



DEAN TRUST Ardwick

# Exams Policy

2022/23

This policy is review annually to ensure complain with current regulations.

<i>Approved/reviewed by:</i>	
S. Worthington	
<i>Date of next review:</i>	Oct 2023

## **Main Contents**

<b>Key staff involved in the exams policy</b>	<b>4</b>
<b>Purpose of the policy</b>	<b>5</b>
<b>Roles and responsibilities overview</b>	<b>5</b>
Head of centre	5
Head of centre declaration	6
<b>Purpose of the policy</b>	<b>7</b>
<b>Internal appeals procedures</b>	<b>15</b>
<b>Disability policy</b>	<b>16</b>
<b>Complaints and appeals procedure</b>	<b>17</b>
Grounds for complaint	17
Complaints and appeals procedure	19
Complaints and appeals log	21
<b>Child protection/safeguarding policy</b>	<b>22</b>
<b>Data protection policy</b>	<b>22</b>
<b>Access arrangements policy</b>	<b>23</b>
<b>Word processor policy (exams)</b>	<b>30</b>
<b>Separate invigilation within the centre policy</b>	<b>34</b>
<b>Non-examination assessment policy</b>	<b>35</b>
Pre-exams: roles and responsibilities	40
Overnight supervision arrangements policy	44
Candidate absence procedure	46
<b>Emergency evacuation policy</b>	<b>49</b>
<b>Special consideration policy</b>	<b>53</b>
<b>Arrangements for unauthorised materials taken into the exam room</b>	<b>57</b>
Results and post-results: roles and responsibilities	57
Exams review: roles and responsibilities	59
<b>Exams archiving policy</b>	<b>60</b>

## Key staff involved in the exams policy

Role	Name(s)
Head of centre	S. Worthington
Exams officer line manager (Senior Leader)	D.Fuller
Exams officer	C. Allen
SENDCo	F.Horsley

## Purpose of the policy

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

This exam policy will ensure that:

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

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

This policy will be communicated to all relevant centre staff.

Candidate specific information will be contained within the Candidate Handbook given to all KS4 pupils at the start of their courses and also at the beginning of Year 11.

## Roles and responsibilities overview

*The head of centre is the individual who is accountable to the awarding bodies for ensuring that the centre is compliant with the published JCQ regulations and awarding body requirements in order to ensure the security and integrity of the examinations/assessments at all times.*

*The examinations officer is the person appointed by the head of centre to act on behalf of, and be the main point of contact for, the centre in matters relating to the general administration of awarding body examinations and assessments.*

*The head of centre may not appoint themselves as the examinations officer. A head of centre and an examinations officer are two distinct and separate roles. [\[GR 2\]](#)*

### Head of centre

- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:
  - » [General Regulations for Approved Centres \(GR\)](#)
  - » [Instructions for Conducting Examinations \(ICE\)](#)
  - » [Access Arrangements and Reasonable Adjustments \(AA\)](#)
  - » [Suspected Malpractice in Examinations and Assessments \(SMEA\)](#)
  - » [Instructions for conducting non-examination assessments \(NEA\) \(and the instructions for conducting coursework\)](#)
  - » [A guide to the special consideration process \(SC\)](#)
- Ensures the centre has appropriate accommodation to support the size of the cohorts being taught including appropriate accommodation for candidates requiring access arrangements for exams and assessments
- Takes responsibility for responding to the National Centre Number Register annual update (administered on behalf of the JCQ member awarding bodies by OCR [ocr.org.uk/administration/stage-1-preparation/ncn-annual-update/](http://ocr.org.uk/administration/stage-1-preparation/ncn-annual-update/)) by the end of October each year confirming they are both aware of and adhering to the latest version of the JCQ regulations and signs and returns the head of centre's declaration which is then kept on file for inspection purposes

## Head of centre declaration

The head of centre declaration is displayed within the examinations secure store and also in the examination's policy folder.

*Note: All heads of centres will be required to confirm, on an annual basis, that they are both aware of and adhering to the latest version of these regulations. This confirmation is managed as part of the National Centre Number Register (NCNR) annual update (see section 5.3, page 14).*

*A head of centre cannot delegate this responsibility to a member of the senior leadership team or the examinations officer.*

*A signed copy of the head of centre's declaration for the academic year 2019/20 must be held on file, available for inspection, as it will be an integral part of the centre inspection. An electronic version of the head of centre's declaration, with an electronic signature, is permissible.*

*Note: Failure to respond to the NCNR annual update, and/or the head of centre's declaration, will result in your centre status being suspended, your centre not being able to submit examination entries and not receiving or being able to access question papers. Ultimately awarding bodies could withdraw their approval of your centre. [\[GR 1\]](#)*

- Enables the relevant senior leader(s), the examinations officer and the SENCo to receive appropriate training and support in order to facilitate the effective delivery of examinations and assessments within the centre, and ensure compliance with the published JCQ regulations
- Appoints a SENCo who will determine appropriate arrangements for candidates with learning difficulties and disabilities
- Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the EO
- Makes sure that a teacher who teaches the subject being examined, or a senior member of teaching staff who has had overall responsibility for the subject department and/or preparing the candidates for the examination, is not an invigilator during the timetabled written examination or on-screen test
- Ensures confidentiality and security within the examination process is compliant with and managed according to JCQ and awarding body regulations, guidance and instructions including
  - » the location of the centre's secure storage facility in a secure room solely assigned to examinations for the purpose of administering secure examination materials
  - » appropriate arrangements are in place to ensure that confidential materials are only delivered to authorised members of centre staff
  - » access to the secure room and secure storage facility is restricted to the authorised 2-4 keyholders
  - » the relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk
  - » that arrangements are in place to check that the correct question paper packets are opened by authorised members of centre staff
- Through taking an ethical approach and working proactively to avoid malpractice among students and staff takes all reasonable steps to prevent the occurrence of any malpractice/maladministration before, during the course of and after examinations have taken place
- Ensures irregularities are investigated and informs the awarding bodies of any cases of alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, are reported to the awarding body immediately
- Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place (that allow the senior leadership team to act immediately in the event of an emergency or staff absence)

## Purpose of the policy

To be reviewed by:	Mr S.Worthington
Date of next review:	October 2023

## Purpose of the plan

This plan examines potential risks and issues that could cause disruption to the management and administration of the exam process at Ashton on Mersey 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 scenarios contained in the *Joint contingency plan in the event of widespread disruption to the examination system in England, Wales and Northern Ireland*.

This plan complies with JCQ general regulations (section 5) in that:

*The centre agrees to "have in place a written examination contingency plan/examinations policy which covers all aspects of examination administration. This will allow members of the senior leadership team to have a robust contingency plan in place, minimising risk to examination administration, should the examinations officer be absent at a crucial stage of the examination cycle;"*

### Exam Contingency Plan Contents

Purpose of the plan	5
Causes of potential disruption to the exam process	5
1. Exam officer extended absence at key points in the exam process (cycle)	5
2. SENDCo extended absence at key points in the exam cycle	7
3. Teaching staff extended absence at key points in the exam cycle	8
4. Invigilators - lack of appropriately trained invigilators or invigilator absence	8
5. Exam rooms - lack of appropriate rooms or main venues unavailable at short notice	8
6. Failure of IT systems	9
7. Disruption of teaching time – centre closed for an extended period	9
8. Candidates unable to take examinations because of a crisis – centre remains open	9
9. Centre unable to open as normal during the exams period	9
10. Disruption in the distribution of examination papers	10
11. Disruption to the transportation of completed examination scripts	10
12. Assessment evidence is not available to be marked	10
13. Centre unable to distribute results as normal	10

### Causes of potential 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 and trained
- Entries
  - » awarding bodies not being informed of early/estimated entries which prompts

release of early information required by teaching staff

- » candidates not being entered with awarding bodies for external exams/assessment
- » awarding body entry deadlines missed or late or other penalty fees being incurred

- Pre-exams

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

- Exam time

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

- Results and post-results

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

**Centre actions:**

- Planning

- » annual entry data collection exercise begun in summer term and updated/ confirmed by Head of Department at start of academic year – EO supported by Data Manager.
- » annual exams plan identifying essential key tasks, key dates and deadlines published for centre staff – key dates added to interactive exam calendar
- » invigilators given training dates & exam schedule at start of year; invigilator availability chart updated and recruitment process initiated if numbers insufficient. Administration staff included in invigilator training as back up for emergency cover.

- Entries

- » EO produces qualifications document from data collection exercise, planned entries confirmed with Head of Department, estimated entry information submitted by EO via awarding body websites as required.
- » EO prepares entries for external exams/assessment based on entry data collection. Marksheets confirmed/amended by teachers & Head of Dept. before submission
- » Internal check deadline at least 2 weeks before awarding body entry deadline. Late fee dates and details emailed to teachers and on exams calendar. Email reminders before deadlines regarding amendments and withdrawals.

- Pre-exams

- » At start of year main venues booked out for period of exams with cover supervisor and estates team informed. Annual exam schedule to all staff including invigilators. Individual invigilation schedules prepared as soon as seating arrangements are completed.
- » JCQ information for candidates on Moodle and school website and notice to candidates printed on back of individual timetables. Candidate and parent briefings coordinated by EO/Head of Year
- » exam/assessment materials signed for by EO on delivery and stored in exam safe



– signed for by teacher when released. Teachers keep pre-release materials and candidates' work in secure conditions until required by awarding body.

- » Head of Dept. has responsibility for ensuring awarding body procedures are followed for each subject. EO forwards all internal assessment materials to Head of Dept. on receipt and provides reminders of key deadline dates. EO has checklist of all units that require marks and samples of candidates' work. Record kept of all samples sent (proof of posting).
- Exam time
  - » All staff involved in exam delivery provided with JCQ regulations and briefed as necessary.
  - » Templates of all required reports downloaded in advance of exams e.g. very late arrival, suspected malpractice, special consideration. Individual files prepared for any candidates identified as requiring special consideration with evidence to support
  - » Registers and labels/bags prepared before each exam, scripts packaged immediately exam is finished and despatched in accordance with yellow label procedures. When necessary ad hoc collections booked in advance by exams officer.
- Results and post-results
  - » Details of results day published on school website and Moodle for students and parents. Updates to MIS carried out by IT support to ensure latest versions of SIMs available to process results. A2C tested to ensure links to awarding bodies are active. Envelopes address to candidates and prior results documents prepared in advance of results day, results slips downloaded from awarding bodies and printed from SIMs on EDI release day.
  - » EAR/ATS policy in place. Details of post-results services published on website and emailed to teaching staff. Application forms/fees available on request. Procedures in place for tracking applications and informing candidates of outcomes.
- In the absence of the Exams Officer any of the following controls may apply:
  - » Use guides to specific exam processes in the "How To" exam file or stored electronically in T/Admin/Examinations/Exam Guides and Notes
  - » Exams Assistant to organise day to day running of exams with advice and support from local Trafford Exams Officer network and other Dean Trust school Eos
  - » Contact awarding bodies' exams office support helplines, The Exams Office or JCQ for advice.

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

### **Criteria for implementation of the plan**

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

- Planning
  - » candidates not tested/assessed to identify potential access arrangement requirements
  - » evidence of need and evidence to support normal way of working not collated
- Pre-exams
  - » approval for access arrangements not applied for to the awarding body
  - » modified paper requirements not identified in a timely manner to enable ordering to meet external deadline
  - » staff providing support to access arrangement candidates not allocated and trained
- Exam time

- » access arrangement candidate support not arranged for exam rooms

#### **Centre actions:**

- Planning
  - » Candidates identified as potentially needing access arrangements when they are admitted to school (e.g. Statements of Special Educational Needs). Teaching staff make referrals to SENDCO if concerned about a pupil.
  - » SENDCO initiates appropriate testing and gathers evidence of need and evidence to support normal way of working to support an AAO application
- Pre-exams
  - » Exams Officer & SENDCO liaise at start of academic year to identify which students will be sitting external exams and who will need approval for access arrangements
  - » SENDCO & VI/Hi support staff liaise with exams office at start of academic year to identify modified paper requirements to enable ordering to meet external deadlines
  - » staff providing support to access arrangement candidates not allocated and trained
- Exam time
  - » access arrangement candidate support identified and confirmed through mock exams so exams office can arranged for exam rooms and co-ordinate invigilation and other specialist support such as scribes, OLM, practical assistant, etc.

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

#### **Criteria for implementation of the plan**

Key tasks not undertaken including:

- Early/estimated entry information not provided to the exams officer on time; resulting in pre-release information not being received
- Final entry information not provided to the exams officer on time; resulting in:
  - » candidates not being entered for exams/assessments or being entered late
  - » late or other penalty fees being charged by awarding bodies
- Internal assessment marks and candidates' work not provided to meet submission deadlines

#### **Centre actions:**

- SLT to ensure Head of Department is aware of need to provide accurate early/estimated entry information on time. In the absence of the Head of Department SLT to ensure an acting Head of Dept. is identified and aware of responsibilities to liaise with exams officer.
- Head of Department to set internal deadlines to provide entry information to the exams officer on time to avoid candidates not being entered for exams/assessments or being entered late.
- Head of Department to ensure all members of staff are aware of responsibilities to check entries and inform exams officer immediately of any amendments. Head of Department responsible for ensuring all staff in department understand and follow Internal assessment regulations and submit marks and candidates' work to meet submission procedures and deadlines

### **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:**

- Maintain a large enough team of external invigilators to cover the largest number of exam candidates at any one time. Organise appropriate training and updates for new and experienced invigilators.
- Plan invigilation schedules to include extra staffing on peak exam days.
- Advise invigilators to contact school immediately if unavailable and warn invigilators they may be asked to step in at short notice. Train administration staff and TAs as emergency invigilators to cover unforeseen absence on the day of an exam

#### **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:**

- Main exam rooms booked out in advance for period of exams (Sports Hall, Hall 1, F08).
- Smaller rooms identified and provisionally booked out for candidates with special requirements
- Estates team responsible for regular premises checks to maintain exam rooms and inform SLT/EO of any potential problems. Alternative accommodation to be identified by SLT (Broakoak school and Ashton on Mersey) and plans for supervision of candidates if start of exam is delayed whilst arranging alternative accommodation.

#### **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:**

- Set early internal deadline to allow time for IT support to resolve any unexpected system failures; contact awarding body to warn them entries may be late; look at alternative entry via awarding body secure sites
- Prepare seating plans and timetable as early as possible to allow for potential delays. Have manual templates for organising seating plans and timetables if necessary.
- IT support responsible for installing and testing upgrades well in advance of results days. IT support to be available on results download day. In the event of a complete MIS system failure contact Capita immediately and download results documents from awarding body secure websites.

#### **7. Disruption of teaching time – centre closed for an extended period**

##### **Criteria for implementation of the plan**

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

*The centre to communicate with parents, carers and students about the potential for disruption to teaching time and plans to address this. [Joint Contingency Plan (JCP) scenario 1]*

#### **Centre actions:**

- SLT to identify alternative temporary accommodation (potentially other schools within the Dean Trust). Exam candidates to be given priority.
- Alternative access to teaching such as Moodle to be implemented.

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

## Criteria for implementation of the plan

- Candidates are unable to attend the examination centre to take examinations as normal *The centre to communicate with relevant awarding organisations at the outset to make them aware of the issue. The centre to communicate with parents, carers and candidates regarding solutions to the issue. [JCP scenario 2]*

### Centre actions:

- liaise with candidates to identify whether the examination can be sat at an alternative venue in agreement with the relevant awarding organisations
- offer candidates an opportunity to sit any examinations missed at the next available series
- apply to awarding organisations for special consideration for candidates where they have met the minimum requirements

## 9. Centre unable to open as normal during the exams period

### Criteria for implementation of the plan

- Centre unable to open as normal for scheduled examinations

*A centre which is unable to open as normal for examinations must inform each awarding organisation with which examinations are due to be taken as soon as is possible. [JCP scenario 5]*

### Centre actions:

- Inform awarding organisations of the problem and proposed solution.
- open for examinations and examination candidates only, if possible
- SLT to organise alternative venues in agreement with relevant awarding organisations (e.g. share facilities with other centres or use other public buildings if possible)
- Keep parents and candidates informed of emergency action

## 10. Disruption in the distribution of examination papers

### Criteria for implementation of the plan

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

*The centre to communicate with awarding organisations to organise alternative delivery of papers. [JCP scenario 3]*

### Centre actions:

- EO checklist of all exam papers expected. Check before date of exam that sufficient papers have been received for every exam (including amendments to entries and modified papers).
- Check awarding organisation delivery tracking for any missing deliveries then contact awarding body despatch team.
- Arrange for emergency courier delivery or secure electronic despatch of question papers at short notice. Arrange secure printing and storage of question papers.

## 11. Disruption to the transportation of completed examination scripts

### Criteria for implementation of the plan

- Delay in normal collection arrangements for completed examination scripts

*The centre to communicate with relevant awarding organisations at the outset to resolve the issue. [JCP scenario 4]*

### Centre actions:

- Keep uncollected scripts in secure exam storage until collection can be re-arranged. If necessary take scripts to post office and get receipt for yellow label service.
- Contact Parcelforce helpline and if necessary inform awarding organisation about delay in despatch.

## 12. Assessment evidence is not available to be marked

### Criteria for implementation of the plan

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

*It is the responsibility of the head of centre to communicate this immediately to the relevant awarding*

organisation(s) and subsequently to students and their parents or carers. [JCP scenario 6]

**Centre actions:**

- Contact the awarding organisation immediately for advice.
- Where possible provide alternative evidence of candidates' achievement from existing assessment materials.
- If possible, arrange for assessments to be retaken in line with awarding body instructions
- Inform parents and candidates what action has been taken and how results will be affected.

**13. Centre unable to distribute results as normal**

**Criteria for implementation of the plan**

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

*Centres to contact awarding organisations about alternative options. [JCP scenario 11]*

**Centre actions:**

- Contact awarding organisations for advice
- Arrange an alternative site from which to distribute results
- Post results home
- Inform candidates and parents of new arrangements via email, school website
- If the centre is unable to process post results services contact the awarding bodies to inform them and have paper copies of application form available if the fault is relating to electronic submission.

*Causes 7-13 – all scenarios, criteria and specific communications have been taken directly from the Joint contingency plan in the event of widespread disruption to the examination system in England, Wales and Northern Ireland*

**From the Exams Office website:**

**Further guidance to inform and implement contingency planning**

**Ofqual**

*Joint contingency plan in the event of widespread disruption to the examination system in England, Wales and Northern Ireland*

[www.gov.uk/government/publications/exam-system-contingency-plan-england-wales-and-northern-ireland/joint-contingency-plan-in-the-event-of-widespread-disruption-to-the-examination-system-in-england-wales-and-northern-ireland](http://www.gov.uk/government/publications/exam-system-contingency-plan-england-wales-and-northern-ireland/joint-contingency-plan-in-the-event-of-widespread-disruption-to-the-examination-system-in-england-wales-and-northern-ireland)

**JCQ**

*General regulations*

[www.jcq.org.uk/exams-office/general-regulations](http://www.jcq.org.uk/exams-office/general-regulations)

*Guidance on alternative site arrangements*

[www.jcq.org.uk/exams-office/forms](http://www.jcq.org.uk/exams-office/forms)

*Instructions for conducting examinations*

[www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations](http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations)

*A guide to the special consideration process*

[www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance](http://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance)

**GOV.UK**

*Emergencies and severe weather: schools and early years settings*

[www.gov.uk/emergencies-and-severe-weather-schools-and-early-years-settings](http://www.gov.uk/emergencies-and-severe-weather-schools-and-early-years-settings)

*Teaching time lost due to severe weather conditions*

[www.gov.uk/government/publications/teaching-time-lost-due-to-severe-weather-conditions/teaching-time-lost-due-to-severe-weather-conditions](http://www.gov.uk/government/publications/teaching-time-lost-due-to-severe-weather-conditions/teaching-time-lost-due-to-severe-weather-conditions)

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

[www.gov.uk/government/publications/dispatch-of-exam-scripts-yellow-label-service/dispatch-of-exam-scripts-guide](http://www.gov.uk/government/publications/dispatch-of-exam-scripts-yellow-label-service/dispatch-of-exam-scripts-guide)

- Ensures required internal appeals procedures are in place and drawn to the attention of candidates and (where relevant) their parents/carers

## Internal appeals procedures

### Reviews of marking Centre assessed marks

(GCSE controlled assessments GCSE non-examination assessments and Project qualifications)

To be reviewed by:	Mr S.Worthington
Date of next review:	October 2023

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

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

1. Dean Trust Ardwick will ensure that candidates are informed of their centre's assessed marks so that they may request a review of the centre's marking before marks are submitted to the awarding body.
2. Dean Trust Ardwick 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.
3. Dean Trust Ardwick will, having received a request for copies of materials, promptly make them available to the candidate.
4. Dean Trust Ardwick will provide candidates with sufficient time in order to allow them to review copies of materials and reach a decision.
5. Dean Trust Ardwick 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.
6. Dean Trust Ardwick 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. Dean Trust Ardwick 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. Dean Trust Ardwick will instruct the reviewer to ensure that the candidate's mark is consistent with the standard set by the centre.
9. Dean Trust Ardwick will inform the candidate in writing of the outcome of the review of the centre's marking.
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.

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 therefore be considered provisional.

- Ensures the centre's disability policy demonstrating the centre's compliance with relevant legislation is in place and details the processes followed in respect of identifying the need for, requesting and implementing access arrangements

## Disability policy

The disability policy is available on the Dean Trust Ardwick's website and also within the examinations policy folder.

*The General Regulations cover... obligations arising from current data protection, equality and freedom of information legislation. However, the general regulations are not intended to be relied upon to ensure compliance with the legislation (Section 6)... A centre will have confirmed its readiness to adhere to these regulations when first approved as a centre (see Section 3, page 4)... [\[GR 1.2\]](#)*

*The head of centre/senior leadership team will...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... The centre must comply with the obligation to identify the need for, request and implement access arrangements... [\[GR 5.4\]](#)*

- Ensures a complaints and appeals procedure covering general complaints regarding the centre's delivery or administration of a qualification is in place and drawn to the attention of candidates and their parents/carers



## Complaints and appeals procedure

*This procedure is reviewed annually to ensure compliance with current regulations.*

Approved/reviewed by:	
Mr S.Worthington	
Date of next review:	Oct 2023

### Key staff involved in the complaints and appeals procedure.

Role	Name(s)
Head of centre	Mr S.Worthington
Exams officer line manager (Senior Leader)	D.Fuller
Exams officer	C. Allen

### Purpose of the procedure

This procedure confirms Dean Trust Ardwick compliance with JCQ's General Regulations for Approved Centres 2019-2020 (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 Personal data consent, Privacy Notice (AAO) and Data Protection confirmation 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 (complainant to refer via [insert who] to the centre's internal appeals procedure)
- Centre applied for the wrong post-results service/for the wrong exam paper for a candidate
- Centre missed awarding body deadline to apply for a post-results service
- Centre applied for a post-results service for candidate without gaining required candidate consent/permission

### **Complaints and appeals procedure**

- If a candidate (or his/her parent/carer) has a general concern or complaint about the centre's delivery or administration of a qualification he/she is following, Dean Trust Ardwick 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 or examinations officer.
- If a complaint fails to be resolved informally, the candidate (or his/her parent/carer) is then at liberty to make a formal complaint.

### **How to make a formal complaint**

- A complaint should be submitted in writing by completing a complaints and appeals form
- Forms are available from the examination officer or printed from this policy
- Completed forms should be returned to the examinations officer
- Forms received will be logged by the centre and acknowledged within 15 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 5 working weeks]

### **Appeals**

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

- Any appeal must be submitted in writing by again completing a complaints and appeals form
- Forms received will be logged by the centre and acknowledged within [5 calendar days]
- The appeal will be referred to Chair of Governors (or a special Committee of the Governing body) for consideration
- The Chair of Governors (or Committee) will inform the appellant of the final conclusion in due course

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# Examination Complaints and Appeals



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, Dean Trust Ardwick 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 or examinations officer.

Name of complainant/appellant:	
Candidate name if different to complainant/appellant:	

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

Complaint/appeal against the centre's delivery of a qualification	<input type="checkbox"/>
Complaint/appeal against the centre's administration of a qualification	<input type="checkbox"/>

## FOR CENTRE USE ONLY

Date received:	
Reference No.	

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.



- Ensures the centre has a child protection/safeguarding policy in place, including Disclosure and Barring Service (DBS) clearance, which satisfies current legislative requirements

## Child protection/safeguarding policy

This policy is held on the Dean Trust Ardwick's website

*It is the responsibility of the head of centre to ensure that his/her centre... has in place a written child protection/ safeguarding policy, including Disclosure and Barring Service (DBS) clearance, which satisfies current legislative requirements... [GR 5.3]*

- Ensures the centre has a data protection policy in place that complies with General Data Protection Regulation and Data Protection Act 2018 regulations

## Data protection policy

This policy is held on the Dean Trusts website

*The General Regulations cover... obligations arising from current data protection, equality and freedom of information legislation. However, the general regulations are not intended to be relied upon to ensure compliance with the legislation (Section 6)... A centre will have confirmed its readiness to adhere to these regulations when first approved as a centre (see Section 3, page 4). [GR 1.2]*

*The centre will... 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 section 6, page 23, for more information)... [GR 5.8]*

## Legislation on sharing information

Under the principles of the General Data Protection Regulations 2018 and the Data Protection Act 2018, children and young adults can assume control over their personal information and restrict access to it from the age of 13.

This suggests that candidate consent should be sought to share results or other exams-related information with a third party.

Other legislation and guidance may need to be taken into account regarding sharing information with parents, as example information from the DfE for schools regarding parental responsibility and school reports on pupil performance:

- Understanding and dealing with issues relating to parental responsibility: [www.gov.uk/government/publications/dealing-with-issues-relating-to-parental-responsibility/understanding-and-dealing-with-issues-relating-to-parental-responsibility](http://www.gov.uk/government/publications/dealing-with-issues-relating-to-parental-responsibility/understanding-and-dealing-with-issues-relating-to-parental-responsibility)
- School reports on pupil performance: [www.gov.uk/guidance/school-reports-on-pupil-performance-guide-for-headteachers](http://www.gov.uk/guidance/school-reports-on-pupil-performance-guide-for-headteachers)

## Publication of exam results

Refer to ICO (Information Commissioner's Office) Education and Families information and the document Publishing exam results.

- Ensures the centre has documented processes in place relating to access arrangements and reasonable adjustments



## Access arrangements policy

This procedure is reviewed annually to ensure compliance with current regulations.

Approved/reviewed by:	
Mr S.Worthington	
Date of next review:	Oct 2023

### Key staff involved in the complaints and appeals procedure.

Role	Name(s)
SENCo	F.Horsley
SENCo line manager (Senior Leader)	A.Horsley
Head of centre	Mr S.Worthington
Assessor(s)	H. White

### What are access arrangements and reasonable adjustments? Access arrangements

Access arrangements are agreed before an assessment. They allow candidates with specific needs, such as special educational needs, disabilities or temporary injuries to access the assessment and show what they know and can do without changing the demands of the assessment. The intention behind an access arrangement is to meet the particular needs of an individual candidate without affecting the integrity of the assessment. Access arrangements are the principal way in which awarding bodies comply with the duty under the Equality Act 2010\* to make 'reasonable adjustments'. [\[AA Definitions, page 3\]](#)

### Reasonable adjustments

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

- the needs of the disabled candidate;
- the effectiveness of the adjustment;
- the cost of the adjustment; and

the likely impact of the adjustment upon the candidate and other candidates. An adjustment will not be approved if it:

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

This is because the adjustment is not 'reasonable'. Access arrangements are the principal way in which awarding bodies comply with the duty under the Equality Act 2010\* to make 'reasonable adjustments'. [\[AA Definitions, page 3\]](#)

## Purpose of the policy

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

[JCQ General Regulations for Approved Centres, 5.5] [This publication is further referred to in this policy as GR](#)

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

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

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

## Disability policy (exams)

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

*The head of centre/senior leadership team will... 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;*

*†for any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect [\[GR 5.4\]](#)*

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

## The assessment process

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

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

### **Mrs Hazel White - STATEMENT**

*I have a level 7 qualification: Post graduate certificate in 'Specific Learning Difficulties from Manchester Metropolitan University'.*

*I have a Level 7 qualification 'Post Graduate Certificate in Specific Learning Differences: Dyscalculia from Edgehill University'.*

*Both these qualifications lead to an 'Approved Practicing Certificate'. (This has expired as I do not assess for the DSA. I do not require to have an APC for access arrangements).*

## Appointment of assessors of candidates with learning difficulties

At the point an assessor is engaged/employed in the centre, evidence of the assessor's qualification is obtained and checked against the current requirements in [AA](#). This process is carried out prior to the assessor undertaking any assessment of a candidate.

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

*The head of centre/senior leadership team will... have a written process in place to not only check the qualification(s) of their assessor(s) but that the correct procedures are followed as per Chapter 7 of the JCQ publication Access Arrangements and Reasonable Adjustments... [\[GR 5.4\]](#)*

*The head of centre must ensure that evidence of the assessor's qualification(s) is obtained at the point of engagement/employment and prior to the assessor undertaking any assessment of a candidate.*

*Evidence of the assessor's qualification(s) must be held on file for inspection purposes and be presented to the JCQ Centre Inspector by the SENCo. [\[AA 7.3\]](#)*

**Access arrangements online (AAO) is a tool provided by JCQ member awarding bodies for centres to apply for required access arrangement approval for the qualifications listed on page**

2 of [AA](#). This tool also provides the facility to order modified papers for those qualifications listed on page 74.

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

*The SENCo must keep detailed records, whether electronically or in hard copy paper format, of all the essential information on file. This includes a copy of the candidate's approved application, appropriate evidence of need (where required) and a signed candidate personal data consent form for inspection by the JCQ Centre Inspection Service.*

[\[AA 8.6\]](#)

## Centre-specific criteria for particular access arrangements

### Word processor policy (exams)

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

This policy is kept within the examinations secure store and electronically in the shared area:

*Centres are allowed to provide a word processor (e.g. computer, laptop or tablet) with the spelling and grammar check/predictive text disabled to a candidate where it is their normal way of working within the centre, unless an awarding body's specification says otherwise. For example, where the curriculum is delivered electronically and the centre provides word processors to all candidates. This also includes an electronic braille or a tablet. [ICE 14.20]*

*A centre must have a policy on the use of word processors. A word processor cannot simply be granted to a candidate because he/she now wants to type rather than write in examinations or can work faster on a keyboard, or because he/she uses a laptop at home.*

*The use of a word processor must reflect the candidate's normal way of working within the centre. For example, where the curriculum is delivered electronically and the centre provides word processors to all candidates.*

*The centre may wish to set out the particular types of candidates which it considers would benefit from the use of a word processor. For example, a candidate with...*

*A member of the centre's senior leadership team must produce a statement for inspection purposes which details the criteria the centre uses to award and allocate word processors for examinations. [AA 5.8]*

## Separate invigilation within the centre

A decision where an exam candidate may be approved separate invigilation within the centre will be made by the SENCo.

The decision will be based on:

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

*For example, in the case of separate invigilation, the candidate's difficulties are established within the centre (see Chapter 4, paragraph 4.1.4, page 16) and known to a Form Tutor, a Head of Year, the SENCo or a senior member of staff with pastoral responsibilities.*

*Separate invigilation reflects the candidate's normal way of working in internal school tests and mock examinations as a consequence of a long term medical condition or long term social, mental or emotional needs. [\[AA 5.16\]](#)*

- Ensures the relevant awarding bodies are informed of any Conflict of Interest where
  - » a member of centre staff is taking a qualification at the centre which includes internally assessed components/units (taking at the centre as a last resort where unable to find an alternative centre)
  - » a candidate is being taught and prepared for a qualification which includes internally assessed components/units by a member of centre staff with a personal connection to the candidate
- Maintains records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected by the above, and where
  - » a member of exams office staff have a personal connection to a candidate being entered for exams and assessments at the centre or at another centre

- » a member of centre staff is taking a qualification at the centre which does not include internally assessed components/units (taking at the centre as a last resort where unable to find an alternative centre)
- » a member of centre staff is taking a qualification at another centre
- Ensures other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials are briefed on the requirements for maintaining the integrity and confidentiality of the exam materials.
- An email to centre staff is sent asking for all centre staff to inform the examinations officer if any conflict of interests need to be reported to the Awarding bodies prior to entries being made:

*It is the responsibility of the head of centre to ensure that his/her centre... manages Conflicts of Interest by informing the awarding bodies, before the published deadline for entries, of:*

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

*maintains clear records of all instances where:*

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

*The head of centre must ensure that the records include details of the measures taken to mitigate any potential risk to the integrity of the qualifications affected. The records may be inspected by a JCQ Centre Inspector and/ or awarding body staff. They might be requested in the event of concerns being reported to an awarding body. The records must be retained until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.*

*Note: Heads of centre must note that entering members of centre staff for qualifications at their own centre must be as a last resort in cases where the member of centre staff is unable to find another centre. The head of centre is responsible for ensuring that proper protocols are in place to prevent the member of centre staff having access to examination materials prior to the examination and that other centre staff are briefed on maintaining the integrity and confidentiality of the examination materials. The head of centre must ensure that during the examination series the member of centre staff is treated as per any other candidate entered for that examination, does not have access to examination materials and does not receive any preferential treatment. [\[GR 5.3\]](#)*

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

### **Exams officer**

- Understands the contents of annually updated JCQ publications including:
  - » [General Regulations for Approved Centres](#)
  - » [Instructions for Conducting Examinations](#)
  - » [Suspected Malpractice in Examinations and Assessments](#)
  - » [Post-results services \(PRS\)](#)
- Is familiar with the contents of annually updated information from awarding bodies on administrative procedures, key tasks, key dates and deadlines
- Ensures key tasks are undertaken and key dates and deadlines met
- Recruits, trains and deploys a team of internal/external invigilators; appoints lead invigilators, as required and keeps a record of the content of training provided to invigilators for the required period

- Works with the SENCo to ensure invigilators supervising access arrangement candidates and those acting as a facilitator supporting access arrangement candidates fully understand the respective role and what is and what is not permissible in the exam room
- Supports the head of centre in ensuring that awarding bodies are informed of any Conflict of Interest declared by members of centre staff and in maintaining records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected before the published deadline for entries
- Briefs other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials on the requirements for maintaining the integrity and confidentiality of the exam materials

#### **Senior leaders (SLT)**

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

#### **Special educational needs co-ordinator (SENCo)**

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

#### **Head of department (HoD)**

- Ensures teaching staff undertake key tasks, as detailed in this policy, within the exams process (exam cycle) and meet internal deadlines set by the EO and SENCo
- Ensures teaching staff keep themselves updated with awarding body subject and teacher-specific information to confirm effective delivery of qualifications
- Ensures teaching staff attend relevant awarding body training and update events

#### **Teaching staff**

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

#### **Invigilators**

- Attend/undertake training, update, briefing and review sessions as required
- Provide information as requested on their availability to invigilate
- Sign a confidentiality and security agreement and confirm whether they have any

current maladministration/malpractice sanctions applied to them

### **Reception staff**

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

### **Site staff**

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

### **Candidates**

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

### **The exam cycle**

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

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

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

### **Planning: roles and responsibilities**

#### **Information sharing**

##### **Head of centre**

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

##### **Exams officer**

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

#### **Information gathering**

##### **Exams officer**

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

- Meets the internal deadline for the return of information
- Informs the EO of any changes to information in a timely manner minimising the risk of late or other penalty fees being incurred by an awarding body
- Notes the internal deadlines in the annual exams plan and directs teaching staff to meet these

## **Access arrangements**

### **Head of centre**

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

### **SEnCo**

- Assesses candidates (or works with the appropriately qualified assessor as appointed by the head of centre) to identify access arrangements requirements
- Gathers evidence to support the need for access arrangements for a candidate
- Liaises with teaching staff to gather evidence of normal way of working of an affected candidate
- Determines candidate eligibility for arrangements or adjustments that are centre- delegated
- Gathers signed Personal data consent, Privacy Notice (AAO) and Data Protection confirmation forms (candidate personal data consent form) from candidates where required
- Applies for approval through Access arrangements online (AAO) via the Centre Admin Portal (CAP), where required or through the awarding body where qualifications sit outside the scope of AAO
- Keeps a file for each candidate for JCQ inspection purposes containing all the required documentation (if any documentation is kept electronically, in the event of IT failure at the time of an inspection is able to access this documentation in an alternative format)
- Employs good practice in relation to the Equality Act 2010
- Liaises with the EO regarding exam time arrangements for access arrangement candidates
- Ensures staff appointed to facilitate access arrangements for candidates are appropriately trained and understand the rules of the particular arrangement(s) and keeps a record of the content of training provided to facilitators for the required period
- Works with the EO to ensure invigilators and those acting as a facilitator fully understand the respective role and what is and what is not permissible in the exam room
- Provides and annually reviews a centre policy on the use of word processors in exams and assessments

## Word processor policy (exams)

*This procedure is reviewed annually to ensure compliance with current regulations.*

Approved/reviewed by:	
Mr S.Worthington	
Date of next review:	23 <sup>rd</sup> Jan 2024

### Key staff involved in awarding and allocating word processors for exams:

Role	Name(s)
SENCo	F.Horsley
Exams officer	Chris Allen
SLT member(s)	Daniel Fuller
IT Support	Dan Simpson
Assessor	Hazel White

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

References in this policy to AA and ICE relate to/are directly taken from the Access Arrangements and Reasonable Adjustments 2018-2019 and Instructions for Conducting Examinations 2018-2019 publications.

#### Introduction

The use of a word processor in exams and assessments is an available access arrangement at Dean Trust Ardwick

(AA 4.2.1)

The purpose of an access arrangement is to ensure, where possible, that barriers to assessment are removed for a disabled pupil preventing him/her from being placed at a substantial disadvantage as a consequence of persistent and significant difficulties.

The integrity of the assessment is maintained, whilst at the same time providing access to assessments for a disabled pupil.

(AA 4.2.2)

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

(AA 4.2.3)



Pupils may not require the same access arrangements in each specification. Subjects and their methods of assessments may vary, leading to different demands of the pupil. SENCOs should consider the need for access arrangements on a subject-by-subject basis.

### **Purpose of the policy**

This policy details how Dean Trust Ardwick complies with AA (chapter 4) Adjustments for pupils with disabilities and learning difficulties and (chapter 5.8) Word processor when awarding and allocating a pupil the use of word processor in his/her exams.

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

### **The use of a word processor**

The centre will

- allocate the use of a word processor to a pupil where it is their normal way of working within the centre (AA 5.8.1)
- award the use of a word processor to a pupil if it is appropriate to their needs

### **Needs may include**

- » a learning difficulty which has a substantial and long term adverse effect on his/ her ability to write legibly
  - » a medical condition
  - » a physical disability
  - » a sensory impairment;
  - » planning and organisational problems when writing by hand
  - » poor handwriting (AA 5.8.4)
- only permit the use of a word processor where the integrity of the assessment can be maintained (AA 4.2.1)
  - not grant the use of a word processor where it will compromise the assessment objectives of the specification in question (AA 4.2.2)
  - consider on a subject-by-subject basis if the pupil will need to use a word processor in each specification (AA 4.2.3)
  - consider the needs of the pupil at the start of the pupil's course leading to a qualification based on evidence gathered that firmly establishes the pupils' needs and 'normal way of working' in the classroom, internal tests/exams, mock exams etc. and confirm arrangements in place before the pupil takes an exam or assessment (AA 4.2.4)
  - provide access to word processors to pupils in non-examination assessment components as standard practice unless prohibited by the specification (AA 5.8.2)

### **The centre will not**

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

### **Exceptions**

The only exception to the above where the use of a word processor would be considered for a pupil 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 (AA 4.2.4)
- where a subject within the curriculum is delivered electronically and the centre provides word processors to all pupils (AA 5.8.4)

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

A pupil using a word processor is accommodated in our smaller venue and/or where there is a power supply and close to a printing facility.

#### **To comply with ICE 14, the centre**

- » provides a word processor with the spelling and grammar check facility/ predictive text disabled (switched off) (ICE 14.20)
- » ensures the pupil is reminded to ensure that his/her centre number, pupil number and the unit/component code appear on each page as a header or footer e.g. 12345/8001 – 6391/01 (ICE 14.22)
- » ensures the pupil understands that each page of the typed script must be numbered, e.g. page 1 of 6 (ICE 14.23)
- » ensures the pupil is reminded to save his/her work at regular intervals.
- » instruct the pupil to use a minimum of 12pt font and double spacing in order to assist examiners when marking (ICE 14.24)

(ICE 14.25)

#### **The centre will ensure the word processor**

- » is in good working order at the time of the exam
- » is accommodated in such a way that other pupils are not disturbed and cannot read the screen
- » is used as a type-writer, 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 pupil 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 predictive text software or an automatic spelling and grammar check enabled unless the pupil has been permitted a scribe or is using speech recognition technology (a scribe cover sheet must be completed), or the awarding body's specification permits the use of automatic spell checking
- » does not include speech recognition technology unless the pupil has permission to use a scribe or relevant software
- » is not be used on the pupil's behalf by a third party unless the pupil has permission to use a scribe

#### **Portable storage medium**

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

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

#### **Printing the script after the exam is over**

##### **The centre will ensure**

- the pupil is escorted to the Examinations Officer where the pupils work is printed and verified as being his or her own work and that all pages are present and correct.
- a word processed script is enclosed within any answer booklet which contains some of the answers
- a word processor cover sheet (Form 4) is completed and included with the pupil's typed script (according to the relevant awarding body's instructions)

## **Appendix 1**

### **The criteria Dean Trust Ardwick uses to award and allocate word processors for examinations**

#### **Dean Trust Ardwick's statement to meet the requirement.**

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

#### **The use of word processors**

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

Needs might include where a pupil has, for example:

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

The only exception to the above where the use of a word processor may be considered for a pupil would be:

- » on a temporary basis as a consequence of a temporary injury at the time of the assessment
- » where a subject within the curriculum is delivered electronically and the centre provides word processors to all pupils

#### **Arrangements for the use of word processors at the time of the assessment**

Appropriate exam-compliant word processors will be provided by the Examinations department, which have been allocated, approved and inspected by the schools IT department prior to the examinations season, in liaison with the SENCo and the Exams Officer.

**Statement produced by: Mr S.Worthington Statement**

**date: 09.09.2022**

- Ensures criteria for candidates granted separate invigilation within the centre is clear, meets JCQ regulations and best meets the needs of individual candidates and remaining candidates in main exam rooms

## Separate invigilation within the centre policy

*For example, in the case of separate invigilation, the candidate's difficulties are established within the centre (see Chapter 4, paragraph 4.1.4, page 16) and known to a Form Tutor, a Head of Year, the SENCo or a senior member of staff with pastoral responsibilities.*

*Separate invigilation reflects the candidate's normal way of working in internal school tests and mock examinations as a consequence of a long term medical condition or long term social, mental or emotional needs. [\[AA 5.16\]](#)*

*A candidate may only take their examinations under separate invigilation within the centre where he/she has an established difficulty - see section 5.16 of the JCQ publication Access Arrangements and Reasonable Adjustments... [\[ICE 14\]](#)*

### Why have a policy on this?

In certain circumstances, a candidate with 'an established difficulty' may be eligible to take exams under separate invigilation. Centres may also receive requests from candidates (and/ or parents/carers) to take their exams under separate invigilation (in a separate room with 1:1 invigilation). Having a documented policy ensures:

- the criteria for candidates granted separate invigilation within the centre is clear and complies with JCQ regulations
- the centre can demonstrate the policy if asked/challenged by a candidate (and/or parent/carer)

It may also be useful to include within this, the centre's policy for candidates seated in a 'small' room, 'access arrangements' room etc. (i.e. taking exams separate to the main cohort).

### Senior Leaders, Head of department, Teaching staff

- Support the SENCo in determining and implementing appropriate access arrangements
- Provide a statement for inspection purposes which details the criteria the centre uses to award and allocate word processors for examinations

### Internal assessment and endorsements

#### Head of centre

- Provides fully qualified teachers to mark non-examination assessments
- Ensures an internal appeals procedure relating to internal assessment decisions is in place for a candidate to appeal against and request a review of the centre's marking (see Roles and responsibilities overview)
- Ensures a non-examination assessment policy is in place for GCE and GCSE qualifications which include components of non-examination assessment (For CCEA GCSE centres this would be a controlled assessment policy)

## Non-examination assessment policy

Approved/reviewed by:	
Mr S.Worthington	
Date of next review:	Oct 2023

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

### Subject teacher

- Makes candidates aware of the criteria used to assess their work
- Accesses set tasks in sufficient time to allow planning, resourcing and teaching and ensures that materials are stored securely at all times
- Checks the awarding body's subject-specific requirements ensuring candidates take tasks under the required conditions and supervision arrangements. Refers to the awarding body's specification to determine where word and time limits apply/are mandatory
- Ensures there is sufficient supervision to enable the work of a candidate to be authenticated
- Ensures there is sufficient supervision to ensure the work a candidate submits is their own
- Where candidates may work in groups, keeps a record of each candidate's contribution
- Ensures candidates understand and comply with the regulations in relevant JCQ documents Information for candidates
- As relevant to the subject/component, advises candidates on relevant aspects before candidates begin working on a task
- When reviewing candidates' work, unless prohibited by the specification, provides oral and written advice at a general level to candidates
- Allow candidates to revise and re-draft work after advice has been given at a general level
- Records any assistance given beyond general advice and takes it into account in the marking or submits it to the external examiner
- Ensures when work has been assessed, candidates are not allowed to revise it
- 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 and 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.
- 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

- Where required by the awarding body's specification
  - » ensures candidates sign a declaration confirming the work they submit for final assessment is their own unaided work
  - » signs the teacher declaration of authentication confirming the requirements have been met
- Keeps signed candidate declarations on file until the deadline for enquiries about results has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later
- Where there may be doubt about the authenticity of the work of a candidate or if malpractice is suspected, informs the Curriculum Manager
- When work is being undertaken by candidates under formal supervision, ensures work is securely stored between sessions (if more than one session)
- Takes sensible precautions when work is taken home for marking
- Stores internally assessed work, including the sample returned after awarding body moderation, securely until the closing date for enquiries about results or until the outcome of an enquiry or any subsequent appeal has been conveyed to the centre
- Reminds candidates of the need to keep their own work secure at all times and not share completed or partially completed work on-line, on social media or through any other means
- Liaises with the exams officer regarding arrangements for the conduct of any externally assessed non-examination component of a specification
- Liaises with the Visiting Examiner where this may be applicable to any externally assessed component
- Provides the attendance register to a Visiting Examiner
- 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 in a timely manner to enable an internal appeal to be submitted by a candidate and the outcome known before final marks are submitted to the awarding body
- Indicates on work (or cover sheet) the date of marking
- Provides marks to the exams officer to the internal deadline
- Provides the moderation sample to the exams officer to the internal deadline
- Inputs and submits marks online via the awarding body secure extranet site, keeping a record of the marks awarded to the external deadline/Provides marks to the exams officer to the internal deadline
- Where responsible for marks input, ensures checks are made that marks for any additional candidates are submitted and ensures mark input is checked before submission to avoid transcription errors
- Submits the requested samples of candidates' work to the awarding body moderator by the external deadline, keeping a record of the work submitted/Provides the moderation sample to the exams officer to the internal deadline
- Ensures the moderator is provided with authentication of candidates' work, confirmation that internal standardisation has been undertaken and any other subject- specific information where this may be required

- Keeps a record of names and candidate numbers for candidates whose work was included in the moderation sample
- Takes steps to protect any work stored electronically from corruption and has a back- up procedure in place
- Retains evidence of work where retention may be a problem (for example, photos of artefacts etc.)
- Understands that a candidate may be eligible for special consideration in assessments in certain situations where a candidate
  - » is absent
  - » produces a reduced quantity of work
  - » work has been lost

**Liaises with the exams officer when special consideration may need to be applied for a candidate taking assessments**

### **Subject head/lead**

- Selects tasks from a choice provided by the awarding body OR designs tasks where this is permitted by criteria set out within the subject specification
- Identifies date(s) when tasks should be taken by candidates
- Ensures requirements for legacy specification tasks and new specification tasks are distinguished between
- Where there may be doubt about the authenticity of the work of a candidate or if malpractice is suspected, informs the exams officer and head of centre
- Checks moderator reports and ensures that any remedial action, if necessary, is undertaken before the next examination series
- Works with the SENCo to ensure any access arrangements for eligible candidates are applied to assessments
- Liaises with the IT Manager to ensure that appropriate arrangements are in place to restrict access between sessions to candidates' work where work is stored electronically
- Where appropriate, ensures a consortium co-ordinator is nominated (where this may be required as the consortium lead)
- Ensures procedures for internal standardisation as a consortium are followed

### **Head of centre**

- Understands the responsibility to report to the relevant awarding body any suspected cases of malpractice involving candidates, teachers, invigilators or other administrative staff

- Ensures any irregularities relating to the production of work by candidates are investigated and dealt with internally if discovered prior to a candidate signing the authentication statement (where required) or reported to the awarding body if a candidate has signed the authentication statement

### **Senior leaders**

- Ensure teaching staff have the necessary and appropriate knowledge, understanding, skills, and training to set tasks, conduct task taking, and to assess, mark and authenticate candidates' work (including where relevant, private candidates)
- Ensure appropriate internal moderation, standardisation and verification processes are in place

## **Head of department**

- Ensures teaching staff delivering any remaining legacy GCE unitised AS and A-level qualifications (which include elements of coursework), AQA Applied General qualifications, OCR Cambridge Nationals, Entry Level Certificate or Project qualifications follow JCQ Instructions for conducting coursework and the specification provided by the awarding body
- Ensures teaching staff delivering GCE & GCSE specifications (which include components of non-examination assessment) follow JCQ Instructions for conducting non-examination assessments and the specification provided by the awarding body
- For other qualifications, ensures teaching staff follow appropriate instructions issued by the awarding body
- Ensures teaching staff inform candidates of their centre assessed marks as a candidate may request a review of the centre's marking before marks are submitted to the awarding body

## **Teaching staff**

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

## **Exams officer**

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

## **Invigilation**

### **Head of centre**

- Ensures relevant support is provided to the EO in recruiting, training and deploying a team of invigilators
- Ensures, if contracting supply staff to act as invigilators, that such persons are competent and fully trained, understanding what is and what is not permissible (and not taking on its own an assurance from a recruitment agency, that this is the case)
- Determines if additional invigilators will be deployed in timed Art exams in addition to the subject teacher to ensure the supervision of candidates is maintained at all times
- Exams officer
- Recruits additional invigilators where required to effectively cover all exam periods/ series' throughout the academic year
- Collects information on new recruits to identify if they have invigilated previously and if any current maladministration/malpractice sanctions are applied to them
- Provides training for new invigilators on the instructions for conducting exams and an annual update for the existing invigilation team so that they are aware of any changes in a new academic year before they are allocated to invigilate an exam
- Ensures invigilators supervising access arrangement candidates understand their role (and the role of a facilitator who may be supporting a candidate) and the rules and regulations of the access arrangement(s)
- Ensures invigilators are briefed on the access arrangement candidates in their exam room (and that these candidates are identified on the seating plan) and confirms invigilators understand what is and what is not permissible



- Collects evaluation of training to inform future events

## **Entries: roles and responsibilities**

### **Estimated entries**

#### **Exams officer**

- Requests estimated or early entry information, where this may be required by awarding bodies, from HoDs in a timely manner to ensure awarding body external deadlines for submission can be met

### **Estimated entries collection and submission procedure**

*Estimated entries are submitted on the awarding body websites. Information is collected at the start of the academic year as to which courses are being run for the KS4 candidates.*

- Makes candidates aware of the JCQ Information for candidates – Privacy Notice at the start of a vocational qualification or when entries are being processed for a general qualification

#### **Head of department**

- Provides entry information requested by the EO to the internal deadline
- Informs the EO immediately of any subsequent changes to entry information

### **Final entries**

#### **Exams officer**

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

### **Final entries collection and submission procedure**

*Entry marksheets are created within examinations organiser in SIMS and checked by Heads of Faculty as to the tier of entry and course. This are signed and returned to the examinations officer to provide the authority to create and send the submissions to the various awarding bodies before the entries deadline.*

#### **Head of department**

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

### **Entry fees**

*The examinations budget is managed from within the finance department where all invoices are signed by the examinations officer in the first instance to ensure the invoices are authorised for payment.*

*entries*

#### **Exams officer**

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

#### **Head of department**

- Minimises the risk of late entries by:

- » following procedures identified by the EO in relation to making final entries on time
- » meeting internal deadlines identified by the EO for making final entries

### **Candidate statements of entry Exams**

#### **officer**

- Provides candidates with statements of entry for checking

#### **Teaching staff**

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

#### **Candidates**

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

### **Pre-exams: roles and responsibilities Access**

#### **arrangements**

##### **SENCo**

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

#### **Briefing candidates**

##### **Exams officer**

- Issues individual exam timetable information to candidates and informs candidates of any contingency day awarding bodies may identify in the event of national or local disruption to exams
- Prior to exams issues relevant JCQ information for candidates documents
- Where relevant, issues relevant awarding body information to candidates
- Issues centre exam information to candidates including information on:
  - » exam timetable clashes
  - » arriving late for an exam
  - » absence or illness during exams
  - » what equipment is/is not provided by the centre
  - » food and drink in exam rooms
  - » wrist watches in exam rooms
  - » when and how results will be issued and the staff that will be available
  - » the post-results services and how the centre deals with requests from candidates
  - » when and how certificates will be issued

## **Dispatch of exam scripts**

### **Exams officer**

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

## **Estimated grades**

### **Head of department**

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

### **Exams officer**

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

## **Internal assessment and endorsements Head**

### **of centre**

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

### **SENCo**

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

### **Teaching staff**

- Support the SENCo in implementing appropriate access arrangements for candidates undertaking internal assessments and practical endorsements
- Assess and authenticate candidates' work
- Assess endorsed components
- Ensure candidates are informed of centre assessed marks prior to marks being submitted to awarding bodies

### **Head of department**

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

### **Exams officer**

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

### **Candidates**

- Authenticate their work as required by the awarding body

## **Invigilation**

### **Exams officer**

- Provides an annually reviewed/updated invigilator handbook to invigilators, trains new

invigilators on appointment and updates experienced invigilators annually

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

#### **SEnCo**

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

#### **Invigilators**

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

### **JCQ Centre Inspections**

#### **Exams officer or Senior leader**

- Will accompany the Inspector throughout a visit

#### **SEnCo or relevant Senior leader (in the absence of the SENCo)**

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

### **Seating and identifying candidates in exam rooms**

#### **Exams officer**

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

### **Verifying candidate identity procedure**

Candidate ID cards are placed on exam desks prior to the candidates entering the room, these cards have a photograph of the candidate and the examination number. Access arrangements are coded on the cards so that invigilators are aware of any access arrangements in place for the exam, these arrangements are also on the seating plan for the invigilators.

*The centre will... verify the identity of all students that they enter for examinations or assessments. The centre must be satisfied that all candidate identities have been checked, whether as part of the initial registration process, or in the case of private candidates through a verification process which involves photo-ID [\[GR 5.6\]](#)*

*The centre will... have in place written procedures to verify the identity of all candidates at the time of the examination or assessment... [\[GR 5.9\]](#)*

*Invigilators must establish the identity of all candidates sitting examinations.*

*A private/external candidate or a transferred candidate who is not known to the school or college must show photographic documentary evidence to prove that he/she is the same person who entered/registered for the examination/assessment, e.g. passport or photographic driving licence.*

*Where it is impossible to identify a candidate due to the wearing of religious clothing, such as a veil, the candidate should be approached by a member of staff of the same gender and taken to a private room where they should be politely asked to remove the religious clothing for identification purposes. Centres must inform candidates in advance of this procedure and well before their first examination.*

*Once identification has been established, the candidate should replace, for example, their veil and proceed as normal to sit the examination.*

*Invigilators must be informed of those candidates with access arrangements. Invigilators must be made aware of the particular access arrangement(s) awarded. [\[ICE 16\]](#)*

- Ensures invigilators are aware of the procedure
- Provides seating plans for exam rooms according to JCQ and awarding body requirements (and ensures candidates with access arrangements are identified on the seating plan)

### **Invigilators**

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

### **Security of exam materials**

#### **Exams officer**

- Confirms appropriate arrangements are in place to ensure that confidential materials are only delivered to those authorised by the head of centre.
- Has a process in place to demonstrate the receipt, secure movement and secure storage of confidential exam materials within the centre
- Ensures a log is kept at the initial point of delivery recording confidential materials received and signed for by authorised staff within the centre and that appropriate arrangements are in place for confidential materials to be immediately transferred to the secure storage facility until they can be removed from the dispatch packaging and checked in the secure room before being returned to the secure storage facility in timetable order
- Ensures that examination stationery, e.g. answer booklets and formula booklets are stored in the secure room (attempting to store this material in the secure storage facility, when sufficient space allows)

#### **Reception staff**

- Follow the process to log confidential materials delivered to/received by the centre to the point materials are issued to authorised staff for transferal to the secure storage facility
- Teaching staff
- Adhere to the process to record the secure movement of confidential materials taken from or returned to secure storage throughout the time the material is confidential

### **Timetabling and rooming**

#### **Exams officer**

- Produces a master centre exam timetable for each exam series
- Identifies and resolves candidate exam timetable clashes according to the regulations (only applying overnight supervision arrangements as a last resort, once all other options have been exhausted and according to the centre's policy)

## Overnight supervision arrangements policy

*Overnight supervision arrangements should only be applied as a last resort and once all other options have been exhausted...*

*...candidates may, at the centre's discretion, be allowed to take an examination the following morning, including Saturdays (see paragraph 8.5, page 14). Candidates are not allowed to take examinations on an earlier day than that scheduled on the timetable...*

*The overnight supervision arrangements must ensure that the candidate does not have advance warning of the content of the examination deferred until the following morning. This means the candidate must not meet or communicate with anyone who may have knowledge of the content. This includes any form of electronic communication/storage device, e.g. telephone (both landline and mobile), e-mail, Internet and social media. It also extends to television and radio, which could report key details of the day's examinations. [\[ICE 8\]](#)*

### Why have a policy on this?

Allowing a candidate to take an exam paper the following morning due to an eligible overnight supervision arrangement is at the discretion of the centre. Having a documented policy ensures:

- the correct procedure is followed
- appropriate arrangements are put in place
- candidates (and/or parents/carers) understand when, or indeed if, appropriate arrangements can/will be made
- the centre can demonstrate the policy if asked/challenged by a candidate (and/or parent/carer)
- Identifies exam rooms and specialist equipment requirements
- Allocates invigilators to exam rooms (or where supervising candidates due to an exam timetable clash) according to required ratios

- Liaises with site staff to ensure exam rooms are set up according to JCQ and awarding body requirements
- Liaises with the SENCo regarding rooming of access arrangement candidates

### SEnCo

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

### Site staff

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

## Alternative site arrangements Exams

### officer

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

## Centre consortium arrangements

### Exams officer

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

### **Head of department**

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

### **Transferred candidate arrangements**

#### **Exams officer**

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

### **Internal exams**

#### **Exams officer**

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

#### **SENCo**

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

#### **Teaching staff**

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

### **Exam time: roles and responsibilities Access arrangements**

#### **Exams officer**

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

## Candidate absence procedure

### Attendance Procedure – Exams

#### Prior to exams starting

- Skeleton timetable sent to attendance officer when exam dates finalised
- Registers sent to Attendance Officer for all exams when exams seated in SIMS

#### Exam Day – Morning Exams

- Examination Organiser Registers sent to Attendance Officer on morning or day before
- SLT to inform Attendance Officer candidates missing 7.50am revision session at 8.00am
- At start of exam Exams Officer or senior invigilator to inform attendance officer of missing candidates
- Contact home will have been actioned at revision session stage followed by home visit. If no contact with candidate or they haven't left home. Attendance Officer to visit home to collect candidate
- No shows will prompt a home visit by Attendance Officer to collect candidate as above
- Late form or 'late late' form to be completed by Exams Officer from information from candidate and Attendance Officer

#### Exam Day – Afternoon Exams

- Candidates will have been contacted by the Attendance Officer if they appear on the exam register list
- Attendance Officer to inform Exams Officer of those candidates not attending their afternoon exams, reasons why are needed for the completion of form JCQ/VLA .
- Exam Rules for late Candidates
- Reason candidate is late (very late) so that form JCQ/VLA can be completed by Exams Officer

#### We must provide 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:

- Time the candidate started the examination;
- Time the candidate finished the examination.
- Warn the candidate that the awarding body may not accept their script.



## **Invigilators**

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

## **Candidates**

### **Are re-charged relevant entry fees for unauthorised absence from exams Candidate behaviour**

*See Irregularities below.*

### **Candidate belongings**

*See Unauthorised materials below.*

### **Candidate late arrival Exams**

#### **officer**

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

#### **Invigilators**

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

### **Candidate late arrival**

*If I am late can I still sit the examination?*

*Yes. Telephone school to let us know you are on your way and when you arrive go to Reception. You must not enter an examination room without permission after an examination has begun. You may be allowed the full time for the examination but if you arrive very late, the exam board may decide not to accept your work. Make sure you allow enough time to get to school so that if you are delayed (e.g. through transport problems) you will still arrive on time.*

## **Conducting exams**

### **Head of centre**

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

### **Exams officer**

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

## **Dispatch of exam scripts**

### **Exams officer**

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

## **Exam papers and materials**

### **Exams officer**

- Organises exam question papers and associated confidential resources in date order in the secure storage facility
- Attaches erratum notices received to relevant exam question paper packets
- Collates attendance registers and examiner details in date order
- Regularly checks mail or email inbox for updates from awarding bodies
- In order to avoid potential breaches of security, ensures prior to question paper packets

being opened that another member of staff or an invigilator checks the day, date, time, subject, unit/component and tier of entry if appropriate, immediately before a question paper packet is opened

- Ensures this additional/second check (which takes place in the secure room if a question paper packet has to be split or in the designated exam room if not) is recorded
- Where allowed by the awarding body, only releases exam papers and materials to teaching departments for teaching and learning purposes after the published finishing time of the exam, or until any timetable clash candidates have completed the exam

### **Exam rooms Head**

#### **of centre**

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

### **Food and drink in exam rooms policy**

*Water in a clear plastic bottle is permitted as long as labels have been removed prior to entering the examination venue.*

### **Policy on candidates leaving the exam room temporarily**

*Candidates with a supervised rest breaks as an access arrangement will put their hand up and await an invigilator, they will be escorted and remain supervised at all times until back at their exam desk.*

#### **Exams officer**

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

#### **Senior leaders**

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

# Emergency evacuation policy

*This procedure is reviewed annually to ensure compliance with current regulations.*

Approved/reviewed by:	
Mr S.Worthington	
Date of next review:	Oct 2023

## Purpose of the policy

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

## When is an emergency evacuation required?

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

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

## Emergency evacuation of an exam room

### Roles and responsibilities

#### Head of centre

- Ensures the emergency evacuation policy for exams is fit for purpose and complies with relevant health and safety regulation
- Senior leader
- Where responsible for the centre-wide emergency evacuation procedure, ensures all staff and appointed fire marshals are aware of the policy and procedures to be followed when an emergency evacuation of an exam room is required

#### Special educational needs coordinator (SENDCo)

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

#### Exams officer

- Ensures invigilators are trained in emergency evacuation procedures and how an incident and actions taken must be recorded
- Ensures candidates are briefed (e.g. via candidate exam handbook), prior to exams taking place, on what will happen in the event of an emergency in the exam room
- Provides invigilators with a copy of the emergency evacuation procedures for each exam room
- Provides a standard invigilator announcement for each exam which includes appropriate information for candidates regarding what will happen if the fire alarm sounds
- Provides an exam room incident log in each exam room
- Liaises with the SENDCo and other relevant staff prior to each exam where different procedures or assistance may need to be provided for a disabled candidate

- Briefs invigilators prior to each exam where different procedures or assistance may need to be provided for a disabled candidate
- Ensures appropriate follow-up is undertaken after an emergency evacuation reporting the incident to the awarding body and the actions taken through the special consideration process

### **Invigilators**

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

### **Other relevant centre staff**

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

### **Emergency evacuation procedure**

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

#### **Emergency evacuation procedure**

##### **Actions to be taken**

*(as detailed in the current JCQ Instructions for conducting examinations chapter 18, Emergencies)*

Stop the candidates from writing.

Collect the attendance register (in order to ensure all candidates are present) and evacuate the examination room in line with the instructions given by the appropriate authority.

Advise candidates to leave all question papers and scripts in the examination room.

Candidates should leave the room in silence.

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

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

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

If there are only a few candidates, consider the possibility of taking the candidates (with question papers and scripts) to another place to finish the examination.

Make a full report of the incident and of the action taken and send to the relevant awarding body.

##### **Invigilators are also informed of the following additional centre-specific actions to be taken**

In the event of a fire alarm at Dean Trust Ardwick during exams the instruction is:

Invigilators should turn on their radio and await instructions from the H&S Officer or member of SLT whether the exam room should be evacuated.

The exam room must be evacuated by the nearest fire exit.

Candidates must be escorted to the assembly point designated on the emergency evacuation notice normally staff car park under exam conditions (unless instructed by SLT to take candidates to another location).

On returning to the exam room allow candidates time to settle down, reminding them they are still under exam conditions.

Restart the exam and allow candidates the full working time set for the examination.

Make relevant changes to the displayed finish time.

In the exam room incident log the senior invigilator must record the event in as much detail as possible to ensure the exams officer has the information to make a full report to the awarding body.

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

### **EMERGENCY EVACUATION PROCEDURE DURING EXAMINATIONS**

- If a 2 tone warble alarm sounds tell candidates to stop writing and sit in silence.
- Note the time in the incident log. Turn your radio on – use the invigilation channel 16.
- Await further instructions from the Examinations Officer or a member of the SLT. It is school policy to follow a two stage emergency evacuation plan during exams. Exam candidates will only 'normally' be evacuated to a safe area if deemed necessary by the Fire Officer, Headteacher or Deputy Head.
- In the event that a full evacuation the Senior Invigilator should lead the students out using the exterior fire exits. Evacuate a row at a time as quickly as possible. Tell candidates to leave everything on their desks and exit the room in silence; warn them that they are still under exam conditions and must not attempt to communicate with any other candidate at any time during the evacuation or they risk disqualification for malpractice. Where possible the Exams Officer and, if available, a member of SLT will support the invigilation team in the evacuation.
- Take your radio and the examination register with you to check that all candidates are present at the assembly point and still aware they are under exam conditions.
- If we require pupils and staff to leave the site further instructions will be provided.
- When cleared to re-enter the building escort the candidates back to their venue; making sure they remain silent.
- When all candidates are re-seated in the correct place and ready to continue you can re-start the exam. Note the time & how long the interruption lasted on the incident log and write the new finishing time on the board. Allow candidates the full working time set for the exam.

*Note the actual finish time in the incident log and record any other information which may be required by the Exams Officer for special consideration or malpractice reports.*

### **EVACUATION ROUTES AND ASSEMBLY POINTS**

#### **ASSEMBLY POINT EXAM CANDIDATES ONLY**

- Sports Hall external fire exit route to staff car park
- Hall external fire exit through car park to staff car park
- All other rooms to exit by external fire exits to the staff car park

**Site staff**

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

**Invigilators**

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

**Candidates**

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

**Irregularities Head****of centre**

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

**Senior leaders**

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

**Exams officer**

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

**Invigilators**

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

**Special consideration****Exams officer**

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

## Special consideration policy

This procedure is reviewed annually to ensure compliance with current regulations.

Approved/reviewed by:	
Mr S.Worthington	
Date of next review:	October 2023

### Key staff involved in awarding and allocating word processors for exams:

Role	Name(s)
Head of centre	Mr S.Worthington
SLT member(s)	Daniel Fuller
SENCo	F Horsley
Exams officer	C Allen

### What is special consideration?

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

*Special consideration can only seek to go some way to assist a candidate affected by a potentially wide range of difficulties, emotional or physical, which may influence performance in examinations. It cannot remove the difficulty faced by the candidate. There will be situations where candidates should not be entered for an examination. Only minor adjustments can be made to the mark awarded because to do more than this would jeopardize the standard of the examination. [\[JCQ A guide to the special consideration process section 1\]](#)*

*This document is further referred to in this policy as [SC](#)*

### Purpose of the policy

The purpose of this policy is to identify roles and responsibilities in the special consideration process and confirms that Dean Trust Ardwick will... submit any applications for special consideration where candidates meet the published criteria. [\[JCQ General regulations for approved centres section 5.9\]](#)

### Eligibility for special consideration

#### Roles and responsibilities

##### Head of centre

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

##### Exams officer

- Understands the criteria as detailed in SC to determine where candidates will/will not



be eligible for special consideration

- Ensures that, where relevant and in eligible situations, applications for special consideration will be submitted to awarding bodies

#### **Teaching staff and/or SENCo**

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

#### **Candidates (or parents/carers)**

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

#### **Applying for special consideration**

Where eligible, special consideration will be applied for in a specific exam series where candidates... have been fully prepared and have covered the whole course but performance in the examination, or in the production of controlled assessment, coursework or non- examination assessment, is materially affected by adverse circumstances beyond their control. [\[SC 2\]](#)

1. Where a candidate may arrive for an exam and is clearly unwell, extremely distressed and/or may have sustained an injury that requires emergency access arrangements to be put in place:
  - » the candidate will be kept comfortable and under supervision from the required time while appropriate arrangements are put in place for the candidate to take the exam in the best possible conditions
  - » a judgement will be made on how the candidate's situation or disposition affected performance in the exam
  - » where appropriate and where eligible, special consideration will be applied for
2. Where candidates may be affected by a major disturbance in the exam room (emergency evacuation etc.), special consideration will be applied for on behalf of all candidates.
3. Where a candidate takes multiple exams (three or more exams) timetabled for the same day and the total duration for those papers is more than 6 hours for GCE exams or more than 5 hours 30 minutes for GCSE exams including any approved extra time but not any time taken for supervised rest breaks, special consideration for an allowance on last paper taken will be applied for.
4. Where a candidate may be affected by a minor disturbance in the exam room caused by another candidate (momentary bad behaviour, mobile phone ringing etc.), special consideration cannot be applied for.

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

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

- other certification
- a short extension to coursework/non-examination assessment deadlines
- submitting a reduced quantity of coursework/non-examination assessment (shortfall in work)

- candidates taking an incorrect or defective question paper
- candidates undertaking the wrong controlled assessment or non-examination assessment assignment
- Where a candidate may be eligible for special consideration (a post assessment adjustment) in a vocational qualification, the centre will follow [SC 7](#) and awarding body guidance to determine if, when and how an adjustment can be applied for.

## **Processing applications for special consideration**

### **Roles and responsibilities**

#### **Head of centre**

- Ensures where a candidate may be a member of the family (which includes step-family, foster family and similar close relationships) or close friend and their immediate family (e.g. son/daughter) of a member of exams office staff, the application will be authorised by an alternative member of centre staff

#### **Senior leadership team**

- Produce/provide signed evidence in support of an application where this may be requested by an awarding body

#### **Exams officer**

- Ensures applications will be processed as required by the awarding bodies
- Keeps evidence to support applications on file until after the publication of results and provides evidence in support of an application where this may be requested by an awarding body
- Meets the required deadline(s) for submitting applications

#### **Teaching staff and/or SENCo**

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

#### **Candidates (or parents/carers)**

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

### **Submitting applications for special consideration**

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

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

### **Timetabled written exams**

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

missed an examination) will only be completed by a candidate where circumstances warrant this and will not be used where the centre knows the candidate was ill

#### **Internally assessed work**

- Where appropriate, applications will be made online where the awarding body's secure system accepts them or form 10 will be completed and submitted to the awarding body
- Where a short extension to a deadline is being requested an application will be submitted online or by direct email, dependent on the awarding body
- Where an application relates to a shortfall in work, this will be submitted online or by completing form 10, dependent on the awarding body
- Post assessment adjustments – vocational qualifications
- Where relevant and eligible, form VQ/SC Application for special consideration Vocational qualifications will be completed and submitted to the awarding body

#### **Private candidates**

- Any private candidate entered by the centre must liaise with the exams officer (not the awarding body) regarding any application for special consideration

#### **Late applications**

If, after the publication of results for a particular exam series, a claim is made that special consideration was not applied for at the time of an assessment where a candidate was eligible, the claimant will be informed that late applications will only be accepted by an awarding body in the most exceptional circumstances and where a member of the senior leadership team is able to produce evidence to support a late application.

If a claim is made after the completion of a review of results, the claimant will be informed that an application for special consideration cannot be submitted.

#### **Candidates**

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

## Arrangements for unauthorised materials taken into the exam room

All candidates are aware of the regulations in regards to unauthorised materials taken into the exam venue. Any items found will be dealt with in accordance to the awarding bodies regulations and recorded within the centre. Statements will be taken from the candidate(s) and the invigilators conducting the exam and the awarding body of the exam will be notified. The decision in regards to the penalty will be left entirely to the awarding body, the outcome will not be a centre decision.

*In the examination room candidates must not have access to items other than those stated in the instructions on the question paper, the stationery list or the specification for that subject.*

*Potential technological/web enabled sources of information such as... are not permitted... ideally, all unauthorised items are left outside of the examination room... any pencil cases taken into the examination room must be see-through... any unauthorised items that have been taken into the examination room must be placed out of reach of the candidates (and not under their desks) before the examination starts. This would normally be at the front of the examination room or a similar arrangement that enables the invigilator to control access to the items... If candidates have access to unauthorised items in the examination room this may be considered as malpractice. They could be subject to penalties in accordance with the JCQ publication Suspected Malpractice in Examinations and Assessments: Policies and Procedures - [www.jcq.org.uk/exams-office/malpractice](http://www.jcq.org.uk/exams-office/malpractice)*

*The invigilator, prior to the examination starting, must ensure that candidates have removed their wrist watches, placing them on their desks.*

*A head of centre may, if he/she so wishes, prohibit candidates bringing a wrist watch into the examination room. Candidates would be required to leave their watches outside of the examination room. [\[ICE 18\]](#)*

### Invigilators

- Are informed of the arrangements through training

### Internal exams

#### Exams officer

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

#### Invigilators

- Conduct internal exams as briefed by the EO

## Results and post-results: roles and responsibilities

### Internal assessment

#### Head of department

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

### Managing results day(s)

#### Senior leaders

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

#### Exams officer

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

### Results day programme

*Details of the results day will be on the school website and given to the candidates. The post results services are listed in the candidate handbook, a copy of this book is available on the school website.*

### Site staff

- Ensure the centre is open and accessible to centre staff and candidates, as required for the collection of results

## **Accessing results**

### **Head of centre**

- Ensures results are kept entirely confidential and restricted to key members of staff until the official dates and times of release of results to candidates

### **Exams officer**

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

## **Post-results services**

### **Head of centre**

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

### **Exams officer**

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

### **Teaching staff**

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

### **Candidates**

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

## **Analysis of results The**

### **data manager**

- Provides analysis of results to appropriate centre staff
- Provides results information to external organisations where required
- Undertakes the secondary school and college (key stage 4/16-18) performance tables June and September checking exercise

## **Certificates**

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

### **Issue of certificates procedure**

*Certificate's will be available to candidates on a GCSE results evening or collected in person from the reception of Dean Trust Ardwick after the event.*

### **Candidates**

- May arrange for certificates to be collected on their behalf by providing the EO with written or email permission/authorisation; authorised persons must provide ID evidence on collection of certificates

### **Retention of certificates policy**

*Certificate's will be retained for 12 months at this point they will be destroyed unless arrangements have been made for a late collection.*

## **Exams review: roles and responsibilities**

### **Exams officer**

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

### **Senior leaders**

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

## **Retention of records: roles and responsibilities**

### **Exams officer**

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



Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Access arrangements information	Any hard copy information kept by the EO relating to an access arrangement candidate.	To be returned to SENDco as records owner at end of the candidate's final exam series.	SENDco disposed in confidential waste
Attendance register copies	Filed in date order in exam season register file	To be retained until the deadline for EARs or the resolution of any outstanding enquiries/appeals for the relevant exams series.  [Reference <a href="#">ICE</a> 6,15]	Confidential waste
Awarding body administrative guides/manuals	Any hard copy publications provided by awarding bodies.	To be retained until the current academic year update is provided.	Regular waste disposal
Candidates' work	Non-examination assessment work (inc. controlled assessment/coursework) returned to the centre after awarding body moderation.	To be immediately returned to subject staff as records owner.  To be stored safely and securely along with work that did not form part of the moderation sample (including materials stored electronically) until after the deadline for EARs or the resolution of any outstanding enquiries/appeals or malpractice investigations for the exam series.  [Reference <a href="#">GR</a> 3, 5]	Returned to candidates or safe disposal (confidential waste)
Certificates	Filed in envelope with Candidate name and exam number; each cohort stored in a box until collected.	Unclaimed/uncollected certificates to be retained securely for a minimum of 12 months from date of issue.  [Reference <a href="#">GR</a> 5]	Confidential waste
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	To be retained for <b>4 years</b> from the date of certificate destruction.  [Reference <a href="#">GR</a> 5]	
Certificate issue information	A record of certificates that have been issued to candidates.	[Reference <a href="#">GR</a> 5]	
Confidential materials delivery logs	A log recording confidential materials delivered by awarding bodies to the centre and issued to authorised staff.	To be retained until the deadline for EARs or the resolution of any outstanding enquiries/appeals for the relevant exams series	Regular waste disposal
Confidential materials tracking logs	A log to track materials taken from or returned to secure storage throughout the time the material is confidential.	To be retained until the deadline for EARs or the resolution of any outstanding enquiries/appeals for the relevant exams series	Regular waste disposal
Dispatch logs	Proof of dispatch of exam script packages to awarding body examiners covered by the <a href="#">DFE (Standards &amp; Testing Agency) yellow label service</a>	To be retained until the deadline for EARs or the resolution of any outstanding enquiries/appeals for the relevant exams series	Regular waste disposal
Entry information	Any hard copy information relating to candidates' entries.	To be retained until the deadline for EARs or the resolution of any outstanding enquiries/appeals for the relevant exams series	Confidential waste for any documents which show candidates' names or other personal data
Exam question papers	Question papers for timetabled written exams.	Issued to teaching staff after the published finishing time of the exam and only when all candidates in the centre have completed the exam.  Instructions issued by an individual awarding body relating to the use of question papers for vocational qualifications after the examination has taken place are followed.  [Reference <a href="#">ICE</a> 16 and <a href="#">GR</a> 6,5]	Regular waste disposal  Confidential waste if required by specific awarding body instructions (e.g. FSK, AAT CPAG)



Exam question papers for Trinity College SFL exams	Question papers for timetabled written exams.	All papers returned to Trinity with "written exams return form" showing complete, spare and spoiled papers.	N/A - all material returned to awarding body
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Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Exam room checklists	Checklists confirming room conditions and invigilation arrangements for each exam room.	To be retained until the deadline for EARs or the resolution of any outstanding enquiries/appeals for the relevant exams series.  [Reference <a href="#">ICE</a> 6]	Confidential waste if candidates' names or other personal data otherwise regular waste disposal
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms.	To be retained until the deadline for EARs or the resolution of any outstanding enquiries/appeals for the relevant exams series.  Where the log is part of a report of suspected malpractice all the paperwork is retained for 4 years	Confidential waste
Exam stationery	Kept in secure exam storage	When awarding body or JCQ common stationery is considered surplus or is out-of-date it will be disposed of.  [Reference <a href="#">ICE</a> page 4 and <a href="#">ICE</a> 23]	Confidential disposal
Examiner reports	Available to download from awarding body websites	To be immediately provided to head of department as records owner.	
Finance information	Copy invoices for exams-related fees.	Copies only - retained for 5 years. Returned to Finance department as records owner at the end of the academic year, if requested.	Confidential disposal
Invigilation arrangements	See <i>Exam room checklists</i> Invigilation schedules and claim forms	To be retained for 5 years unless requested by Finance Dept	Confidential disposal
JCQ publications	Any hard copy publications provided by JCQ.	To be retained until the current academic year update is provided.	Regular waste disposal
Moderator reports	Downloaded from awarding body secure websites or emailed to EO (AQA) on results release day	To be immediately provided to head of department as records owner.	Electronic copies stored in T/Admin/Exams/Year/Season/Results/Moderator Reports
Overnight supervision information	Copy of JCQ form <i>Timetable variation and confidentiality declaration for overnight supervision</i> for any candidate eligible for these arrangements.	To be retained for JCQ inspection purposes.  Retain until the deadline for EARs or the resolution of any outstanding enquiries/appeals for the relevant exams series.	Confidential disposal
Post-results services: confirmation of candidate consent information	Hard copy or email record of candidate consent for an EAR or ATS request to be submitted to an awarding body	EAR consent to be retained for at least six months following the outcome of the enquiry or any subsequent appeal. ATS consent to be retained for at least six months from the date consent given.  [Reference <a href="#">PRS</a> 6, appendix A and B]	Confidential disposal
Post-results services: requests/outcome information	Any hard copy information relating to a post-results service request (EARs, appeals, ATS) submitted to an awarding body for a candidate and outcome information from the awarding body.	Copy of outcome letter sent to candidate by email or post immediately.  Centre records updated and electronic copy stored in T/Admin/Exams/Year/Season/Results/Results & Post Results	N/A Hard copy sent to candidate

Post-results services: scripts returned from ATS service	Copy or original exam scripts returned to the centre by the awarding body.	Private requests sent to candidate immediately. T&L scripts anonymized then given to teacher.  Where scripts are retained by the centre, they must be securely stored (including any electronic versions) and not edited in any way or disposed of until after the awarding body deadline.  [Reference <a href="#">PRS 8</a> ]	Confidential disposal
Post-results services: tracking logs	A log tracking to resolution all post-results service requests submitted to awarding bodies.	Copy kept electronically. Printed copy used to check invoices for finance dept. Filed with results for the season.	Confidential disposal of paper copies if necessary

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Private candidate information	Any hard copy information relating to private candidates' entries.	To be retained until the deadline for EARs or the resolution of any outstanding enquiries/appeals for the relevant exams series.	Confidential disposal
Proof of postage – candidate work	Proof of postage of sample of candidates' work to awarding body moderators.	Retained in internal assessment file until the deadline for EARs or the resolution of any outstanding enquiries/appeals for the relevant exams series.	Confidential disposal
Resolving clashes information	Any hard copy information relating to the resolution of a candidate's clash of exam papers or a timetable variation.	To be retained until the deadline for EARs or the resolution of any outstanding enquiries/appeals for the relevant exams series.	Confidential disposal
Results information	Broadsheets of results summarising candidate final grades by subject by exam series.	Records for current year plus previous 6 years to be retained as a minimum.  [Reference <a href="#">Information Management Toolkit for Schools</a> page 52]	
Seating plans	Plans showing the seating arrangements of all candidates for every exam taken.	To be kept until the deadline for EARs and the resolution of any outstanding enquiries/appeals for the relevant exams series.  [Reference <a href="#">ICE 6</a> ]  Pearson FSK to be kept for 6 months	Confidential disposal
Special consideration information	Any hard copy information relating to a special consideration request and <b>supporting evidence</b> submitted to an awarding body for a candidate.	Evidence supporting an on-line special consideration application and evidence supporting a candidate's absence from an exam must be kept until after the publication of results. [Reference <a href="#">SC 6</a> ]	Confidential disposal
Suspected malpractice reports/outcomes	Any hard copy information relating to a suspected malpractice investigation/report submitted to an awarding body and outcome information from the awarding body.	To be retained until the deadline for EARs or the resolution of any outstanding enquiries/appeals for the relevant exams series.  Where the log is part of a report of suspected malpractice all paperwork is retained for 4 years	Confidential disposal
Transfer of credit information	Any hard copy information relating to a GCE AS transfer of credit arrangement (for a legacy unitised GCE AS specification) application submitted to an awarding body for a candidate.	To be retained until the issue of the GCE A level result for the candidate.	Confidential disposal
Transferred candidate information	Any hard copy information relating to an application for a transferred candidate arrangement submitted to an awarding body for a candidate.	To be retained until the transfer arrangements are confirmed by the awarding body.	Confidential disposal

Very late arrival reports/outcomes	Any hard copy information relating to a very late arrival report submitted to an awarding body for a candidate and outcome information from the awarding body.	To be kept until the deadline for EARs and the resolution of any outstanding enquiries/appeals for the relevant exams series.	Confidential disposal
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