

# Exams Policy



**Approved by:** Penny Harris (Director) Jane Cox (Director) **Date:** 2 February 2026

**Last reviewed on:** 21 April 2025

**Next review due by:** 2 February 2027

All policies are generated and reviewed with an awareness of equality and diversity in relation to pupils, staff and visitors. All policies are generated and reviewed placing safeguarding and wellbeing at the heart of all that we do.

## See also:

JCQ Instructions for Conducting Exams– modified and published annually

JCQ Regulations and Guidance – Access Arrangements, Reasonable Adjustments and Special Consideration

[JCQ's instructions for conducting non-examination assessments](#)

This policy also takes into account the [JCQ's guidance on post-results services](#) and [general regulations for approved centres](#).

## Policy Purpose

The purpose of this exams policy is:

- To ensure the planning and management of exams is conducted efficiently and in the best interest of candidates.
- To ensure full compliance with requirements set out by the Joint Council for Qualifications (JCQ) and awarding bodies.
- To ensure the operation of an efficient exam system with clear guidelines for all relevant staff.
- To ensure that standards of assessment are consistent, transparent and in line with the requirements of the awarding bodies.
- To manage risks associated with non-examination assessment

It is the responsibility of everyone involved in exam processes to read, understand and implement this policy.

## Roles and Responsibilities

### The School Leader;

- is required to provide contact details and an address to which all correspondence in connection with the administration of examinations and assessments can be directed. This must be the registered address of the Centre. This must include an official school email address and landline telephone number.

- is required to ensure that clear and permanent signage including the name of the school is visible from the road outside the main building.
- Is required to ensure that if the centre is at risk of closing it must take all reasonable steps to protect the interests of candidates.
- is required to confirm on an annual basis that they are both aware of, and adhering to, the latest version of JCQ General Regulations as part of the National Centre Number Register (NCNR) annual update. This responsibility cannot be delegated. The return must be submitted by the end of October. A signed copy of the school leader's declaration for the academic year must be held on file and available for inspection. An electronic version of the declaration is permissible.
- is required to take all reasonable steps to maintain the integrity of the examinations/assessments including the security of all assessment materials.
- is required to ensure that the school delivers qualifications in accordance in 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 relevant senior leaders and the exams officer to receive appropriate training and support in order to facilitate the effective delivery of examinations and assessments and ensure compliance with published JCQ regulations.
- Ensure that all teachers understand the relevant awarding body and JCQ documentation that they are delivering to ensure they are delivered in line with relevant regulation.
- ensures the appointment of assessors is robust and, where appropriate, evidence of assessors' qualifications is maintained for JCQ inspection purposes.
- oversees and quality assures the access arrangement/reasonable adjustment process within the centre.
- Ensures that ay members of the senior leadership team who are responsible for examination administration familiarise themselves with relevant awarding body and JCQ documentation.
- Ensures that the school SENCo understands the JCQ document *Access Arrangements and Reasonable Adjustments* and is given sufficient time to ensure access arrangements are efficiently managed within the centre.
- manages conflicts of interest by informing the awarding bodies before the published deadline for entries of;
  - any members of staff, including exams office staff, who are taking qualifications at their own centre which includes internally assessed components/units.
  - any members of staff, including exams office staff, who are teaching and preparing members of their own family or close friends for qualifications which includes internally assessed components/units either at their own or other centres
  - any member of staff, including exams office staff, who are taking qualifications at other centres and
  - maintains clear records of all instances.

The school leader must ensure that the records include details of the measures taken to mitigate any potential risk to the integrity of the qualifications affected. These records maybe inspected by a JCQ Centre Inspector and/ or awarding body staff. Records must be maintained for a minimum of one year after results have been issued for the relevant exam series.

The school leader must note that entering members of centre staff for qualifications at their own centre must be as a last resort in cases where the member of centre staff is unable to find another centre. The school leader is responsible for ensuring that proper protocols are in place to prevent the member of staff having access to examination materials prior to the examination and that other centre staff are briefed on maintaining the integrity and confidentiality of the examination materials.

The school leader must ensure that during the examination series the member of centre staff is treated as per any other candidate entered for that examination, does not have access to examination materials and does not receive any preferential treatment.

**The Exams officer;**

- manages the administration of external and internal exams to the highest possible standards.
- advises the leadership team, teaching staff and relevant support staff on annual exam timetables and application procedures as set by the various awarding bodies.
- produces an annual calendar for exams in which candidates will be involved and communicate regularly with staff about imminent deadlines and events. This calendar must be provided to all staff and candidates.
- ensures that candidates and their parents are informed of and understand those aspects of the exam timetable that will affect them.
- Ensures that candidates and their parents are aware of procedures for examinations including conduct, late arrivals and absence.
- consults with teaching staff to ensure that necessary coursework is completed on time and in accordance with awarding body and JCQ guidelines.
- maintains systems and processes to support the timely entry of candidates for their exams.
- provides and confirms detailed data on estimated entries.
- meets all deadlines for registering learners with the awarding bodies.
- ensuring pupils do not have multiple entries for qualifications at the same level, in the same subject, in the same series.
- ensuring that awarding body data is kept up to date with withdrawal or transfer of learners.
- claiming learners' certificates as soon as appropriate.
- claiming unit certification when a learner has not been able to complete the full programme of study.
- ensuring that each September an overall estimated entry list is generated, including the estimated number of candidates for each qualification, including the name and number of the specification, the exam board and the level/tier being entered for.
- compilation each February of a list of confirmed entries.
- managing late entries when these occur.
- ensuring that pupils and their parents/carers are aware of which exams are being entered as early as possible in the school year in which exams are to be undertaken. This should take the form of a written notification, which encourages parents/carers to contact the setting to discuss reasons for the decisions made.
- receives, checks and stores securely all exam papers and completed scripts maintaining logs as required and informing the exam boards of any potential breaches in security.
- Ensures that the secure room is accessible throughout the examination series for the storage of question papers and is available for inspection.
- ensures completed scripts are not removed from secure storage until close to collection time. Script packages must be available at the agreed pickup point 15 minutes before the beginning of the collection slot.
- ensures all electronic materials are maintained securely in accordance with JCQ regulations including word processed scripts.
- ensures all electronic question papers are only handled by members of staff authorized to do so. At least two and no more than six members of staff should be authorized to handle secure electronic materials.
- Ensures that all question papers are checked by two members of staff upon receipt at the centre and when issued to candidates.
- ensures email accounts used for secure material access are maintained by named individuals authorized by the school leader and are maintained fully in line with JCQ regulations.

- Ensures that where the electronic question paper is downloaded from any awarding body's online system the paper is securely managed, printed correctly, is of good quality and is collaged in the right order.
- administers access arrangements and makes applications for special consideration using the JCQ publications on Access arrangements, reasonable adjustments and special consideration.
- identifies and manages exam timetable clashes.
- organises the annual training of current regulations and monitoring of the invigilators responsible for the conduct of exams. Where required by the awarding body this will include observation of all new invigilators on their first invigilation.
- ensures invigilators and those supporting an access arrangement (including subject teachers, tutors, learning assistants and support workers) have not played any part in preparing candidates towards the awarding body's specification in that examination.
- submits candidates' coursework marks, tracks and logs despatch and stores returned coursework and any other material required by the appropriate awarding bodies correctly and on schedule.
- advises on appeals and re-marks.
- arranges for dissemination of exam results and certificates to candidates and forwards, in consultation with the management team, any appeals and post-results service request.
- reports all suspected or actual incidents of malpractice, in line with JCQ guidance on suspected malpractice in examinations and assessments.

**Teaching staff and subject leaders are responsible for;**

- informing the school leader and exams officer of each exam board and specification they will be using including changes or syllabus or assessment details for their subjects by July of each academic year for subsequent years.
- compiling a list of candidates each September giving precise details of each examination to be undertaken.
- ensuring that they are working to the most up to date specification available from the exam board.
- ensuring that they are aware of any coursework deadlines and other key dates in advance and notifying these to the exams officer where appropriate.
- notifying of access arrangements requirements (as soon as possible after the start of the course) for their subject.
- in conjunction with the exams officer, administering mock exams where relevant.
- providing estimated grades/outcomes for pupils as required by the school leader.

**The Senior Leadership Team and SENCO, including the Exams officer, are responsible for;**

- identification and testing of candidates regarding requirements for access arrangements.
- provision of additional support - with spelling, reading, mathematics, dyslexia or essential skills, hearing impairment, English for speakers of other languages, IT equipment - to help candidates achieve their course aims.
- facilitating the internal verification process including appointing suitably qualified Assessors and Internal Verifiers.

**Candidates are responsible for;**

- confirmation and signing of entries where appropriate.
- understanding coursework regulations and signing a declaration that authenticates the coursework as their own.
- conducting themselves in all exams according to JCQ regulations.
- not having access in any exam room to any items other than those clearly allowed in the instructions on the question paper, the stationery list, or the specification for that subject. This is particularly true of watches (digital, analogue or smart watches, mobile phones and other technological/web-enabled devices. These items must not be taken into the exam room.

### **Qualifications offered**

The qualifications offered as accreditation for pupils are decided by the school leader. These can include Unit Award Scheme, Entry Level, GCSE, Functional skills, Level 1 and 2, Asdan, Gateway and BTEC. Decisions on whether a candidate should be entered for a particular subject will be taken in consultation with the candidate and subject teacher/s. The candidate's parent/carer should be kept informed.

### **Exam seasons**

Internal exams and assessments are scheduled on demand. Internal exams are held under external exam conditions. External exams and assessments are scheduled by exam boards.

### **Timetable**

Once confirmed, and as soon as possible, the exams officer will circulate the exam timetable for internal and external exams.

### **Entries, entry details and late entries**

- Candidates are selected for their exam entries by their subject teachers/tutors and notified to the exams officer.
- Candidates are selected for non-examination assessment courses at the start of the academic year by their subject teachers/tutors and notified to the exams officer.
- Entry deadlines are circulated to subject teachers/tutors by the exams officer.
- Late entries should be authorised by a senior leader
- Candidates or parents/carers may request a subject entry, change of level or withdrawal and this will be considered by the school leader, with whom the decision will rest.
- Whilst it is advisable to enter candidates under names that can be verified against suitable identification the decision is the candidate's/centre's to make. The centre is best place to understand the candidate's particular circumstances and make an informed decision.

### **The Equality Act**

All school staff must ensure that all exams processes meet the requirements of the Equality Act 2010 and any other relevant equality legislation. The school will meet the disability provisions under the Act by ensuring that exams are fully accessible. All pupils have the same opportunity to achieve a qualification by the most appropriate and direct route. This is the responsibility of the school leader.

### **Access arrangements and special consideration**

Candidates who have special educational needs, physical or learning difficulties may be eligible for access arrangements to support them during their course and in any assessments/exams. In most cases the process of requesting special consideration should begin as early as possible in order to ensure that the necessary assessments and arrangements can take place in the allocated time frame. The school leader/SENCO will liaise with subject teachers to identify any special arrangements that individual candidates can be granted during the course and in an exam. A candidate's access arrangements requirement is determined by a specialist teacher/educational psychologist in line with JCQ requirements.

The following arrangements may be provided to a candidate without prior approval

- Amplification equipment
- Braille
- Closed circuit television (CCTV)
- Coloured overlays
- Low vision aid/magnifier
- Optical character reader (OCR) scanners
- Bilingual translation dictionaries (unless in examinations where this is prohibited)
- Prompter, if identified as appropriate to the candidate's need by the School leader/SENCO
- Read aloud/examination reading pen if it reflects the candidate's normal way of working and complies with JCQ regulations

- Word processor which fully complies with JCQ if it is the candidate's normal way of working within the centre unless an awarding body's specification says otherwise

### **Candidates special consideration requirements**

Candidates who are unwell or suffer a personal misfortune at the time of an examination may also be eligible for special consideration. In these cases, special consideration can be applied for after the exam, but requests should be made as soon as possible in order to meet the deadline set by the exam boards. In circumstances which are deemed acceptable candidates could receive a grade as long as they have completed at least one entire component of a qualification. Decisions rest with awarding bodies.

The exams officer is responsible for;

- submitting completed access arrangement applications to the awarding bodies.
- maintaining an evidence file for completed access arrangement applications to include Signed Pupil Data Sharing form, completed Access Arrangements online application, copy of EHCP or Form 8 completed and signed by qualified assessor, evidence of assessor's qualifications.
- invigilation and support for access arrangement candidates.

### **Contingency and resilience planning**

Contingency planning for exams administration is the responsibility of the school leader and must be updated annually (Appendix 6). The school leader should have sufficient information to take over should the exams officer be absent, but such planning must take into account the possible and unexpected absence of the school leader, either prior to the exam period or on the day of one or more exams. A designated person must have enough information to allow them to step in in such circumstances. To facilitate this, the exams officer should maintain a checklist of events and actions, so that the person taking over knows what is outstanding and what actions they need to take to ensure the smooth running of the exam(s). They should also be familiar with the procedures relating to the postage of scripts once the exam is over.

The school leader must ensure that they are familiar with the regulators' guidance on ensuring resilience in the qualifications system and should refer to the document published by Ofqual in this regard. Guidance on collecting evidence of student performance to ensure resilience in the qualifications system – GOV.UK ([www.gov.uk](http://www.gov.uk)).

### **Cyber Security**

The school leader and IT Manager must ensure that there are procedures in place to maintain the security of all user accounts by

- providing training for authorised staff on the importance of creating strong unique passwords and keeping all account details secret
- providing training for staff on awareness of all types of social engineering/phishing attempts
- enabling additional security settings wherever possible
- updating any passwords that may have been exposed
- setting up secure account recovery applications
- monitoring accounts and regularly reviewing account access including removing access when no longer required
- ensuring authorised members of staff securely access awarding bodies' online systems in line with awarding body regulations regarding cyber security and the JCQ document Guidance for centres on cyber security
- reporting any actual or suspected compromise of an awarding body's online systems IMMEDIATELY to the relevant awarding body.

### **Managing invigilators**

Only staff (including teaching assistants) who have not taught or been involved in preparing pupils in the subject being examined in the preceding two years are used to invigilate examinations. Staff

invigilating examinations will have participated in training in line with JCQ regulations and checklist. All new invigilators will be observed during their first sessions and annually thereafter to ensure assessment regulations are being followed. Existing invigilators will be observed conducting an assessment at least once a year

### **Carrying out exams**

It is the responsibility of the exams officer to ensure that the correct exams papers and related paperwork has been received by the school in advance of each exam. Contact should be made with the exams officer and exam board to double check whenever there is any doubt about the supply of relevant documentation including that needed to carry out and administer exams including exam papers, answer booklets, source booklets, attendance registers and post bags / envelopes and post labels.

It is the responsibility of the exams officer to liaise with the exam board to ensure that arrangements are made in advance for the collection of scripts from the school after each exam and that these are despatched promptly and within 24 hours of the examination.

It is the responsibility of the school leader to ensure there is a written contingency and escalation plan in place in the event of an emergency or staff absence

It is the responsibility of the exams officer to ensure that the appropriate JCQ posters are displayed clearly inside and outside each exams room.

It is the responsibility of the subject teaching staff and the exams officer to liaise in order to prepare fully for the conduct of exams. Guidance is found in the document 'Instructions for Conducting Examinations' which is revised and published annually by JCQ. A copy of these instructions should be present in the exam room for all exams.

It is the responsibility of the school leader and exams officer to ensure that the current JCQ guidance is followed in all of the following areas:

### **Preparation for the examination**

- Receiving, keeping question papers and other examination materials secure in accordance with JCQ regulations
- Downloading and storage of electronic question papers
- Timetabling of examinations
- Using calculators
- Resources for examinations
- Accommodation
- Seating plans
- Invigilation arrangements
- Ensure candidates hand in mobile phones, watches and other unauthorised items before entering the examination room

### **At the beginning of the examination**

- Identifying candidates
- The people present
- Completing the attendance register
- Distribution of question papers, stationery, materials and other equipment
- Ensures all candidates can see the board, flip chart/whiteboard and clock when sitting down
- Ensures that candidates with disabilities or learning difficulties are able to hear the invigilator's announcement in another format or more than once if necessary

- Starting the examination

#### **During the examination**

- Supervising the candidates
- Candidates who arrive late
- Completing the attendance register
- Leaving the examination room
- Malpractice
- Emergencies

#### **At the end of the examination**

- Finishing the examination
- Collecting scripts

#### **After the examination**

- Packing scripts
- Sending scripts
- Unused stationery and arrangements for unused questions papers
- Applications for special consideration

It is the responsibility of the school leader and exams officer to delegate duties and responsibilities as necessary during the conduct of exams.

#### **Evacuation during an examination**

In the event of the exam room needing to be evacuated during scheduled exam periods, the following procedure should be followed:

- Stop the exam and write down the time
- Let the candidates know that exam conditions apply
- Evacuate the room and lock the door
- Invigilators must take the attendance register
- If possible, take the exam papers
- When at evacuation point, keep separate from other non-exam groups
- On return candidates should be told to settle and that exam will start in 5 minutes, make a note of new start and end time
- Make sure that candidates understand the new arrangements and that extra time has been added
- At the end of the exam report the incident to the exam board

#### **After the exam**

After the exam is completed, it is the responsibility of the exams officer to ensure that the scripts are collected and stored securely in the safe until collection, according to the guidelines.

After the exam is completed it is the responsibility of the exams officer to ensure that all scripts and accompanying exam board documentation are logged and sent off according to the guidelines no later than the next working day. A copy of the despatch log should be kept at the school as a record.

#### **Timetable changes**

It is the responsibility of the school leader to adjust the school timetable within the setting to accommodate exams. The school leader must inform all pupils and parents/carers in advance of any changes to the school day. Pupils not entered for exams should continue to have access to normal hours of education provision, as far as possible.

#### **Candidates**

The published rules on acceptable dress, behaviour and candidates' use of mobile phones and other electronic devices apply at all times. Candidates' personal belongings remain their own responsibility and the school accepts no liability for their loss or damage. Disruptive candidates are dealt with in accordance with JCQ guidelines. Candidates are expected to stay for the full exam time, at the discretion of the exams officer or senior invigilator. For exams longer than one hour candidates may leave the exam early, but no sooner than one hour after the published starting time. They will not be allowed to return.

The exams officer is responsible for handling late or absent candidates on exam day or subsequently. For clash candidates, the supervision of candidates, identifying a secure venue and arranging overnight supervision is the responsibility of the exams officer. Candidates with more than five and a half hours of examinations in one day will be allowed a break of more than 20 minutes. Should a candidate be ill before an exam, suffer bereavement or other trauma, be taken ill during the exam itself or otherwise disadvantaged or disturbed during an exam, then it is the candidate's responsibility to alert the school leader, the exams officer, or the exam invigilator, to that effect. The candidate must support any special consideration claim with appropriate evidence within three days of the exam, for example by providing a letter from the candidate's doctor. The exams officer will then forward a completed special consideration form to the relevant awarding body within seven days of the exam.

The exams officer must make sure that appropriate arrangements are in place so that all invigilators can carry out adequate checks on the identity of candidates. A private/external candidate, or a transferred candidate not known to the school, must show photographic documentary evidence to prove that he/she is the same person who entered/registered for the examination or assessment, e.g. passport or photographic driving licence.

Where it is impossible to identify a candidate due to the wearing of religious clothing, such as a veil, the candidate should be approached by a member of staff of the same gender and taken to a private room where they should be politely asked to remove the religious clothing for identification purposes. The school must inform candidates in advance of this procedure, and well before their first examination. Once identification has been established the candidate can replace their religious clothing and proceed as normal to sit the examination.

### **Qualification withdrawal**

The school leader and SLT will ensure that any qualification offered within the school is reviewed annually or more frequently if the situation requires. In the event of a qualification or unit being withdrawn by the awarding body they will ensure that learners have sufficient notice to complete their qualification. In the event of short notice being given by an awarding body or mid-year withdrawal recognition of prior learning will be applied and candidates transferred to an appropriate qualification with an alternate awarding body.

If the school makes a decision to withdraw a qualification it will only do so after considering entry data, attainment levels, qualification relevance and regulatory changes. In the event that a decision is made to withdraw a qualification with active learners a report outlining the rationale and a withdrawal plan must be signed off by Directors. The withdrawal plan must specify how the interests of learners will be protected and how the withdrawal will be communicated to the awarding organisation, regulatory authorities and learners providing details of all deadlines including the last date for accepting entries and the last date for certification.

### **Results procedures**

It is the responsibility of the school leaders to liaise with the exams officer regarding arrangements for results day.

Generally restricted access results are available online to the school leader and exams officer the day before the statements of results can be distributed to candidates. On the day the statements of results

are published, at least two staff members should be present at school in order to allow the candidates to collect their results in person. The remaining statements should be posted to candidates on the same day.

School leaders should liaise with the exams officer to put together a summary of results, a copy of which should go to the Directors and should be held on file at the school for at least three years. It is the responsibility of the school leader to collect and collate all the school results for publication and provision to parents.

### **Enquiries about Results (EARs)**

EARs may be requested by school staff or candidates if there are reasonable grounds for believing there has been an error in marking. The candidate's consent is required before any EAR is requested. If a result is queried, the exams officer, teaching staff and school leader will investigate the feasibility of asking for a re-mark at the school's expense. When the school does not support a candidate's or parent's request for an EAR, a candidate may apply to have an enquiry carried out. Processing of EARs is the responsibility of the exams officer.

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

After the release of results, candidates may ask subject staff to request the return of written exam papers within ten days of the receipt of results. School staff may also request scripts for investigation or for teaching purposes. For the latter, the consent of candidates must be obtained. Re-marks cannot be applied for once a script has been returned.

### **Certificates**

Certificates can be collected by the candidate, or on behalf of a candidate by third parties, provided they have been authorised to do so. If posted out this should be first class post and proof of postage should be obtained as well as a record kept. Certificates collected, need to be signed for and a record made of this.

### **Review**

In order to ensure that this policy is relevant, if you have any comments to make please email [directors@ontrackededucation.com](mailto:directors@ontrackededucation.com)

## Appendix 1



# Non Examination Assessment

### Aims

This policy aims to:

- Cover procedures for planning and managing non-examination and controlled assessments
- Define staff roles and responsibilities with respect to non-examination assessments
- Manage risks associated with non-examination assessments

### Legislation

The Joint Council for Qualifications (JCQ) requires each exam centre to have a non-examination assessment policy. This is outlined in the JCQ's instructions for conducting non-examination assessments, which we refer to when carrying out non-examination assessments in our school. This policy also takes into account the JCQ's guidance on post-results services and general regulations for approved centres.

### Definition

The JCQ explains that non-examination assessments measure subject-specific knowledge and skills that cannot be tested by timed written papers.

There are 3 assessment stages and rules which apply to each stage:

1. Task setting
2. Task taking
3. Task marking

The rules often vary across subjects

### Roles and responsibilities

This section sets out the key responsibilities of staff in relation to non-examination assessments. For more detailed guidance on the requirements for conducting non-examination assessments, staff should read the JCQ guidance referred to above.

### The School Leader is responsible for;

- ensuring that non-examination assessments comply with JCQ guidance and awarding body subject-specific instructions
- ensuring that JCQ's information for candidates is distributed to all candidates prior to assessments taking place
- ensuring the centre's internal appeals procedure clearly details the procedure to be followed by candidates (or their parents/carers) appealing against an internal assessment decision, and that details of this procedure are communicated and made widely available and accessible
- drawing to the attention of candidates and their parents/carers the centre's complaints procedure for general complaints about the centre's delivery or administration of a qualification

**Teachers and Subject leaders are responsible for;**

- familiarising themselves with JCQ instructions for conducting non-examination assessment
- understanding and complying with specific instructions relating to non-examination assessment for the relevant awarding body
- ensuring that individual teachers understand their responsibilities with regard to non-examination assessment
- ensuring that teachers use the correct task for the year of submission and take care to distinguish between tasks and requirements for legacy and new specifications, where relevant
- obtaining confidential materials/tasks set by awarding bodies in sufficient time to prepare for the assessment(s), where relevant, and ensuring that such materials are stored securely at all times
- marking internally assessed work to the criteria provided by the awarding body

**Exams officer is responsible for;**

- supporting the administration/management of non-examination assessment

**Special educational needs coordinator (SENCO) is responsible for;**

- ensuring that all relevant staff are aware of any access arrangements that need to be applied

**Task Setting**

Where the centre is responsible for task setting, in accordance with specific awarding body guidelines, subject leaders and teachers will;

- select from non-examination assessment tasks provided by the awarding body, or
- design their own tasks, in conjunction with candidates where permitted, using criteria set out in the specification

Teachers will ensure that candidates understand the assessment criteria for any given assessment task.

**Task taking**

Where appropriate to the component being assessed, the following arrangements apply unless the awarding body's specification says otherwise.

**Supervision**

- Invigilators are not required
- Centres are not required to display the JCQ 'no mobile phone' poster or JCQ 'warning to candidates'
- Candidates do not need to be directly supervised at all times
- The use of resources, including the internet, is not tightly prescribed, but teachers will always check the subject-specific requirements issued by the awarding body
- Teachers will ensure that:
- There is sufficient supervision of every candidate to enable work to be authenticated
- The work that an individual candidate submits for assessment is his/her own
- Where candidates work in groups, the teacher will keep a record of each candidate's contribution

The teacher will also;

- ensure that candidates understand the need to reference work
- give guidance on how to do this, and
- ensure that candidates are aware that they must not plagiarise other material or use AI

### **Advice and feedback**

Teachers will not provide model answers or writing frames specific to the task (such as outlines, paragraph headings or section headings).

Unless specifically prohibited by the awarding body's specification, teachers may:

- Review candidates' work and provide oral and written advice at a general level
- Having provided advice at a general level, allow candidates to revise and redraft work
- Any assistance that goes beyond general advice will be recorded and either taken into account when marking the work or submitted to the external examiner
- When marking work, teachers will use annotations to explain how marks were applied in the context of the additional assistance given
- Teachers will not provisionally assess work and then allow candidates to revise it
- Explicitly prohibited assistance will not be given
- Failure to follow this procedure constitutes malpractice

### **Resources**

- Teachers will be aware of the awarding body's restrictions with regard to access to resources
- Unless otherwise specified by the awarding body, in formally supervised sessions candidates can only take in preparatory notes. They will not access the internet nor bring in their own computers or electronic devices
- Candidates will not introduce new resources between formally supervised sessions
- Preparatory work and the work to be assessed will be collected and stored securely at the end of each session and will not be accessible to candidates

### **Group work**

- Unless the specification says otherwise, candidates are free to collaborate when carrying out research and preparatory work
- Where it is permitted, some assignments may be undertaken as part of a group
- Where an assignment requires written work to be produced, each candidate will write up his/her own account of the assignment. Individual contributions will be clearly identified
- Group assessment is not permitted

### **Managing Controlled Assessment**

It is the responsibility of the exams officer to;

- set dates and times for controlled assessments in advance, ensuring these do not clash with other activities
- notify staff sufficiently in advance regarding alterations and changes to the timetable
- inform pupils and parents/carers of the impending controlled assessments
- ensure controlled assessments are spaced over the duration of the subject course
- ensure that the teaching staff/assessors understand the task setting arrangements as defined in the awarding body specification
- ensure controlled assessment tasks, whether set by the awarding body or the school, are developed in line with the requirements of the specification
- download controlled assessment tasks well ahead of the scheduled assessment date in all cases and ensure the appropriate staff have access to these on the scheduled day
- liaise with the pupil and parent/carers to arrange another suitable day and time to carry out controlled assessment, if they have been absent on the planned day
- ensure that the accommodation arrangements are suitable for the assessments and that exam regulations are adhered to – the Exams officer should contact the awarding body to obtain these
- train those staff involved in the carrying out of controlled assessment so that they fully understand and can adhere to this guidance
- ensure teaching staff/assessors understand the nature of the controlled assessments and their role in supervising this

- ensure a suitable supervisor is arranged for any controlled assessment where a teacher/assessor is not supervising, in line with the awarding body specification
- ensure that the assessment tasks are kept securely both before and after the date of assessment.
- ensure that other staff understand the importance of keeping assessment tasks securely
- ensure that there is appropriate training and practicing of marking in advance of the deadline to ensure that marking descriptors are interpreted correctly
- plan against the requirements for standardisation for the awarding body including when and how this activity will be conducted
- ensure teaching staff/assessors are given clear deadlines (prior to awarding body ones) to complete marking/paperwork
- ensure all candidates have authentication forms to sign and attach to work when it is completed before handing in

### **Authentication**

Teachers will be sufficiently familiar with the candidate's general standard to judge whether the piece of work submitted is within his/her capabilities.

Where required by the awarding body's specifications candidates will sign a declaration to confirm that the work they submit for final assessment is their own unaided work.

Teachers will sign a declaration of authentication after the work has been completed confirming that:

- The work is solely that of the candidate concerned
- The work was completed under the required conditions
- Signed candidate declarations are kept on file

If there is concern that malpractice may have occurred or the work is unable to be authenticated, the senior leadership will be informed.

### **Task marking**

#### **Internally assessed work**

Teachers are responsible for marking work in accordance with the relevant marking criteria.

Annotation will be used to provide evidence to indicate how and why marks have been awarded.

We will inform candidates of internally assessed marks as candidates are allowed to request a review of the centre's marking before marks are submitted to the awarding body.

We will also make it clear to candidates that any internally assessed marks are subject to change during the moderation process.

#### **Externally assessed work**

The format of external assessment will depend on the awarding body's specification and the component being assessed.

Teachers will ensure the attendance register is completed, clearly indicating those candidates who are present or absent.

Where candidates' work needs to be dispatched to an examiner, we will ensure it is sent by the date specified by the awarding body.

#### **Malpractice (see also Appendix 2)**

The senior leader will make sure teaching staff involved in supervising candidates are aware of the potential for malpractice.

Teachers will familiarise themselves with the JCQ guidance on sharing assessment material and candidates' work.

Teachers will be vigilant in relation to candidate malpractice.

Candidates must not:

- Submit work which is not their own
- Make their work available to other candidates through any medium, including social media
- Allow other candidates to have access to their own independently sourced material
- Assist other candidates to produce work
- Use books, the internet or other sources without acknowledgement or attribution
- Submit work that has been word processed by a third party without acknowledgement
- Include inappropriate, offensive or obscene material

Failure to report allegations of malpractice or suspected malpractice constitutes malpractice in itself. Malpractice will be reported to senior leaders or directly to the awarding body.

### **Enquiries about results (non examination)**

We will make candidates aware of the arrangements for enquiries about results before they take any assessments.

Senior members of staff will be accessible to candidates immediately after the publication of results so that results may be discussed and decisions made on the submission of enquiries.

A review of marking is available for externally assessed components. We will obtain written consent from candidates for reviews of marking, and inform candidates that their marks may be lowered as a result of a review of marking.

A review of moderation is available for internally assessed components only when marks have been changed by an awarding body during moderations. If marks have been accepted without change, this will not be available. A review of moderation is not available for an individual candidate.

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 for centres.
- provides/signposts relevant Centre staff and candidates to post-results services information.
- ensures any requests for post-results services that are available to non-examination assessments are submitted online via the awarding body secure extranet site to deadline.
- collects candidate consent where required.

### **Internal Assessment**

Internal Assessment is defined as the process where staff make judgements on evidence produced by pupils against required criteria for the relevant award body qualification. All school devised assessment materials must be internally and/or externally verified before being issued to pupils. Lead teaching staff take on the role of Assessor for their subject area.

- Completed pupil assignments will be assessed internally, be subject to internal verification and external moderation by the awarding body.
- Pupils must be left in no doubt that any grade awarded will be subject to internal and/or external scrutiny, (moderation) and that ultimately the final decision rests with the awarding body.
- The Assessor is responsible for ensuring that assessment processes are consistent and transparent, that evidence is valid, sufficient and authentic and that judgement of evidence is valid and reliable.
- Pupils will be given an interim deadline for each assignment. Following feedback, a new deadline will be set after which the work is assessed and the outcome entered on the pupil study sheet. The assessment decisions are then internally verified according to the procedure outlined below. There is a further opportunity to improve assignments before the final deadline.

- All coursework must be handed in on the stated date. If work is handed in late, a decision about whether it should be marked will be taken by the School leader/Exams officer.

### **Role of the Assessor**

The role of the Assessor is to:

- Set tasks which allow pupils to demonstrate what they know, understand and can do so that they have opportunities to achieve the highest possible grades on their courses.
- Ensure that learners are clear about the criteria they are expected to meet in their assignments and that they are fully briefed on the skills which need to be demonstrated in the coursework / portfolio components of a subject.
- Encourage pupils by giving detailed feedback and guidance on how to improve work.
- Set deadlines for coursework and advise pupils on the appropriate amount of time to spend on the work, ensuring it is commensurate with the credit available.
- Adhere to the Awarding Body's specification in the assessment of pupil assignments.
- Record outcomes of assessment using appropriate documentation. Outcomes will be held secure for three years, measured from the point of certification.
- Ensure each candidate signs to confirm that the work is their own and that it is endorsed by the teacher after marking the work. A completed original document must be securely attached to the work of each candidate and to that of each sample request.
- Provide accurate records of internally assessed coursework marks to the Exams Office in a timely manner for transfer to the awarding body.

### **Internal Verification**

- The Lead Internal Verifier ensures that internally assessed work consistently meets national standards and who is not otherwise involved in the assessing or setting of work which he or she is asked to verify.
- Internal Verifiers may also be appointed who will have the knowledge and qualifications relevant to the qualification(s) and other competence-based award(s) for which they are responsible to enable accurate judgements to be made regarding candidate performance in relation to competence criteria.
- Provision will be made for communication between course teams to share 'best practice' and areas of concern. Typically, this will be achieved through an annual meeting of Internal Verifiers at which standards and processes are discussed to maximise consistency between courses.

### **The role of the Internal Verifier:**

The internal verifier should;

- not verify their own work or assignments
- ensure that all assignment briefs are verified as fit for purpose prior to their being circulated to pupils. They should enable pupils to meet the unit grading criteria
- make recommendations to the assessor on how to improve the quality of the brief if necessary
- make all IV evidence available to the EV
- plan with the course team an annual internal verification schedule linked to assignment plans.
- consider the assessment decisions of all units and all assessors to judge whether the assessor has assessed accurately against the unit grading criteria
- verify samples of work – one third of all pupils per unit and ensure all pupils' work is scrutinised throughout the duration of the course. New or inexperienced assessors may be given additional support by the IV
- consider alternative methods of moderation/verification as required for non-written (ephemeral) assessments (e.g. assessments of performance, oral presentations, and work placements). In most cases, the documentary record of the assessor(s) will provide the basis for verification
- maintain secure records of all work sampled as part of their verification process using a standard template

- if a concern is raised the IV should discuss this with the assessor prior to the final confirmation of the marks for all the pupils taking the assignment. As a result of the IV process it may be necessary for the assessor(s) to reconsider the marks awarded for the entire cohort of pupils and, as a consequence, to make changes either to all marks or to some marks
- where re-sampling is necessary the work should be verified again before being sent to the EV and records kept

### **Authentication of Candidate's Work**

- On each assignment pupils must sign that the work submitted is their own and teachers/ tutors / assessors should confirm that the work assessed is solely that of the candidate concerned and was conducted under required conditions.
- If the pupil hands in an assignment and teachers suspect it is not the pupil's own work, the matter should be reported to the School leader or Exams officer, who will carry out an investigation.

### **Recognition of Prior Learning**

Recognition of Prior Learning (RPL) is a method of assessment leading to the award of credit that considers whether learners can demonstrate that they can meet the assessment requirements for a unit through knowledge, understanding or skills they already possess and so do not need to develop through a course of learning.

Where an awarding body allows the Recognition of Prior Learning to internally assessed parts of vocational qualifications the school leader may choose to apply this process if it is considered the centre has the necessary expertise to support and assure the RPL process.

On Track Education values all forms of learning and is committed to ensure that our pupils receive recognition for any qualifications and training they may have undertaken before joining our schools. This policy concerns ways in which a learner may be able to have their skills and qualifications acknowledged whilst avoiding any repetition of learning and assessment.

RPL enables recognition of achievement from a range of activities using appropriate assessment methodology. Provided that the assessment requirements for a given unit or qualification have been fully met the use of RPL is acceptable for accrediting a unit or units of that qualification. Evidence of learning must be;

- Valid
- Reliable
- Current
- Sufficient
- authentic

### **Process**

RPL is a process which recognizes that learning is continuous. The RPL process is not concerned with allowing for exceptional entry to, or exemption from, a programme of study. Where units are assessed against assessment criteria or grading criteria then all evidence must be evaluated using the stipulated criteria. In assessing a unit using RPL the assessor must be satisfied that the evidence produced by the learner meets the assessment standard established by the learning outcome and its related assessment criteria. This assessor will normally be the Lead Verifier for the specific programme of study.

The Learner must make the Lead Verifier for the programme of study aware of their prior learning and provide such evidence as is necessary. The Lead Verifier or the programme of study must assist the learner as far as possible in ensuring their prior learning is recognized. The Lead Verifier must also ensure that any prior learning fully satisfies the assessment criteria for which it is being applied.

Teaching staff must ensure prior learning is recorded in the appropriate manner and contributes to the final accreditation process.

### **Procedures**

- RPL is a valid method of enabling individuals to claim credit for units, irrespective of how their learning took place. There is no difference between the achievement of the learning outcomes and assessment criteria of a unit through prior learning or through a formal programme of study.
- RPL policies, processes, procedures, practices and decisions should be transparent, rigorous, reliable, fair and accessible to individuals and stakeholders to ensure that users can be confident of the decisions and outcomes of RPL.
- RPL is a learner-centred, voluntary process. The individual should be offered advice on the nature and range of evidence considered appropriate to support a claim for credit through RPL and be given guidance and support to make a claim.
- The process of assessment for RPL is subject to the same quality assurance and monitoring standards as any other form of assessment. The award of credit through RPL will not be distinguished from any other credits awarded.
- Assessment methods for RPL must be of equal rigour to other assessment methods, be fit for purpose and relate to the evidence of learning. Credit may be claimed for any unit through RPL unless the assessment requirements of the unit do not allow for this.

RPL can only be used where a learner has not had their prior learning formally recognized. If a learner has certificated learning, then they should apply for exemption and not RPL. Exemption is the facility for a learner to claim exemption from some of the achievement requirements of a qualification, using evidence of certificated achievement deemed to be of equivalent value.

Lead Verifiers wishing to carry out RPL must ensure that:

- Learners are registered as soon as they formally start the qualification to gather evidence
- Records of assessment are maintained, as for any other unit or qualification
- Certification and claims are made according to normal procedures
- All relevant evidence is assessed before assessment decisions are confirmed

### **Fair Assessment**

The purpose of fair assessment is to ensure we provide a variety of qualifications which provide all pupils with the opportunity to achieve their full potential by the most appropriate and direct route. Fair Assessment is based on the concepts of equality, diversity, clarity, consistency and openness. It is the responsibility of the school leader to ensure that assessment processes are implemented in a way which is fair and non-discriminatory. It is the responsibility of the school leader to ensure pupils are aware of this policy.

What pupils can expect from us:

- We aim to ensure that all assessment of work is carried out fairly and in keeping with the awarding body's requirements
- All portfolio-based work will be assessed fairly against the qualification standards and teachers involved will be fully trained
- Internal assessments will be carried out fairly and according to awarding body instructions
- Externally marked tests and exams will be according to the requirements of the awarding body
- Pupils will be fully inducted onto each new course and will be given relevant information that can be shared with parents and carers.
- Learning outcomes, performance criteria and other significant elements of learning and assessment are made clear at the outset of the course and when assignments are set.
- To be given appropriate assessment opportunities during the course with feedback provided on the quality of the work

- All work will be marked within two weeks of submission by the pupil
- Where equivalents and exemptions can be applied we will ensure this is pursued with the relevant awarding body.

## Appendix 2



### Malpractice and AI Policy

This policy details the procedures for dealing with suspected malpractice, the use of Artificial Intelligence (AI) tools during examinations and assessments and breaches of security in the examinations process in accordance with requirements of JCQ Suspected Malpractice: Policies and Procedures.

This policy deals with suspected candidate malpractice and suspected centre staff malpractice including through the use of AI.

JCQ define malpractice as:

- any act, default or practice which is a breach of the Regulations or which:
- gives rise to prejudice to candidates; and/or
- compromises public confidence in qualifications; and/or
- compromises, attempts to compromise or may compromise the process of assessment, the integrity of any qualification or the validity of a result or certificate; and/or
- damages the authority, reputation or credibility of any awarding body or centre or any officer, employee or agent of any awarding body or centre

Malpractice can occur in a range of circumstances:

- Intentional – incidents are carried out purposefully with the aim to give unfair advantage in an examination or assessment;
- Unintentional – incidents arise due to a lack of awareness, carelessness, or forgetfulness in applying regulations;
- Environmental – incidents occur as a result of circumstances which are beyond the control of the people involved (e.g. supervision of candidates is disrupted by an emergency alarm).

AI refers to computer systems that can perform tasks that typically require human intelligence such as learning, problem-solving and decision making. This includes tools such as Chatbots, Tex-to-image generators and code generators.

Permissible AI use includes the following:

- AI tools can be used for personal learning and revision outside of formal assessments including summarising, generating practice questions and quizzes, review written work (grammar, spelling etc)

When using AI this should be acknowledged, information it provides must be critically evaluated and not relied on. Independent research and critical thinking remain crucial. AI is not permitted in examinations or within non examination assessments to:

- Generate answers, essays, or any piece of an assessed piece of work to complete assessment tasks.
- Translate questions or answers during examinations
- Submit AI generated work as one's own
- Access any AI powered advice (e.g. smartphones, smart watches)
- In colluding with other pupils in sharing AI generated work or allowing others to use your own AI generated work.

## **Responsibilities**

### **The School leader;**

- understands the responsibility to report to the relevant awarding body any suspected cases of malpractice involving candidates, teachers, tutors, invigilators or other administrative staff
- is familiar with the JCQ publication Suspected Malpractice in Examinations and Assessments: Policies and Procedures
- Ensure that the school uses a range of methods to monitor, record and follow up on suspected malpractice including plagiarism detection software, critical evaluation of student work, teacher observation and assessment of authenticity.
- Ensure that the school provides clear guidance to staff and students on the appropriate use of AI and full support for students who are struggling with academic integrity.

### **Teachers and Subject Leaders;**

- are aware of the JCQ Notice to Centres - Teachers sharing assessment material and candidates' work
- ensure candidates understand of the JCQ document Information for candidates - non-examination assessments
- ensures candidates understand the JCQ document Information for candidates - Social Media
- will not use artificial intelligence (AI) in the marking of candidates' work.

### **The Exams officer;**

- signposts the JCQ publication Suspected Malpractice in Exemptions and Assessments: Policies and Procedures to the School leader
- signposts the JCQ Notice to Centres - Teachers sharing assessment material and candidates' work to subject heads
- signposts candidates to the relevant JCQ information for candidates' documents
- where required, supports the School leader in investigating and reporting incidents of suspected malpractice

## **Candidate Malpractice**

Examples of candidate malpractice (this list is not exhaustive):

- Having a mobile phone, watch or technological/web-enabled device on learners during an examination whether it is switched on or off, or is used or not used.
- the alteration or falsification of any results document, including certificates
- the use of AI in the the production of controlled assessment, coursework or non-examination assessment. Students who misuse AI such that the work they submit for assessment is not their own will have committed malpractice, in accordance with JCQ regulations, and will be dealt with the same as other variations of malpractice, as outlined below. Students must make sure that work submitted for assessment is demonstrably their own. If any sections of their work are reproduced directly from AI generated responses, those elements must be identified by the student and they must understand that this will not allow them to demonstrate that they have independently met the marking criteria and therefore will not be rewarded. Where teachers have doubts about the authenticity of student work submitted for assessment (for example, they suspect that parts of it have been generated by AI but this has not been acknowledged), they must investigate and take appropriate action.
- a breach of the instructions or advice of an invigilator, supervisor, or the awarding or to the examination or assessment rules and regulations

- failing to abide by the conditions of supervision designed to maintain the security of the examinations or assessments
- collusion: working collaboratively with other candidates, beyond what is permitted
- copying from another candidate (including the use of technology to aid the copying)
- allowing work to be copied, e.g. posting work on social networking sites prior to an examination or assessment
- the deliberate destruction of another candidate's work
- disruptive behaviour in the examination room or during an assessment session
- failing to report to the centre or awarding body the candidate having unauthorised access to assessment related information or sharing unauthorised assessment related information
- exchanging, obtaining, receiving, passing on information (or the attempt to) which could be assessment related by means of talking, electronic, written or non-verbal communication
- making a false declaration of authenticity in relation to the authorship of controlled assessment, coursework, non-examination assessment or the contents of a portfolio
- allowing others to assist in the production of controlled assessment, coursework, non-examination assessment or assisting others in the production of controlled assessment, coursework or non-examination assessment
- the misuse, or the attempted misuse, of examination and assessment materials and resources (e.g. exemplar materials)
- being in possession of unauthorised confidential information about an examination or assessment
- bringing into the examination room notes in the wrong format (where notes are permitted in examinations) or inappropriately annotated texts (in open book examinations)
- the inclusion of inappropriate, offensive, obscene, homophobic, transphobic, racist or sexist material in scripts, controlled assessments, coursework, non-examination assessments or portfolios
- impersonation: pretending to be someone else, arranging for another person to take one's place in an examination or an assessment
- plagiarism: unacknowledged copying from, or reproduction of, the work of others or published sources or incomplete referencing;
- theft of another candidate's work
- bringing into the examination room or assessment situation unauthorised material, for example: notes, study guides and personal organisers, own blank paper, calculators (when prohibited), dictionaries (when prohibited), instruments which can capture a digital image, mobile phones, smart glasses, AirPods, any other type of earphone/earbud or any other smart or electronic device.
- Learners are not allowed any type of watch on them during an exam - this includes smart watches, digital watches and traditional analogue watches.
- the unauthorised use of a memory stick or similar device where a candidate uses a word processor
- facilitating malpractice on the part of other candidates
- behaving in a manner so as to undermine the integrity of the examination.

### **Dealing with Suspected Candidate Malpractice**

Internally Marked NEA, Controlled Assessment or Portfolio Assignment

If a member of staff suspects a candidate of malpractice;

- the candidate will be informed and the allegations will be explained
- the candidate will have the opportunity to give a statement before a final decision is made
- if the candidate accepts that malpractice has occurred and has not yet signed a candidate declaration they will be given the opportunity to repeat the assignment
- if the malpractice is proven following the investigation, centre staff may decide to remark previous assignments and these could also be rejected if similar concerns are identified

- if malpractice is discovered after a candidate has signed a declaration this will be reported to the Awarding Body

#### Externally Marked Examinations

If a member of staff suspects a candidate of malpractice during an externally marked examination;

- the candidate will be informed and an investigation will be undertaken by the Exams Officer
- all cases of suspected candidate malpractice will be reported to the Awarding Body in accordance with JCQ regulations and requirements.

As part of the investigation the candidate will be;

- informed of the allegation made against them
- informed what evidence there is to support the allegation
- informed of the possible consequences should the malpractice be proven
- given the opportunity to consider their response to the allegation
- given the opportunity to submit a written statement
- informed of the Awarding Body outcome
- informed of the applicable appeals procedure should a decision be made against them

#### Sanctions for Candidate Malpractice

- Where a candidate has been reported to an Awarding Body for suspected malpractice which is subsequently proven, the following sanctions may be imposed:
- Warning: the candidate will be issued with a warning that if the offence is repeated within a set period of time, further specified sanctions will be applied
- Loss of marks for a section: the candidate loses all the marks gained for a discrete section of the work. A section may be part of a component or a single piece of controlled assessment if this consists of several items
- Loss of marks for a component: the candidate loses all the marks gained for a component
- Disqualification from a whole qualification: The candidate is disqualified from the whole qualification taken in the exam series or academic year
- Disqualification from all qualifications taken in the exam series: If circumstances suggest, the above penalty may be applied to other qualifications
- Candidate debarred: The candidate is barred from entering one or more examinations for a set period of time. This penalty may be applied in conjunction with any of the other
- penalties above if the circumstances warrant it.

#### Right to Appeal – Candidate Malpractice

A candidate may appeal against sanctions imposed on them. Appeals will be made by the centre exams officer on behalf of candidates and conducted in accordance with the JCQ procedures.

#### Centre Staff Malpractice

The following are examples of malpractice by school staff (this list is not exhaustive):

- Breach of security
- Deception
- Improper assistance to candidates
- Failure to cooperate with an investigation
- Maladministration

#### Staff Malpractice

The following are examples of malpractice by school staff. This list is not exhaustive.

- Failure to keep any awarding body mark schemes secure or any other breach of security.

- Alteration of awarding body assessment and grading criteria.
- Assisting pupils in the production of work for assessment, where the support has the potential to influence the outcomes of assessment, for example where the assistance involves School staff producing work for the pupil.
- Producing falsified witness statements, for example for evidence the pupil has not generated.
- Allowing evidence, which is known by the staff member not to be the pupil's own, to be included in a pupil's assignment/task/portfolio/ coursework.
- Facilitating and allowing impersonation.
- Misusing the conditions for special pupil requirements.
- Failing to keep pupil computer files secure.
- Failure to cooperate with an investigation.
- Falsifying records/certificates, for example by alteration, substitution, or by fraud.
- Fraudulent certificate claims, that is claiming for a certificate prior to the pupil completing all the requirements of assessment.
- Assisting candidates with exam questions outside of the awarding body guidance.
- Allowing pupils to use a mobile phone or go to the toilet unsupervised.
- Allowing pupils to speak to each other during the exam.
- Tampering with scripts prior to external marking taking place.

Where staff malpractice is suspected, an investigation will take place under staff disciplinary procedures. (See Staff Disciplinary Policy and Procedures)

### **Dealing with Suspected Staff Malpractice**

Where staff malpractice is suspected, an investigation will take place under staff disciplinary procedures. (See Staff Disciplinary Policy and Procedures) and in line with JCQ regulations. The investigation will involve establishing the full facts and circumstances of any alleged malpractice. It should not be assumed that because an allegation has been made, it is true.

Members of staff will be;

- informed in writing of the allegation made against them
- informed what evidence there is to support the allegation
- informed of the possible consequences, should malpractice be proven
- given the opportunity to consider their response to the allegations
- given the opportunity to submit a written statement
- given the opportunity to seek advice (as necessary) and to provide a supplementary statement (if required)
- informed of the applicable appeals procedure, should a decision be made against them
- informed of the possibility that information relating to a serious case of malpractice will be shared with the relevant awarding body and may be shared with other awarding bodies,
- the regulators Ofqual, the police and/or relevant professional bodies
- If work is submitted for moderation/verification or for marking which is not the candidate's own, the awarding body may not be able to issue a result for that candidate.

### **Sanctions for Centre Staff Malpractice**

Where a member of staff has been reported to an Awarding Body for suspected malpractice which is subsequently proven, the following sanctions may be imposed:

- Written warning: the member of staff will be issued with a written warning stating that if the offence is repeated within a set period of time, further specified sanctions will be applied

- Training: the member of staff will be required, as a condition of future involvement in both internal and external assessments, to undertake specific training or mentoring, within a particular period of time, including a review process at the end of the training
- Special conditions: Impose special conditions on the future involvement in assessments by the member of staff
- Suspension: Bar the member of staff in all involvement in the administration of assessments for a set period of time
- Dismissal: Should the degree of malpractice be deemed gross professional misconduct the member of staff could face dismissal from their post

### **Right to Appeal – Centre Staff Malpractice**

The member of staff may appeal against sanctions imposed on them. Appeals will be conducted in accordance with JCQ regulations and requirements.

## Appendix 3



### Word Processor Policy

We may allocate the use of a word processor to a candidate as part of access arrangements or as a reasonable adjustment where appropriate, including:

- When it is their normal way of working, i.e. where the curriculum is delivered electronically and word processors are provided to all candidates
- If they need support with handwriting
- If they have a:
  - Physical disability
  - Learning difficulty that has a substantial and long-term adverse effect on their ability to write legibly
  - Medical condition
  - Sensory impairment

The above is not an exhaustive list.

The SENCO will use their judgement, in collaboration with relevant members of staff where necessary, to make decisions about when a word processor is appropriate outside the specific listed examples above.

We will make sure that:

- The proposed arrangement will not disadvantage or advantage a candidate
- The use of a word processor will not compromise the assessment objectives or the integrity of the assessment and will be used under secure conditions. Where these objectives would be compromised, then a word processor will not be granted for use by a candidate

We will also make sure that the word processor:

- Has the spelling and grammar check and predictive text software disabled
- Does not include any AI tools
- Does not have internet connectivity during the exam
- Has been cleared of any previously stored data, along with any portable storage medium used (and where any authorised memory stick is provided to or used by the candidate, the memory stick will be cleared of any previously stored data)
- Does not allow access to other applications such as a calculator (where prohibited), spreadsheets or emails
- Does not allow access to any of the applications, programs and software packages which are not permitted by JCQ
- Does not have graphic packages or computer-aided design software, unless permission is given

- Does not have computer reading (text to speech) software, unless the candidate has permission. Where a candidate uses a computer reader centres should note arrangements for downloading a PDF copy of the standard question paper.
- Does not have speech recognition technology, unless the candidate has permission

The word processor will not be used on the candidate's behalf by a third party unless the candidate has permission to use a scribe.

All equipment will be checked to make sure it is in working order and sufficiently charged for the duration of the examination.

Candidates provided with the use of a word processor will be accommodated in such a way that other candidates are not disturbed and cannot read the screen. Where we accommodate a candidate in another room, a separate invigilator will be present.

Candidates will be:

- Reminded to make sure that the centre number, candidate number and the unit/component code appear on each page as a header or footer, or to handwrite their details on the printed documents where this feature is not available (where the candidate needs to handwrite their details, they will be supervised to make sure that's solely what they're doing and not re-reading their answers or amending their work in any way)
- Reminded to save their work at regular intervals, unless 'autosave' has been set up on the device to make sure that the candidate's work is not lost because of a technical issue
- Advised to use a minimum font size of 12pt and double spacing

Each page of the typed script will be numbered

The word processor will be connected to a printer so that the script can be printed off and will be done once the examination is over. The candidate must be present to verify that the work is their own and then the script will be attached to any answer booklet that contains some of the answers. We may also be required by the awarding body to include a word processor cover sheet with the candidate's typed script.

We may retain electronic copies of a word-processed script and this may be accepted by an awarding body where the printed copy has been lost and it is demonstrated that the file has been kept securely.

## Appendix 4



### Blended Learning

In order to ensure that blended learning meets the guidelines set by awarding bodies and that assessment methods are valid, reliable and does not disadvantage any group or individual learners, the school will:

- Ensure that teaching, delivery and assessment staff are timetabled to support blended learning when learners are working remotely
- Ensure there is a process to manage feedback on assignments, questions are constructively answered and feedback is provided in a timely manner
- Ensure the setting of assignments is undertaken in the face-to-face sessions and that deadlines are clear
- Ensure that staff training and measures have been implemented to prevent and detect any instances of malpractice which may arise
- Ensure that when learners submit work measures are taken to ensure the work is authentic and has been completed by the learner
- Ensure that learners are fully aware of the need to ensure they avoid any forms of malpractice (for example plagiarism) and the consequences should they commit it
- Maintain and store securely all assessment and internal verification codes in accordance with the awarding body centre agreement

## Appendix 5



### Examination Complaints and Appeals

This appendix complies with the JCQ's General Regulations for Approved Centres requiring that the centre will draw the attention of candidates and their parents/carers to the written appeals and complaints procedure relation to the centre's delivery or administration of a qualification.

#### Grounds for complaint

A candidate (or his/her/their parent/carer may make a complaint relating to delivery of a qualification or examination. For example:

#### Teaching and Learning

- Quality of teaching and learning relating to a qualification
- Incorrect core content studies/taught
- Inadequate feedback for a candidate following assessment
- Pre-release material not provided on time

#### Centre Assessed marking

- The marking of an internal assessment which contributes to the final grade of the qualification not undertaken according to the requirements of the awarding body
- Candidate not informed of centre assessed marks prior to marks being submitted to the awarding body
- Candidate not informed of centre assessed marks in time to request/appeal a review of marking prior to marks being submitted to the awarding body
- Candidate not given sufficient time to review materials to make a decision whether to request a review of centre assessed marks

#### Access Arrangements

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

#### Entries

- Candidate not entered for a required exam or assessment
- Candidate entered for a wrong exam or assessment
- Candidate entered for the wrong tier of entry

### **Conduct of Examinations**

- Failure to adequately brief candidate on exam timetable and 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 during the exam
- Failure to conduct exam according to the regulations
- Disruption during exam/assessment
- Online or IT system failure during online or word processed exam/assessment
- Alleged, suspected or actual malpractice incident not investigated or reported
- Eligible application for special consideration for a candidate not submitted or not submitted to timescale
- Failure to inform/update candidate on the outcome of a special consideration application

### **Results and Post Results**

- Candidates not made aware of the arrangement for post result services and the accessibility of senior members of school staff after the publication of results
- Candidate request for return of work after moderation not upheld due to disposal or non-availability of work earlier than allowed in regulations
- Candidate unhappy with a centre decision not to support a clerical check, a review of marking, a review of moderation or an appeal in line with internal appeals procedure
- Centre missed awarding body deadline for a post results service
- Centre applied for post results service for candidate without gaining required candidate consent

### **Complaints procedures**

If a candidate or their parent/care has a general concern about the centre's delivery or administration of a qualification On Track encourages them to try to resolve this informally in the first instance. A concern or complaint of this nature should be made in person, by telephone or in writing to the school Senior Leader.

Formal complaints should be submitted in line with the Complaints Policy.

### **Appeals Procedures**

All pupils should be made aware of the appeals procedure and given access to a copy of the procedure. The School leader is responsible for managing the formal appeals process. If deemed necessary, a formal appeals panel should be set up comprising at least three people, where at least one member is independent of the assessment process. Written records of all appeals should be maintained. These should include a description of the appeal, the outcome of the appeal and the reason for that outcome. A tracking document will be used to follow the course of an appeal, allowing it to be time tracked and verified at each stage. Where the awarding body allows it, if a learner is unable to resolve an appeal within the school then they may have the option to escalate their appeal to the awarding body. Any appeals must be submitted within 20 days of the associated assessment and there will be a fee payable as published by the awarding body.

### **Grounds for Appeal**

A pupil/candidate would have grounds for appeal against an assessment decision in the following situations. This list is selective and not exhaustive.

- The work is not assessed according to the set criteria or the criteria are ambiguous.

- The final grade of the work does not match the criteria set for grade boundaries or the grade boundaries are not sufficiently defined.
- The internal verification procedure contradicts the assessment grades awarded.
- There is evidence of preferential treatment towards other pupils/candidates.
- The conduct of the assessment did not conform to the published requirements of the Awarding Body.
- Valid, agreed, extenuating circumstances were not taken into account at the time of assessment, which the school leader was aware of prior to the submission deadline.
- Agreed deadlines were not observed by staff.
- The current Assessment Plan was not adhered to.
- The decision to reject coursework on the grounds of malpractice.

### **Formal appeal procedures**

If, after informal discussion with the Lead Internal Verifier and School Leader the candidate wishes to make a formal appeal, the candidate must ask the LIV in writing, for a re-assessment. This must be done within 10 working days of receiving the original assessment result. The School leader, along with the LIV on receipt of the formal appeal from the candidate, will try to seek a solution negotiated between the relevant assessor and the candidate. If it is not possible to reach an agreement, the School leader and the LIV will set a date for the Internal Verification Appeals Panel to meet. The Internal Verification Appeals Panel will normally meet within 2 weeks of the receipt of the appeal by the LIV with re-assessment, if deemed necessary by the panel, taking place within 15 working days of the appeals panel meeting.

The outcome of the appeal may be:

- Confirmation of original decision.
- A re-assessment by an independent assessor.
- An opportunity to resubmit for assessment within a revised agreed timescale.

## Appendix 6



# Examination Contingency Plan

## Aims

This plan aims to:

- Examine potential risks and issues that could cause disruption to the management and administration of exams
- Mitigate the impact of disruptions by providing actions or procedures to follow
- To clarify and expand on our school's Exam Policy where appropriate

## Legislation and guidance

This plan complies with the Joint Council for Qualifications (JCQ) General Regulations for Approved Centres, which requires all exam centres to have a written examination contingency plan/examinations policy.

## Responsibilities

### Senior Leader

The senior leader will ensure that a written examination contingency plan and examinations policy is in place and covers all aspects of examination administration at the setting.

A school senior leader is available to manage emergency requests from awarding bodies that are results related during school holidays.

The school leader will ensure that candidates' work is backed-up on at least two separate devices including the school cloud.

### Staff and invigilators

Staff and invigilators involved in the centre's exam process are responsible for reading, understanding and implementing the contingency plan.

## Monitoring arrangements

This plan will be reviewed by the School leader every year in the autumn term.

## Contingency plan

These are based on the [JCQ's joint contingency plan](#), and are consistent with [Ofqual's current contingency planning guidance](#).

SCHOOL:			
SCENARIO	WHEN TO IMPLEMENT	ACTIONS	PERSON(S) RESPONSIBLE
Disruption of Teaching Time	School closure for an extended period	<ul style="list-style-type: none"><li>• Remote /blended learning</li><li>• Outreach teaching</li></ul>	Senior Leaders

<b>SCHOOL:</b>			
<b>SCENARIO</b>	<b>WHEN TO IMPLEMENT</b>	<b>ACTIONS</b>	<b>PERSON(S) RESPONSIBLE</b>
Disruption in the distribution of examination papers	Non receipt of examination papers	Awarding organization to provide electronic access to examination papers	Exams Office
Candidates unable to take examinations because of a crisis	School remains open. Candidate unable to attend (e.g. medical certificate, identified needs)	Alternative venue sourced in agreement with relevant awarding body. School to apply for special consideration	Exams Office Senior Leaders
School unable to open during examination period	School emergency closure	Alternative venue sourced in agreement with awarding bodies including the school's other premises  The following alternative sites are available for this school:  Swift House/The Nest/Mildenhall School	Exams Office Senior Leaders
Disruption to transportation of examination papers	Failed collection	Schools to ensure secure storage of examination papers until collected	Exams Office Senior Leaders
Exams Officer is unable to fulfil role	Illness, absence	School senior leadership team able to fulfil duties of the Exam's Officers role.	Senior Leaders
Assessment evidence not available to be marked	Large scale damage to or destruction of completed scripts before it can be marked	Contact awarding bodies for advice. Collate appropriate evidence of candidate achievement as identified by Awarding organisations.  Candidates to retake at subsequent assessment window	Exams Office Senior Leaders

<b>SCHOOL:</b>			
<b>SCENARIO</b>	<b>WHEN TO IMPLEMENT</b>	<b>ACTIONS</b>	<b>PERSON(S) RESPONSIBLE</b>
Cyber attack	In the event of a cyber attack impacting examination procedures	<p>Immediately contact awarding bodies for advice.</p> <p>Exams Officer can remotely access via awarding bodies all entries</p> <p>Hard copy documentation and evidence is retained in school safe</p> <p>School's cyber attack process is to contact directors and insurers who will instigate their Cyber attack response plan and instruct us on actions required</p>	Senior Leaders
Strike Action	Strike action impacts pupil examinations	Priority given to maintaining examination series intact if strike action during exam season	
Issues with the school IT system	Failure of school IT system	Alternative venues already equipped with appropriate level of IT equipment	Senior Leaders

