



# NORBURY HIGH SCHOOL *for* GIRLS

## Examinations Policy

2021/22

This policy is reviewed annually to ensure compliance with current regulations

Approved/reviewed by	
KT	
Date of next review	October 2022

## Key staff involved in the exams policy

<b>Role</b>	<b>Name(s)</b>
Head of centre	<b>MHN</b>
Exams officer line manager (Senior leader)	<b>MMM</b>
Exams officer	<b>KT</b>
ALS lead/SENCo	<b>ADY</b>
Senior leader(s)	<b>ARO, VHA, STS, NCL, TDL</b>

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## Purpose of the policy

Norbury High 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.

The policy will be available for staff to view in a folder within the exams folder on Google drive and a copy will be held in the Exams Office in the Exams policy folder. It will also be available on the school website.

## Roles and responsibilities overview

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

**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](#), section 2)

### Head of centre responsibilities

The **head of centre** is the individual who is accountable to the awarding bodies for ensuring that the centre is always compliant with the published JCQ regulations and awarding body requirements to ensure the security and integrity of the examinations/assessments. **It is the responsibility of the head of centre to ensure that all staff comply with the instructions in this booklet.** Failure to do so may constitute malpractice as defined in the JCQ publication *Suspected Malpractice: Policies and Procedures, 1 September 2021 to 31 August 2022*:

<https://www.jcq.org.uk/exams-office/malpractice> ([ICE](#) Introduction)

### 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 - Policies and Procedures](#) (SM)
  - [Instructions for conducting non-examination assessments](#) (NEA) (and the instructions for conducting coursework)
  - [A guide to the special consideration process](#) (SC)
- Ensures the centre has appropriate accommodation to support the size of the cohorts being taught including appropriate accommodation for candidates requiring access arrangements for exams and assessments

## National Centre Number Register

- Takes responsibility for confirming, on an annual basis, that they are both aware of and adhering to the latest version of the JCQ's regulations. This confirmation is managed as part of the National Centre Number Register (NCNR) annual update
- Understands that this responsibility cannot be delegated to a member of the senior leadership team or the examinations officer, and acknowledges that failure to respond to the NCNR annual update, and/or the head of centre's declaration, will result in:
  - the centre status being suspended
  - the centre not being able to submit examination entries
  - the centre not receiving or being able to access question papersand ultimately, awarding bodies could withdraw their approval of the centre

## Recruitment, selection and training of staff

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

## Internal governance arrangements

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

### Escalation Process

The Escalation Process is available for staff to view in a folder within the exams folder on Google drive and a copy will be held in the Exams Office in the Exams policy folder.

- Has in place a member of the senior leadership team who will provide support and guidance to the examinations officer and ensure that the integrity and security of examinations and assessments is maintained throughout an examination series
- Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the EO
- Makes sure that a teacher, a tutor or a senior member of centre staff who teaches the subject being examined, is not an invigilator during the examination

## Delivery of qualifications

- Delivers qualifications, as required by the awarding body, in accordance with relevant equality legislation. This includes but is not limited to ensuring that qualifications are made available to all candidates capable of undertaking them and seeking reasonable adjustments for disabled candidates
- Enables candidates to receive sufficient and up to date laboratory experience, or relevant training where required by the subject concerned

## Public liability

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

## Security of assessment materials

- Takes all reasonable steps to maintain the integrity of the examinations/assessments, including the security of all assessment materials, by ensuring:

- the location of the centre's secure storage facility in a secure room solely assigned to examinations for the purpose of administering secure examination materials
- the secure room only contains exam-related material
- there are between two and six keyholders only, each of whom must fully understand their responsibilities as a key holder to the secure storage facility
- access to the secure room and secure storage facility is restricted to the authorised two to six keyholders and staff named and approved by the head of centre are accompanied by a keyholder at all times
- appropriate arrangements are in place to ensure that confidential materials are only handed over to authorised members of centre staff
- the relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk
- that when it is permitted to remove question papers from secure storage, and to avoid potential breaches of security, arrangements are in place to carefully check and record that the correct question paper packets are opened
- Makes arrangements to receive, check and store question papers and examination material safely and securely at all times and for as long as required in accordance with the current JCQ publication *Instructions for conducting examinations*
- Makes arrangements to receive and issue material received from the awarding bodies to staff and candidates, and notify them of any advice and instructions relevant to the examinations and assessments
- Allows candidates access to relevant pre-release materials on, or as soon as possible after, the date specified by the awarding bodies
- 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 any person involved in administering, teaching or completing examinations/assessments is advised that where malpractice is suspected, or alleged, personal data about them will be provided to the awarding body (or bodies) whose examinations/assessments are involved. Personal data about them may also be shared with other awarding bodies, the qualifications regulator or professional bodies in accordance with the JCQ publication *Suspected malpractice – Policies and procedures*
- Ensures irregularities are investigated and informs the awarding bodies 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)

### Exam Contingency Plan

The Contingency Plan is available for staff to view in a folder within the exams folder on Google drive and a copy will be held in the Exams Office in the Exams policy folder.

### Lockdown Policy (Exams)

The Lockdown Policy (Exams) is available for staff to view in a folder within the exams folder on Google drive and a copy will be held in the Exams Office in the Exams policy folder.

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

### Internal Appeals Procedures

The Internal Appeals Procedure is included in Appendix 1 of this document

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

## Equalities Policy

The Equalities Policy is included in Appendix 2 of this document

- 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 (Exams)

The Complaints and Appeals Procedure (Exams) is included in Appendix 3 of this document

- 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 (Exams)

The school's Child Protection/Safeguarding Policy is available from the school website. Invigilators employed by the school are required to have a DBS check in the same way as any other member of staff. Any ex-students sitting exams are accompanied from reception to the exam room and at the end of the exam are accompanied to reception.

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

## Exams Data Protection Policy

The Exams Data Protection Policy is included in Appendix 4 of this document

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

## Access Arrangements Policy

The Access Arrangements Policy is included in Appendix 5 of this document

## Conflicts of interest

- Ensures the relevant awarding bodies are informed before the published deadline for entries for each examination series of any potential conflict of interest where
  - a member of centre staff is taking a qualification at the centre which includes internally assessed components/units (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 close relationship to the candidate
- Maintains clear records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected by the above, and where
  - a member of exams office staff has a close relationship to a candidate being entered for exams and assessments at the centre or at another centre
  - a member of centre staff is taking a qualification at the centre which does not include internally assessed components/units (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

## Conflicts of Interest Procedures (Exams)

All staff are required to complete a "declaration of interest" in September. Following this the EO will notify the exam boards of any staff who are teaching or preparing members of their family or close friends and their immediate family. The EO will also keep records of all measures taken to mitigate any potential risks.

- Ensures other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials are briefed on the requirements for maintaining the integrity and confidentiality of the exam materials
- Ensures members of centre staff do not forward emails and letters from awarding body or JCQ personnel without prior consent to third parties or upload such correspondence onto social media sites and applications
- Ensures members of centre staff do **not** advise parents/candidates to contact awarding bodies/JCQ directly nor provide them with addresses/email addresses of awarding body examining/assessment personnel or JCQ personnel

### Centre inspections

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

### Exams officer

- Understands the contents of annually updated JCQ publications including:
  - [General Regulations for Approved Centres](#)
  - [Instructions for Conducting Examinations](#)
  - [Suspected Malpractice - Policies and Procedures](#)
  - [Post-results services \(PRS\)](#)
  - [A guide to the special consideration process](#)
- Completes/submits the National Centre Number Register annual update (administered on behalf of the JCQ member awarding bodies by OCR <https://ocr.org.uk/administration/ncn-annual-update/>) by the end of October each year
- 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 ALS lead/SENCo to ensure invigilators supervising access arrangement candidates and those acting as a facilitator supporting access arrangement candidates fully understand the respective role and what is and what is not permissible in the exam room
- Supports the head of centre in ensuring that awarding bodies are informed (where required) of any conflict of interest declared by members of centre staff and in maintaining records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected before the published deadline for entries for each examination series
- Briefs other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials on the requirements for maintaining the integrity and confidentiality of the exam materials

### Senior leaders

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

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

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

### Senior leaders

- Ensure 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 ALS lead/SENCo
- Ensure teaching staff keep themselves updated with awarding body subject and teacher-specific information to confirm effective delivery of qualifications
- Ensure 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 ALS lead/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](#), [SM](#), [NEA](#) (and the *Instructions for conducting coursework*) and [SC](#)

## Exams officer

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

## Information gathering

### Exams officer

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

### Senior leaders

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

## Access arrangements

### Head of centre

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

### ALS lead/SENCo

- Assesses candidates (or works with the appropriately qualified assessor as appointed by the head of centre) to identify access arrangements/reasonable adjustments requirements
- Gathers **evidence** to support the need for access arrangements for a candidate
- Liaises with teaching staff to gather evidence of **normal way of working** of an affected candidate
- Determines candidate eligibility for arrangements or adjustments that are centre-delegated
- Gathers signed **Personal data consent, Privacy Notice (AAO) and Data Protection confirmation** forms 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 documentation is stored electronically, an e-folder must be created for each individual candidate. The candidate's e-folder must hold each of the required documents for inspection)
- Employs good practice in relation to the Equality Act 2010
- Liaises with the EO regarding exam time arrangements for access arrangement candidates
- Ensures staff appointed to facilitate access arrangements for candidates are 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)

The Word Processor Policy is included in Appendix 6 of this document

- 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 Policy

The Statement on Separate Invigilation is included in the Access Arrangements Policy

## Senior leaders, Teaching staff

- Support the ALS lead/SENCo in determining and implementing appropriate access arrangements/reasonable adjustments
- 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

#### Controlled assessments, coursework and non-examination assessments

- Ensures arrangements are in place to co-ordinate and standardise all marking of centre-assessed components and ensures that candidates' centre-assessed work is produced, authenticated and marked, or assessed and quality assured in accordance with the awarding bodies' instructions (including where relevant, private candidates)
- Ensures that teaching staff, in accordance with awarding bodies' instructions, return all subject-specific forms by the required date
- Provides fully qualified teachers to mark non-examination assessments, and/or fully qualified assessors for the verification of centre-assessed components
- 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

The Non-examination Assessment Policy is included in Appendix 7 of this document

- 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
- Ensure teaching staff delivering AQA Applied General qualifications, OCR Cambridge Nationals, Entry Level Certificate or Project qualifications (and CCEA GCE unitised AS and A-level qualifications and WJEC GCE legacy AS and A-level Health & Social Care) follow JCQ [Instructions for conducting coursework](#) and the specification provided by the awarding body

- Ensure 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, ensure teaching staff follow appropriate instructions issued by the awarding body
- Ensure teaching staff inform candidates of their centre assessed marks as a candidate may request a review of the centre's marking before marks are submitted to the awarding body

### **Teaching staff**

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

### **Exams officer**

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

### **Invigilation**

#### **Head of centre**

- Ensures relevant support is provided to the EO in recruiting, training and deploying a team of invigilators
- Ensures, if contracting supply staff to act as invigilators, that such persons are competent and fully trained, understanding what is and what is not permissible (and not taking on its own an assurance from a recruitment agency, that this is the case)
- Determines if additional invigilators will be deployed in timed Art exams in addition to the subject teacher to ensure the supervision of candidates is maintained at all times

#### **Exams officer**

- Recruits additional invigilators where required to effectively cover all exam periods/series' throughout the academic year
- Collects information on new recruits to identify if they have invigilated previously and if any current maladministration/malpractice sanctions are applied to them
- Provides 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 made aware of the access arrangement(s) awarded (ensuring these candidates are identified on the seating plan) and confirms invigilators understand what is and what is not permissible
- Collects evaluation of training to inform future events

### **Entries: roles and responsibilities**

#### **Estimated entries**

#### **Exams officer**

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

## Estimated entries collection and submission procedure

Heads of Faculty/Subject Leaders are asked to complete a spreadsheet with details of exams to be sat and approximate numbers in the second half of the summer term so that estimated entries can be completed at the beginning of the autumn term.

- Makes candidates aware of the JCQ **Information for candidates – Privacy Notice** at the start of a course leading to a vocational qualification or when entries are submitted to awarding bodies for processing for general qualifications

### Senior leaders

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

### Final entries

#### 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
- Observes each awarding body's terms and conditions for the entry and withdrawal of candidates for their examinations and assessments, and observes any regulatory requirements for the qualification

## Final entries collection and submission procedure

Teachers and Heads of Faculty complete entry lists on SIMS and sign copies of this to confirm that all are correct.

### Senior leaders

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

### Entry fees

- Most examination fees are paid from the exams budget.
- Late fees may be charged to a department where these are the result of errors on that department's part.
- Late fees may be charged to individual students if these are the result of them requiring a change to entries which is against the school's advice.
- External candidates will be charged for exam entries plus an administration charge.

### Late entries

#### Exams officer

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

### Senior leaders

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

## **Re-sit entries**

- Any sixth formers who have not yet achieved a grade 4 in GCSE English or maths attend re-sit classes and are entered for the re-sit by Norbury High.
- Any sixth formers opting to re-sit GCSE English or maths submit an entry form and pay the exam fee to the Exams Officer.
- Any students opting to re-sit external assessments for BTEC or other vocational qualifications are entered by teachers on entry mark-sheets on SIMS. Decisions are made on a class basis as to who will pay for these entries.
- Entry fees will be charged to individual students if they choose to re-sit an exam to improve their grade after achieving a grade which is generally considered to be a pass.

## **Private candidates**

Only former students or staff of Norbury High are accepted as private candidates. They must meet with the exams Officer to complete paperwork and pay entry fees.

## **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 and reasonable adjustments**

### **ALS lead/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 documents, 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 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 designated contingency day awarding bodies may identify in the event of national or significant local disruption to exams
- Prior to exams issues relevant JCQ information for candidates documents
- Where relevant, issues relevant awarding body information to candidates
- Issues centre exam information to candidates including information on:
  - exam timetable clashes

- arriving late for an exam
- absence or illness during exams
- what equipment is/is not provided by the centre
- food and drink in exam rooms
- unauthorised items 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

### **Access to Scripts, Reviews of Results and Appeals Procedures**

Any student requesting a post results service meets with the Exams Officer to complete paperwork and pay the relevant fees. If requesting a review of marking they are informed of where their mark sits in relation to grade boundaries and advised that their marks and grade could go up, go down or stay the same.

### **Dispatch of exam scripts**

#### **Exams officer**

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

### **Estimated grades**

#### **Senior leaders**

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

#### **Exams officer**

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

### **Internal assessment and endorsements**

#### **Head of centre**

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

#### **ALS lead/SENCo**

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

#### **Teaching staff**

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

#### **Senior leaders**

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

#### **Exams officer**

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

### **Candidates**

- Authenticate their work as required by the awarding body

### **Invigilation**

#### **Exams officer**

- Provides an annually reviewed/updated invigilator handbook to invigilators, trains new invigilators on appointment and updates experienced invigilators on any regulation changes and any changes to centre-specific processes
- 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, ensure all relevant rules are being adhered to and to support 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 ALS lead/SENCo regarding the facilitation and invigilation of access arrangement candidates

#### **ALS lead/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

#### **ALS lead/SENCo or relevant Senior leader (in the absence of the ALS lead/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 the identity of all candidates

### **Candidate Identification Procedure**

Heads of Year/Senior Leaders will identify students when they line up in the playground. Invigilators will also carry out spot checks using the students' school ID cards. Any external candidates who are not easily identifiable as from the photo on SIMS taken when a student at the school will be required to bring photo ID. Any candidate wearing religious clothing which makes it difficult to confirm their identity will be taken to a separate room and asked to remove this by the exams officer or a senior leader. Students in ML7 will also have their identity checked by the invigilators in the room using their school ID cards.

- Ensures invigilators are aware of the procedure

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

### **Invigilators**

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

### **Security of exam materials**

#### **Exams officer**

- Confirms appropriate arrangements are in place to ensure that confidential materials are only handed over to those authorised by the head of centre
- Ensures access to the secure room is restricted and staff named and approved by the head of centre are accompanied by a keyholder at all times. There must be between two and six keyholders only, each of whom must fully understand their responsibilities as a key holder to the secure storage facility
- Has a process in place to demonstrate the receipt, secure movement and secure storage of confidential exam materials within the centre
- Ensures a log is kept at the initial point of delivery recording confidential materials received and signed for by authorised staff within the centre and that appropriate arrangements are in place for confidential materials to be immediately transferred to the secure storage facility until they can be removed from the dispatch packaging and checked in the secure room before being returned to the secure storage facility in timetable order
- Ensures the secure storage facility contains only current and live confidential material (ensuring that past examination question papers, internal tests and mock examinations are not kept in the centre's secure storage facility)
- Ensures that examination stationery, e.g. answer booklets and formula booklets are stored in the secure room (attempting to store this material in the secure storage facility, when sufficient space allows)
- Ensures the integrity and security of any electronic question paper is maintained during the downloading, printing and collating process (ensuring printing is carried out in an area that can be controlled to prevent unauthorised personnel accessing live assessment materials and ensuring only authorised members of centre staff have access to electronic question papers)

#### **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 Procedure**

The candidate's parents are required to arrange to collect the candidate, supervise them over night and return them to Norbury High the following day. They are required to guarantee that all JCQ regulations for overnight supervision is followed and to sign the JCQ form Timetable variation and confidentiality declaration for overnight supervision. Overnight supervision arrangements will only be applied as a last resort and once all other options have been exhausted.

- 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 ALS lead/SENCo regarding rooming of access arrangement candidates

### **ALS lead/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**

- (Where/if applicable to the centre) 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 using 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

### **Transferred candidate arrangements**

#### **Exams officer**

- (Where/if applicable to the centre) Liaises with the host or entering centre, as required
- Processes requests for Transferred Candidate arrangements using 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 arrangement

### **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

### **ALS lead/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 ALS lead/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/temporary access arrangements as they arise at the time of exams
  - applies for approval through AAO where required or through the awarding body where qualifications sit outside the scope of AAO

## **Candidate absence**

### **Candidate Absence Protocol**

Invigilators are responsible for using the seating plan to identify which candidates are missing as the exam is starting. This information is passed to the relevant pastoral leader or the SIMS hub for them to call the student.

- If a student is going to be late they will be reminded to report to reception and ask for the Exams officer when they arrive
- If a student says they are unable to attend the exam they will be reminded to get evidence of the reason for their absence so that special consideration can be applied for and that failure to provide this evidence is likely to result in them being charged the entry fee for that subject
- Once candidates are seated and have started the examination, complete the attendance register. This will allow for the identification of absent candidates who can be contacted as to their whereabouts.

## **Invigilators**

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

## **Candidates**

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

## **Candidate behaviour**

See *Irregularities* below.

## **Candidate belongings**

See *Unauthorised items* below.

## **Candidate late arrival**

### **Exams officer**

- Ensures that candidates who arrive very late for an exam are reported to the awarding body by submitting a report on candidate admitted very late to examination room using 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 Protocol**

- Any candidates arriving late must report to reception and wait for the Exams officer.
- The Exams officer will take them to the exam room once satisfied that they are not in possession of any unauthorised materials and are ready to complete the exam.
- If the candidate is very late the Exams Officer will also ascertain the information required in order to complete the online form.
- A candidate who arrives after the start of the examination may be allowed to enter the examination room and sit the examination. This is entirely at the discretion of the centre.

- A candidate who arrives late and is permitted by the centre to sit the examination, must be allowed the full time for the examination.

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

## **Exam rooms**

### **Head of centre**

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

### **Food and Drink Policy (Exams)**

Students may bring water in a clear plastic bottle with any label removed into the exam room. (One of the invigilators will check this as students enter for the exam)  
No other food or drink is permitted unless a student has an established medical condition requiring this. Any food or drink brought into the examination room by the candidate is free from packaging and all labels are removed from drink containers

### **Leaving the Examination Room Protocol**

Candidates are not allowed to leave the exam room temporarily unless

- They have an access arrangement allowing them to take rest breaks
- They have a pink card indicating an established medical condition requiring toilet breaks

In these cases the lead invigilator will contact the Exams officer who will arrange for the candidate to be collected from the exam room and accompanied.

The lead invigilator will also keep a record of the times the student is absent from the exam room on the exam room incident log and adjust their end time to allow for them to have the full time for the examination.

### **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 (Exams)**

The Emergency Evacuation Policy is available for staff to view in a folder within the exams folder on Google drive and a copy will be held in the Exams Office in the Exams policy folder.

The Emergency Evacuation Procedure is also included in the Invigilator Handbook

### **Site staff**

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

### **Invigilators**

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

### **Candidates**

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

### **Irregularities**

#### **Head of centre**

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

## Managing Behaviour Policy (Exams)

- A member of SLT will be present at the start of the exam to ensure students settle.
- If invigilators are concerned about the behaviour of any candidate they will contact the Exams officer

Where a candidate is being disruptive, the invigilator must warn the candidate that he/she may be removed from the examination room. The candidate must also be warned that the awarding body will be informed and may decide to penalise them, which could include disqualification.

The invigilator must record what has happened...

The head of centre has the authority to remove a candidate from the examination room, but should only do so if the candidate would disrupt others by remaining in the room. (ICE 24)

## Malpractice Policy (Exams)

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

### Senior leaders

- Provide signed evidence to support eligible applications for special consideration

### Exams officer

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

## Special Consideration Policy

The Special Consideration Policy is included in Appendix 8 of this document

### Candidates

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

## Unauthorised items

### Arrangements for unauthorised items taken into the exam room

Students will be informed in advance that personal belongings are not permitted in the exam room and advised to ensure they can leave them somewhere safe. Any students arriving for an examination with personal belongings will be sent to put them in their locker.

Any student found to be in possession of unauthorised materials after the invigilators' announcement will be told that this is malpractice, that the awarding body will be informed and warned of the possible consequences of this.

### **Invigilators**

- Are informed of the arrangements through training

### **Internal exams**

#### **Exams officer**

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

### **Invigilators**

- Conduct internal exams as briefed by the EO

## **Results and post-results: roles and responsibilities**

### **Internal assessment**

#### **Senior leaders**

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

Students are invited to collect their results between 9 am and 11 am on the relevant results day from the school hall.

Senior leaders and the careers advisor are available during this time to advise students of possible next steps.

### **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
- Understands that it is not permitted to withhold provisional results from candidates under any circumstances

#### **Exams officer**

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

### **Post-results 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
- Ensures that senior members of centre staff are available immediately after the publication of results
- Understands that if the centre has concerns about one of its component/subject cohorts, then requests for reviews of marking should be submitted for all candidates believed to be affected (candidate consent is required as marks and subject grades may be lowered, confirmed or raised)

#### **Exams officer**

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

#### **Teaching staff**

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

#### **Candidates**

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

### **Analysis of results**

#### **Assistant Head for Data**

- 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* (where applicable)

### **Certificates**

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

#### **Certificate Issue Procedure and Retention Policy**

- |  |
|--|
| <ul style="list-style-type: none"> <li>• Candidates are notified by email once certificates have been received and prepared for issue.</li> <li>• Certificates are collected from reception and students sign to confirm receipt.</li> <li>• Certificates are stored in folders in the exams office until students collect them or reach the age of 25.</li> </ul> |
|--|

- Once an ex-student reaches the age of 25 the details of their certificates are recorded on a spreadsheet and the certificates shredded.

### **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

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

#### **Exams officer**

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

#### **Senior leaders**

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

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

#### **Exams officer**

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

#### **Exams Archiving Policy**

The Exams Archiving Policy is included in Appendix 9 of this document

## Appendices

### Appendix 1 Internal Appeals Procedures

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

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

This procedure confirms Norbury High's compliance with JCQ's General Regulations for Approved Centres 2020-2021 (section 5.7) that the centre will:

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

#### Deadlines for the submission of marks

Date	Qualification	Details	Exam series
?	GCSE	Deadline to submit centre marks and moderation samples	Summer-22
?	GCE	Final date for submission of centre assessed marks (AQA, OCR, Pearson and WJEC)	Summer-22

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

Norbury High ensures that all centre staff follow a robust *Non-examination assessment policy* for the management of GCE and GCSE non-examination assessments. This policy details all procedures relating to non-examination assessments or coursework for GCE, GCSE, Project qualifications, BTECs and any other vocational qualifications including the marking and quality assurance/internal standardisation processes which relevant teaching staff are required to follow.

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

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

Norbury High will

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

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

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

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

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

## **Appeal Stages for RSL only**

### **Stage One**

The candidate should appeal in writing to the assessor **within one week** of being informed of their marks. The assessor must inform their Head of Faculty that an appeal has been made and pass the written record to the Head of faculty. A written reply must be given by the assessor explaining their decision within one week of receiving the appeal from the candidate. If the candidate is not satisfied with the response from the assessor:

### **Stage Two**

The candidate should contact the Head of faculty for the subject **within one week** of the assessor's response. The Head of Faculty will review the assessor's decision and the assessment evidence. The Head of Faculty will give a written response to the candidate within one week of receiving the request from the candidate.

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

This procedure confirms Norbury Manor's compliance with JCQ's General Regulations for Approved Centres 2020-2021 (section 5.13) that the centre will:

- *have available for inspection purposes and draw to the attention of candidates and their parents/carers, a written internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support a clerical re-check, a review of marking, a review of moderation or an appeal*

Following the issue of results, awarding bodies make post-results services available. Information on these are available to candidates on results days, are requested through the exams officer and paid for by the candidate.

Candidates are also made aware of the arrangements for post-results services and the availability of senior members of centre staff immediately after the publication of results, **before** they sit any exams and the accessibility of senior members of centre staff immediately after the publication of results by email and information on the school website.

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

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

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

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

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

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

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

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

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

Written candidate consent (informed consent via candidate email is acceptable) is required in all cases before a request for a RoR service 1 or 2 (including priority service 2) is submitted to the awarding body. Consent is required to confirm the candidate understands that the final subject grade and/or mark awarded following a clerical re-check or a review of marking, and any subsequent appeal, may be lower than, higher than, or the same as the result which was originally awarded. Candidate consent must only be collected after the publication of results.

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

- Confirm that a review of moderation cannot be undertaken on the work of an individual candidate or the work of candidates not in the original sample submitted for moderation
- Consult the moderator's report/feedback to identify any issues raised
- Determine if the centre's internally assessed marks have been accepted without change by the awarding body – if this is the case, a RoR service 3 (Review of moderation) will not be available
- Determine if there are any grounds to submit a request for a review of moderation for the work of all candidates in the original sample

Where a candidate disagrees with a centre decision not to support a clerical re-check, a review of marking or a review of moderation, the centre will:

- For a review of marking (RoR priority service 2), advise the candidate she may request the review by providing informed written consent and the required fee for this service to the centre by the deadline set by the centre
- For a review of marking (RoR service 1 or 2), first advise the candidate to access a copy of her script to support a review of marking by providing written permission for the centre to access the script and any required fee for this service for the centre to submit this request
- After accessing the script to consider the marking, inform the candidate that if a request for a review of marking (RoR service 1 or 2) is required, this must be submitted by the deadline set by the centre by providing informed written consent and the required fee for this service for the centre to submit this request
- Inform the candidate that a review of moderation (RoR service 3) cannot be requested for the work of an individual candidate or the work of a candidate not in the original sample

If the candidate (or her parent/carer) believes there are grounds to appeal against the centre's decision not to support a review of results, an internal appeal can be submitted to the centre by completing the internal appeals form at least 5 calendar days prior to the internal deadline for submitting a request for a review of results.

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

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

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

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

## Internal Appeals form

FOR CENTRE USE ONLY	
Date received	
Reference No.	

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

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

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

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

*(If applicable, tick below)*

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

Appellant signature:

Date of signature:

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



## Internal appeals form Stage 2 (for RSL only)

FOR CENTRE USE ONLY	
Date received	
Reference No.	

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

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

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

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

*(If applicable, tick below)*

- Where my appeal is against an internal assessment decision I wish to request a review of the centre's marking

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

Appellant signature:

Date of signature:

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



## Appendix 2 Equalities Policy

### Purpose of the policy

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

- recognise its duties towards disabled candidates, ensuring compliance with all aspects of the Equality Act 2010†, particularly Section 20 (7). This must include a duty to explore and provide access to suitable courses, through the access arrangements process submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates. Where the centre is under a duty to make a reasonable adjustment, the centre must not charge a disabled candidate any additional fee in relation to the adjustment or aid; †or any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect

(General Regulations for Approved Centres, section 5.4)

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

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

- identifying the need for appropriate arrangements, reasonable adjustments and/or adaptations (referred to in this policy as 'access arrangements')
- requesting access arrangements
- implementing access arrangements and the conduct of exams
- good practice in relation to the Equality Act 2010

### The Equality Act 2010 definition of disability

A definition is provided on page 9 of the JCQ publication (Adjustments for candidates with disabilities and learning difficulties) Access Arrangements and Reasonable Adjustments 2021-2022

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

### Identifying the need for access arrangements

#### Roles and responsibilities

##### Head of centre

- Is familiar with the entire contents, refers to and directs relevant centre staff to the annually updated JCQ publications including [GR](#) and [AA](#)

##### Senior leader(s)

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

##### Additional learning support (ALS) lead/Special educational needs coordinator (SENCo)

- Has full knowledge and understanding of the contents, refers to and directs relevant centre staff to the annually updated JCQ publication [AA](#)

##### Teaching staff

- Inform the ALS lead/SENCo of any support that might be needed by a candidate

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

- (where appropriate) Provide comments/observations to support the ALS lead/SENCo to 'paint a holistic picture of need', confirming normal way of working for a candidate

##### Assessor of candidates with learning difficulties

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

- Has detailed understanding of the JCQ publication [AA](#)

##### Head of Centre=HoC, SENCO=S, Examinations Officer=EO, Senior Leadership Team=SLT, Specialist Assessor=SA

- Ensures the quality of the access arrangements process within the centre **S,EO**

- Ensures staff roles, responsibilities and processes in identifying, requesting and implementing access arrangements for candidates (including private candidates) are clearly defined and documented **S**
- Ensures an appropriately qualified assessor(s) is appointed, evidence of the assessor's qualification(s) is obtained before he/she assesses candidates and that evidence of the qualification(s) of the person(s) appointed is held on file **SLT**
- Ensures the assessment process is administered in accordance with the regulations and that the correct procedures are followed as per Chapter 7 of **AA S**
- Ensures a policy demonstrating the centre's compliance with relevant legislation is in place **S/SLT**
- Support the SENCo in determining the need for and implementing access arrangements **SLT**
- Ensures a statement is provided which details the criteria the centre uses to award and allocate word processors for exams **S**
- Leads on the access arrangements process to facilitate access for candidates **S**
- Defines and documents roles, responsibilities and processes in identifying, requesting and implementing access arrangements (*Access arrangements policy*) **S**
- Provides a policy on the use of word processors in exams and assessments **S,EO**
- If not the appropriately qualified assessor, works with the person/persons appointed, on all matters relating to assessing candidates and the administration of the assessment process **S**
- Ensures the qualified assessor(s) has access to the assessment objectives for the relevant specification(s) a candidate is undertaking **EO**
- Ensures that all assessments carried out and arrangements put in place comply with JCQ and awarding body regulations and guidance **S**
- Ensures arrangements put in place for exams/assessments reflect a candidate's *normal way of working* within the centre **S,EO**
- Ensures the need for access arrangements for a candidate is considered on a subject by subject basis **S**
- Presents when requested by a JCQ Centre Inspector, evidence of the assessor's qualification **S**
- Works with teaching staff, relevant support staff and the exams officer to ensure centre-delegated and awarding body approved access arrangements are put in place for candidates taking internal and external exams/assessments **S**
- Provide information to evidence the normal way of working of a candidate **S,EO**
- Conducts appropriate assessments to identify the need(s) of a candidate **SA**
- Provides appropriate evidence to confirm the need(s) of a candidate **S**

Completes appropriate documentation as required by the regulations of JCQ and the awarding body **S,EO**

### **Use of word processors**

See separate word processor policy

### **Requesting access arrangements**

#### **Roles and responsibilities**

##### **ALS lead/SENCo**

- Determines if the arrangements identified for a candidate require prior approval from the awarding body before the arrangements are put in place or if approval is centre-delegated

##### **Exams officer (EO)**

- Is familiar with the entire contents of the annually updated JCQ publication [GR](#) and is aware of information contained in [AA where this may be relevant to the EO role](#)

**Head of Centre=HoC, SENCO=S, Examinations Officer=EO, Senior Leadership Team=SLT, Specialist Assessor=SA**

- Follows guidance in [AA](#) (chapter 8) to process approval applications for access arrangements for those qualifications included **S**
- Applies for approval where this is required, through Access arrangements online (AAO), or through the awarding body where qualifications sit outside the scope of AAO **S**
- Ensures that where approval is required the application is processed on time and no later than the awarding body's published deadline **S**
- Ensures that the full supporting evidence is in place before an online application is processed **S**
- Reviews the evidence before an online application is processed, ensuring that the candidate does meet the published criteria for the respective arrangement **S**
- Holds all supporting evidence and presents such evidence to a JCQ Centre Inspector upon request
- Ensures that the agreed adjustment has been put in place before the candidate's first examination, e.g. internal tests and mock examinations **S**
- Ensures appropriate and required evidence is held on file to confirm validation responses in AAO including (where required) the completion of JCQ Form 8 (Application for access arrangements – Profile of learning difficulties), and/or centre based evidence including concise file note(s) on centre headed paper, signed and dated, and a body of evidence to substantiate the candidate's normal way of working within the centre (Form 8 must only be used for candidates with learning difficulties or where a Language Modifier is required) **S**
- Ensures where form 8 is required to be completed, the form is signed (a handwritten, electronic or typed signature is acceptable) and dated as required **prior** to approval being sought and that the form is provided for processing and inspection purposes (This may be a hard copy paper version or an electronic version) **S**
- Ensures the names of all other assessors, who are assessing candidates studying qualifications covered by AAO are entered into AAO to confirm their status **S**
- Confirms by ticking the '*Confirmation*' box prior to submitting the application for approval that the '*malpractice consequence statement*' has been read and accepted **S**
- Makes an *awarding body referral* through AAO where the initial application for approval may not be approved by AAO, where it is deemed by the centre that the candidate does meet the criteria for the arrangement(s) **S**
- Maintains a file/e-folder for each candidate (the required documentation for a candidate will be in hard copy within the candidate's file/each of the required documents held electronically within the candidate's e-folder) that will include:
  - completed JCQ/awarding body application forms and evidence forms
  - appropriate evidence to support the need for the arrangement where required
  - appropriate evidence to support normal way of working within the centre
  - in addition, for those qualifications covered by AAO (where approval is required), a printout/PDF of the AAO approval and a signed candidate personal data consent form (which provides candidate consent to their personal details being shared) **S**
- Presents the files/e-folders when requested by a JCQ Centre Inspector and addresses any queries/questions raised **S**
- If the SENCo is unavailable, presents the files/e-folders of access arrangements candidates when requested by a JCQ Centre Inspector and addresses any queries/questions raised **SEN administrator**
- Liaises with teaching staff regarding any appropriate modified paper requirements for candidates **S EO**
- Liaises with the SENCo to ensure arrangements are in place to either order a non-interactive electronic (PDF) question paper or to open question paper packets in the secure room within 90 minutes of the published starting time for the exam where the centre is permitted to modify a timetabled written component exam paper (copy on coloured paper, enlarge to A3 or copy to single sided print) **EO**
- Following the appropriate process (using AAO for those qualifications included in the tool; using Form VQ/EA), orders published modified papers, by the awarding body's deadline for the exam series, where these may be required for a candidate **EO**

## Implementing access arrangements and the conduct of exams

### Roles and responsibilities

#### External assessments

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

#### **Head of centre**

- Supports the SENCo, the exams officer and other relevant centre staff in ensuring appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams

#### **ALS lead/SENCo**

- Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access for candidates where they are disabled within the meaning of the Equality Act (unless a temporary emergency arrangement is required at the time of an exam)

#### **Exams officer**

- Understands and follows instructions for Invigilation arrangements for candidates with access arrangements and Access arrangements in [ICE 2021-2022](#)

#### **Other relevant centre staff**

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

#### **Head of Centre=HoC, SENCO=S, Examinations Officer=EO, Senior Leadership Team=SLT, Specialist Assessor=SA**

- Is familiar with the instructions for Invigilation arrangements for candidates with access arrangements and Access arrangements in [ICE 2021-2022](#) **S EO**
- Ensures a candidate is involved in any decisions about arrangements, adjustments and/or adaptations that may be put in place for him/her and ensures the candidate understands what will happen at exam time **S**
- Ensures exam information (JCQ information for candidates documents, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it **S EO**
- Ensures that prior to any arrangements being put in place checks are made that arrangements do not impact on any assessment criteria/competence standards being tested **S EO**
- Ensures that any arrangements put in place do not unfairly disadvantage or advantage disabled candidates **S**
- Monitors, in internal tests/mock exams, the use of arrangements granted to a candidate and where a candidate has never made use of the arrangement, may consider withdrawing the arrangement, provided the candidate will not be placed at a substantial disadvantage **S EO**
- Liaises with the exams officer (EO) regarding facilitation and invigilation of access arrangement candidates in exams **S SEN administrator**
- Liaises with other relevant centre staff regarding the provision of appropriate rooming and equipment that may be required to facilitate access for disabled candidates to exams **EO**
- Appoints appropriate centre staff as facilitators to support candidates (practical assistant, prompter, Language Modifier, reader, scribe or Communication Professional) **EO SEN administrator**
- Ensures facilitators supporting candidates are appropriately trained and understand the rules of the particular access arrangement(s) **S EO**
- Ensures a record of the content of training given to those facilitating an access arrangement for a candidate under examination conditions is kept and retained on file until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later **EO**
- Ensures where a person is appointed to facilitate an access arrangement, the person appointed is not normally the candidate's own subject teacher but where the candidate's own subject teacher has to be used, ensures a separate invigilator is always present **EO**
- Ensures where a person is appointed to facilitate an access arrangement, the person appointed is not a relative, friend, peer or private tutor of the candidate. **EO**
- Ensures a facilitator acting as a prompter is aware of the appropriate way to prompt depending on the needs of the candidate **S EO**
- Liaises with the EO to ensure that invigilators are made aware of the Equality Act 2010 and are trained in disability issues **S**

- Ensures invigilators supervising access arrangement candidates are trained in their role and understand the invigilation arrangements required for access arrangement candidates and the role of any facilitator **S EO**
- Ensures cover sheets, where these are required by the arrangement are completed as required by facilitators **EO**
- Liaises with the EO where a facilitator may be required to support a candidate requiring an emergency (temporary) access arrangement at the time of exams **S**
- Liaises with the SENCo and other relevant centre staff to ensure appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams **EO**
- Liaises with the SENCo to ensure exam information (JCQ information for candidates documents, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it **EO**
- Liaises with the SENCo and SEN administrator regarding the facilitation and invigilation of access arrangement candidates **EO**
- Liaises with the SENCo and SEN administrator regarding rooming of access arrangement candidates **EO**
- Liaises with the SENCo to ensure that invigilators are made aware of the Equality Act 2010 and are trained in disability issues **EO**
- Ensures appropriate seating arrangements are in place where different arrangements may need to be made for a candidate to facilitate access to his/her exams **EO**
- Ensures candidates with access arrangements are identified on exam room seating plans and invigilators are informed of those candidates with access arrangements and made aware of the access arrangement(s) awarded **EO**
- Ensures invigilators are briefed prior to each exam session of the arrangements in place for a disabled candidate in their exam room **EO**
- Checks in advance of dated exams/assessments that modified paper orders have arrived (and if not will contact the awarding body to ensure that papers are available when required) **EO**
- Makes modifications that are permitted by the centre (a question paper copied onto coloured paper, an A4 to A3 enlarged paper or a paper printed on single sheets or where a question paper may need to be scanned into PDF format where a candidate is approved the use of a computer reader) that may be required and either accesses a non-interactive electronic (PDF) question paper or opens the exam question paper packet in the secure room no earlier than 90 minutes prior to the awarding body's published start time of the exam **EO**
- Understands that where permitted/approved, a secure question paper packet may need to be opened early in the secure room to facilitate the following:
  - a Language Modifier may have access to the question paper 60 minutes prior to the awarding body's published start time for the exam in order to prepare
  - the Communication Professional may have access to the question paper 60 minutes prior to the awarding body's published start time for the exam in order to prepare
  - the Live Speaker may have access to the transcript of the Listening examination 60 minutes prior to the awarding body's published start time for the exam in order to prepare **EO**
- Provides cover sheets prior to the start of an exam where required for particular access arrangements and ensures that these have been fully completed before candidates' scripts are dispatched to examiners/markers **EO**
  - prints pre-populated cover sheets from AAO where this is required for particular arrangements **SEN administrator**
- Has a process in place to deal with emergency (temporary) access arrangements as they arise at the time of exams in terms of rooming and invigilation **EO SEN administrator**
- Liaises with the SENCo where a facilitator may be required to support a candidate requiring an emergency (temporary) access arrangement at the time of exams **EO**
- Where required for emergency (temporary) access arrangements, applies for approval through AAO or through the awarding body where qualifications sit outside the scope of AAO **SEN administrator EO**
- Sets up computer reader and ensure the correct papers are opened for students as directed by the exams officer **IT manager and technicians**

- Sets up interactive paper or word processor as directed by the exams officer **IT manager and technicians**
- Set up **rooms and non-specialist equipment** (chairs, tables, clocks etc.) used for exams that may need to be adapted for a candidate **Site staff**
- Arrange the emergency evacuation of any candidate with a disability who may need assistance when an exam room is evacuated **VHA**

#### Internal assessments

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

#### **ALS lead/SENCo**

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

#### **Teaching staff**

- Support the SENCo in implementing appropriate access arrangements for candidates
- 

#### **SENCO=S, Teaching Staff=TS**

- Ensures centre-delegated and awarding body approved arrangements are in place prior to a candidate taking his/her first formal supervised assessment **S**
- Ensures candidates are aware of the access arrangements that are in place for their assessments **S**
- Ensures a candidate has had appropriate opportunities to practise using the access arrangement(s) before his/her first examination **S**
- Ensures facilitators supporting candidates are appropriately trained and understand the rules of the particular access arrangement(s) **S, EO**
- Ensures cover sheets are completed as required by facilitators **S, EO, TS**
- Liaises with the teacher where a facilitator may be required to support a candidate requiring an emergency (temporary) access arrangement at the time of his/her formal supervised assessment **S**
- Provide the SENCo with assessment schedules to ensure arrangements are put in place when required **TS**
- Liaise with the SENCo regarding assessment materials that may need to be modified for a candidate **TS**

#### Internal exams

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

#### **ALS lead/SENCo**

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

#### **Teaching staff**

- Support the SENCo in implementing appropriate access arrangements for candidates
- Provide exam materials that may need to be modified for a candidate **TS**
- Provide the SENCo with internal exam timetable to ensure arrangements are put in place when required **EO, TS**

### Facilitating access - examples

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

On a candidate by candidate basis, consideration is given to

- adapting assessment arrangements
- adapting assessment materials
- the provision of specialist equipment or adaptation of standard equipment
- adaptation of the physical environment for access purposes

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

Example of candidate need(s)	Arrangements explored	Centre actions
A medical condition which prevents the candidate from taking exams in the centre	Alternative site for the conduct of examinations  Supervised rest breaks	<p><i>SENCo gathers evidence to support the need for the candidate to take exams at home</i></p> <p><i>Pastoral head provides written statement for file to confirm the need</i></p> <p><i>Approval confirmed by SENCo; AAO approval for both arrangements not required</i></p> <p><i>Pastoral head discussion with candidate to confirm the arrangements should be put in place</i></p> <p><i>EO submits 'Alternative site form' for timetabled written exams to awarding body/bodies online using CAP</i></p> <p><i>An on-line submission must only be made for timetabled written examinations in the following qualifications...</i></p> <p><i>EO provides candidate with exam timetable and JCQ information for candidates</i></p> <p><i>Pastoral head confirms with candidate the information is understood</i></p> <p><i>Pastoral head agrees with candidate that prior to each exam will call to confirm fitness to take exam</i></p> <p><i>EO allocates invigilator(s) to candidate's timetable; confirms time of collection of exam papers and materials</i></p> <p><i>Invigilator monitors candidate's condition for each exam and records any issues on incident log</i></p> <p><i>Invigilator records rest breaks (time and duration) on incident log and confirms set time given for exam</i></p> <p><i>Invigilator briefs EO after each exam on how candidate's performance in exam may have been affected by his/her condition</i></p> <p><i>EO discusses with pastoral head if candidate is eligible for special consideration (candidate present but disadvantaged)</i></p> <p><i>EO processes request(s) for special consideration where applicable; incident log(s) provides supporting evidence</i></p> <p><i>Pastoral head informs candidate that special consideration has been requested</i></p>
Persistent and significant difficulties in accessing written text	Reader/computer reader 25% Extra time Separate invigilation within the centre	<p><i>Confirms candidate is disabled within the meaning of the Equality Act 2010</i></p> <p><i>Papers checked for those testing reading</i></p> <p><i>Computer reader/examination reading pen sourced for use in papers (or sections of papers) testing reading OR up to 50% extra time awarded</i></p> <p><i>A short concise file note produced on centre headed paper, signed and dated kept on file, confirming the nature of the candidate's impairment and that the use of a computer reader and/or a reader reflects his/her normal and current way of working within the centre</i></p> <p><i>(25% Extra time - Form 8 completed as appropriate)</i></p> <p><i>Supporting evidence, AAO approval and signed candidate personal data consent form kept on file</i></p>
Significant difficulty in concentrating	Prompter Separate invigilation within the centre	<p><i>Gathers evidence to support substantial and long term adverse impairment</i></p> <p><i>Confirms with candidate how and when they will be prompted</i></p>

		<i>Briefs invigilator to monitor candidate and the method of prompting (call out his name to bring his attention back to the paper - confirms requirement for separate room)</i>
A wheelchair user	Desk Rooms Facilities Seating arrangements Practical assistant	<i>Applies for practical assistant to help candidate set up wheelchair and other equipment in a practical assessment; approval automatically fails so awarding body referral lists the tasks that will be performed Provides height adjustable desk in exam room Allocates exam room on ground floor near adapted bathroom facilities Spaces desks to allow wheelchair access Seats candidate near exam room door Confirms arrangements in place to assist the candidate in case of emergency evacuation of the exam room Practical assistant cover sheet printed from AAO; to be completed by facilitator and inserted inside the candidate's work where this may be applicable to the assessment</i>

## Appendix 3 Complaints and Appeals Procedure

### Purpose of the procedure

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

### Grounds for complaint

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

#### Access arrangements

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

#### Entries

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

## Conducting examinations

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

## Results and Post-results

- Before exams, candidate not made aware of the arrangements for post-results services and the accessibility of senior members of centre staff after the publication of results
- Candidate not having access to a member of senior staff after the publication of results to discuss/make decision on the submission of a review/enquiry
- Candidate request for return of work after moderation and work not available/disposed of earlier than allowed in the regulations
- Candidate (or parent/carer) unhappy with a result (complainant to refer via exams officer to awarding body *post-results services*)
- Candidate (or parent/carer) unhappy with a centre decision not to support a clerical re-check, a review of marking, a review of moderation or an appeal (complainant to refer via [insert who] to the centre's *internal appeals procedure*)
- Centre applied for the wrong post-results service/for the wrong script 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 her parent/carer) has a general concern or complaint about the centre's administration of a qualification she is following, Norbury High encourages her to try to resolve this informally in the first instance. A concern or complaint should be made in person, to the head of centre.

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

### How to make a formal complaint

- A formal complaint should be submitted in writing by completing a **complaints and appeals form**
- Forms are included at the end of this policy
- Completed forms should be returned to Mrs McCardie
- Forms received will be logged by the centre and acknowledged within 7 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 4 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 7 calendar days
- The appeal will be referred to the Chair of Governors (or a special Committee of the Governing body) for consideration
- The Chair of Governors (or Committee) will inform the appellant of the final conclusion in due course

## Complaints and Appeals form

FOR CENTRE USE ONLY	
Date received	
Reference No.	

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

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

Name of complainant/appellant	
Candidate name if different to complainant/appellant	
Please state the grounds for your complaint/appeal below	
<p>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</p>	
Detail any steps you have already taken to resolve the issue(s) and what you would consider to be a good resolution to the issue(s)	
Complainant/appellant signature:	Date of signature:

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



Data Protection Regulation and the Data Protection Act 2018 or law relating to personal data in any jurisdiction in which the awarding body or centre are operating.

In these *General Regulations* reference is made to 'data protection legislation'. This is intended to refer to UK GDPR, the Data Protection Act 2018 and any statutory codes of practice issued by the Information Commissioner in relation to such legislation. (JCQ [General Regulations for Approved Centres](#) (section 6.1) **Personal data**)

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

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

- used fairly and lawfully
- used for limited, specifically stated purposes
- used in a way that is adequate, relevant and not excessive
- accurate
- kept for no longer than is absolutely necessary
- handled according to people's data protection rights
- kept safe and secure

To ensure that the centre meets the requirements of the DPA 2018 and UK GDPR, all candidates' exam information – even that which is not classified as personal or sensitive – is covered under this policy.

## Section 1 – Exams-related information

There is a requirement for the exams officer to hold exams-related information on candidates taking external examinations. For further details on the type of information held please refer to Section 5 below

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

- Awarding bodies
- Joint Council for Qualifications
- Department for Education
- Local Authority
- The Manor Trust

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

- hard copy
- email
- secure extranet site(s) – e-AQA; OCR Interchange; Pearson Edexcel Online; WJEC Secure services
- SIMS provided by Capita sending/receiving information via electronic data interchange (EDI) using A2C (<https://www.jcq.org.uk/about-a2c>) to/from awarding body processing systems

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

## Section 2 – Informing candidates of the information held

Norbury High ensures that candidates are fully aware of the information and data held.

All candidates are:

- informed via letter and the school website
- given access to this policy via the school website

Candidates are made aware of the above on joining the school.

When exam entries are made, the centre also brings to the attention of candidates the annually updated JCQ document Information for candidates – Privacy Notice which explains how the JCQ awarding bodies process their personal data in accordance with the DPA 2018 and UK GDPR.

Candidates eligible for access arrangements which require awarding body approval are also required to provide their consent by signing the GDPR compliant JCQ candidate personal data consent form (Personal data consent, Privacy Notice (AAO) and Data Protection confirmation) before access arrangements approval applications can be processed online. Those for whom a request for special consideration is made are also required to provide their consent by signing a data protection notice.

### Section 3 – Hardware and software

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

Hardware	Date of purchase and protection measures	Warranty expiry
Desktop computer;	Protected by Sophos antivirus software and firewall  Independent backup to another medium, Fail safe - Unit swap out. Current Unit was purchased in 2014.	N/A
Asus Laptop	December 2019  Protected by Sophos antivirus software and firewall  Used for local and remote connections. Data saved on the main system.	?

Software/online system	Protection measure(s)
SIMS	All members of staff have individual usernames and passwords and are responsible for keeping these s3ecure.  Password Rule is a mixture of letters, numbers and characters. Firewall and Antivirus are set and monitored centrally. Password change is not forced centrally.
A2C	This can only be accessed by the exams officer and requires the exams officer to log onto the school system or remote desktop
Exam board secure websites	Members of staff have to request a login from the exams Officer which they are then required to keep secure.

### Section 4 – Dealing with data breaches

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

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

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

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

Data Protection Officer will lead on investigating the breach.

It will be established:

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

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

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

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

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

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

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

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

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

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

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

An information audit is conducted annually.

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

Protection measures include:

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

## Section 6 – Data retention periods

Details of retention periods, the actions taken at the end of the retention period and method of disposal are contained in the centre's Exams Archiving Policy which is available from the Exams Officer.

## Section 7 – Access to information

(with reference to ICO information <https://ico.org.uk/your-data-matters/schools/exam-results/>)

The GDPR gives individuals the right to see information held about them. This means individuals can request information about them and their exam performance, including:

- their mark
- comments written by the examiner
- minutes of any examination appeals panels

This does not however give individuals the right to copies of their answers to exam questions.

### Requesting exam information

Requests for exam information can be made to the Exams Officer in writing if this is done from an email which is not on the school system the student must provide photo ID.

The GDPR does not specify an age when a child can request their exam results or request that they aren't published. When a child makes a request, those responsible for responding should take into account whether:

- the child wants their parent (or someone with parental responsibility for them) to be involved; and
- the child properly understands what is involved.

### Responding to requests

If a request is made for exam information before exam results have been published, a request will be responded to:

- within five months of the date of the request, or
- within 40 days from when the results are published (whichever is earlier).

If a request is made once exam results have been published, the individual will receive a response within one month of their request.

### Third party access

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

Candidates' personal data will not be shared with a third party unless a request is accompanied with permission from the candidate and appropriate evidence (where relevant), to verify the ID of both parties, provided.

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

### Sharing information with parents

Exam timetables will be emailed to both students and parents/carers.

Exam results will be shared with parents/carers if they can prove they have the student's permission and can verify their identity

If parents/carers request information on a student's exam results and cannot prove they have the student's permission the request will be passed to the Data Protection Officer.

## **Publishing exam results**

Individual exam results will only be published with the permission of an individual candidate.

Norbury High will publish exam results to the media or within the centre (e.g. on an honours board) in line with the following principles:

- Refer to guidelines as published by the Joint Council for Qualifications
- Act fairly when publishing results, and where people have concerns about their or their child's information being published, taking those concerns seriously
- Ensure that all candidates and their parents/carers are aware as early as possible whether examinations results will be made public and how this will be done
- Explain how the information will be published. For example, if results will be listed alphabetically, or in grade order

As Norbury High will have a legitimate reason for publishing examination results, consent is not required from students or their parents/carers for publication. However, if a student or their parents/carers have a specific concern about publication of their results, they have the right to object. This objection must be made in writing to Mrs Hayden Headteacher, who will consider the objection before making a decision to publish and reply with a good reason to reject the objection to publish the exam results.

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

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

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

Information type	Information description (where required)	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
Access arrangements information	Information as to what access arrangements students are entitled to is shared with all teaching staff. Information of students' difficulties are shared with exam boards in order to get approval for access arrangements.	Candidate name Candidate DOB Gender Data protection notice (candidate signature) Diagnostic testing outcome(s) Specialist report(s) (may also include candidate address) Evidence of normal way of working	Access Arrangements Online SIMS  Secure intranet and google drive  In folders	Secure user name and password Secure user name and password Secure user name and password In secure office (SENCo)	Until deadlines for reviews and appeals have passed and any reviews and appeals have been completed.
Alternative site arrangements	Details of arrangement for students sitting exams at a different location because they are unable to attend the centre.	Candidate name Candidate number	Centre administration portal  In folder	Secure user name and password  In secure exams office	Until deadlines for reviews and appeals have passed and any reviews and appeals have been completed.
Attendance registers copies	Records of attendance at each individual exam.	Candidate name Candidate number	In folder	In secure exams office	Until deadlines for reviews and appeals have passed and any reviews and appeals have been completed.
Candidates' scripts	Individuals' exam papers are stored securely between them being sat and them	Candidate name Candidate number Candidate responses	In secure locking cabinet	In secure exam store	Until Parcelforce collect

Information type	Information description (where required)	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
	being collected by Parcelforce.				
Candidates' work	Candidates' NEA work/coursework	Candidate name Candidate number Candidate work	In secure locking cabinet	Within faculty area	Stored securely between sessions and after completion until after the deadline for EARs or until any EAR is complete.
Certificates	Certificates awarded by each exam board for candidates	Candidate name Subjects and grades achieved by candidates	In box files in cupboard	In secure exams office	Kept until students reach the age of 25.
Certificate destruction information	Record of certificates destroyed once student reaches the age of 25.	Candidate name Subjects and grades achieved by candidates	Information recorded on a spreadsheet saved within secure IT system	Secure user name and password	Kept indefinitely
Certificate issue information	Sheets signed by students confirming that they have received their certificates.	Candidate name Subjects and grades achieved by candidates	In secure locking cabinet	In secure exams office	Kept at least until students reach the age of 25
Conflicts of Interest records	Information provided by members of staff on potential conflicts of interest or confirming that there aren't any.  A log detailing measures taken to address any potential conflicts of interest	Candidate name Candidate number Details of centres where family members are sitting exams	In secure locking cabinet	In secure exams office	Until deadlines for reviews and appeals have passed and any reviews and appeals have been completed.

Information type	Information description (where required)	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
Entry information	Entry lists for each class.	Candidate name Candidate number Subject information and where relevant tier of entry	In secure locking cabinet	In secure exams office	Until deadlines for reviews and appeals have passed and any reviews and appeals have been completed.
Exam room incident logs	Details of anything which occurred during public exams including any students leaving an exam before the end.	Candidate name Candidate number Information on what occurred.	In secure locking cabinet	In secure exams office	Until deadlines for reviews and appeals have passed and any reviews and appeals have been completed.
Invigilator and facilitator training records	Certificates showing completion of "the Exams Office" online modules.	Invigilator name Details of modules completed and scores.	In secure locking cabinet	In secure exams office	Until deadlines for reviews and appeals have passed and any reviews and appeals have been completed.
Overnight supervision information	Records of the arrangements of any overnight supervision.	Candidate name Candidate number Declarations signed by supervising adults.	In secure locking cabinet	In secure exams office	Until deadlines for reviews and appeals have passed and any reviews and appeals have been completed.
Post-results services: confirmation of candidate consent information	Candidate consent form.	Candidate name Candidate number Details of service to be requested	In secure locking cabinet	In secure exams office	Until deadlines for reviews and appeals have passed and any reviews and

Information type	Information description (where required)	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
					appeals have been completed.
Post-results services: requests/outcome information	Requests and outcomes downloaded from exam board websites.	Candidate name Candidate number Details of service to be requested	In secure locking cabinet  Also stored electronically on secure system	In secure exams office  Secure user name and password	Until deadlines for reviews and appeals have passed and any reviews and appeals have been completed.
Post-results services: scripts provided by ATS service	Scripts provided by exam boards in electronic form or hardcopy	Candidate name Candidate number Candidate responses	In secure locking cabinet  Also stored electronically on secure system where electronic version provided	In secure exams office  Secure user name and password	Until passed to student or requesting department
Post-results services: tracking logs	Logs tracking the progress of each EAR.	Candidate name Candidate number Details of service to be requested	In secure locking cabinet	In secure exams office	Until deadlines for reviews and appeals have passed and any reviews and appeals have been completed.
Private candidate information	Personal details and exam information.	Candidate name Candidate number Contact details Details of exams being sat by any external candidate.	In secure locking cabinet	In secure exams office	Until deadlines for reviews and appeals have passed and any reviews and appeals have been completed.
Resolving timetable clashes information	Clash forms	Candidate name Candidate number	In secure locking cabinet	In secure exams office	Until deadlines for reviews and appeals have passed and any

Information type	Information description (where required)	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
		Details of exams which clashed and the arrangements agreed			reviews and appeals have been completed.
Results information	EDI files Candidate results slips Various exam board produced lists of results	Candidate name Candidate number Details of exams sat and grades awarded.	Stored electronically in SIMS and in other secure IT system  In secure locking cabinet	Secure user name and password  In secure exams office	For at least 6 years after the issue of results.  In the case of candidate results slips until collected or posted.
Seating plans	Details of how candidates were sat for each individual exam session	Candidate name Candidate number Details of exam being sat	In secure locking cabinet	In secure exams office	Until deadlines for reviews and appeals have passed and any reviews and appeals have been completed.
Special consideration information	Records of applications made for special consideration  Evidence obtained to back applications for special consideration	Candidate name Candidate number  Details of medical conditions or personal circumstances which entitle a candidate to special consideration	Stored electronically on secure IT system  In secure locking cabinet	Secure user name and password  In secure exams office	Until deadlines for reviews and appeals have passed and any reviews and appeals have been completed.
Suspected malpractice reports/outcomes	Records of reported suspected malpractice and the outcomes of investigations	Candidate name Candidate number Details of suspicions  Details of the outcomes of the investigations	Stored electronically on secure IT system  In secure locking cabinet	Secure user name and password  In secure exams office	For 6 years from the issue of the outcome.

Information type	Information description (where required)	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
Transferred candidate arrangements	Transferred candidate arrangements	Candidate name Candidate number Details of the centre taking the transferred candidate	Stored electronically on secure IT system In secure locking cabinet	Secure user name and password In secure exams office	Until deadlines for reviews and appeals have passed and any reviews and appeals have been completed.
Very late arrival reports/outcomes	Very late arrival reports/outcomes	Candidate name Candidate number Details of the late arrival and the reason for this	Stored electronically on secure IT system In secure locking cabinet	Secure user name and password In secure exams office	Until deadlines for reviews and appeals have passed and any reviews and appeals have been completed.

## Appendix 5 Access Arrangements Policy

### What are access arrangements and reasonable adjustments?

#### Access arrangements

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

#### Reasonable adjustments

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

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

An adjustment will not be approved if it:

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

This is because the adjustment is not 'reasonable'. ([AA](#) Definitions)

\*References to legislation are to the Equality Act 2010.

#### Purpose of the policy

The purpose of this policy is to confirm that Norbury High 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...

(General Regulations for Approved Centres, section 5.4)

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

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

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

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

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

#### General principles

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

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

The SENCo, **must** ensure that the proposed access arrangement/reasonable adjustment does not unfairly disadvantage or advantage the candidate.

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

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

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

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

## Equalities Policy (Exams)

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

The Equalities Policy is available to staff in the exams folder on google drive and to students and parents as an appendix of the Exams Policy on the school website.

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 is appropriately qualified as required by JCQ regulations in [AA, section 7.3](#).

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

Patoss Assessment Practising Certificate AAA 0920-11

## 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)

Checked by HR/Head teacher's PA on appointment.

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

Where children have entered the centre with existing access arrangements the SENCO will ensure these are applied from point of entry.

Teachers are expected to raise any concerns with the SENCO in a timely manner. These are then investigated and where evidence exists that the student has a need the SENCO will carry out appropriate assessments (e.g., lucid exact) to establish the most appropriate AA.

## Painting a 'holistic picture of need', confirming normal way of working

When we are aware that a student may need access arrangements all teachers and relevant staff are asked to provide evidence of the student's normal way of working in their lessons, the extent to which their difficulties impact their learning and how long they have experienced these difficulties.

This evidence is collated by the SEND Administrator through analysis of CATS DATA, teacher surveys, school progress reports, student/parent feedback, prior information from Primary and information gathered from the AA assessor. Additional information may be gathered from external agencies such as the Education Psychologist where necessary.

All students with AA's are listed on the centre SEN register and it is expected that all internal exams and assessments are administered using the stated AA's for the candidate.

Where relevant include any additional information relating to private candidates.

Private candidates are only considered by the centre where a prior relationship (e.g former pupil) exists. In such incidence, the SENDCo will check that the candidates AA's are valid and that the evidence held meets the guidance as stated in AA section 7.5.

## Processing access arrangements and adjustments

### Arrangements/adjustments requiring awarding body approval

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

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

All students who are awarded AAs have an electronic file with all gathered information stored securely in google documents.  
AAO applications are made in the last term of Y9 and added to if any students join the school after this.  
If any applications are not approved automatically individual applications are submitted to the exam boards. The Head of Centre is responsible for investigating any cases where students or their parents disagree with the SENCO's assessment of need.

### Centre-delegated arrangements/adjustments

All centre-delegated arrangements/adjustments are applied based on the historical needs of students in our centre and reflect their usual way of working. For example:  
Rest breaks are often awarded to students who historically have required breaks as part of their formal learning e.g. have access to a timeout card.  
Students may be seated in a particular area of the exam hall based on this being applied in classrooms  
A prompt if this is how a student is usually kept on task in lessons.

## Centre-specific criteria for particular arrangements/adjustments

### Word Processor Policy (Exams)

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

The centre's word processor policy is available to staff in the exams folder on google drive and to students and parents as an appendix of the Exams Policy on the school website.

### Separate Invigilation Policy

A decision where an exam candidate may be approved separate invigilation within the centre will be made by the ALS lead/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](#))

Separate invigilation is awarded to meet medical and/or mental health needs which have been established prior to the examinations.  
Separate invigilation may also be awarded because the student's other access arrangements could disturb other candidates.

## Appendix 6 Word Processor Policy

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

References in this policy to AA and ICE relate to/are directly taken from the [Access Arrangements and Reasonable Adjustments 2021-2022](#) and [Instructions for conducting examinations 2021-2022](#) publications.

## Introduction

The use of a word processor in exams and assessments is an available centre approved adjustment.

(AA 4.2.1)

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

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

(AA 4.2.2)

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

(AA 4.2.3)

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

(AA 4.2.1)

The Additional Learning Support lead/SENCO must ensure that the proposed centre approved adjustment does not disadvantage or advantage a candidate.

(AA 4.2.7)

The candidate must have had appropriate opportunities to practice using the centre approved adjustment before their first examination.

## Purpose of the policy

This policy details how Norbury High complies with AA chapter 4 (Managing the needs of candidates and principles for centres), section 5.8 (Word processor) and ICE (sections 14.20-25) when awarding and allocating a candidate the use of word processor in examinations.

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

## The use of a word processor

The centre will

- allocate the use of a word processor to a candidate with the spelling and grammar check/predictive text disabled (switched off) where it is their normal way of working within the centre (AA 5.8.1)
- award the use of a word processor to a candidate where appropriate to their needs. This decision is made by the SENCO  
For example, a candidate with:
  - a learning difficulty which has a substantial and long term adverse effect on their ability to write legibly
  - a medical condition
  - a physical disability
  - a sensory impairment
  - planning and organisational problems when writing by hand
  - poor handwriting (AA 5.8.4)
- only permit the use of a word processor where the integrity of the assessment can be maintained (AA 4.2.1)
- not grant the use of a word processor where it will compromise the assessment objectives of the specification in question (AA 4.2.2)
- consider on a subject-by-subject basis if the candidate will need to use a word processor in each specification (AA 4.2.3)

- process centre approved adjustments at the start of the course, or as soon as practicable having firmly established a picture of need and normal way of working, ensuring arrangements are always approved before an examination or assessment (AA 4.2.4)
- provide the use of word processors to candidates in non-examination assessment components as standard practice unless prohibited by the specification (AA 5.8.2)

The centre will not

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

### Exceptions

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

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

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

A candidate using a word processor is accommodated in ML7 (or sometimes a different IT room)

In compliance with the regulations the centre:

- provides a word processor with the spelling and grammar check facility/predictive text disabled (switched off) to a candidate where it is their normal way of working within the centre, unless an awarding body's specification says otherwise (ICE 14.20)
- ensures the candidate is reminded to ensure that their centre number, candidate number and the unit/component code appear on each page as a header or footer e.g. 12345/8001 – 6391/01 (ICE 14.22)

If a candidate is using the software application Notepad or Wordpad these do not allow for the insertion of a header or footer. In such circumstances once the candidate has completed the examination and printed off their typed script, they are instructed to handwrite their details as a header or footer. The candidate is supervised throughout this process to ensure that they are solely performing this task and not re-reading their answers or amending their work in any way.

- ensures the candidate understands that each page of the typed script must be numbered, e.g. page 1 of 6 (ICE 14.23)
- ensures the candidate is reminded to save their work at regular intervals. (or where possible, an IT technician will set up 'autosave' on each laptop/tablet (or where possible, an IT technician will set up 'autosave' on each laptop/tablet to ensure that if there is a complication or technical issue, the candidate's work is not lost) (ICE 14.24)
- instructs the candidate to use a minimum of 12pt font and double spacing in order to make marking easier for examiners (ICE 14.24)(ICE 14.25)

The centre will ensure the word processor:

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

- does not have any predictive text software or an automatic spelling and grammar check enabled unless the candidate has been permitted a scribe or is using speech recognition technology (a scribe cover sheet must be completed), or the awarding body's specification permits the use of automatic spell checking
- does not include speech recognition technology unless the candidate has permission to use a scribe or relevant software
- is not used on the candidate's behalf by a third party unless the candidate has permission to use a scribe

### **Portable storage medium**

(ICE 14.25)

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

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

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

(ICE 14.25)

The centre will ensure

- the word processor is either connected to a printer so that a script can be printed off, or have the facility to print from a portable storage medium
- the candidate is present to verify that the work printed is his or their own
- a word processed script is attached to any answer booklet which contains some of the answers
- where an awarding body requires a cover sheet to be completed this is included with the candidate's typed script (according to the relevant awarding body's instructions)

## Appendix 1

### The criteria Norbury High uses to award and allocate word processors for examinations

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

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

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

This may include where a candidate has, for example:

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

The only exception to the above where the use of a word processor may be considered for a candidate 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 candidates

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

Appropriate exam-compliant word processors will be provided by the IT department in liaison with the ALS lead/SENCo and the exams officer. In exceptional circumstances where the number of appropriate word processors may be insufficient for the cohort of candidates approved to use them

in an exam session, the cohort will be split into two groups. One group will sit the exam earlier than or later than the awarding body's published start time. The security of the exam will be maintained at all times and candidates will be supervised in line with section 7 of ICE.

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## Appendix 7 Non-examination Assessment Policy

### What does this policy affect?

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

The regulators' definition of an examination is very narrow. In effect, any type of assessment that is not:

- set by an awarding body
- designed to be taken simultaneously by all relevant candidates at a time determined by the awarding body, and
- taken under conditions specified by the awarding body (including conditions relating to the supervision of candidates during the assessment and the duration of the assessment)

is classified as non-examination assessment (NEA).

'NEA' therefore includes, but is not limited to, internal assessment. Externally marked and/or externally set practical examinations taken at different times across centres are classified as 'NEA'. (JCQ's **Instructions for conducting non-examination assessments**, Foreword)

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

### Purpose of the policy

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

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

The policy will need to cover all types of non-examination assessment. ([NEA](#), section 1)

### What are non-examination assessments?

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

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

- task setting;
- task taking;
- task marking. ([NEA](#), section 1)

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

#### The basic principles

##### Head of centre

- Returns a declaration (managed as part of the National Centre Number Register annual update) to confirm awareness of, and that relevant centre staff are adhering to, the latest version of [NEA](#)

- Ensures the centre's Non-examination Assessment Policy is fit for purpose and covers all types of non-examination assessment
- Ensures the centre's Internal Appeals Procedures clearly detail the procedure to be followed by candidates (or their parents/carers) appealing against internal assessment decisions (centre assessed marks) and requesting a review of the centre's marking

#### **Senior leaders**

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

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

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

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

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

#### **Subject teacher**

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

#### **Exams officer**

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

### **Task setting**

#### **Subject teacher**

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

### **Issuing of tasks**

### **Subject teacher**

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

## **Task taking**

### **Supervision**

#### **Subject teacher**

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

## **Advice and feedback**

#### **Subject teacher**

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

## **Resources**

#### **Subject teacher**

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

## **Word and time limits**

#### **Subject teacher**

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

## **Collaboration and group work**

#### **Subject teacher**

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

## Authentication procedures

### Subject teacher

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

## Presentation of work

### Subject teacher

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

## Keeping materials secure

### Subject teacher

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

- Understands that during the period from the submission of work for formal assessment until the deadline for requesting a review of results, copies of work may be used for other purposes, provided that the originals are stored securely as required

### **IT Manager**

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

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

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

#### **Subject teacher**

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

#### **Exams officer**

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

### **Submission of work**

#### **Subject teacher**

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

#### **Exams officer**

- Provides the attendance register to the subject teacher where applicable
- Ensures the awarding body's attendance register for any externally assessed component is completed correctly
- Where candidates' work must be despatched to an awarding body's examiner-or uploaded electronically, ensures this is completed by the date specified by the awarding body
- Keeps a copy of the attendance register until after the deadline for reviews of results for the exam series
- Packages the work as required by the awarding body and attaches the examiner address label
- Ensures that the package in which the work is despatched is robust and securely fastened
- Despatches the work to the awarding body's instructions by the required deadline
- 

## **Task marking – internally assessed components**

### **Marking and annotation**

#### **Head of centre**

- Makes every effort to avoid situations where a candidate is assessed by a person who has a close personal relationship with the candidate, for example, members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g son/daughter)

- Where this cannot be avoided, ensures the possible conflict of interest is declared to the relevant awarding body and the marked work is submitted for moderation whether or not it is part of the moderation sample

### **Subject head/lead**

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

### **Subject teacher**

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

## **Internal standardisation**

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

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

### **Subject teacher**

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

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

### **Subject teacher**

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

- Ensures the moderator is provided with authentication of candidates' work, confirmation that internal standardisation has been undertaken and any other subject-specific information where this may be required
- Submits any supporting documentation required by the awarding body/Provides the exams officer with any supporting documentation required by the awarding body

#### **Exams officer**

- Ensures that for postal moderation
  - work is dispatched in packaging provided by the awarding body
  - moderator label(s) provided by the awarding body are affixed to the packaging
  - proof of dispatch is obtained and kept on file until the successful issue of final results
- Through the subject teacher, ensures the moderator is provided with authentication of candidates' work, confirmation that internal standardisation has been undertaken and any other subject-specific information where this may be required
- Through the subject teacher, submits any supporting documentation required by the awarding body

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

#### **Subject teacher**

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

#### **Exams officer**

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

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

#### **Subject teacher**

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

### **External moderation – feedback**

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

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

#### **Exams officer**

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

### **Access arrangements and reasonable adjustments**

#### **Subject teacher**

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

#### **Additional Learning Support (ALS lead)/Special educational needs coordinator (SENCo)**

- Follows the regulations and guidance in the JCQ publication [Access Arrangements and Reasonable Adjustments](#) in relation to non-examination assessments including [Reasonable Adjustments for GCE A-level sciences – Endorsement of practical skills](#)

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

## Special consideration and loss of work

### Subject teacher

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

### Exams officer

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

## Malpractice

### Head of centre

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

### Subject teacher

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

### Exams officer

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

## Post-results services

**Head of centre**

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

**Subject head/lead**

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

**Subject teacher**

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

**Exams officer**

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

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

**Head of centre**

- Returns an online 'Head of Centre declaration' at the time of the National Centre Number Register annual update confirming that all reasonable steps have been or will be taken to ensure that all candidates at the centre have had, or will have, the opportunity to undertake the prescribed practical activities
- Ensures new lead teachers undertake the required training provided by the awarding body on the implementation of the practical endorsement
- Ensures relevant centre staff liaise with all relevant parties in relation to arrangements for and conduct of the monitoring visit

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

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

**Subject head/lead**

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

**Subject teacher**

- Ensures all the JCQ/awarding body requirements/instructions in relation to the endorsement are known, understood and followed
- Ensures the required arrangements for practical activities are in place
- Provides all the required centre records
- Ensures candidates provide the required records
- Provides any required information to the subject lead regarding the monitoring visit
- Assesses candidates using *Common Practical Assessment Criteria (CPAC)*

- Applies for an exemption where a candidate cannot access the practical endorsement due to a substantial impairment
- Follows the awarding body's instructions for the submission of candidates *Pass* or *Not Classified* assessment outcome/provides assessment outcomes to the exams officer to the internal deadline

#### **Exams officer**

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

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

#### **Head of centre**

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

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

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

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

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

#### **Subject teacher**

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

#### **Exams officer**

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

## Private candidates

Private entries are only accepted from former students of the school. They will only be allowed to sit a subject with a non-examination assessment if this is a specification that they have previously studied at the school.

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

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

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

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
Centre staff malpractice	<p>Records confirm that relevant centre staff are familiar with and follow:</p> <ul style="list-style-type: none"> <li>the current JCQ publication <i>Instructions for conducting non-examination assessments</i></li> <li>the JCQ document <i>Notice to Centres - Sharing NEA material and candidates' work</i> - <a href="http://www.jcq.org.uk/exams-office/non-examination-assessments">www.jcq.org.uk/exams-office/non-examination-assessments</a></li> </ul>	Head of Faculty
Candidate malpractice	<p>Records confirm that candidates are informed and understand they must not:</p> <ul style="list-style-type: none"> <li>submit work which is not their own</li> <li>make available their work to other candidates through any medium</li> <li>allow other candidates to have access to their own independently sourced material</li> <li>assist other candidates to produce work</li> <li>use books, the internet or other sources without acknowledgement or attribution</li> <li>submit work that has been word processed by a third party without acknowledgement</li> <li>include inappropriate, offensive or obscene material</li> </ul> <p>Records confirm that candidates have been made aware of the JCQ documents <i>Information for candidates - non-examination assessments</i> and <i>Information for candidates – Social Media</i> - <a href="http://www.jcq.org.uk/exams-office/information-for-candidates-documents">www.jcq.org.uk/exams-office/information-for-candidates-documents</a> and understand they must not post their work on social media</p>	Subject Leader/Subject teacher
<b>Task setting</b>		
Awarding body set task: IT failure/corruption of task details where set task details accessed from the awarding body online	<p>Awarding body key date for accessing/downloading set task noted prior to start of course IT systems checked prior to key date Alternative IT system used to gain access Awarding body contacted to request direct email of task details</p>	Subject Leader/Exams Officer/ IT manager
Centre set task: Subject teacher fails to meet the assessment criteria as detailed in the specification	<p>Ensures that subject teachers access awarding body training information, practice materials etc. Records confirmation that subject teachers understand the task setting arrangements as defined in the awarding body's specification Samples assessment criteria in the centre set task</p>	Head of Faculty/Subject Leader
Candidates do not understand the marking criteria and what they need to do to gain credit	<p>A simplified version of the awarding body's marking criteria described in the specification that is not specific to the work of an individual candidate or group of candidates is produced for candidates Records confirm all candidates understand the marking criteria Candidates confirm/record they understand the marking criteria</p>	Subject Leader
Subject teacher long term absence during the task setting stage	<p>See centre's <i>Exam Contingency Plan - Teaching staff extended absence</i> at key points in the exam cycle</p>	Head of Faculty
<b>Issuing of tasks</b>		
Awarding body set task not issued to candidates on time	<p>Awarding body key date for accessing set task as detailed in the specification noted prior to start of course Course information issued to candidates contains details when set task will be issued and needs to be completed by Set task accessed well in advance to allow time for planning, resourcing and teaching</p>	Subject Leader
The wrong task is given to candidates	<p>Ensures course planning and information taken from the awarding body's specification confirms the correct task will be issued to candidates Awarding body guidance sought where this issue remains unresolved</p>	Subject Leader
Subject teacher long term absence during the issuing of tasks stage	<p>See centre's <i>exam contingency plan - Teaching staff extended absence</i> at key points in the exam cycle</p>	Head of Faculty
A candidate (or parent/carer) expresses concern about safeguarding, confidentiality or faith	<p>Ensures the candidate's presentation does not form part of the sample which will be recorded</p>	Subject Leader

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
in undertaking a task such as a presentation that may be recorded	<i>Contacts the awarding body at the earliest opportunity where unable to record the required number of candidates for the monitoring sample</i>	
<b>Task taking</b>		
<b>Supervision</b>		
Planned assessments clash with other centre or candidate activities	<i>Assessment plan identified for the start of the course Assessment dates/periods included in centre wide calendar</i>	Head of Faculty
Rooms or facilities inadequate for candidates to take tasks under appropriate supervision	<i>Timetabling organised to allocate appropriate rooms and IT facilities for the start of the course Staggered sessions arranged where IT facilities insufficient for number of candidates Whole cohort to undertake written task in large exam venue at the same time (exam conditions do not apply)</i>	Subject Leader/Head of Faculty
Insufficient supervision of candidates to enable work to be authenticated	<i>Confirm subject teachers are aware of and follow the current JCQ publication Instructions for conducting non-examination assessments and any other specific instructions detailed in the awarding body's specification in relation to the supervision of candidates Confirm subject teachers understand their role and responsibilities as detailed in the centre's non-examination assessment policy</i>	Head of Faculty
A candidate is suspected of malpractice prior to submitting their work for assessment	<i>Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (section 9 Malpractice) are followed An internal investigation and where appropriate internal disciplinary procedures are followed</i>	Head of Faculty
Access arrangements were not put in place for an assessment where a candidate is approved for arrangements	<i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 2), to determine the process to be followed to apply for special consideration for the candidate</i>	Head of Faculty
<b>Advice and feedback</b>		
Candidate claims appropriate advice and feedback not given by subject teacher prior to starting on their work	<i>Ensures a centre-wide process is in place for subject teachers to record all information provided to candidates before work begins as part of the centre's quality assurance procedures Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity Full records kept detailing all information and advice given to candidates prior to starting on their work as appropriate to the subject and component Candidate confirms/records advice and feedback given prior to starting on their work</i>	Head of Faculty/Subject Leader
Candidate claims no advice and feedback given by subject teacher during the task-taking stage	<i>Ensures a centre-wide process is in place for subject teachers to record all advice and feedback provided to candidates during the task-taking stage as part of the centre's quality assurance procedures Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity Full records kept detailing all advice and feedback given to candidates during the task-taking stage as appropriate to the subject and component Candidate confirms/records advice and feedback given during the task-taking stage</i>	Head of Faculty/Subject Leader
A third party claims that assistance was given to candidates by the subject teacher over and above that allowed in the regulations and specification	<i>An investigation is conducted; candidates and subject teacher are interviewed and statements recorded where relevant Records as detailed above are provided to confirm all assistance given Where appropriate, a suspected malpractice report is submitted to the awarding body</i>	Head of Faculty
Candidate does not reference information from published source	<i>Candidate is advised at a general level to reference information before work is submitted for formal assessment Candidate is again referred to the JCQ document Information for candidates: non-examination assessments Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion</i>	Subject Leader/Subject teacher
Candidate does not set out references as required	<i>Candidate is advised at a general level to review and re-draft the set out of references before work is submitted for formal assessment Candidate is again referred to the JCQ document Information for candidates: non-examination assessments Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion</i>	Subject Leader/Subject teacher
Candidate joins the course late after formally supervised task taking has started	<i>A separate supervised session(s) is arranged for the candidate to catch up</i>	Subject Leader/S

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
		subject teacher
Candidate moves to another centre during the course	<i>Awarding body guidance is sought to determine what can be done depending on the stage at which the move takes place</i>	Subject Leader
An excluded pupil wants to complete a non-examination assessment(s)	<i>The awarding body specification is checked to determine if the specification is available to a candidate outside mainstream education If so, arrangements for supervision, authentication and marking are made separately for the candidate</i>	Head of Faculty
<b>Resources</b>		
A candidate augments notes and resources between formally supervised sessions	<i>Preparatory notes and the work to be assessed are collected in and kept secure between formally supervised sessions Where memory sticks are used by candidates, these are collected in and kept secure between formally supervised sessions Where work is stored on the centre's network, access for candidates is restricted between formally supervised sessions</i>	Subject Leader/S subject teacher
A candidate fails to acknowledge sources on work that is submitted for assessment	<i>Candidate's detailed record of his/her own research, planning, resources etc. is checked to confirm all the sources used, including books, websites and audio/visual resources Awarding body guidance is sought on whether the work of the candidate should be marked where candidate's detailed records acknowledges sources appropriately Where confirmation is unavailable from candidate's records, awarding body guidance is sought and/or a mark of zero is submitted to the awarding body for the candidate</i>	Head of Faculty/S subject Leader
<b>Word and time limits</b>		
A candidate is penalised by the awarding body for exceeding word or time limits	<i>Records confirm the awarding body specification has been checked to determine if word or time limits are mandatory Where limits are for guidance only, candidates are discouraged from exceeding them Candidates confirm/record any information provided to them on word or time limits is known and understood</i>	Subject Leader/S subject teacher
<b>Collaboration and group work</b>		
Candidates have worked in groups where the awarding body specification states this is not permitted	<i>Records confirm the awarding body specification has been checked to determine if group work is permitted Awarding body guidance sought where this issue remains unresolved</i>	Head of Faculty/S subject Leader
<b>Authentication procedures</b>		
A teacher has doubts about the authenticity of the work submitted by a candidate for internal assessment  Candidate plagiarises other material	<i>Records confirm subject staff have been made aware of the JCQ document Notice to Centres - Sharing NEA material and candidates' work Records confirm that candidates have been issued with the current JCQ document Information for candidates: non-examination assessments Candidates confirm/record that they understand what they need to do to comply with the regulations for non-examination assessments as outlined in the JCQ document Information for candidates: non-examination assessments The candidate's work is not accepted for assessment A mark of zero is recorded and submitted to the awarding body</i>	Head of Faculty/S subject Leader
Candidate does not sign their authentication statement/declaration	<i>Records confirm that candidates have been issued with the current JCQ document Information for candidates: non-examination assessments Candidates confirm/record they understand what they need to do to comply with the regulations as outlined in the JCQ document Information for candidates: non-examination assessments Declaration is checked for signature before accepting the work of a candidate for formal assessment</i>	Subject Leader/S subject teacher
Subject teacher not available to sign authentication forms	<i>Ensures a centre-wide process is in place for subject teachers to sign authentication forms at the point of marking candidates work as part of the centre's quality assurance procedures</i>	Head of Faculty/S subject Leader
<b>Presentation of work</b>		
Candidate does not fully complete the awarding body's cover sheet that is attached to their worked submitted for formal assessment	<i>Cover sheet is checked to ensure it is fully completed before accepting the work of a candidate for formal assessment</i>	Subject Leader/S subject teacher
<b>Keeping materials secure</b>		

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
Candidates work between formal supervised sessions is not securely stored	<i>Records confirm subject teachers are aware of and follow current JCQ publication Instructions for conducting non-examination assessments Regular monitoring/internal audit ensures subject teacher use of appropriate secure storage</i>	Subject Leader
Adequate secure storage not available to subject teacher	<i>Records confirm adequate/sufficient secure storage is available to subject teacher prior to the start of the course Alternative secure storage sourced where required</i>	Head of Faculty/Subject Leader
Candidates work produced electronically is not securely stored	<i>Records confirm subject teachers are aware of and follow current JCQ publication Instructions for conducting non-examination assessments Internal processes and regular monitoring/internal audit by IT Manager ensures:</i> <ul style="list-style-type: none"> <li>• <i>access to this material is restricted (insert how)</i></li> <li>• <i>appropriate security safeguards are in place (insert names/types of protection)</i></li> <li>• <i>an effective back-up strategy is employed so that an up to date archive of candidates' evidence is maintained (insert details of how work is backed up)</i></li> <li>• <i>any sensitive digital media is encrypted (according to awarding body guidance to ensure that the method of encryption is suitable) to ensure the security of the data stored within it (insert relevant details of how)</i></li> </ul>	Head of Faculty/Subject Leader/IT manager/IT technicians
<b>Task marking – externally assessed components</b>		
A candidate is absent on the day of the examiner visit for an acceptable reason	<i>Awarding body guidance is sought to determine if alternative assessment arrangements can be made for the candidate If not, eligibility for special consideration is explored and a request submitted to the awarding body where appropriate</i>	Subject Leader
A candidate is absent on the day of the examiner visit for an unacceptable reason	<i>The candidate is marked absent on the attendance register</i>	Subject Leader
<b>Task marking – internally assessed components</b>		
A candidate submits little or no work	<i>Where a candidate submits no work, the candidate is recorded as absent when marks are submitted to the awarding body Where a candidate submits little work, the work produced is assessed against the assessment criteria and a mark allocated appropriately; where the work does not meet any of the assessment criteria a mark of zero is submitted to the awarding body</i>	Subject Leader/Subject teacher
A candidate is unable to finish their work for unforeseen reason	<i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 5), to determine eligibility and the process to be followed for shortfall in work</i>	Subject Leader
The work of a candidate is lost or damaged	<i>Relevant staff are signposted to the JCQ publication Instructions for conducting non-examination assessments (section 8), to determine eligibility and the process to be followed for lost or damaged work</i>	Head of Faculty/Subject Leader
Candidate malpractice is discovered	<i>Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (section 9 Malpractice) are followed Investigation and reporting procedures in the current JCQ publication Suspected Malpractice: Policies and Procedures are followed Appropriate internal disciplinary procedures are also followed</i>	Subject Leader/Subject teacher
A teacher assesses the work of a candidate with whom they have a close personal relationship e.g. members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter)	<i>A possible conflict of interest is declared by informing the awarding body before the published deadline for entries for each examination series Marked work of said candidate is submitted for moderation whether part of the sample requested or not</i>	Head of Faculty/Subject Leader
An extension to the deadline for submission of marks is required for a legitimate reason	<i>Awarding body is contacted to determine if an extension can be granted Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 5), to determine eligibility and the process to be followed for non-examination assessment extension</i>	Head of Faculty
After submission of marks, it is discovered that the wrong task was given to candidates	<i>Awarding body is contacted for guidance Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 2), to determine eligibility and the process to be followed to apply for special consideration for candidates</i>	Head of Faculty/Subject Leader
A candidate wishes to appeal/request a review of the	<i>Candidates are informed of the marks they have been awarded for their work prior to the marks being submitted to the awarding body</i>	Subject Leader/S

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
marks awarded for their work by their teacher	<i>Records confirm candidates have been informed of their marks Candidates are informed that these marks are subject to change through the awarding body's moderation process Candidates are informed of their marks to the timescale identified in the centre's internal appeals procedure and prior to the internal deadline set by the exams officer for the submission of marks Through the candidate exam handbook, candidates are made aware of the centre's internal appeals procedures and timescale for submitting an appeal/request for a review of the centre's marking prior to the submission of marks to the awarding body</i>	subject teacher/Head of Faculty
Deadline for submitting work for formal assessment not met by candidate	<i>Records confirm deadlines given and understood by candidates at the start of the course Candidates confirm/record deadlines known and understood Depending on the circumstances, awarding body guidance sought to determine if the work can be accepted late for marking providing the awarding body's deadline for submitting marks can be met Decision made (depending on the circumstances) if the work will be accepted late for marking or a mark of zero submitted to the awarding body for the candidate</i>	Subject Leader/Subject teacher
Deadline for submitting marks and samples of candidates work ignored by subject teacher	<i>Internal/external deadlines are published at the start of each academic year Reminders are issued through senior leaders/subject heads as deadlines approach Records confirm deadlines known and understood by subject teachers Where appropriate, internal disciplinary procedures are followed</i>	Exams Officer/Head of Faculty
Subject teacher long term absence during the marking period	<i>See centre's Exam Contingency Plan (Teaching staff extended absence at key points in the exam cycle)</i>	Head of Faculty

## Appendix 8 Special Consideration Policy

### What is special consideration?

Special consideration is given to a candidate who has temporarily experienced illness, injury or some other event outside of their control **at the time of the assessment**. It is applied when the issue or event 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 go some way to assist a candidate affected by a potentially wide range of difficulties, emotional or physical, which may influence performance in their examinations. It cannot remove the difficulty faced by the candidate. This means that there will be some situations where candidates should not be entered for an examination. This is because only minor adjustments can be made to the mark awarded. To make larger adjustments would jeopardize the standard of the examination. (JCQ's **A guide to the special consideration process**, section 1)

This publication 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 Norbury High 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, Heads of Year 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 at the time of the assessment where candidates... have been fully prepared and have covered the whole course but performance in the examination, or in the production of coursework or non-examination assessment, is materially affected by adverse circumstances beyond their control. ([SC](#), section 2)

For candidates who are present for the assessment but disadvantaged Norbury High must be satisfied that there has been a material detrimental effect on candidate examination performance or in the production of coursework or non-examination assessment. ([SC](#), section 3)

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 centre 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 from a timetabled component/unit for acceptable reasons, and the centre can support 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. For unitised examinations taken in an examination series prior to certification, candidates must be re-entered for any missed units at the next assessment opportunity. Unless there are difficulties arising, e.g. group performances which cannot be repeated, special consideration will not be awarded. ([SC](#), section 4)

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

- coursework/non-examination assessment extensions
- shortfall in work (coursework/non-examination assessment)
- lost or damaged work (non-examination assessment components)
- 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 that all eligible applications will be supported by signed evidence produced by a member of the senior leadership team

#### Senior leadership team

- Produce signed evidence in support of all eligible applications

#### Exams officer

- Understands that special consideration must be applied for at the time of the assessment
- Understands that special consideration cannot be applied in a cumulative fashion and that where a candidate may be affected by different indispositions, special consideration should only be applied for the most serious indisposition
- Ensures applications will be processed as required by the awarding bodies
- Keeps evidence to support all applications on file until after the publication of results and provides the signed evidence provided by a member of the senior leadership team to support an application where this may be requested by an awarding body
- Meets the required deadline(s) for submitting applications

#### Teaching staff, Heads of Year 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
- Will be informed that all cases must be dealt with by the centre

## 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 affected *where a candidate is present but disadvantaged* and a separate application for each day on which exams are missed *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 cases involving 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. Candidates will be encouraged to get evidence from a medical professional.

### **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 work submission deadline for an individual candidate is being requested, the awarding body will be contacted directly
- Where an application relates to a shortfall in work for an individual candidate, this will be submitted online or by completing form 10, dependent on the awarding body

### **Post assessment adjustments – vocational qualifications**

- Where the learner's circumstances are eligible form 10 or [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.

## **Appendix 9 Exams archiving policy**

### **Purpose of the policy**

The purpose of this policy is to:

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

• Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Access arrangements information	Printed copy of access arrangements list.	To be retained until end of September or until any reviews/appeals are complete.	To be shredded
Alternative site arrangements	Any hard copy information generated on an alternative site arrangement. Notifications submitted online via CAP.	To be retained until end of September or until any reviews/appeals are complete.	To be shredded
Attendance register copies	Copies of exam board registers and signed seating plans	keep signed records of the seating plan, the invigilation arrangements and the centre's copies of the attendance registers for each examination. The awarding bodies may need to refer to these records. The centre must keep them until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later... (Reference <a href="#">ICE 12, 22</a> )	To be shredded
Awarding body administrative information	Any hard copy publications provided by awarding bodies.	To be retained until the current academic year update is provided.	To be recycled.
Candidates' scripts	Any unwanted copies of scripts returned to the centre through the Access to Scripts (ATS) service.	To be retained securely until the awarding body's earliest date for confidential disposal of unwanted scripts.(Usually once the deadline for requesting reviews for marking and appeals has passed and any reviews and appeals have been completed.) Teachers to store and dispose of securely.	To be shredded
Candidates' work	Non-examination assessment work returned to the centre by the awarding body at the end of the moderation period.	To be logged on return to the centre and immediately returned to subject staff as records owner.  To be stored safely and securely along with work that did not form part of the moderation sample	Returned to candidates or safe disposal

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		(including materials stored electronically) until deadlines for reviews and appeals have passed and any reviews and appeals have been completed	
Certificates	Candidate certificates issued by awarding bodies.	Certificates to be stored in the cupboard in the SIMS hub until students reach the age of 25.	To be shredded
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	Spreadsheet recording this information to be kept up-to-date, stored electronically.  If requested return certificates to the awarding body.  Sheets to be saved for at least 4 years from the date of destruction.	To be deleted from electronic record.
Certificate issue information	A record of certificates that have been issued.	Information on collecting certificates to be communicated to students through registration and assemblies, email and the college website.  Students to sign to confirm collection of certificates and these records to be kept until students reach the age of 25.	Lists to be shredded.
Confidential materials: initial point of delivery logs	Logs recording awarding body confidential exam materials received by an authorised member of staff at the initial point of delivery and the secure movement of packages by an authorised member of staff to the secure room for transferal to the centre's secure storage facility.	Records to be kept until deadlines for reviews and appeals have passed and any reviews and appeals have been completed.	To be shredded
Confidential materials: receipt, secure movement and secure storage logs	Logs recording confidential exam materials received (including encrypted materials received via email or downloaded from an awarding body's secure extranet site), checked and placed in the secure storage facility by the exams officer (or other authorised member of centre staff) throughout the period the materials are confidential	Records to be kept until deadlines for reviews and appeals have passed and any reviews and appeals have been completed.	To be shredded

• Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Conflicts of Interest records	Records demonstrating the management of conflicts of interest	Records to be kept until deadlines for reviews and appeals have passed and any reviews and appeals have been completed.	To be shredded
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>	Records to be kept until deadlines for reviews and appeals have passed and any reviews and appeals have been completed.	To be shredded
Entry information	Any hard copy information relating to candidates' entries.	Records to be kept until deadlines for reviews and appeals have passed and any reviews and appeals have been completed.	To be shredded
Exam question papers	Question papers for timetabled written exams.	Papers to be stored securely until candidate scripts have been checked and prepared for dispatch.	Issued to subject staff
Exam room checklists	Checklists confirming exam room conditions and invigilation arrangements for each exam session.	Records to be kept until deadlines for reviews and appeals have passed and any reviews and appeals have been completed.	To be shredded
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms for each exam session.	Records to be kept until deadlines for reviews and appeals have passed and any reviews and appeals have been completed.	To be shredded
Exam stationery	Awarding body exam stationery provided solely for the purpose of external exams.	To be stored in the secure exam store.	Confidential destruction
Examiner reports	Awarding body feedback on candidate performance in individual exams.	To be immediately provided to head of department as records owner. Most now made available on awarding body websites.	Any hard copies to be shredded.
Finance information	Copy invoices for exams-related fees.	To be kept until deadlines for reviews and appeals have passed and any reviews and appeals have been completed.	To be shredded

<b>• Record type</b>	<b>Record(s) description (where required)</b>	<b>Retention information/period</b>	<b>Action at end of retention period (method of disposal)</b>
Invigilator and facilitator training records	Certificates for the Exams Office online training modules.	Certificates/copies of certificates to be stored until deadlines for reviews and appeals have passed and any reviews and appeals have been completed.	To be shredded
Moderator reports	Moderator reports/moderation differences reports.	To be immediately provided to head of department as records owner.	To be shredded
Moderation returns logs	Logs recording the return of candidates' work to the centre by the awarding body at the end of the moderation period	Records to be kept until deadlines for reviews and appeals have passed and any reviews and appeals have been completed.	To be shredded
Overnight supervision information	The JCQ Overnight Supervision form is completed online using CAP. The JCQ Overnight Supervision Declaration form is downloaded from CAP)for signing by the candidate, the supervisor and the head of centre	Records to be kept until deadlines for reviews and appeals have passed and any reviews and appeals have been completed.	To be shredded
Post-results services: confirmation of candidate consent information	Hard copy or email record of required candidate consent	Consent forms or e-mails from candidates must be retained by the centre and kept for at least six months following the outcome of the clerical re-check or review of marking or any subsequent appeal.	To be shredded
Post-results services: requests/outcome information	Any hard copy information relating to a post-results service request (RoRs, appeals, ATS) submitted to an awarding body for a candidate and outcome information from the awarding body.	To be kept for at least six months following the outcome of the clerical re-check or review of marking or any subsequent appeal.	To be shredded
Post-results services: tracking logs	Logs tracking resolution of all post-results service requests submitted to awarding bodies.	To be kept for at least six months following the outcome of the clerical re-check or review of marking or any subsequent appeal.	To be shredded

• 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.	Records to be kept until deadlines for reviews and appeals have passed and any reviews and appeals have been completed.	To be shredded
Proof of postage – candidates' work	Proof of postage of sample of candidates' work submitted to awarding body moderators.	Records to be kept until deadlines for reviews and appeals have passed and any reviews and appeals have been completed. This will indicate that the scripts were written at the appointed time and that, should the scripts not be received by the awarding body/examiner, then special consideration may be possible.)	To be shredded
Resolving timetable clashes information	Any hard copy information relating to the resolution of a candidate's clash of timetabled exam papers	Records to be kept until deadlines for reviews and appeals have passed and any reviews and appeals have been completed.	To be shredded
Results information	Broadsheets of public examination results summarising candidate final grades by subject by exam series.	Records for current year plus previous 6 years to be retained as a minimum to be stored electronically.	To be deleted
Seating plans	Plans showing the seating arrangements of all candidates for every exam taken.	Records to be kept until deadlines for reviews and appeals have passed and any reviews and appeals have been completed.	To be shredded
Special consideration information	Any hard copy information relating to a special consideration application which has been submitted to an awarding body for a candidate and signed evidence produced by a senior leader in support of the application.	All applications <b>must</b> be supported by signed evidence produced by a member of the senior leadership team. Records to be kept until deadlines for reviews and appeals have passed and any reviews and appeals have been completed.	To be shredded electronic evidence to be deleted
Suspected malpractice reports/outcomes	Any hard copy information relating to a suspected or actual malpractice investigation/report submitted to an awarding body and outcome information from the awarding body.	Records to be kept until deadlines for reviews and appeals have passed and any reviews and appeals have been completed.  Copies of any warnings issued by exam boards to be kept until no longer active.	To be shredded

• Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Transferred candidate arrangements	Any hard copy information relating to a transferred candidate arrangement. Applications submitted online via CAP.	Records to be kept until deadlines for reviews and appeals have passed and any reviews and appeals have been completed.	To be shredded
Very late arrival reports/outcomes	Any hard copy information relating to a candidate arriving very late to an exam. Reports submitted online via CAP.	Records to be kept until deadlines for reviews and appeals have passed and any reviews and appeals have been completed.	To be shredded

- supplement the centre-wide records management policy/data retention policy

