



# Exams policy

## 2020/21

This policy is reviewed annually to ensure compliance with current regulations

<b>Approved/reviewed by</b>	
Nadine Lees and Jing Han	
<b>Date of review</b>	May 2020
<b>Date of next review</b>	October 2021



### Key staff involved in the exams policy

Role	Name(s)
Head of Centre	Ms Rebecca Warren
Assistant Vice Principal with Exam Responsibilities	Ms Nadine Lees
Exams Officer	Jing Han
Head of SEN Inclusion	Jessica Edgar



## Contents

1. Policy .....	
2. Scope .....	
3. Definitions .....	
4. Key Principles .....	
5. The Statutory Tests and Qualifications Offered.....	
6. Procedures .....	
7. Roles and Responsibilities .....	
8. Particular Responsibilities for Controlled Assessments.....	
Appendix 1	Student Exam Malpractice.....
Appendix 2	Checklist for LEAD invigilators (for written examinations) .....
Appendix 3	Checklist for invigilators (for on-screen tests) .....
Appendix 4	Appeals against internal assessed marks (GCSE controlled assessments and GCE And GCE coursework units) .....
Appendix 5	Personal Data, Freedom of Information and Copyright .....
Appendix 6	Emergency evacuation plan .....



## Examination Policy & Guidelines against Malpractice

### 1. Policy

#### 1.1 Purpose of the policy

The centre is committed to ensuring that the exams management and administration process is run effectively and efficiently. This exam policy will ensure that:

- all aspects of the centre's exam process is documented and other relevant exams-related policies, procedures and plans are signposted
- the workforce is well informed and supported
- all centre staff involved in the exams process clearly understand their roles and responsibilities
- all exams and assessments are conducted in accordance with JCQ and awarding body regulations, guidance and instructions, thus ensuring that "... the integrity and security of the examination/assessment system is maintained at all times and is not brought into disrepute." [JCQ General Regulations for Approved Centres (GR) 1]
- ensure that all candidate data where required by the awarding body has been supplied to the awarding bodies within the terms of the General Data Protection Regulation, the Data Protection Act 2018 and the Freedom of Information Act 2000, and that candidates have been properly informed that this data has been transferred to the awarding bodies (see Appendix 5).
- exam candidates understand the exams process and what is expected of them.

This policy is reviewed annually to ensure ways of working in the centre are accurately reflected and that exams and assessments are conducted to current JCQ (and awarding body) regulations, instructions and guidance. The policy may be reviewed mid-year, as necessary, in response to unforeseen circumstances.

This policy will be communicated to all relevant centre staff.

1.2 Mossbourne Community Academy will plan and manage examinations so that they are conducted efficiently and in the best interest of candidates.

1.3 Mossbourne Community Academy will have clear guidelines to help ensure the operation of an efficient exam system.

### 2. Scope

2.1 This Policy applies to examinations taken in the academic year 2020-2021.

### 3. Definitions

3.1 The JCQ is the Joint Council for Qualifications. The Joint Council for Qualifications (JCQ) consists of AQA, CCEA, City & Guilds, NCFE, OCR, Pearson, SQA and WJEC, the eight largest national awarding bodies offering qualifications in the UK. These qualifications include GCSEs, A levels, Scottish Highers as well as vocational qualifications.

3.2 EAR stands for Enquiry About Result.



3.3 ATS stands for Access To Scripts.

#### 4. Key Principles

4.1 Roles and responsibilities will be clearly defined to help ensure clarity and efficiency. These are defined in Section 5.

4.2 It is very important that everyone involved in the Centre's examination processes must read, understand and implement this policy.

#### 5. The Statutory Tests and Qualifications Offered

5.1 The statutory tests and qualifications offered at this Centre are decided by the Vice Principal Curriculum, Heads of Curriculum and the Heads of Department.

5.2 The statutory tests and qualifications offered are optional NCTs, ELCs, GCE and GCSEs.

5.3 The subjects offered for these qualifications in any academic year may be found in the Centre's published prospectus for that year. If there has been a change of syllabus from the previous year, the exams office must be informed immediately.

5.4 Decisions on whether a candidate should not take an individual subject or all NCTs will be taken in consultation with the parents and/or carers, the SENCo, subject teachers, Head of Key Stage, heads of subject and the Vice Principal Curriculum.

5.5 At Key Stage 4 - all candidates will be entitled, and enabled, to achieve an entry for qualifications from an external awarding body.

#### 6. Procedures

##### 6.1 Procedure for the Delivery of Examination Materials

- Examination materials are always addressed 'For the attention of the Examination Officer'
- Whenever parcels are delivered to a point of entry, either to Reception or to the security gate to the car park, the Reception/Security staff should immediately phone the Site Manager/Staff to inform them an exam delivery has been made, and to ask them to take the parcel to the Exam Office.
- If a member of the Site Team is not available, Reception/Security should phone the Exams Office. The Exams Officer will then collect and sign for the parcel.
- If both the Site Manager and the Exam Officer are unavailable, an email should be sent to both saying there is an exams parcel waiting to be collected. The parcel should be put away in a locked cupboard for safe keeping.
- Frequent attempts should be made by Reception/Security staff to inform the Site Manager/Exam Officer concerning the need to pick up the parcel.
- If the Exam Officer is unable to take delivery during office hours the parcel should be left in the Exam Office and the door locked. The Exam Officer must be informed by the Site Manager that a delivery has been made and the Exam Officer must sign for this at the earliest possible opportunity on return.
- If the Exam Officer is unable to take delivery outside office hours the parcel should be locked



away in the Finance Office. (Outside office hours are after 3:30pm on a Friday or during holidays).

## 6.2 Procedure for the Storage and Management of Examination Materials

- Materials are received in sealed boxes and plastic sealed envelopes and must be then stored in the Academy exam safe which is accessible only by the Head of Centre or Examination Officer.
- The Examination Officer will check off exam materials received against those ordered.
- Materials are stored in securely until the period immediately preceding the examination, as per JCQ procedures.
- On the day before any examination, exam materials are rechecked by the Examination Officer and then taken out of secure storage within 1 hour of the stated examination time for exam room preparation. An additional member of centre staff, who can be an invigilator, must check the day, date, time, subject, unit/component and tier of entry, if appropriate, immediately before a question paper packet is opened. In special access arrangements a designated member of staff (SENCO) will collect student papers from the Examination Officer.
- After the examination, exam papers are dispatched either on the same day by Parcel Force collection or the following day as per exam board regulations. Collection is via the Reception - Reception staff are informed of a prearranged collection period and inform the Examination Officer when Parcel Force are on site. Exam materials are then dispatched for collection. These collections are logged both by Parcel Force and the Examination Officer. The Examination Officer keeps a record of all dispatches identified by their unique reference number.
- Each year these procedures are checked by the JCQ inspectorate and copies kept on file.

## 6.3 Procedure for the Dispatch of Examination Materials

- Prior to the start of a particular exam season Parcel Force or other carrier as may be determined from time to time are contacted by the Examination Officer to arrange exam parcel collection. They collect parcels every weekday until the end of the exam season.
- After an exam is completed, the parcels will be taken to Reception by the Exam Officer and left for collection.
- If Parcel Force arrive to collect before the parcels are ready for collection, parcels will be left in the Exam Office safe until the next day.
- If Parcel Force fails to collect for any reason, the parcels will be left overnight in a safe in Reception in order to be ready for dispatch the following day.
- If Parcel Force fails to collect for any reason, the Exam Officer will be informed about this by Reception and notified again, by Reception, once the parcels have been collected.

## 6.4 Exam seasons

- Internal exams are commonly scheduled for November (Year 11), February (Year 12 & 13) and June (Year 7,8,9 & 10)
- External exams are scheduled in May and June.
- All internal exams are held under external exam conditions at KS4 & KS5 and as closely as possible at KS3.

## 6.5 Exam Timetables

- Once confirmed, the Examination Officer will circulate the exam timetables for external exams



to students, staff and parents.

- Once confirmed, the Assistant Vice Principal for exams will circulate the exam timetables for internal exams to students, staff and parents.

## 6.6 Entries

- Candidates are selected for their exam entries by the Vice Principal Curriculum, Heads of Curriculum, Heads of Department and the subject teachers.
- Candidates, or parents and/or carers, can request a subject entry, change of level or withdrawal.
- Candidates registrations on to BTec course are completed with the Exams officer and HOLA of relevant subject. This is to ensure no errors are made.

## 6.7 Late entries

- Entry deadlines are circulated to Heads of Department, via email.
- Late entries are authorized by the Head of Centre, Examination Officer and Senior Leadership Team.

## 6.8 Examination fees

- The Centre will pay all normal exam fees on behalf of candidates.
- Late entry or amendment fees are paid by the centre.
- Candidates or departments will not be charged for changes of tier, withdrawals or alterations arising from administrative processes, provided these are made within the time allowed by the awarding bodies.

## 6.9 Those with Disabilities

- The Disability Discrimination Act 2010 extends the application of the DDA to general qualifications. All examination Centre staff must ensure that the access arrangements and special consideration regulations and guidance are consistent with the law.

## 6.10 Special needs

- A candidate's special needs requirements are determined by the specialist teacher (Dip SpLD) and SENCo for Examinations.
- The SENCO for Examinations will inform subject teachers of candidates with special educational needs who are embarking on a course leading to an exam. The SENCO for Examinations will also inform individual staff of any special arrangements that individual candidates can be granted during the course and in the examination.

## 6.11 Access arrangements

- Making special arrangements for candidates to take exams is the responsibility of the examinations office and SENCO for Examinations.
- Where a candidate with a learning difficulty requires an assessment of his/her needs, he/she is assessed by an appropriately qualified assessor as appointed by the head of centre. Evidence of the assessor's qualification(s) must be obtained before he/she assesses candidates. In line with our written process, the correct procedures are followed as per Chapter 7 of the JCQ publication *Access Arrangements and Reasonable Adjustments*.



- Submitting completed access arrangement applications to the awarding bodies is the responsibility of the SEN Inclusion department and specialist teacher (Dip SpLD).
- Rooming for access arrangement candidates will be arranged by the exam team with support from the SENCO for Examinations.
- Invigilation and support for access arrangement candidates will be organized by the SENCO for Examinations.
- In the event of students requiring separate invigilation this will be arranged by the SENCO for Examinations in liaison with the Pastoral Team and will reflect students' normal working practice and normal exam regulations will be applied.
- The Examinations Officer will provide an examination timetable which will be saved in the shared Staff Shared Drive for all staff to access. This will assist the access arrangements team in organizing the use of computers for candidates who need to use word processing for an examination.

## 6.12 Managing invigilators

- External Invigilators may be used, where necessary, to support Mossbourne staff in running effective examination procedures.
- The recruitment of invigilators in time to secure DBS clearance is the responsibility of the Head of Centre.
- When recruiting invigilators from external agency, we must also have a record of the content of the training given to invigilators from the agency. This record must be retained on file until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.
- Securing the necessary Disclosure and Barring Service (**DBS**) clearance for new invigilators is the responsibility of HR Department. On arrival invigilators are advised regarding safeguarding procedures for reporting safeguarding concerns.
- DBS fees for securing such clearance are paid by the Academy.
- Invigilators will be timetabled and briefed by the Examination Officer.
- If required, specialist training will be provided to lead invigilators to ensure they are fully conversant with all examination procedures and able to lead examinations.

## 6.13 Invigilators

- Rates of pay for invigilators are set by the Principal
- There must be at least one invigilator for each group of 20 candidates, or fewer, taking computer based and on-screen tests, unless an awarding body has given permission to do otherwise. This will, however, be dependent on the nature of the test and the layout of the room. Further invigilators will be employed at the Examination Officer's discretion to ensure that all candidates are in view at all times.

## 6.14 Examination Days

- The Examination Officer will book all exam rooms, after liaison with other users, and will make the question papers, other exam stationery and materials available for the invigilators.
- Site management is responsible for setting up the allocated rooms with the assistance of The Examination Officer.
- The lead invigilator will start all examinations in accordance with JCQ guidelines.





room before the end of a session. Papers will be available to Heads of Department the next day.

- A teacher who teaches the subject being examined, or a senior member of teaching staff who has had overall responsibility for the candidates' preparations for the examination cannot act as an invigilator during examinations

#### 6.15 Candidates

- The Centre's published rules on acceptable dress, behaviour and candidates' use of mobile phones and all electronic devices apply at all times.
- Candidates' personal belongings remain their own responsibility and the Centre accepts no liability for their loss or damage. Rules for personal equipment are governed by the JCQ guidelines displayed outside each examination room.
- In order to identify candidates accurately, line up and registration are held before examinations and assessments. Students details (including photo image, name, candidate number) are printed and visible on students' desks in the examination room.
- Disruptive candidates in examinations are dealt with in accordance with JCQ guidelines. In the event of potential disruption an isolation room will be set up according to JCQ regulations for identified/excluded students.
- Candidates may leave the examination room for a genuine purpose requiring an immediate return to the exam room, in which case a member of staff must accompany them as per JCQ guidelines.
- The Senior Leadership Team will nominate staff who are responsible for candidates who are late for their examinations, or do not arrive.

#### 6.16 Clash candidates

- The exams team and SLT will be responsible, as necessary, for supervising escorts, identifying a secure venue and arranging overnight stays.

#### 6.17 Special consideration

- Should a candidate be ill before an exam, suffer bereavement or other trauma, be taken ill during the exam itself or otherwise disadvantaged or disturbed during an exam, then it is the candidate's responsibility to alert the Centre, the Examination Officer, or the examination invigilator, to that effect.
- The candidate must support any special consideration claim with appropriate evidence within three days of the exam, for example a letter from the candidate's doctor.
- At the end of the students' last exam, the Exams Officer will meet with the Head of Year to go through all cases for special consideration and complete special consideration online form at awarding organisations secure websites where applicable prior to the deadline date. If awarding organization declines special consideration application or we disagree with the level of adjustment made, appeals may be lodged in writing by the Centre to the exam board.

#### 6.18 Candidates who arrive late

- A candidate who arrives after the start of the examination may be allowed to enter the examination room and to sit the examination. This is entirely at the discretion of the



- A candidate who arrives after the start of the examination should be allowed the full time for the examination, depending on the Centre's organisational arrangements, and provided adequate supervision arrangements are in place.
- A candidate will be considered very late if they arrive **more than one hour** after the awarding body's published starting time for an examination which lasts one hour or more.
- For examinations that last less than one hour, a candidate will be considered very late if they arrive after the awarding body's published finishing time for the examination

6.19 Where a candidate arrives **very late** for an examination

- The script will be sent to the examiner/awarding body in the normal way
- A full written report will be sent to the awarding body on Form JCQ/VLA-Report on Candidate Admitted Very Late to Examination Room, as soon as possible and in any event within 7 days from the date of the relevant examination. (Form JCQ/VLA may be downloaded from the JCQ website: <http://www.jcq.org.uk/exams-office/forms/very-late-arrival-form>).
- The report will contain the following information:
  - The reason the candidate arrived late, including any details of special arrangements made for the candidate to reach the Centre;
  - The actual starting and finishing times of the examination;
  - The time the candidate started the examination;
  - The time the candidate finished the examination;
  - A statement on whether security may have been broken due to the candidate arriving late, including information about the extent to which the candidate was under supervision from the actual starting time of the examination;
  - The candidate will be warned that the awarding body is unlikely to accept the work.

6.20 Coursework

- Candidates who have to prepare coursework should do so by the deadline set by HOLA and in accordance with the timeframes stipulated by the exam board.
- Heads of Department will ensure all coursework is ready for dispatch at the correct time. The Examination Officer, via the postal dispatch log, will keep a record of what has been sent when and to whom.

6.21 Appeals against Internal Assessments

- Please refer to **Appendix 3**

6.22 Results

- Candidates will receive individual results slips on results days, in person, at the Centre.
- Arrangements for the school to be open on results days are made by the Senior Leadership Team.
- The provision of staff on results days is the responsibility of the Senior Leadership Team.

6.23 Procedures for dealing with candidates' requests for access to scripts, reviews of results and appeals to the awarding bodies

- The centre will make candidates aware of the arrangements for clerical re-checks, reviews of



marking and reviews of moderation before they sit any examination(s). These arrangements

**Mossbourne Community Academy**

**WA 1.7**

also extend to private candidates.

- Senior members of centre staff must be accessible to candidates immediately after the publication of results so that results may be discussed and decisions made on the submission of enquiries. Candidates must be informed of the periods during which centre staff will be available so that they may plan accordingly.
- Ensure that all internal candidates are made aware that all post-results service requests must be made through the centre.
- Ensure that candidates have provided their written consent (or email consent) for clerical checks, reviews of marking and access to scripts services offered by the awarding bodies after the publication of examination results.
- Post results enquiry is requested by teaching staff and passed to the Exams Officer to proceed, Exams Officer will follow up to apply via relevant awarding organisation's secure website. Once the outcome of review of marking is available, Exams Officer will notify the teaching staff who initially passed the request and Data department if there are any changes in results. Teaching staff must inform the students of the outcome of the review as soon as it is available.

#### 6.24 EARs (Requests for re-marks: Service 1 clerical re-check; service 2 Mark review and service 3 Moderation review) and Appeals

- EARs may be requested by Centre staff or candidates if there are reasonable grounds for believing there has been an error in marking. Candidate consent is required for service 1 and 2.
- If a result is queried, the Examination Officer, teaching staff and Head of Centre will investigate the feasibility of asking for a Mark review at the Centre's expense.
- When the Centre does not uphold an EAR, a candidate may apply to have an enquiry carried out. If a candidate requires this against the advice of subject staff, they will be charged.
- If a candidate or member of teaching staff remain dissatisfied with the outcome of review of marking, appeals may be lodged in writing by the Centre to the exam board.

#### ATS (Access to scripts)

- Centre staff may also request scripts for investigation or for teaching purposes. The written consent of candidates must be obtained.
- This permission must be sought only after the candidates have received their results for the respective examination series.
- GCSE Mark reviews cannot be applied for once a script has been returned.

#### 6.25 Certificates

- Certificates are presented in person or collected and signed.
- Certificates may be collected on behalf of a candidate by a third party, provided they have been authorized to do so and can provide suitable identification.
- The centre retains certificates for 12 months (mid-November to end of November following year)
- It is a student's responsibility to collect certificates within this one year period, if they fail to collect them by the end of the given period, they will need to contact the relevant awarding body for a replacement certificate or statement of results at their own expense.



## 7. Roles and Responsibilities

### 7.1 Head of Centre

- Overall responsibility for the school as an Examination Centre
- Responsible for reporting all suspicions or actual incidents of malpractice. Refer to the JCQ document on suspected malpractice in examinations and assessments. The Head of Centre commits to ensuring that awarding bodies' Malpractice and Maladministration policies and procedures are adhered to (e.g ASDAN Malpractice and Maladministration policy and procedure 3.2). (Further information about malpractice is given in Appendix 1.)
- Advises on appeals and EARs.
- informs the awarding bodies, before the published deadline for entries, of any members of centre staff who are either sitting examinations and assessments, or teaching and preparing members of their family (which includes step-family, foster-family and similar close relationships) or household for examinations and assessments, or where members of their family will be sitting examinations and assessments;
- Awarding bodies must be informed where members of the family (which includes step-family, foster-family and similar close relationships) or household of exams office staff are being entered for examinations and assessments; whether by the centre itself or a different centre.

### 7.2 Examination Officer/manager

- Manages the administration of public exams.
- Advises the Head of Centre, Senior Leadership Team, subject and class tutors and other relevant support staff on annual exam timetables and application procedures as set by the various exam boards.
- Oversees the production and distribution to staff, governors and candidates of an annual calendar for all exams in which candidates will be involved and communicates regularly with staff concerning imminent deadlines and events.
- Ensures that candidates and their parents are informed of, and understand, those aspects of the exam timetable that will affect them.
- Consults with teaching staff to ensure that necessary coursework is completed on time and in accordance with JCQ guidelines.
- Receives, checks and stores securely all exam papers and completed scripts
- In co-operation with SENCO for Examinations, administers access arrangements and makes applications for special consideration using the JCQ access arrangements and special considerations regulations and guidance relating to candidates who are eligible for adjustments in examinations.
- Identifies and manages exam timetable clashes.
- With the Head of Centre, accounts for income and expenditures relating to all exam costs/charges.
- Line manages the exam invigilators and organises the recruitment, training and monitoring of a team of examinations invigilators responsible for the conduct of examinations.
- Assists subject staff to correctly submit candidates' coursework marks, tracks dispatch and stores returned coursework, and any other material required by the appropriate awarding bodies, correctly and on schedule.
- Arranges for dissemination of exam results and certificates to candidates and forwards, in



consultation with the SLT, any appeals/EAR requests.

- Maintains systems and processes to support the timely entry of candidates for their exams.
- Ensures that the Academy is kept abreast of exam developments in line with curriculum changes.

## 7.3 Vice Principal Curriculum

- External validation of courses followed at key stage 4 / post-16.

## 7.4 Heads of Department/School/Curriculum

- Guidance and pastoral oversight of candidates who are unsure about exam entries or amendments to entries.
- Ensuring that they are aware of and conversant with all examination, coursework and administration procedures for their chosen subject course.
- Accurate completion of coursework / NEA mark sheets on awarding organisations' secure website and declaration sheets.
- Accurate completion of entry and all other mark sheets and adherence to internal and external deadlines as set by the Examination Officer and examination boards.
- HOLA/HOD need to claim awards for BTEC Qualifications with the presence of the Lead IV or QN by the end of June each Academic Year.

## 7.5 Teachers

- Submission of candidates' names to Heads of Department /School/Curriculum.
- Provide additional invigilation for public examinations when required by the Head of Centre via the Cover Co-coordinator.

## 7.6 Special Access Arrangements SENCO for Examinations and specialist teacher (Dip SpLD)

- Administration of access arrangements.
- Identification and testing of candidates, requirements for Access Arrangements and supplying the Examination Office with this information prior to the start of the exam session.
- Provision of additional support, in accordance with access regulations, to help candidates achieve their course aims.

## 7.7 Lead invigilator (Member of the Examination Team)

- Organise the setup of the exam room.
- Collection of exam papers and other material from the Examination Office before the start of the exam.
- Collection of all examination papers in the correct order at the end of the exam and their return to the Examination Office.
- Administration of examination according to JCQ and exam board requirements – see additional invigilation advice.



## 7.8 Staff Invigilators

- Must be aware of published examination invigilation timetable.
- Must arrive promptly to the designated exam room.
- Must be vigilant throughout the exam and ensure that the examination room behaviour code is observed by candidates at all times.
- Must circulate the room and avoid sitting/standing at one place during the whole length of the exam.
- Must not bring coursework into the examination room and must not undertake marking while invigilating.
- May be asked to accompany a student to the toilet if the Lead Invigilator is unable to do so.
- May be asked to help collect the scripts from the candidates at the end of the examination.
- Must be very careful regarding any drinks brought into the exam room.
- May be asked to closely supervise the candidates in case of an emergency evacuation.
- **(Also see Appendix 2.)**

## 7.9 Candidates will be expected to/ be responsible for

- Understanding coursework regulations and signing a declaration that authenticates the coursework as their own.
- Must reference sources used in coursework appropriately.
- Being aware of any clashes that may appear on the candidate timetable and approach their form tutor or the Exams Officer to discuss this in detail.
- Arriving for exams 15 minutes before or as directed.
- Bringing the correct equipment for the exam. Should there be a need to borrow stationery from the exam team, borrowed equipment must be left on the desk at the end of the exam.
- Adhering to exam regulations at all times and observe all rules that apply when in an exam room.
- Being attentive during the exam and must listen, with great care, to the invigilator's instructions before the start of an exam.

## 8. Particular Responsibilities for Controlled Assessments

### 8.1 The Senior Leadership Team:

- Is accountable for the safe and secure conduct of controlled assessment and for ensuring assessments comply with JCQ guidelines and awarding bodies' subject-specific instructions.
- Must, at the start of the academic year, begin coordinating with Heads of Department/subject to schedule controlled assessments. (It is advisable that controlled assessments be spread throughout the academic years of Key Stage 4).
- Should map overall resource management requirements for the year and as part of this resolve:
  - Clashes/problems over the timing or operation of controlled assessments.
  - Issues arising from the need for particular facilities (rooms, IT networks, time out of school etc.)
- Ensure that all staff involved have a calendar of events.
- Create, publish and update an internal appeals policy for controlled assessments.



## 8.2 Heads of Department/Faculty

- Decide on the awarding body and specification for a particular GCSE.
- Standardise internally the marking of all teachers involved in assessing an internally assessed component.
- Ensure that individual teachers understand their responsibilities with regard to controlled assessment.
- Ensure that individual teachers understand the requirements of the awarding body's specification and are familiar with the relevant teachers' notes, and any other subject specific instructions.
- Where appropriate, develop new assessment tasks, or contextualise sample awarding body assessment tasks to meet local circumstances, in line with awarding body specifications and control requirements.

## 8.3 Teaching staff

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

## 8.4 Exams office staff

- Enter students for individual units, whether assessed by controlled assessment, external exam or on-screen test, before the deadline for final entries.
- Enter students' 'cash-in' codes for the terminal exam series.
- Where confidential materials are directly received by the Exams Office, to be responsible for receipt, safe storage and safe transmission, whether in CD or hard copy format.
- Download and distribute mark sheets for teaching staff to use, and collect and send mark sheets to awarding bodies before deadlines.
- On the few occasions where controlled assessment cannot be conducted in the classroom



arrange suitable accommodation where controlled assessment can be carried out, at the direction of the Senior Leadership Team.

## 8.5 Special Educational Needs Coordinator SENCO for Examinations and specialist teacher (Dip SpLD)

- Ensure Access Arrangements have been applied for
- Work with teaching staff to ensure requirements for support staff are met.

## 9 Particular Responsibilities for BTEC Assessments

### 9.1 Heads of Department/Faculty

- Create assessment plans for delivery
- Create assessment briefs for all assessment criteria

### 9.2 The Quality Nominee

- To act as the point of contact for quality assurance
- To ensure effective management of the BTEC programme and promote good practice

### 9.3 Lead IV

- To produce an IV schedule as part of the annual assessment plan
- Keep a record of learner work and decide the amount of work to be internally verified
- Keep records of all assignment briefs, assessment plans and IV approval forms for 3 years after accreditation.
- Check and sign off assessment plans, briefs within an agreed time frame
- To ensure Internal verification takes place within a maximum of 10 working days of the assessor's decision.
- To provide support and guidance with the assessment process

### 9.4 Teaching Staff/Assessor

- Understand and comply with the general guidelines for BTEC assessment, ensuring that assignment briefs are shared and rules and expectations are adhered to by students when completing
- To ensure deadlines for submission of assigned tasks are shared with pupils and met
- Ensure students have signed and dated declarations of authenticity when submitting work
- To complete feedback using the Pearson approved assessment feedback form and within the specified time allocated within the assessment plan.
- To formally record and confirm the achievement of specific assessment criteria on the assessment feedback form
- To review marks in light of Lead IV feedback on marking





## Appendix 1a Student Exam Malpractice

Candidates must not become involved in any unfair or dishonest practice in any part of the public examinations, modules tests or coursework submissions, such as:

- Sitting an examination in the name of another candidate
- Having possession in the examination room unauthorised materials, such as notes, cases, leaflets, bags, stereos, iPods, MP3 players or pagers.
- Candidates must not talk or attempt to communicate with or disturb any other candidate once the exam has started
- Failing to follow instructions issued by the exam officer or invigilators during the examination
- Disruptive behaviour in the examination room
- Failing to follow the conditions of any supervision designed to maintain the security of the examination or assessment
- Working collaboratively with other candidates to produce coursework
- Copying from another candidate or allowing own work to be copied
- Deliberate destruction of another candidates' coursework
- Making a false declaration of authenticity in relation to the authorship of coursework or the contents of a portfolio
- Allowing others to assist in the production of coursework or assisting others in the production of coursework
- The misuse of examination and assessment materials and resources such as exemplar materials
- Being in possession of confidential material in advance of an examination
- Including offensive or obscene material in scripts, coursework or portfolios
- Plagiarism: unacknowledged copying from published sources or incomplete referencing
- Theft of another candidate's work

**Students are informed of these expectations both verbally and in writing and this policy is shared with all staff.**

**Failure to comply with these regulations could mean sanctions being imposed which range from warnings to loss of marks, loss of certification or disqualification for candidates breaching these conditions.**

**Any suspected instances of student malpractice should be reported to the Head of Centre for investigation immediately. The head of center must report to the awarding body as soon as possible all cases of suspected or actual malpractice in connection with an examination.**

**Staff malpractice includes complicity in any of the above, or awareness of any of the above without reporting it. It also includes, but is not limited to, failing to comply with awarding bodies' procedures relating to controlled assessment or coursework, or failing to comply with access arrangements procedures. In the event of reported staff malpractice or maladministration, the Head of Centre will investigate fully and take appropriate disciplinary action where required. The Head of Centre will also report suspected or actual staff malpractice to the awarding body as soon as possible.**



## Appendix 1b Suspected Malpractice Policies and procedures (2020/21 only)

The consequences of malpractice or maladministration are detailed in the JCQ guidance: [JCQ Suspected Malpractice: Policies and Procedures](#). These consequences include the risk of a delay to students receiving their grades, up to, and including, removal of centre status have been outlined to all relevant staff.

This document should be referred to in instances where malpractice is suspected on the part of students or staff.

**In particular staff should be aware** of the specific types of malpractice which may affect the Summer 2021 series including:

- breaches of internal security;
- deception;
- improper assistance to students;
- failure to appropriately authenticate a student's work;
- over direction of students in preparation for common assessments;
- allegations that centres submit grades supported by evidence that they know to be inaccurate;
- centres entering students who were not originally intending to certificate a grade in the Summer 2021 series;
- failure to engage, as requested, with awarding organisations during the External Quality Assurance and appeal stages and
- failure to keep appropriate records of decisions made and teacher assessed grades.

## Appendix 1c Conflict of Interest

All staff are required to declare any conflict of interest to the Associate Vice Principal responsible for exams. The Associate Vice Principal will ensure that measures are taken to mitigate any potential risk to the integrity of the qualifications affected.

They will also keep a log of these measures.



**Appendix 2 Checklist for LEAD invigilators (for written examinations)**

This checklist summarizes the most essential actions for invigilating written examinations. Lead Invigilators **must** fully understand the Instructions for conducting examinations.

<b>Arranging the examination room</b>
Check that any charts, diagrams, etc. have been cleared from the walls.
Check that you have the following on display: JCQ Mobile Phone poster; JCQ Notice to Candidates (written examinations); JCQ Warning to Candidates (written examinations); A summary of the school's evacuation procedures; A clock that all candidates can see clearly; A board showing the Centre number and the starting and finishing time of the examination(s).
Check that you have: A copy of the current JCQ Instructions for conducting examinations; Any subject-specific instructions and/or stationery lists issued by the relevant awarding body; A seating plan of the examination.
<b>Identifying candidates</b>
Make sure you know the identity of every candidate in the examination room.
Check the documentary evidence that private candidates or transferred candidates provide. You must ensure that they are the same people who were entered/registered for the examination/assessment.
<b>Before the examination</b>
Check the front of the question paper for the exact requirements for authorised materials, particularly calculators, dictionaries (see F below), anthologies and set texts.
Tell candidates that they must now follow the regulations of the examination and draw attention to: JCQ Mobile Phone notice; JCQ Notice to Candidates; JCQ Warning to Candidates.
Warn candidates that they must give you any unauthorised materials. This includes potential technological/web enabled sources of information such as ipods, mobile phones, MP3/4 players, smartwatches and wrist watches which have a data storage device.
Tell the candidates: To fill in the details on the front of the answer booklet and any supplementary sheets; To read the instructions on the front of the question paper.
Tell the candidates about any erratum notices.
Remind candidates to write clearly and in black ink and not to use highlighters or pale-coloured gel pens in their answers.
Remind candidates to write in the designated sections of the answer booklet.
Tell candidates when they may begin and how much time they have.
<b>During the examination</b>
Accurately complete the attendance registers (see section 15 of the Instructions for conducting examinations).
<b>See section 14</b> of the Instructions for conducting examinations if a candidate arrives late.
Be vigilant. Supervise the candidates at all times to prevent cheating and distractions.



Do not give any information to candidates about: Suspected mistakes in the question paper unless an erratum notice has been issued or permission has been given by the individual awarding body; Any question on the paper or the requirements for answering particular questions.
<b>See section 16</b> of the Instructions for conducting examinations as to when a candidate may leave the examination room
Make sure that no question paper is removed from the examination room during the examination.
Make sure that an appropriate member of staff is available to accompany any candidates who need to leave the room temporarily.
In an emergency <b>see section 18</b> of the JCQ instructions and refer to Centre's policy (appendix 4).
Tell candidates to stop writing at the end of the examination.
<b>After the examination</b>
Check and sign the attendance register.
Tell candidates to check they have written all the necessary information on their scripts including supplementary answer scripts; crossed out any rough work or unwanted answers and placed any loose additional answer sheets inside the answer booklet.
Collect all scripts and all unused stationery before candidates leave the examination room.
Arrange scripts in the order candidates appear on the attendance register.
Make sure that scripts are kept in a secure place before being sent to the examiner or the awarding body.
<b>Use of Calculators and Dictionaries</b>
Candidates are allowed to use calculators, unless the specification for the subject says otherwise.
Candidates are not allowed to use dictionaries in any examinations, unless the specification says otherwise.
Candidates who meet the JCQ awarding bodies' regulations may use bilingual dictionaries.
<b>Access Arrangements</b>
Check in advance with the exams officer which candidates, if any, have been granted access arrangements.



**Appendix 3 Checklist for invigilators (for on-screen tests)**

This checklist summarizes the most essential actions for invigilating on screen tests.

<b>Arranging the examination room</b>
Check that any charts, diagrams, etc. have been cleared from the walls.
Check that you have the following on display: JCQ Mobile Phone poster; JCQ Notice to Candidates (written examinations); JCQ Warning to Candidates (written examinations); A summary of the academy’s evacuation procedures; A clock that all candidates can see clearly; A board showing the Centre number and the starting and finishing time of the examination(s).
Check that you have: A copy of the current JCQ Instructions for conducting examinations; Any subject-specific instructions and/or stationery lists issued by the relevant awarding body; A seating plan of the examination.
Check that sufficient work stations are available, including at least one replacement computer (and printers where required).
Where candidates are required to print their responses, ensure that stocks of toner, ink and paper are sufficient to meet the demands of the on-screen test
<b>Identifying candidates</b>
Check the identity of each candidate. If the awarding body requires you to do so, check that the correct ID and password is issued to each candidate sitting the on-screen test.
The awarding body may require you to oversee the input of the ID and the password for each candidate; check to see that the name on the test screen matches the name of the candidate.
<b>Before the examination</b>
Ensure that candidates are seated comfortably with access to any assistive technology where approved by the awarding body.
Check, where appropriate, the front of the question paper for the exact requirements for authorized materials, particularly calculators and dictionaries.
Tell candidates that they must now follow the regulations of the examination.
Warn candidates that they must give you any unauthorised materials. This includes potential technological/web enabled sources of information such as ipods, mobile phones, MP3/4 players, smartwatches and wrist watches which have a data storage device.
Unless otherwise stated by the awarding body’s subject-specific instructions, remind candidates that they must not have access to the Internet, email, data stored on the hard drive or portable storage media.
Tell the candidates to read the instructions on the front of the question paper.
Tell the candidates about any erratum notices.
Make sure the candidates are familiar with the instructions, procedures and regulations for the on-screen test, particularly how to navigate and respond on-screen.
Remind candidates when they may begin and how the test will be terminated.
Check that candidates know how to request technical assistance.
Check that all candidates have logged on successfully, or have been logged on by the centre.
Ensure that technical support is available throughout the on-screen test in relation to malfunctioning of equipment, software or the on-screen test itself.



<b>During the examination</b>
Accurately complete the attendance registers ( <b>see section 15</b> of the Instructions for conducting examinations).
<b>See section 14</b> of the Instructions for conducting examinations if a candidate arrives late
Be vigilant. Supervise the candidates at all times to prevent cheating and distractions.
Do not give any information to candidates about: Suspected mistakes in the question paper unless an erratum notice has been issued or permission has been given by the individual awarding body;
Any question on the paper or the requirements for answering particular questions.
<b>See section 16</b> of the Instructions for conducting examinations as to when a candidate may leave the examination room
Make sure that no question paper is removed from the examination room during the examination.
Make sure that an appropriate member of staff is available to accompany any candidates who need to leave the room temporarily.
In an emergency <b>see section 18</b> of the JCQ instructions and refer to Centre's policy (appendix 4).
Record and reports any complaints from candidates relating to system delays or any other IT irregularities.
<b>After the examination</b>
Check and sign the attendance register.
Supervise the conclusion of the test, ensuring the candidates responses are saved and secure from unauthorized access.
Ensure that the software is closed as necessary.
Check that any necessary backups have been made and stored securely.
Collect copies of candidates work, additional print-outs and question papers before candidates leave the room.
Remove candidate's user areas at the end of the examination window or after each session if feasible.
If candidates are required to print work off outside the time allowed for the test, ensure that candidates are supervised at all times.
<b>Use of calculators and dictionaries</b>
Candidates are allowed to use calculators, unless the specification for the subject says otherwise.
Candidates are not allowed to use dictionaries in any examinations, unless the specification says otherwise.
Candidates who meet the JCQ awarding bodies' regulations may use bilingual dictionaries.
<b>Access Arrangements</b>
Check in advance with the exams officer which candidates, if any, have been granted access arrangements.



## **Appendix 4 Appeals against internal assessed marks (GCSE controlled assessments and GCE coursework units)**

HOD and HOLAS are committed to ensuring that staff mark candidates' controlled assessment/coursework fairly, consistently and in accordance with the awarding body's specification and subject-associated documents.

Candidates' work will be marked by staff who have appropriate knowledge, understanding and skill, and who have been trained in this activity. Where a number of subject teachers are involved in marking candidates' work, internal moderation and standardisation will ensure consistency of marking.

If a candidate believes that this may not have happened in relation to his/her work, he/she may make use of this appeals procedure.

1. Appeals will only be entertained if they apply to the process leading to an assessment. There is no appeal against the mark or grade awarded.
2. Candidates may appeal if they feel their coursework has been assessed unfairly, inconsistently or not in accordance with the specification for the qualification.
3. Appeals should be made in writing by the candidates parent/carer to the Head of Centre (or other nominee) who will decide whether the process used conformed to the necessary requirements.
4. Appeals should be made as early as possible and no later than two weeks before the last timetabled examination in the series.
5. The Head of Centre's findings will be notified in writing, copied to the exams officer and recorded for awarding body inspection.

## **Appeals against BTEC marks**

In the event of a student wishing to make an appeal against an assessment decision, the following steps must be followed:

- The candidate must contact the assessor within three days of receiving their mark to arrange an informal meeting to discuss the assessment decision.
- If the candidate is still dissatisfied, then they appeal to the relevant HOLA, putting forward reasons why their assignment should be re-assessed.
- The assignment will be reassessed by an Internal Verifier who will provide the candidate with feedback within one working week.
- If the candidate is still dissatisfied, then they may appeal to the Lead Internal Verifier via the Head of Department, then the institutions Quality Nominee. If this were not acceptable for any reason then the academy will contact Edexcel directly to adjudicate.



## Appendix 5 Personal Data, Freedom of Information and Copyright

### Personal Data, Freedom of Information and Copyright

#### Personal Data

6.1 The delivery of examinations and assessments involve centres and awarding bodies processing a significant amount of personal data (i.e. information from which a living individual might be identified). It is important that both centres and awarding bodies comply with the requirements of the General Data Protection Regulation and the Data Protection Act 2018.

6.2 Centres must bring to candidates' attention the JCQ document Information for candidates – Privacy Notice, General and Vocational Qualifications. This document should be distributed to all candidates at the start of a course leading to a vocational qualification, or, where candidates are following GCE and GCSE qualifications, when the entries are submitted to awarding bodies for processing.

6.3 The head of centre, or a member of the senior leadership team, must advise any person involved in administering, teaching or completing examinations/assessments that where malpractice is suspected or alleged personal data about them will be provided to the awarding body (or bodies) whose examinations/assessments are involved and may be shared with other awarding bodies, the qualifications regulator or professional bodies in accordance with the JCQ publication Suspected Malpractice in Examinations and Assessments – Policies and Procedures.

6.4 Awarding bodies may be required to provide a candidate's personal data to educational agencies such as DfE, WG, DE, The Skills Funding Agency, regulators, HESA, UCAS, Local Authorities, EFA and Learning Records Service (LRS). Additionally, candidates' personal data may be provided to a central record of qualifications approved by the awarding bodies for statistical and policy development purposes. Awarding bodies maintain a comprehensive archive record of candidates' examination results. The purpose is to provide an audit trail of the results certificated and to maintain an accurate record of an individual's achievements. It is the responsibility of centres to ensure that candidates are made aware of this.

6.5 The Learning Records Service (LRS) will provide learners aged 14 and over with a Unique Learner Number (ULN). An internet facility will provide and hold a ULN for every person in education and training aged 14 and over.

The ULN will remain with the learner for life, supporting the learner in building a record of their participation and achievements. Learners will be able to manage access to their own learning and achievement data, whilst awarding bodies will be able to publish and maintain a learner's achievement data.

6.6 Awarding bodies must make the personal data they hold on an individual available to him or her when requested, subject to the application of any relevant exemptions. Candidates and other individuals may obtain access to their personal data such as examination results (see section 5.12, page 20) by applying to the appropriate awarding body's data protection officer (see page 26, contacts section).

6.7 It is the responsibility of centres to inform candidates of the processing that the centre undertakes. For example, that the centre will provide relevant personal data including name, date of birth, gender to the awarding bodies for the purpose of examining and awarding qualifications.





6.8 Data protection laws acknowledge that an examination certificate is a contemporaneous record of achievement. The fact that an individual's name might have changed since the date of issue of the certificate does not render it inaccurate for the purposes of the data protection legislation.

## Freedom of Information

6.9 Under the Freedom of Information Act 2000, the general public is allowed access to any recorded information held by public authorities, unless such information is exempted in accordance with the provisions of the Act.

6.10 This means centres or awarding bodies who are public authorities within the meaning of the Act must consider requests for information in accordance with the provisions of the Act. Centres who are public authorities must consult with the relevant awarding bodies before disclosing, pursuant to the Freedom of Information Act, any information received from an awarding body.

6.11 This obligation does not apply to centres or awarding bodies that are private entities. However, information held on behalf of other public authorities such as DfE or Ofqual will also fall within the scope of the Act. Centres and awarding bodies should co-operate with the relevant authority in respect of any request for such information.

## Copyright

6.12 The copyright in all question papers, on-screen assessments and computer-based assessments created by an awarding body belongs to that awarding body. Unless otherwise expressly stated in any question papers which are subject-specific, the awarding bodies grant the centres a non-exclusive, non-transferable licence to use the question papers for the purpose only of preparing future groups of candidates for mock examinations and other internal centre tests.

6.13 **For confidentiality purposes question papers must not be released to centre personnel for use in accordance with the above licence until after the awarding body's published finishing time for the examination or, in the case of a timetable variation, until all candidates within the centre have completed the examination.** This does not restrict access to question papers by authorised centre personnel for the purpose of conducting examinations.

6.14 Materials that are submitted by candidates for assessment may include any form of written work, audio and visual materials, computer programmes and data ("**Assessment Materials**"). The copyright in any assessment materials created by a candidate belongs to him/her.

6.15 Each centre will procure from each of its candidates to grant the awarding body a non-exclusive, royalty-free licence to use their assessment materials (the "**Assessment Licence**") on the following terms:

- i. the assessment licence becomes effective on submission, in any medium or form, by the candidate of the applicable assessment materials;



- ii. the awarding body is entitled to use such assessment materials for the purpose of:
  - a. assessing such candidates and their assessment materials (“**Candidate Assessment**”); **and**
  - b. providing education and training services to others;
  - c. research.
- iii. the awarding body is entitled to grant any sub-licences of its rights under section 6.15(ii):
  - a. to third party examiners for the purpose of candidate assessment; **and**
  - b. to third party IT service providers for the purpose of detecting potential and suspected malpractice.
- iv. the awarding body and its sub-licensees are entitled, for purposes of exercising their rights under the assessment licence, to reproduce the assessment materials in any form or medium and in whole or in part;
- v. the awarding body is entitled, for the purpose of providing education and training services to others, to modify, translate or otherwise change the assessment materials to meet particular needs;
- vi. a candidate shall be entitled to notify the awarding body, by means of a notice to the centre, that he or she wishes to terminate the awarding body’s rights referred to in section 6.15(ii)(b), (c) and it shall be in discretion of the awarding body whether or not to terminate such rights; **and**
- vii. a candidate is not entitled to terminate the awarding body’s rights referred to in section 6.15(ii) (a).

6.16 The assessment materials will either be assessed internally by teachers in the centres (whose marks will be moderated) or externally by examiners. Any such assessment materials will be anonymised to ensure that the candidates cannot be identified. Where a centre or third party is in possession of any assessment materials for the purposes of candidate assessment, such assessment materials will be held on behalf of the awarding body. The centre or third party shall not acquire any rights therein other than granted pursuant to the assessment licence.

6.17 The awarding body before publishing or otherwise disclosing assessment materials to any third party in any medium or form, and using any assessment materials for the purpose of providing education and training services to others, pursuant to the assessment licence, will anonymise such assessment materials to ensure that the candidates cannot be identified.

6.18 Each centre must submit promptly to the relevant awarding body any notice given by a candidate referred to in section 6.15(vi).

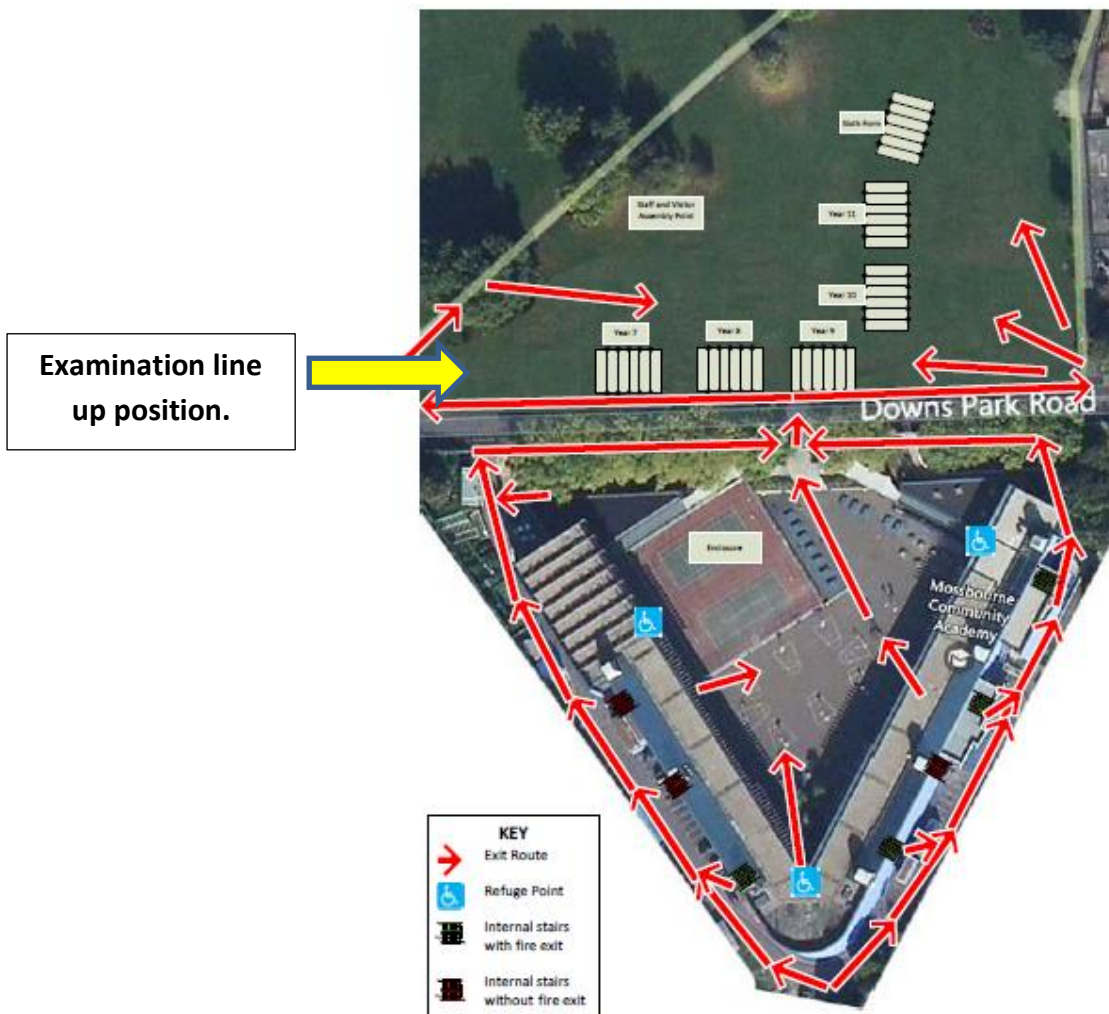
6.19 Subject to section 6.15, the physical medium on which any assessment material is recorded will be the property of the awarding body to whom it is submitted (the “**Property**”). The property will not be returned to centres other than through the access to scripts arrangements set out in **section 5.13, page 21**.



Appendix 6 Emergency evacuation plan

Emergency Evacuation Plan

Fire Evacuation Plan



Leave examination papers on your desk.

Leave all your equipment and belongings in the exam room.

Listen to the instructions from your teacher/invigilator.

Leave the exam hall/room in silence.