document all stages of any investigation.

Where malpractice is proven, this centre may apply the following penalties / sanctions:

- Withdrawal from all examinations
- Withdrawal from the Named BTEC Examination
- Cancellation of the Unit
- Cancellation of the Assignment
- Repeat of the assignment

**Definition of Malpractice by Learners**

This list is not exhaustive and other instances of malpractice may be considered by this centre at its discretion:

- plagiarism of any nature
- collusion by working collaboratively with other learners to produce work that is submitted as individual learner work
- copying (including the use of ICT to aid copying)
- deliberate destruction of another's work

- fabrication of results or evidence
- false declaration of authenticity in relation to the contents of a portfolio or coursework
- impersonation by pretending to be someone else in order to produce the work for another or arranging for another to take one's place in an assessment/examination/test.

#### **Definition of Malpractice by Centre Staff**

This list is not exhaustive and other instances of malpractice may be considered by this centre at its discretion:

- improper assistance to candidates
- inventing or changing marks for internally assessed work (coursework or portfolio evidence) where there is insufficient evidence of the candidates' achievement to justify the marks given or assessment decisions made
- failure to keep candidate coursework/portfolios of evidence secure
- fraudulent claims for certificates
- inappropriate retention of certificates
- assisting learners in the production of work for assessment, where the support has the potential to influence the outcomes of assessment, for example where the assistance involves centre staff producing work for the learner
- producing falsified witness statements, for example for evidence the learner has not generated
- allowing evidence, which is known by the staff member not to be the learner's own, to be included in a learner's assignment/task/portfolio/coursework
- facilitating and allowing impersonation
- misusing the conditions for special learner requirements, for example where learners are permitted support, such as an amanuensis, this is permissible up to the point where the support has the potential to influence the outcome of the assessment
- falsifying records/certificates, for example by alteration, substitution, or by fraud
- fraudulent certificate claims, that is claiming for a certificate prior to the learner completing all the requirements of assessment.

#### **Links**

**Pearson BTEC Assessment Malpractice Policy:** This is Pearson's policy on assessment malpractice relating to BTEC programmes: [www.edexcel.com/policies](http://www.edexcel.com/policies)

Version 2.Reviewed January 2021, next review January 2022

**Aim**

- RPL is about using a learner's evidence of earlier learning and achievement towards an internally assessed part of a qualification.

**In order to do this, the centre will:**

- Review whether the evidence is enough to show that a learner has met the assessment requirements for a current qualification. The learner needs to show that through knowledge, understanding or skills they already have, they do not need to repeat the course or complete extra assessment activity.

An example of the process:

- Before enrolling the learner, discuss with them the option of using RPL to claim units for some of their past learning or experience. If the learner is interested in this, you should explain to them:
  1. The process of claiming a unit using RPL.
  2. The support and guidance that is available.
  3. How long the process will take, how to appeal and any costs included.
  4. The evidence provided by the learner will be checked for RPL has been achieved before the start of their course of study.
- The learner will then be registered and an assessment plan created.
- The evidence gathered needs to meet the standards of the unit, or part of a unit, that the evidence is being used for. Evidence from a learner's past experience could include:
  1. Home or family life
  2. Non-certificated education or learning
  3. Paid work
  4. Community or voluntary work.
- Assessing: Inform Standards Verifier/External Examiner, before any monitoring activity starts, if you have applied RPL for any particular units or learners. Documentation to include:
  1. A learner's past achievement that would show evidence of current knowledge, understanding and skills varies between industries.
  2. Assessment strategy, where stated, for each qualification must also be followed.
  3. Work experience records, validated by managers.
  4. Past portfolios of evidence or essays made by the learner.
  5. Reports validated as being the learner's own unaided work.
  6. Expert witness testimonies.
  7. Professional discussions.
  8. New assignment briefs or tasks that have been created to fill any gaps in the learner's work.
- In assessing a unit using RPL the Assessor must be satisfied that the evidence from the learner meets the standard for all of the learning outcomes and assessment criteria.
- Documenting evidence: through the same quality assurance procedures for any other internal assessment methods.
- Ensure records of assessment against prior learning are kept and are available for verification if requested.
- Outcomes: feedback is given to the learner within 10 working days including the assessment decision and what options are available to the learner including the use of the schools appeal process.
- If the learner wants to make a complaint they can do so using our Pearson Qualifications Website.
- Certification: certificates are claimed once the quality assurance processes have been successfully completed using the standard procedures.
- After certification, the assessment and internal verification records, along with any extra RPL records are kept for three years.

**Links**

**Pearson BTEC Recognition of prior learning policy and process:** This is Pearson's policy on recognition of prior learning relating to BTEC programmes: [www.edexcel.com/policies](http://www.edexcel.com/policies)

## Distance and Blended Learning Policy

### Aim

- Distance Assessment is a method of assessment where the assessment is designed to be carried out remotely. Distance Assessment enables learners to be assessed even if they are in situations/settings where traditional methods of assessment may be difficult or impossible to operate.
- To ensure that blended learning delivery meets the guidelines set by the awarding organisation.
- To ensure that assessment methodology is valid, reliable and does not disadvantage any group or individual learners.

### In order to do this, the centre will:

- Deliver theoretical units via remote delivery.
- Practical activities cannot be delivered remotely so any content will be delivered through theoretical content delivery or via internet video content for demonstrations where possible.
- There are scenarios where distance assessment will not be possible and not appropriate where: Practical skills and/or interaction with individuals/equipment need to be demonstrated and assessed in person.
- When students are working remotely teachers and students will continue to follow their normal timetable for delivery of live lessons. These lessons will be used to teach the components necessary to enable students to complete their assignments, set assignments with deadlines and provide feedback.
- Work by students will be submitted on Teams and saved to the Teams area, along with the assessment record sheets and internal verification records.
- Learners are provided with a course handbook that is reviewed during the induction lesson which outlines the consequences of plagiarism and malpractice. They will still be required to acknowledge the work is their own by uploading it to Teams and signing their Assessment record sheet using their email address as an electronic signature. Learners have been instructed on how to cite sources and other information sources.

### Links

#### **Pearson BTEC Pearson guidance for Distance Learning and Blended Learning approaches during the COVID-19**

**period:** This is Pearson's policy on distance and blended learning relating to BTEC programmes:

<https://qualifications.pearson.com/content/dam/pdf/Support/Quality%20Assurance/BTEC-Distance-and-Blended-Learning-approaches-during-COVID-19-period.pdf>

Version 1 October 2020, due for review January 2022