

Exams Policy and Procedures 2022/23

This policy is reviewed annually to ensure compliance with current regulations: 2022-23 adaptations are in red.

Document Control

Name of Policy/Procedure	Examination Policy and Procedures
Author	Julie Chong
Version Number	4
Applicable to (please specify named academy(ies), all Meridian Trust academies, all Meridian Trust staff)	All Meridian Trust academies, all Meridian Trust staff.
Approved by (trust board or name of responsible Committee/Academy Council/individual. Please ensure this is in line with the Scheme of delegation)	Curriculum & Standards Policy & Scrutiny Committee
Approved on:	10 January 2023
Review Cycle:	January 2024
Date of Next Review:	Annual

To be published on website (yes/no)	Yes
Location on Meridian Trust SharePoint	Policies

Revisions

Version	Page/Para No.	description of change	Approved On
4	Whole policy and procedures	Adopted for Meridian Trust the 2022 – 2023 version of the examination policy and procedures.	

Individual academies may insert their logo on the top left for MERIDIAN TRUST wide policies. Please replace the MERIDIAN TRUST logo with individual school logo for school-based protocols.

Key staff involved in the exams policy

<insert school name>

Role	Name(s) (please populate below)
Head of centre	
Exams officer line manager (Senior leader)	
Exams officer	
ALS lead/SENCo	
ALS lead/SENCo line manager (Senior leader)	
Senior leader(s)	
ICT Lead	
Assessor(s) for Access	

Access arrangement facilitator(s)	
Finance Lead	
HoDs	
Invigilators	
Quality assurance lead/Lead internal verifier	

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Purpose of the policy

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

This exam policy will ensure that:

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

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

This policy will be communicated to all relevant centre staff.

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.

The head of centre and/or examinations officer may operate across more than one centre. In such cases the head of centre must ensure there is suitable support in place, so they can meet their obligations across all centres for which they are responsible. The head of centre must ensure that these arrangements are covered by their examination contingency plan.

(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 2022 to 31 August 2023: <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 and/or practical assessments for exams and assessments
- Where/if using a third party to deliver any part of a qualification (including its assessments) at the centre:
 - maintains oversight of, and responsibility for, the delivery of the qualification in accordance with JCQ regulations and awarding body requirements
 - has in place a written agreement with the third party to ensure there is a shared understanding of the arrangement and will manage the risk of failure by the third party to deliver the expected service
 - ensures that a copy of the written agreement is available for inspection if requested by the awarding body

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 papers~~ and ultimately, awarding bodies could withdraw their approval of the centre

- Ensures that relevant members of staff respond promptly to actions raised by the JCQ Centre Inspection Service, understanding that failure to do so could result in the same penalties as listed in the previous bullet point
- Ensures that the centre promptly reports any incidents to the relevant awarding body/bodies which might compromise any aspect of assessment delivery such as a cyber-attack
- 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

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
- Ensures that the ALS lead/SENCo has sufficient time to both manage the access arrangements process within the centre and familiarise him/herself with the JCQ publication *Access Arrangements and Reasonable Adjustments*

- Ensures that the examinations officer is line managed and actively supported by a member of the senior leadership team who has a good working knowledge of the examination system

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

Located in appendix 8 at the end of this document within the Exam Contingency procedure.

Refer to [GR](#) (section 5.3 **Internal governance arrangements**)

- 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
- Where/if using a third party to deliver any part of a qualification at the centre:
 - maintains oversight of, and responsibility for, the delivery of the qualification in accordance with JCQ regulations and awarding body requirements
 - has in place a written agreement with the third party ensuring that a copy of the written agreement is available for inspection if requested by the awarding body

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 which must only be used** 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 **examination** materials are only handed over to authorised members of centre staff
 - ⊖ **appropriate arrangements are in place for handling secure electronic materials**
 - ⊖ 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 **paper packets** 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
 (If it is ever subsequently identified following this check that the wrong question paper packet has been opened, it will be resealed and the incident reported to the relevant awarding body's Malpractice Investigation Team immediately)
- 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

Malpractice

- 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/assessments 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 body immediately of any alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, ~~are reported to the awarding body immediately~~ by completing the appropriate documentation
- As required by an awarding body, ensures evidence of any instances of alleged or suspected malpractice (which includes maladministration) is gathered in accordance with the JCQ publication *Suspected Malpractice – Policies and Procedures* and provides such information and advice as the awarding body may reasonably require

Policies/procedures

- 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

Located in appendix 8 at the end of this document.

It is the responsibility of the head of centre to ensure that his/her centre, has in place the following procedures available for inspection: a written examination contingency plan which covers all aspects of examination administration. This will allow members of the senior leadership team to act immediately in the event of an emergency or staff absence. The examination contingency plan should reinforce procedures in the event of the centre being unavailable for examinations, or on results day, owing to an unforeseen emergency (GR 5.3) When drafting contingency plans, you should consider the following guidance:

Procedures available for inspection

When drafting contingency plans, you should consider the following guidance if covid resurges:

1.1 Covid specific guidance:

- [Guidance for schools Covid-19](#) from the Department for Education in England (subject to frequent updates as the situation changes)
- [Responsibility for autumn GCSE, AS and A level exam series](#) from the Department for Education in England
- [Public health guidance to support autumn exams](#) from the Department for Education

Refer to [GR](#) (section 5.3x)

Lockdown (Exams)

See appendix 11 at the end of this document.

Internal Appeals Procedure (Internal assessment decisions)

Refer to [GR](#) (section 5.7f)

Internal Appeals Procedure (Reviews of Results/Appeals)

Refer to [GR](#) (section 5.13h)

- Ensures **required an** internal appeals **procedure is** in place and drawn to the attention of candidates and (where relevant) their parents/carers

Internal Appeals Procedures

See appendix 10 at the end of this document.

Refer to [GR](#) (section 5.7) **Centre assessed work**

appeals, (section 5.3) Policies avail

, (section 5.13) **Post**

- 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 Procedure

See appendix 7 at the end of this document

Refer to [GR](#) (section 5.3) **Procedures available for inspection** and (5.4) **Access arrangements and reasonable adjustments**

- 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)

See appendix 4 at the end of this document

Refer to [GR](#) (section 5.8) **Candidate information**

- 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 (Exams)

See appendix 4, which satisfies current legislative requirements and includes information relating to Disclosure and Barring Service (DBS) clearance, supplementing the centre-wide policy with information relating to the exam process for example, external invigilators, private candidates etc.)

The trust CP and Safeguarding Policy is located on the Meridian Trust website:

<https://www.meridiantrust.co.uk/key-information/policies/>, which satisfies current legislative requirements and includes information relating to Disclosure and Barring Service (DBS) clearance

Refer to [GR](#) (section 5.3) **Policies available for inspection**

- Ensures the centre has a data protection policy in place that complies with General

Data Protection (Exams)

See appendix 5 at the end of the document

The Trust Data Protection and freedom of information (GDPR) policy on the Meridian Trust website: <https://www.meridiantrust.co.uk/key-information/policies/>

Refer to GR (section 5.3) **Policies available for inspection** and (5.8) **Candidate information**

Consideration may also need to be given to the centre's policy on sharing candidates' results and other exams related information with those with parental responsibility and third parties

Legislation on sharing information

Under the principles of the General Data Protection Regulations 2018 and the Data Protection Act 2018, children and young adults can assume control over their personal information and restrict access to it from the age of 13. This suggests that candidate consent should be sought to share results or other exams-related information with a third party.

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

- Understanding and dealing with issues relating to parental responsibility
www.gov.uk/government/publications/dealing-with-issues-relating-to-parental-responsibility/understanding-and-dealing-with-issues-relating-to-parental-responsibility

- School reports on pupil performance: guidance for headteachers
www.gov.uk/guidance/school-reports-on-pupil-performance-guide-for-headteachers

Publication of exam results

Refer to ICO (Information Commissioner's Office) [Schools, universities and colleges](#) information and [Exam results](#)

- Ensures the centre has a whistleblowing policy in place

Whistleblowing Procedure (Exams)

See appendix 14 at the end of this document and Meridian Trust Whistleblowing policy: <https://www.meridiantrust.co.uk/key-information/policies/>

Refer to GR (section 5.3) **Policies available for inspection**

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

Access Arrangements Procedure

See appendix 2 at the end of this document as good practice bring all aspects of the process together in one place thereby confirming the centre complies with GR (section 5.4)

All Meridian schools adhere to the procedure specified in the JCQ AA

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 (noting that being entered by the centre must be as a last resort where unable to find an alternative centre)
 - a candidate is being taught and prepared for a qualification which includes internally assessed components/units by a member of centre staff with a 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 (noting that being entered by the centre must be 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 (Exams)

The centre ensures the regulations are adhered to the declaration and recording requirements outlined in GR (section 5.3) **Conflicts of interest**

- 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

National Centre Number Register

- Provides contact details and an address to which all correspondence in connection with the administration of examinations and assessments can be directed which must be the registered address of the centre
- Ensures the National Centre Number Register annual update is responded to by the end of October
- 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 papers
 and ultimately, awarding bodies could withdraw their approval of the centre

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
- Confirms the details or informs the awarding bodies of any changes to the centre's contact details through the National Centre Number Register
- Informs the National Centre Number Register Team **immediately** (e-mail address – ncn@ocr.org.uk) if any changes occur after the National Centre Number Register annual update has taken place
- (Where it may be applicable) Informs the National Centre Number Register Team no later than 6 weeks prior to moving to a new address or a re-location of the secure storage facility
- Informs the National Centre Number Register Team immediately of any other changes in circumstances that could affect the centre's status
- 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
- 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
- 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

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 (on the current regulations), annual 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 and ensures **Data protection confirmation(s)** by the examinations officer or SENCo are completed
- 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~~ Liaises with the relevant member of the senior leadership team on the centre's policy on the use of word processors in examinations

Word Processor Procedure (Exams)

See appendix 15 at the end of the document.

Refer to [GR](#) (section 5.3) **Policies available for inspection** and [AA](#) (section 5.8)

- 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/Alternative Invigilation Procedure

See appendix 1 at the end of the document. Refer to [AA](#) (sections 4.2, 5.16) and [ICE](#) (section 14.18)

Separate invigilation within the centre (sitting the examination outside of the main examination hall/room e.g. a room for a smaller group of candidates)

Why have a procedure on this?

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

Having a documented policy ensures:

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

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 procedure** 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 Procedure

See appendix 12 at the end of the document

Refer to [GR](#) (section 5.3) **Policies available for inspection**, (5.7) **Centre assessed work** and **NEA** (section 1)

- 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 **reformed** 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 **current** instructions for conducting examinations 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

Exams Officer requests estimated entry information from Heads of Department (HoDs) in a timely manner ensuring awarding body external deadlines for submission can be met.

Candidates are selected for their exam entries by the HoDs or Curriculum Area Leads (CALs) Entry deadlines are circulated to heads of department via staff notices, email and pigeonhole.

Late entries are authorised by exams officer after consultation with the Management Team. Exam Officer charges any late or other penalty fees to departmental budgets

Heads of Department should minimise the risk of late entries by following procedures identified by the EO in relation to making final entries on time and meeting internal deadlines identified by the EO for making final entries.

- 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

Exams Officer requests final entry information from Heads of Department (HoDs) in a timely manner ensuring awarding body external deadlines for submission can be met.

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Late entries are authorised by exams officer after consultation with the Management Team. Exam Officer charges any late or other penalty fees to departmental budgets

Heads of Department should minimise the risk of late entries by following procedures identified by the EO in relation to making final entries on time and meeting internal deadlines identified by the EO for making final entries.

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

Late entry or amendment fees (including those for changes of tier) are paid by the departments. Candidates must pay the fee for an enquiry about a result, should the centre not uphold the enquiry and the candidate insists on pursuing the enquiry.

All other fees will be in accordance with the Hiring and Charging Policy, Including Remissions Late entry or amendment fees (including those for changes of tier) are paid by the departments.

Candidates must pay the fee for an enquiry about a result, should the centre not uphold the enquiry and the candidate insists on pursuing the enquiry.

All other fees will be in accordance with the Hiring and Charging Policy, Including Remissions

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

Retake decisions will be made in consultation with the candidates, subject teachers, head of post-16 and the exams officer.

Private candidates

Private candidate entries are managed and charged for at the discretion of the centre. Where appropriate liaising with the ALS lead/SENCo regarding any access arrangements and reasonable adjustments required by a private candidate (including distance learners and home educated candidates).

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(s) 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
- post-results services **information** and how the centre **will deal** with requests from candidates
- when and how certificates will be issued

Access to Scripts, Reviews of Results and Appeals Procedures

Results, enquiries about results (EARs) and access to scripts (ATS)

- Candidates will receive individual results slips on results days in person at the centre / by post (SAE) to their home addresses if unable to collect.
- Arrangements for the Academy to be open on results days are made by the Head of Centre.
- The provision of staff on results days is the responsibility of the Head of Centre. Internal appeals procedure found in addition located in Appendix 10.

Procedures inform candidates (before they sit their exams) of

- when, where and with whom they will have the opportunity to discuss their results
- the arrangements for post-results services, including
 - how they request a service
 - when they will be informed of the services that will be made available by the awarding bodies
 - the deadlines that must be met
 - the fees that will be charged

- how they are informed of the outcome of their request
- the internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support a review of results or an appeal

Refer to [GR](#) (sections 5.13, 5.6)

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 the current regulations** on appointment and updates experienced invigilators on **an annual basis of** 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

The centre verifies identity on entry to the school on initial registration. Private/external or transferred candidates to show 3 forms of IP, including photo ID. Religious garments and any form of access arrangement must not obstruct a visual identity.

Individual exam cards are populated with a student's ID number, photos are optional, exam entry details and access arrangements if appropriate, are used in conjunction with seating plans in every venue.

Refer to [GR](#) (sections 5.6, 5.9) and [ICE](#) (section 16)

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

- Carefully checks question paper packets when they are removed from the dispatch packaging and keeps a log of the check
 - 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

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

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

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

The JCQ Overnight Supervision and Overnight Supervision Declaration forms must be completed before the overnight supervision is to commence. The JCQ Overnight Supervision form is completed online using the Centre Admin Portal (CAP). The JCQ Overnight Supervision Declaration form is downloaded from the Centre Admin Portal (CAP) for signing by the candidate, the supervisor and the head of centre. (ICE 8)

Why have a procedure on this?

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

- the correct procedure is followed
 - appropriate arrangements are put in place
 - candidates (and/or parents/carers) understand when, or indeed if, appropriate arrangements can/will be made
- the centre can demonstrate the policy if asked/challenged by a candidate (and/or parent/carer)

- Identifies exam rooms and specialist equipment requirements
- Allocates invigilators to exam rooms (or where supervising candidates due to an exam timetable clash) according to required ratios

- Liaises with site staff to ensure exam rooms are set up according to JCQ and awarding body requirements
- Liaises with the 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

Centre consortium arrangements

Exams officer

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

Senior leaders

- (Where/if applicable to the centre) Inform the EO of any joint teaching arrangements in place and where the centre is acting as the consortium coordinator

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 (where applicable to the centre)
- Provides a centre exam timetable of subjects and rooms
- Provides seating plans for exam rooms
- Requests internal exam papers from teaching staff
- Arranges invigilation (where applicable to the centre) **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

The exams officer will attempt to contact any candidate who is not present at the start of an exam and deal with them in accordance with JCQ guidelines.

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

Refer to ICE (section 22)

Why have a procedure on this?

Centres will likely have different strategies for dealing with unauthorised absences from exams. Having a documented policy ensures:

- candidates are aware of what they need to do if they are likely to be absent from an exam
- staff involved in the exams process understand how absent candidates who have not contacted the centre regarding their absence will be managed at the time of the exam
- the centre can demonstrate the policy if asked/challenged by a candidate (and/or parent/carer)

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 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 Procedure

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, disruption or disturbance in the exam room, emergency evacuation)

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.

Refer to [ICE](#) (section 21)

Why have a procedure on this?

Permitting candidates who arrive after the start of an exam to enter the exam room and sit the exam is at the centre's discretion.

Having a documented procedure ensures:

- candidates are aware of what will or won't happen should they arrive late
- staff involved in the exams process understand how this will be managed at the time of the exam
- the centre can demonstrate the policy if asked/challenged by a candidate (and/or parent/carer)

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 Procedure (Exams)

The centre's procedure on food and drink in exam rooms:

Food and drink may be allowed in the examination room at the discretion of the head of centre. However, this is on the condition that any food or drink brought into the examination room whether by the candidate or the centre is free from packaging and all labels are removed from drink containers.

Refer to ICE (section 18) **Why**

have a policy on this?

Allowing food and drink in an exam room is at the head of centre's discretion.

Having a documented policy ensures:

- candidates are clear on what is or what is not allowed
- staff involved in the exams process are aware of what is and what is not allowed and how this will be managed at the time of the exam
- the centre can demonstrate the policy if asked/challenged by a candidate (and/or parent/carer)

Leaving the Examination Room procedure

The centres process for candidates who are allowed to leave the examination room temporarily be accompanied by a member of centre staff. This must not be the candidate's subject teacher or a subject expert for the examination in question. Those candidates may be allowed extra time at the discretion of the centre to compensate for their temporary absence

Refer to ICE (section 23) **Why**

have a policy on this?

Allowing time to be compensated where a candidate leaves the exam room temporarily, accompanied by a member of centre staff, is at the discretion centre.

Having a documented policy ensures:

- candidates are aware of the centre's arrangements where time may or may not be compensated for any temporary absence from the exam room
- staff involved in the exams process understand how this will be managed at the time of the exam

- the centre can demonstrate the policy if asked/challenged by a candidate (and/or parent/carer)

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 the mobile phone is only allowed to be used for this specific purpose and that it must be kept 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 (Exams)**

Located in appendix 6 at the end of the document.

Refer to ICE (section 25)

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 (Exams)**

The centre's published rules on acceptable dress, behaviour and candidates' use of mobile phones and all electronic devices always apply.

Candidates' personal belongings remain their own responsibility and the centre accepts no liability for their loss or damage.

Disruptive candidates are dealt with in accordance with JCQ guidelines. Candidates will be required to remain in the exam room until the end of the examination. The exams team, at their discretion, will arrange for dismissal after one hour if it is appropriate to do so e.g. if there is a small candidate entry.

The Exam Officer informs candidates of any contingency day awarding bodies may identify in the event of national or local disruption to exams.

Malpractice & Irregularities

The Head of Centre ensures any cases of alleged, suspected or actual incidents of malpractice or maladministration before, during or after examinations/assessments (by centre staff, candidates, invigilators) are

investigated and reported to the awarding body **immediately**, by completing the appropriate documentation. See appendix for Learner Malpractice procedure. Senior Leaders ensure support is provided for the EO and invigilators when dealing with disruptive candidates in exam rooms and ensures that internal disciplinary procedures relating to candidate behaviour are instigated, when appropriate. The Exams Officer provides an exam room incident log in all exam rooms for recording

any incidents or irregularities. The Exams Officer 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, disruption or disturbance in the exam room, emergency evacuation. 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.

Refer for prompt to ICE (section 24)

Why have a procedure on this?

Having a documented policy/procedure on how behaviour in exam rooms is managed ensures staff conducting exams understand the process to be followed and candidates are aware of the possible consequences of any disruptive actions

Malpractice (Exams)

See appendix 16A and 16B at the end of this document.

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

Senior Leaders ensure support is provided for the EO and invigilators when dealing with disruptive candidates in exam rooms and ensures that internal disciplinary procedures relating to candidate behaviour are instigated, when appropriate. The Exams Officer provides an exam room incident log in all exam rooms for recording any incidents or irregularities. The Exams Officer 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, disruption or disturbance in the exam room, emergency evacuation. 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. **Why have a policy on this?**

Having a documented policy/procedure is a way of demonstrating how all reasonable steps are taken to prevent the occurrence of any malpractice (which includes maladministration) before, during and after examinations and how any alleged, suspected or actual incidents of malpractice are reported and investigated according to the requirements

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)

Malpractice

See *Irregularities* above.

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 Procedure: This document was updated, 8 April 2022, to take account of the UK Health Security Agency's Guidance for people with symptoms of a respiratory infection including COVID-19, or a positive test result for COVID-19

Special Consideration Procedure

Located in appendix 13 at the end of the document.

Should a candidate be too ill to sit an exam, suffer bereavement or other trauma or be taken ill during the exam itself, it is the candidate's responsibility to alert the centre, or the exam invigilator, to that effect.

Any special consideration claim must be supported by appropriate evidence within five days of the exam, for example a letter from the candidate's doctor.

The exams officer will then forward a completed special consideration form to the relevant awarding body within the JCQ specified deadline date.

There is no specific JCQ regulation that refers to a 'policy' requirement in this respect though it might be good practice to bring all aspects of the process together in one place, as a central point of reference.

Candidates

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

Unauthorised items

Arrangements for unauthorised items taken into the exam room

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

Potential technological/web enabled sources of information are not permitted, ideally, all unauthorised items are left outside of the examination room; any pencil cases taken into the examination room must be see-through; any unauthorised items that have been taken into the examination room must be placed out of reach

of the candidates (and not under their desks) before the examination starts. This would normally be at the front of the examination room or a similar arrangement that enables the invigilator to control access to the items. If candidates have access to unauthorised items in the examination room this may be considered as malpractice. They could be subject to penalties in accordance with the JCQ publication *Suspected Malpractice in Examinations and Assessments: Policies and Procedures*.

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

A head of centre may, if he/she so wishes, prohibit candidates bringing a wristwatch into the examination room. In this case candidates would be required to leave their watches outside of the examination room.

Refer for prompt to [ICE](#) (section 18)

Invigilators

- Are informed of the arrangements through training

Internal exams **Exams**

officer

- Briefs invigilators on conducting internal exams
- Returns candidate scripts to teaching staff for marking **Invigilators**
- Conduct internal exams as briefed by the EO

Results and post-results: roles and responsibilities

Internal assessment

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 **after the retention period** 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
- Ensure senior members of staff are accessible to candidates **immediately** 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 ensure 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

Certificates are collected and signed for by the candidates.

Certificates may be collected on behalf of a candidate by a nominated person, provided they have written authorisation from the candidate.

Certificates are not withheld from candidates who owe fees.

The centre retains certificates for 12 months as per JCQ guidelines.

(Other reference points, for example Data Protection Policy and Access to Scripts, Reviews of Results and Appeals Procedures)

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 **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

(Data Lead)

- Provides analysis of results to appropriate centre staff
- Provides results information to external organisations where required
- Undertakes the DfE School and College Checking Exercises (where applicable to the centre) <https://tablechecking.education.gov.uk>

Certificates

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

Certificate Issue Procedure and Retention Procedure

Certificates are collected and signed for by the candidates.

Certificates may be collected on behalf of a candidate by a nominated person, provided they have written authorisation from the candidate.

Certificates are not withheld from candidates who owe fees.

The centre retains certificates for 12 months as per JCQ guidelines.

The Exams Officer keeps records as required by JCQ and awarding bodies for the required period.

The Exams Officer keeps records as required by the centres records management policy.

Meridian Trust's Records Management policy can be found on

<https://www.meridiantrust.co.uk/key-information/policies/>

Detail the required records kept of certificates that may be destroyed (to support this detail refer to the requirements in GR 5.14) (or delete this table and the heading above it if not deemed appropriate to include here)

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 Procedure**

Located in Appendix 9 Exams Archive

The Exams Officer keeps records as required by JCQ and awarding bodies for the required period.

The Exams Officer keeps records as required by the centres records management policy.

Meridian Trust's Records Management policy can be found on <https://www.meridiantrust.co.uk/key-information/policies/>

Appendices

Include any documentation or information here that you have referred to in the policy that has been provided as an appendix. Number each appendix and start each one on a new page.

Appendix 1: Alternative Invigilation and seating outside the main exam venue Appendix 2: Access Arrangements Appendix 3: Child protection and safeguarding Appendix 4: Complaints and appeals Appendix 5: Data protection for exams Appendix 6: Emergency Evacuation Appendix 7: Equalities and examination Appendix 8: Exam contingency Appendix 9: Exams Archive Appendix 10a: Internal appeals Appendix 10b: Reviews of marking – centre assessed marks (GCE coursework, GCE and GCSE non-examination assessments, Project qualifications) Appendix 11: Lock Down Appendix 12: Non-examination Assessment Appendix 13: Special Consideration Appendix 14: Whistleblowing (exams) Appendix 15: Word Processor Appendix 16a: Learner's Examination Malpractice Appendix 16b: Malpractice and maladministration for ASDAN

Appendix 1

Alternative Invigilation, separation and seating outside the main exam venue procedure

2022/23

Purpose of the procedure

This document is provided as an exams-specific supplement to the *centre-wide accessibility procedure/plan* which details how the centre

“Recognises its duties towards disabled candidates as defined under the terms of the Equality Act 2010†. This must include a duty to explore and provide access to suitable courses, submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates.

†for any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect”

[Quote taken directly from chapter 5.4 of the current JCQ publication
[General regulations for approved centres](#)]

•
This publication is further referred to in this procedure as [GR](#).

This procedure details how the centre facilitates separate invigilation and seating outside the main exam venue for 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
- The Equality Act 2010 definition of disability

A definition of is provided on page 4 of the current JCQ publication *Adjustments for candidates with disabilities and learning difficulties* [Access Arrangements and Reasonable Adjustments](#)

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

Identifying the need for separate invigilation or seating outside the main exam venue

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 leaders

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

Special educational needs coordinator (SENCo)

- Has full knowledge and understanding of the contents, refers to and directs relevant centre staff to the annually updated JCQ publication [AA](#)
- Ensures a SEND procedure demonstrating the centre's compliance with relevant legislation is in place
- Ensures staff roles, responsibilities and processes in identifying, requesting and implementing separate invigilation are clearly defined and documented. *A copy of which is included in Appendices A at the end of this document.*

Ensures that all arrangements put in place comply with JCQ and awarding body regulations and guidance

- Ensures seating arrangements put in place for exams/assessments reflect a candidate's *normal way of working* in internal school tests and mock examinations because of a long-term medical condition or long term social, mental or emotional needs. (*The only exception to this would be the temporary illness, a temporary injury or other temporary indisposition which is clearly evidenced*) Quote taken directly from chapter 5.16 AA)
- Works with teaching staff, relevant support staff and the exams officer to ensure arrangements are put in place for candidates taking internal and external exams/assessments
- Provide information to evidence the normal way of working of a candidate
- Provides appropriate evidence to confirm the need(s) of a candidate
- Ensures that arrangements are in place before a candidate takes his/her first exam internal or external assessment.
- Ensures parents/carers are made aware of the final outcome of any internal or external application for separate invigilation or seating away from the main examination venue

Teaching staff

- Inform the SENCo of any support that might be needed by the candidate by completing the appropriate SENCo referral form.
- Support the SENCo in determining the need for and implementing alternative invigilation or seating outside the main exam venue

Requesting alternative invigilation or seating outside the main exam venue

Roles and responsibilities

Special educational need coordinator (SENCo)

- Determines if the arrangements identified for a candidate require prior approval from the awarding body before the arrangements are put in place or if approval is centre delegated
- Maintains a file for each candidate that will include:
 - appropriate evidence to support the need for the arrangement where required
 - appropriate evidence to support normal way of working within the centre
 - presents the files when requested by the JCQ Centre Inspector

Exam's officer

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

Implementing alternative invigilation or seating outside the main exam venue

Head of centre

- ▶ Supports the SENCo, the exams officer and other relevant centre staff in ensuring appropriate arrangements are in place to facilitate alternative invigilation or seating away from the main exam venue
- ▶ Is familiar with the *Checklist for heads of centre and examination officers – The Equality Act 2010 and conduct of examinations* provided in the current [ICE \(page 44\)](#)

Special educational needs coordinator (SENCo)

- Ensures a candidate is involved in any decisions about seating arrangements, that may be put in place for him/her and ensures the candidate understands what will happen at exam time

- Ensures that prior to any alternative seating arrangements being put in place checks are made and that arrangements do not impact on any assessment criteria/competence standards being tested
- Ensures that any arrangements put in place do not unfairly disadvantage or advantage disabled candidates

Exam's officer

- Is familiar with and follows the *Checklist for heads of centre and examination officers – The Equality Act 2010 and conduct of examinations* provided in the current [ICE \(page 44\)](#)
- Ensures appropriate seating arrangements are in place (unless a temporary emergency arrangement is required at the time of an exam)
- Allocates appropriate seating as advised by the SENCo using the centre's MIS system.

Other relevant centre staff

- Support the SENCo and the exams officer to ensure appropriate seating is in place

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 are in place
- ▶ Is familiar with the *Checklist for heads of centre and examination officers – The Equality Act 2010 and conduct of examinations* provided in the current [ICE \(page 44\)](#)

•

Special educational needs coordinator (SENCo)

Ensures appropriate seating arrangements for candidates (unless a temporary emergency arrangement is required at the time of an exam)

- Ensures a candidate is involved in any decisions about seating arrangements that may be put in place for him/her and ensures the candidate understands what will happen at exam time
- Ensures that prior to any arrangements being put in place checks are made that arrangements do not impact on any assessment criteria/competence standards being tested
- Ensures that any arrangements put in place do not unfairly disadvantage or advantage disabled candidates

Exam's officer

- Is familiar with and follows the *Checklist for heads of centre and examination officers – The Equality Act 2010 and conduct of examinations* provided in the current [ICE \(page 44\)](#)
- Liaises with other relevant centre staff regarding the provision of appropriate rooming

Other relevant centre staff

- Support the SENCo and the exams officer to ensure appropriate seating arrangements are in place

Internal assessments

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

“Externally marked and/or externally set practical examinations taken at different times across centres are classified as ‘NEA’.”

-

[Quote taken from the JCQ publication [*Instructions for conducting non-examination assessments – Foreword, page 3*](#)]

Special educational needs coordinator (SENCo)

- Liaises with teaching staff to implement appropriate seating arrangements for candidates
- Ensures centre-delegated and awarding body approved arrangements are in place prior to a candidate taking his/her first formal supervised assessment
- Ensures candidates are aware of the seating arrangements that are in place for their assessments

Teaching staff

- Support the SENCo in implementing appropriate seating arrangements for candidates
- Ensures cover sheets are completed as required by facilitators
- Provide the SENCo with assessment schedules to ensure arrangements are put in place when required

Internal exams

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

Special educational needs coordinator (SENCo)

- Liaises with teaching staff to advise on appropriate seating arrangements for candidates

Teaching staff

- Support the SENCo in implementing appropriate seating arrangements for candidates
- Provide the SENCo with internal exam timetable to ensure arrangements are put in place when required

Appendices

The process of identifying, requesting and implementing separate invigilation or seating outside of the examination room.

Any concerns from parents, teaching staff or the candidate must in the first instance be referred to the candidate's Tutor, SSA or Senior Tutor with pastoral responsibilities. These concerns must be investigated and if not resolved at house level, then a referral must be made by the Senior Tutor to the SENCo using the SENCo referral form.

A letter is available to respond to parents raising concerns about their child.
(Appendices B)

The SENCo must make their decision based on:

whether the candidate has **a substantial and long-term impairment** which has **an adverse effect; and is the candidate's normal way of working within the centre.**

Centres must note that candidates are only entitled to the above arrangements if they are disabled within the meaning of the Equality Act. The candidate is at a substantial disadvantage when compared with other non-disabled candidates undertaking the assessment and it would be reasonable in all the circumstances to provide the arrangement. (The only exception to this would be a temporary illness, a temporary injury or other temporary indisposition which is clearly evidenced.)

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

Separate invigilation reflects the candidate's normal way of working in internal school tests and mock examinations because of a long-term medical condition or long term social, mental or emotional needs.

The following are two examples where candidates would be eligible for separate invigilation:

1. A candidate with depression who has been under Child and Adolescent Mental Health Services (CAMHS)
2. A candidate with an established medical condition or formally recognised social, emotional and behavioural difficulties

Where a candidate simply panics on the day of an examination or becomes anxious, then he/she should indeed be seated more appropriately within the main examination hall.

Separate invigilation is no different to other access arrangements; such as prompters, supervised rest breaks etc. Heads of year and assistant headteachers with pastoral responsibilities will precisely know those students with established and long-term health conditions and whether separate invigilation is warranted. Working with the SENCo and exams officer (EO), who may highlight issues such as room availability and the need for additional invigilation, a centre-based decision is made on the need for separate invigilation. This information would then be forwarded by the SENCo for reference by the Exams Officer when allocating seating in examinations.

Appendices B

Dear Parent/Carer

We are receiving an increasing number of requests from students asking to take examinations away from the main examination hall on the grounds that they feel too anxious.

For the most part candidates making the request do not have established difficulties, it is not their normal way of working and currently are not eligible for access arrangements. They are attending normal lessons in school and other occasions such as assemblies where large numbers of students are present. The only issue appears to be anxiety in exams. We understand that a degree of anxiety prior to an examination is normal and have taken the line of approach that a request for separate seating will only be granted if the candidate is able to produce specialist evidence regarding their anxiety issues, for example; a letter from CAMHS, an NHS Psychiatrist or a qualified counsellor and/or the candidate's difficulties are recognisable by the SENCo, a Form Tutor, a Head of Year or a senior member of staff with pastoral responsibilities. Separate invigilation cannot be granted based on a letter from the candidate's GP or on account of sustained parental pressure. A GP's letter may be presented to support an application, but separate invigilation will not be awarded based solely on this type of information due to the GP not having experience of the candidate's anxiety and his/her diagnosis being based solely on information provided by the parent/carers of the candidate.

Separate invigilation will only be awarded to a candidate with genuine difficulties which the centre recognises, and the centre considers separate invigilation within the centre to be an appropriate and reasonable adjustment in light of those difficulties.

Further guidance can be found on page 24 section 8.6 of the Instruction for the Conduct of Examinations booklet and page 69 section 5.16 of the Access Arrangements and Reasonable Adjustments booklet which can be found on the Joint Council for Qualifications website:

www.jcq.org.uk

Should you wish to pursue an application for separate invigilation or seating outside the normal examination venue at Meridian Trust Academies please ensure your request is made in writing and forward with supporting evidence to Meridian Trust Academies SENCo at the above address.

Yours sincerely



Appendix 2

Access Arrangements

2022/23

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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. Separate legislation is in place for Northern Ireland (see AA 1.8). The definitions and procedures in AA relating to access arrangements and reasonable adjustments will also apply in Northern Ireland **Purpose of the procedure**

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

(JCQ's **General Regulations for Approved Centres**, section 5.4)

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

This procedure 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 **ALS lead/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](#), section 4.2)

The procedure 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 disabled candidate. The SENCo, or an equivalent member of staff within a FE college, **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 Protocols for Exams

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

See appendix 7 for Equality Protocols for Exams and this appendix for access arrangements.

The head of centre/senior leadership team will... recognise its duties towards disabled candidates, **including private 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 ([GR](#), section 5.4)

The Access Arrangements Procedure further covers the assessment process and related issues in more detail.

The assessment process

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

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

Only qualified assessors are used by Meridian Trust, these may be internal or external assessors.

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)

A robust process is followed to check the qualifications(s) of the assessor(s) and adhere to JCQ ch7.

Bear in mind **all** relevant JCQ regulations and guidance provided in [GR](#) and [AA](#) including:

The head of centre/senior leadership team adheres to this written process to not only check the qualification(s) of their assessor(s) but that the correct

procedures are followed as in Chapter 7 of the JCQ publication Access Arrangements and Reasonable Adjustments... ([GR](#), [section 5.4](#))

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

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

Make full reference to [AA](#), [section 7.3](#) (Appointment of assessors of candidates with learning difficulties) and record your process that reflects the requirements.

Reporting the appointment of the assessor(s)

Signpost to the location of the evidence that the assessor(s) is/are suitably qualified held by the ALS lead/SENCo.

Make full reference to [AA](#), [section 7.4](#) (Reporting the appointment of assessors) and record your process that reflects the requirements.

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

The correct procedures are followed as per Chapter 7 of the JCQ publication *Access Arrangements and Reasonable Adjustments*.

Make full reference to [AA, sections 7.5](#) (Guidelines for the assessment of the candidate's learning difficulties by an assessor) and 7.6 (Completing Form 8 – JCQ/AA/LD, Profile of Learning Difficulties) and record your process that reflects the requirements.

By detailing this, you should be confirming that the correct procedures are followed as in Chapter 7 of the JCQ publication *Access Arrangements and Reasonable Adjustments*.

([GR, section 5.4](#))

Note

SENCOs and assessors working within the centre should always carefully consider any privately commissioned assessment to see whether the process of gathering a picture of need, demonstrating normal way of working within the centre and ultimately assessing the candidate themselves should be instigated ([AA, section 7.3](#))

Also detail any process (where relevant) for a private candidate such as a distance learner or a home educated student (refer to the requirement in [GR, section 5.4](#))

Picture of need/normal way of working

Meridian Trust ensure the SENCO leads the process for painting a 'holistic picture of need' and gathering evidence to demonstrate normal way of working.

Where relevant include any additional information relating to private candidates.

Before the candidate's assessment, the SENCo **must** provide the assessor with background information, i.e. a picture of need has been painted as required in Part 1 of Form 8. The SENCo and the assessor **must** work together to ensure a joined-up and consistent process.

An independent assessor **must** contact the centre and ask for evidence of the candidate's normal way of working and relevant background information. This **must** take place **before** the candidate is assessed. Additionally, the independent assessor **must** be approved by the head of centre to assess the candidate. All candidates **must** be assessed in light of the picture of need and the background information as detailed within Part 1 of Form 8.

An independent assessor **must** discuss access arrangements/reasonable adjustments with the SENCo. The responsibility to determine and request appropriate and practicable access arrangements/reasonable adjustments specifically lies with the SENCo. (AA, section 7.5)

Make full reference to AA, sections 7.5 (Guidelines for the assessment of the candidate's learning difficulties by an assessor) and 7.6 (Completing Form 8 – JCQ/AA/LD, Profile of Learning Difficulties) and record your process that reflects the requirements.

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.

The SENCo **must** keep detailed records, whether electronically or in hard copy paper format, of all the essential information on file. This includes a copy of the

candidate's approved application, appropriate evidence of need (where required) **and** a signed candidate personal data consent form for inspection by the JCQ Centre Inspection Service. (AA, section 8.6)

Make full reference to AA, section 8 (Processing applications for access arrangements and adjustments), section 6 (Modified papers) and record your process that reflects the requirements.

Centre-delegated arrangements/adjustments

The centre's processes for dealing with centre delegated arrangements (those arrangements which may be granted by the centre and appropriate evidence held on file or those arrangements that do not need to be recorded).

Centre-specific criteria for particular arrangements/adjustments

Word Processor Procedure (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.

Appendix 15 in the Exams Policy.

~~A centre **must** have a policy on the use of word processors... A member of the centre's senior leadership team **must** produce a statement for inspection purposes which details the criteria the centre uses to award and allocate word processors for examinations.~~

A member of the centre's senior leadership team must produce a word processor procedure, specific to the centre, which details the criteria the centre uses to award and allocate word processors for examinations and assessments. This policy must be available for inspection. (AA, section 5.8)

Separate Invigilation Procedure

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, section 5.16)

Appendix 1 in the Exams Policy. In the case of separate invigilation, the candidate's disability is **established within the centre** (see Chapter 4, paragraph 4.1.4). It is known to a Form Tutor, a Head of Year, the SENCo or a senior member of staff with pastoral responsibilities.

Separate invigilation must reflect the candidate's normal and current way of working in internal school tests and mock examinations

Nervousness, low level anxiety or being worried about examinations is not sufficient grounds for separate invigilation within the centre. (AA, section 5.16)

Child Protection and Safeguarding (Exams)

2022/23

Purpose of the Procedure

This **procedure** details how **Meridian Trust** in relation to the management, administration and conducting of examinations and assessments, ensures that the moral and statutory responsibility to safeguard and promote the welfare of children is met.

This details how staff are trained and supported to be alert to, and report, the signs of abuse and neglect and how they will follow centre procedures to ensure that children receive effective support, protection, and justice.

The procedures apply to all staff associated with the management, administration and conducting of examinations and assessments at **Meridian Trust schools**.

Aims

- To provide all exams-related staff at **Meridian Trust schools** with the necessary information to enable them to meet their safeguarding and child protection responsibilities
- To ensure consistent good practice
- To demonstrate the commitment with regard to safeguarding and child protection to **pupils/students**, parents/carers and other partners when taking examinations and assessments at **Meridian Trust schools**
- To contribute to the wider Trust Child Protection and Safeguarding Policy

Section 1 – Roles and Responsibilities

The named Designated Safeguarding Lead (DSL) in **Meridian Trust schools**:

will take lead responsibility for child protection and safeguarding in relation to examinations and assessments. The DSL will offer advice, support and expertise in all matters relating to child protection and safeguarding in relation to examinations and assessments etc.]

Exams officer

The names exams officers in each of the **Meridian Trust schools** will support the DSL as directed, and undertake all relevant training etc.

Other exams staff such as exams assistants, invigilators, facilitators of access arrangements etc, will undertake training as directed by the DSL, report child protection and safeguarding issues/concerns in line with centre processes/policy etc.

Section 2 – Staff Recruitment

Meridian Trust ensures that only 'suitably qualified and experienced adults' are employed in the management, administration and conducting of examinations and assessments. This is supported by the safer recruitment process which includes:

- completing an application form which includes their employment history and explains any gaps in that history
- providing two referees, including at least one who can comment on the applicant's suitability to work with children
- providing evidence of identity and qualifications
- verifying their mental and physical fitness to carry out their work responsibilities
- verifying their professional qualifications, as appropriate
- carrying out further additional checks, as appropriate, on candidates who have lived or worked outside of the UK, including (where relevant) any teacher sanctions or restrictions imposed by a European Economic Area professional regulating authority, and criminal records checks or their equivalent
- asking for written information about previous employment history and check that information is not contradictory or incomplete. We will seek references on all shortlisted candidates, including internal candidates, before interview. We will scrutinise these and resolve any concerns before confirming appointments.
- if offered employment, be checked in accordance with the Disclosure and Barring Service (DBS) regulations as appropriate to their role. This will include:
 - an enhanced DBS check and a barred list check for those including unsupervised volunteers engaged in Regulated Activity
 - an enhanced DBS check without a barred list check for all volunteers not involved in Regulated Activity but who have the opportunity of regular contact with children
 - ensuring that this member of staff has a subscription to the DBS Update Service (where relevant)
- if offered employment, provide evidence of their right to work in the UK
- be interviewed by a panel of at least two school leaders/governors, if shortlisted

DBS check information

All information on the checks carried out on those who are employed solely for the purpose of periodic exams-related activity, such as external invigilators/facilitators, will be recorded in the centre's single central record (SCR). Copies of these checks, where appropriate, will be held in individuals' personnel files. **Existing staff**

Although there is no statutory requirement to update DBS checks for existing staff, external invigilators/facilitators will undertake a 'rolling DBS check'.

If there are concerns about an existing member of staff's suitability to work with children, all relevant checks will be carried out as if the individual was a new member of staff. This action will also be taken if an individual moves from a post that is not regulated activity to one that is.

Anyone who has harmed, or poses a risk of harm, to a child or vulnerable adult will be referred to the DBS:

- Where the 'harm test' is satisfied in respect of the individual (i.e., that no action or inaction occurred but the present risk that it could was significant)
- Where the individual has received a caution or conviction for a relevant offence
- If there is reason to believe that the individual has committed a listed relevant offence, under the Safeguarding Vulnerable Groups Act 2006 (Prescribed Criteria and Miscellaneous Provisions) Regulations 2009
- If the individual has been removed from working in regulated activity (paid or unpaid) or would have been removed if they had not left

'Break in service'

To comply with 'break in service' regulations, all external invigilators/facilitators will be required to register with the DBS Update Service on an annual basis and provide consent for the designated senior member of staff in charge of safeguarding arrangements to carry out an online check to view the status of their existing **standard or enhanced** DBS certificate. This will not apply to any invigilators who meet the 'frequency test' at **schools in Meridian Trust** – e.g., working 3 or more times in a 30-day period, or attending the centre at least every 3 months for training, updates etc.

By registering with the Update Service, these staff will be permitted to attend on any day during an exam series (providing they can supply an updated Disclosure Certificate and ID) without the need for additional checks or any additional attendance at **a Meridian Trust school**

Agency staff

Written notification will be obtained from any agency or third-party organisation that it has carried out the necessary safer recruitment checks that we would otherwise perform. A check will also be performed to confirm that the person presenting themselves for work is the same person on whom the checks have been made.

Section 3 – Supporting staff

All exams staff in Meridian Trust are made aware of the good practice guidelines and staff code of conduct in relation to child protection and safeguarding.

They are informed and updated on the contents of the centre's Trust Child Protection and Safeguarding Policy by, **for example, training sessions, online information, hard copy information.**

Training sessions/information dissemination will take place/has taken place during an academic year in the table below.

Training/information delivered

Date delivered	Details of training/information delivered	Audience (e.g. invigilators, access arrangements facilitators etc.)
Annually	Trust F2F Safeguarding Training and follow up online training via Co-assemble trust platform.	All staff

Section 4 – Areas covered

All exams staff will be trained/updated on the following areas to ensure that they are complying with the centre policy on child protection and safeguarding:

- Abuse of position of trust
- Children who may be particularly vulnerable
- Children with special educational needs and disabilities or have mental health needs
- Early help
- Reporting attendance concerns
- Staff reporting concerns about a colleague or other adult who works with children (Whistleblowing)
- Complaints procedure
- Site security
- Confidentiality and information sharing
- Photography and images
- Child protection procedures
- Recognising abuse – physical abuse, emotional abuse, sexual abuse and neglect
- Indicators of abuse

- Taking action
- If a member of staff or volunteer is concerned about a pupil's welfare
- If a pupil discloses to a member of staff or volunteer
- Bullying, peer on peer abuse and harmful sexual behaviour
- Peer on peer sexual violence and sexual harassment
- Youth produced sexual imagery
- Serious violence
- Child sexual exploitation (CSE) and child criminal exploitation (CCE)
- So-called 'honour based' abuse
- Female genital mutilation
- Forced marriage
- Protecting children from radicalisation and extremism
- Domestic abuse]

Section 5 – Reporting

The process for staff to report issues/concerns relating to child protection and safeguarding is detailed in the Meridian Trust Child Protection and Safeguarding policy. If a member of staff needs to make a complaint/report a colleague or other adult who works with children (whistleblowing), they should follow the Meridian Trust policies for the Complain/Reporting/Whistleblowing procedure/process.

Section 6 – Protocols for one-to one support/supervision

Where staff are engaged in invigilation/facilitation and/or centre supervision on a one-to one basis with a candidate the following protocols should be followed.

Summoning immediate assistance in case of any concern: follow protocols, including for example, the means of summoning assistance, who to summon etc.

Leaving the examination room temporarily

Where a member of staff may accompany a candidate requiring a toilet break follow protocols, all including for example, and dependent on the nature of the facilities in the centre, the member of staff is required to first check that the facilities are unoccupied, at what point the candidate is left unaccompanied (at the entrance to the facility/the entrance to the cubicle) etc.

Where a member of staff may accompany a candidate who is feeling unwell; protocols to be followed, including for example, where to take the candidate or who to contact etc.

References

Keeping children safe in education

www.gov.uk/government/publications/keepingchildren-safe-in-education--2

Check someone's criminal record as an employer www.gov.uk/dbs-check-applicantcriminal-record

DBS Update Service www.gov.uk/dbs-update-service

DBS Checks for Schools www.onlinedbschecks.co.uk/job-sectors/dbs-checks-for-schools/

Complaints and Appeals Procedure (Exams) 2022/23

Purpose of the procedure

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

Grounds for complaint

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

Teaching and learning

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

Access arrangements and special consideration

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 did not consent to record their personal data online (by the nonacquisition of a completed candidate personal data 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/assistive technology 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
- Candidate unhappy with centre decision relating to access arrangements or special consideration (complainant to refer via the centre's *internal appeals procedure*)
- Centre fails to adhere to its *internal appeals procedure*

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 **accepted/rejected** outcome of a special consideration application if provided by awarding body **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 Meridian Trust to the centre's *internal appeals procedure*)
- **Centre fails to adhere to its *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 his/her parent/carer) has a general concern or complaint about the centre's delivery or administration of a qualification he/she is following, Meridian Trust encourages him/her to try to resolve this informally in the first instance. A concern or complaint should be made in person, by telephone or in writing to the head of centre as per Meridian Trust procedure.

If a complaint fails to be resolved informally, the candidate (or his/her parent/carer) is then at liberty to make a formal complaint as per Meridian Trust policy. **How to make a formal complaint**

- **Follow Meridian Trust policy**

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 the terms of the Trust's policy **Appeals**

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

- As per Meridian Trust policy
- 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 the terms of the policy
- The appeal will be referred to for consideration as per Meridian Trust's policy
- The appellant of the final conclusion will be informed in due course

Complaints and Appeals form

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

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

FOR CENTRE USE ONLY	
Date received	
Reference No.	

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

Complainant/appellant signature:

Date of signature:

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

Complaints and Appeals log

On receipt, all complaints/appeals are assigned a reference number and logged.

Outcome and outcome date is also recorded.

Ref No.	Date received	Complaint or Appeal	Outcome	Outcome date

Data Protection Procedure (Exams)

2022/23

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Purpose of the procedure

This policy details how Meridian Trust, in relation to exams management and administration, ensures compliance with the regulations as set out by the Data Protection Act 2018 (DPA 2018) and UK General Data Protection Regulation (GDPR).

The delivery of examinations and assessments involve centres and awarding bodies processing a significant amount of personal data (i.e. information from which a living individual might be identified). It is important that both centres and awarding bodies comply with the requirements of the UK General 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 **JCQ's General Regulations for Approved Centres (section 6.1)** 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 office(r) to hold exams-related information on candidates taking external examinations. For further details on the type of information held please refer to Section 5 below.

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

- Awarding bodies
- Joint Council for Qualifications (JCQ)

- Department for Education; Local Authority; Multi Academy Trust; Consortium; the Press; any other organisation as relevant.

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

- hard copy
- email
- secure extranet site(s) e.g. AQA Centre Services; OCR Interchange; Pearson Edexcel Online; WJEC Secure Website; City & Guilds Walled Garden; others as appropriate to your centre.
- Management Information System (MIS) provided by Capita SIMS 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/postresults/certificate information.

Section 2 – Informing candidates of the information held

Meridian Trust ensures that candidates are fully aware of the information and data held.

All candidates are:

- informed via a range of comms such as centre newsletter, electronic communication.
- given access to this policy via the Trust's website, centre website, written request.

Candidates are made aware of the above at the start of a course leading to a vocational qualification, or, where candidates are following GCE and GCSE qualifications, when the entries are submitted to awarding bodies for processing.

At this point, 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 (or law relating to personal data in any jurisdiction in which the awarding body or centre are operating).

Candidates eligible for access arrangements which require awarding body approval using **Access arrangements online** 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.

Section 3 – Hardware and software

Meridian Trust GDPR policy confirms how IT hardware, software and access to online systems are protected in line with DPA and GDPR requirements.

Section 4 – Dealing with data breaches

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

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

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

1. Containment and recovery

The Meridian Trust 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 **as per Meridian Trust policies**.

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

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

- information held in secure area
- updates undertaken as per Meridian Trust GDPR policy states. This may include updating antivirus software, firewalls, internet browsers etc.

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/accessible from **the website or on request**.

Section 7 – Access to information

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

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 Exam Officer or the Data Protection Officer** in **writing/email** and **how ID will need to be confirmed if a former candidate is unknown to current staff**.

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.

The ability of young people to understand and exercise their rights is likely to develop or become more sophisticated as they get older. As a general guide, a child of 12 or older is expected to be mature enough to understand the request they are making. A child may, of course, be mature enough at an earlier age or may lack sufficient maturity until a later age, and so requests should be considered on a case by case basis.

A decision will be made by **the Exam Officer or the Data Protection Officer** as to whether the student is mature enough to understand the request they are making, with requests considered on a case by case basis.

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 as per the **centre's process for sharing data with a third-party e.g. unless a request is accompanied with permission from the candidate and appropriate evidence (where relevant), to verify the ID of both parties, provided.**

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

The centre will take into account any other legislation and guidance regarding sharing information with parents (including non-resident parents), as example guidance from the Department for Education (DfE) regarding parental responsibility and school reports on pupil performance:

- Understanding and dealing with issues relating to parental responsibility www.gov.uk/government/publications/dealing-with-issues-relating-toparental-responsibility/understanding-and-dealing-with-issues-relating-toparental-responsibility
- School reports on pupil performance www.gov.uk/guidance/school-reports-on-pupil-performance-guide-forheadteachers

Publishing exam results

When considering publishing exam results, Meridian Trust schools will make reference to the ICO (Information Commissioner's Office) <https://ico.org.uk/your-datamatters/schools/exam-results/> where appropriate.

And 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 the Trust schools 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 the 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		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 MIS Lockable metal filing cabinet	Secure user name and password [insert] In secure office (SENCo)	
Alternative site arrangements					
Attendance registers copies					
Candidates' scripts					

Candidates' work					
Centre consortium arrangements for centre assessed work					

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
Certificates					
Certificate destruction information					
Certificate issue information					
Conflicts of interest records					
Entry information					
Exam room incident logs					
Invigilator and facilitator training records					

Overnight supervision information					
Post-results services: confirmation of candidate consent information					
Post-results services: requests/outcome information					

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
Post-results services: scripts provided by ATS service					
Post-results services: tracking logs					
Private candidate information					
Resolving timetable clashes information					

Results information					
Seating plans					
Special consideration information					
Suspected malpractice reports/outcomes					
Transferred candidate arrangements					
Very late arrival reports/outcomes					
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

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Appendix 6

EMERGENCY EVACUATION

(Exams) 2022/23

Purpose of the protocol

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

When is an emergency evacuation required?

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

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

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

Where candidates are unable to return to the building to complete the examination, the relevant awarding body will be contacted immediately for advice. The awarding bodies have procedures in place to ensure that candidates are not disadvantaged where they are unable to complete the examination due to circumstances beyond their control. (ICE 25.5)

Emergency evacuation of an exam room

Roles and responsibilities

Head of centre

- Ensures the emergency evacuation policy for exams is fit for purpose and complies with relevant health and safety regulation
- Ensures any instructions from relevant local or national agencies are referenced and followed where applicable, including information from the National Counter Terrorism Security Office on the Procedures for handling bomb threats
<https://www.gov.uk/government/publications/bomb-threats-guidance/procedures-for-handling-bomb-threats>
- Where safe to do so, ensures candidates are given the opportunity to sit exams for their published duration

Senior leader

- Where responsible for the centre-wide emergency evacuation procedure, ensures all staff and appointed fire marshals are aware of the policy and procedures to be followed when an emergency evacuation of an exam room is required

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

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

Exams officer

- Ensures invigilators are trained in emergency evacuation procedures and how an incident and actions taken must be recorded
- Ensures candidates are briefed prior to exams taking place, on what will happen in the event of an emergency in the exam room
- Provides invigilators with a copy of the emergency evacuation procedure for every exam room
- Provides a standard invigilator announcement for each exam room which includes appropriate instructions for candidates about emergency procedures and what will happen if the fire alarm sounds
- Provides an exam room incident log in each exam room
- Liaises with the ALS lead/SENCo and other relevant staff prior to each exam where different procedures or assistance may need to be provided for a disabled candidate
- Briefs invigilators prior to each exam where different procedures or assistance may need to be provided for a disabled candidate
- Ensures appropriate follow-up is undertaken after an emergency evacuation, reporting the incident to the awarding body and the actions taken through application of the special consideration process where applicable (in cases where a group of candidates have been disadvantaged by a particular event)

Invigilators

- By attending training and/or update sessions, ensure they understand what to do in the event of an emergency in the exam room
- Follow the actions required in the emergency evacuation procedure issued to them for every exam room
- Confirm with the exams officer, where different procedures or assistance may need to be provided for a disabled candidate they are invigilating
- Record details on the exam room incident log to support follow-up reporting to the awarding body by the exams officer (see below)

Other relevant centre staff

- Support the senior leader, ALS lead/SENCo, exams officer and invigilators in ensuring the safe emergency evacuation of exam rooms

Recording details

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

- the actual time of the start of the interruption
- the actions taken
- the actual time the exam(s) resumed
- the actual finishing time(s) of the resumed exam(s) Further details could include:
- report on candidate behaviour throughout the interruption/evacuation
- a judgement on the impact on candidates after the interruption/evacuation

Emergency evacuation procedure

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

Emergency evacuation procedure
Actions to be taken (as detailed in current JCQ Instructions for conducting examinations section 25, Emergencies)
Stop the candidates from writing
Collect the attendance register (in order to ensure all candidates are present)
Evacuate the examination room in line with the instructions given by the appropriate authority
Advise candidates to leave all question papers and scripts in the examination room Candidates must be advised to close their answer booklet
Ensure candidates leave the room in silence
Ensure the candidates are supervised as closely as possible while they are out of the examination room to make sure so that there is no discussion about the examination
Make a note of the time of the interruption and how long it lasted
Allow the candidates the remainder of the working time set for the examination once it resumes

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

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

Additional centre-specific actions if required:

Appendix 7

Equalities Protocols for Exams

2022/23

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Purpose of the protocol

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, including private 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

†for any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect

(**JCQ's General Regulations for Approved Centres**, section

5.4) This publication is further referred to in this policy

as **GR**

This protocol 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 **2022-2023**

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 **teacher** assessor)

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

Responsibilities might include some of the examples listed below (this list is by no means exhaustive); the same responsibility could be assigned to more than one role.

- | |
|--|
| <ul style="list-style-type: none"> • Ensures the quality of the access arrangements process within the centre • Ensures staff roles, responsibilities and processes in identifying, requesting and implementing access arrangements for all candidates are clearly defined and documented • 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 • Ensures the assessment process is administered in accordance with the regulations and that the correct procedures are followed as in Chapter 7 of AA • Ensures a policy demonstrating the centre's compliance with relevant legislation is in place • Support the SENCo in determining the need for and implementing access arrangements • Ensures a statement is provided which details the criteria the centre uses to award and allocate word processors for exams • Leads on the access arrangements process to facilitate access for candidates • Ensures that the access arrangements/reasonable adjustments approved allow the candidate to access the assessment, but do not result in the candidate gaining an unfair advantage |
| <ul style="list-style-type: none"> • Defines and documents roles, responsibilities and processes in identifying, requesting and implementing access arrangements • Provides a policy on the use of word processors in exams and assessments • 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 • Ensures the qualified assessor(s) has access to the assessment objectives for the relevant specification(s) a candidate is undertaking |

- Ensures that all assessments carried out and arrangements put in place comply with JCQ and awarding body regulations and guidance
- Ensures arrangements put in place for exams/assessments reflect a candidate's *normal way of working* within the centre
- Ensures the need for access arrangements for a candidate is considered on a subject by subject basis
- Presents when requested by a JCQ Centre Inspector, evidence of the assessor's qualification
- 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
- Provide information to evidence the normal way of working of a candidate
- Conducts appropriate assessments to identify the need(s) of a candidate
- Provides appropriate evidence to confirm the need(s) of a candidate
- Completes appropriate documentation as required by the regulations of JCQ and the awarding body

Use of word processors

Appendix 15

A centre **must** have a policy on the use of word processors... A member of the centre's senior leadership team **must** produce a statement for inspection purposes which details the criteria the centre uses to award and allocate word processors for examinations. A member of the centre's senior leadership team must produce a word processor policy, specific to the centre, which details the criteria the centre uses to award and allocate word processors for examinations and assessments. This policy must be available for inspection (AA, section 5.8)

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

Responsibilities might include some of the examples listed below (this list is by no means exhaustive); the same responsibility could be assigned to more than one role.

- Follows guidance in [AA](#) (chapter 8) to process approval applications for access arrangements for those qualifications included
- Applies for approval where this is required, through Access arrangements online (AAO), or through the awarding body where qualifications sit outside the scope of AAO
- Ensures that where approval is required the application is processed on time and no later than the awarding body's published deadline
- Ensures that the full supporting evidence is in place before an online application is processed
- Reviews the evidence before an online application is processed, ensuring that the candidate does meet the published criteria for the respective arrangement
- 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
- 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 who are **not** subject to a current EHCP or Statement of Special Educational Needs who require 25% extra time and/or a scribe (including candidates who require a computer reader/reader and 25% extra time and/or a scribe)
- all candidates with learning difficulties who require up to 50% extra time

- all candidates who require a Language Modifier)

- ensures where form 8 is required to be completed, the form is signed (a typed signature is acceptable) and dated as required to approve application for prior form is provided for processing and has been read for section purposes (This may be a hard copy paper version or an e and ensures the names of all other assessors, who are assessing candidates entered by AAO are entered into AAO to confirm their status the initial 'confirmation'
- approval that the 'malpractice consequence statement' accepted makes an *awarding body referral*
- approval may not be approved by AAO, where it is deemed by the assess meet the criteria for the arrangement(s)
- maintains a file/e-folder for each candidate (the required documents in hard copy within the candidate's file/each of the required electronically within the candidate's e-folder) that will include:
 - completed JCQ/awarding body application forms and evidence
 - appropriate evidence to support the need for the arrangement
 - appropriate evidence to support normal way of working within a signed
 - in addition, for those qualifications covered by AAO (where appropriate) a signed candidate printout/PDF of the AAO approval, and [redacted] personal data consent form (which provides candidate contact details being shared)
 - (where applicable) 'Data protection confirmation by the exam officer or SENCo' acknowledged before an application is processed
- presents the files/e-folders when requested by a JCQ Centre Inspector and addresses any queries/questions raised
- the SENCo is unavailable, presents the files/e-folders of access arrangements requested by a JCQ Centre Inspector and addresses any queries
- Presents with teaching staff regarding any appropriate modified paper candidates
- presents with the SENCo to ensure arrangements are in place to either electronic (PDF) question paper from CCEA, OCR and WJEC (or to download a PDF copy of the standard question paper where provided) or to open question paper packets in the secure room
-

[redacted] 'awarding body' published starting time for the examination

c
tr

permitted to modify a timetabled written component exam paper (copy on coloured paper, enlarge to A3 or copy to single sided print)

- 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

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 2022-2023](#)

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

Responsibilities might include some of the examples listed below (this list is by no means exhaustive); the same responsibility could be assigned to more than one role.

- Is familiar with the instructions for Invigilation arrangements for candidates with access arrangements and Access arrangements in ICE 2022-2023
- Ensures a candidate is involved in any decisions about arrangements, adjustments and/or adaptations that may be put in place for him/her and ensures the candidate understands what will happen at exam time

- Ensures exam information (JCQ information for candidates documents, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it
- Ensures that prior to any arrangements being put in place checks are made that arrangements do not impact on any assessment criteria/competence standards being tested
- Ensures that any arrangements put in place do not unfairly disadvantage or advantage disabled candidates
- 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
- Liaises with the exams officer (EO) regarding facilitation and invigilation of access arrangement candidates in exams
- Liaises with other relevant centre staff regarding the provision of appropriate rooming and equipment that may be required to facilitate access for disabled candidates to exams
- Appoints appropriate centre staff as facilitators to support candidates (practical assistant, prompter, Language Modifier, reader, scribe or Communication Professional)
- Ensures facilitators supporting candidates are appropriately trained and understand the rules of the particular access arrangement(s)
- 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

- 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
- 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
- Ensures a facilitator acting as a prompter is aware of the appropriate way to prompt depending on the needs of the candidate
- Liaises with the EO to ensure that invigilators are made aware of the Equality Act 2010 and are trained in disability issues
- 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

- Ensures cover sheets, where these are required by the arrangement are completed as required by facilitators
- 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
- Liaises with the SENCo and other relevant centre staff to ensure appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams
- Liaises with the SENCo to ensure exam information (JCQ information for candidates documents, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it
- Liaises with the SENCo regarding the facilitation and invigilation of access arrangement candidates
- Liaises with the SENCo regarding rooming of access arrangement candidates
- Liaises with the SENCo to ensure that invigilators are made aware of the Equality Act 2010 and are trained in disability issues
- Ensures appropriate seating arrangements are in place where different arrangements may need to be made for a candidate to facilitate access to his/her exams
- 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
- Ensures invigilators are briefed prior to each exam session of the arrangements in place for a disabled candidate in their exam room

- Checks in advance of dated exams/assessments that modified paper orders have arrived (and if not will contact the awarding body to ensure that papers are available when required)
- 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
- 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
- Provides cover sheets prior to the start of an exam where required for particular access arrangements and ensures that these have been fully completed before candidates' scripts are dispatched to examiners/markers
- prints pre-populated cover sheets from AAO where this is required for particular arrangements
- 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
- 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
- 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

Other relevant centre staff could include:

- Staff responsible for **IT or other specialist equipment** that may need to be provided or adapted for a candidate
- Estates/site staff responsible for **rooms and non-specialist equipment** (chairs, tables, clocks etc.) used for exams that may need to be adapted for a candidate
- Senior staff responsible for the centre's **emergency evacuation procedures** and the arrangements that may need to be in place for a candidate with a disability who may need assistance when an exam room is evacuated

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

Responsibilities might include some of the examples listed below (this list is by no means exhaustive); the same responsibility could be assigned to more than one role.

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

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

Responsibilities might include some of the examples listed below (this list is by no means exhaustive); the same responsibility could be assigned to more than one role.

- Provide exam materials that may need to be modified for a candidate
- Provide the SENCo with internal exam timetable to ensure arrangements are put in place when required

Facilitating access – examples

The following information confirms the centre's good practice in relation to the Equality Act 2010 and the conduct of examinations. On a candidate by candidate basis, consideration is given to:

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

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

Example of candidate need(s)	Arrangements explored	Centre actions
A medical condition which prevents the candidate from taking exams in the centre	Alternative site for the conduct of examinations Supervised rest breaks	<p><i>SENCo gathers evidence to support the need for the candidate to take exams at home</i></p> <p><i>Pastoral head provides written statement for file to confirm the need</i></p> <p><i>Approval confirmed by SENCo; AAO approval for both arrangements not required</i></p> <p><i>Pastoral head discussion with candidate to confirm the arrangements should be put in place</i></p> <p><i>EO submits '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	<p>Reader/computer reader</p> <p>25% Extra time</p> <p>Separate invigilation within the centre</p>	<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 (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	<p>Prompter</p> <p>Separate invigilation within the centre</p>	<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> <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></p>

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

EXAM CONTINGENCY PLAN

2022/23

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Purpose of the plan

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

Alongside internal processes, this plan is informed by the Ofqual (and Northern Ireland Council for the Curriculum, Examinations and Assessment) **Exam system contingency plan:**

England, Wales and Northern Ireland which provides guidance in the publication *What schools and colleges and other centres should do if exams or other assessments are seriously disrupted* and the **JCQ Joint Contingency Plan for the Examination System in England, Wales and Northern Ireland** and the JCQ notice **Preparing for disruption to examinations** (effective from 11 October 2021).

This plan also confirms **Meridian Trust Schools** compliance with JCQ's **General Regulations for Approved Centres** (section 5.3) that the centre has in place:

- a written examination contingency plan which covers all aspects of examination administration. This will allow members of the senior leadership team to act immediately in the event of an emergency or staff absence. The examination contingency plan should reinforce procedures in the event of the centre being unavailable for examinations, or on results day, owing to an unforeseen emergency. **The potential impact of a cyber-attack should also be considered.**

Operating across more than one centre

As the head of centre and/or exams officer operates across more than one centre, the head of centre will ensure there is suitable support in place, so they can meet their obligations in relation to the recruitment, selection and training of staff across the centres

for which they are responsible. The arrangements covered in this contingency plan relate to the following centres:

- insert (main) centre name
- insert other centre name(s) as a continuing bulleted list]

Possible causes of disruption to the exam process

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

Criteria for implementation of the plan

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

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

Entries

- *awarding bodies not being informed of early/estimated entries which prompts release of early information required by teaching staff*
- *candidates not being entered with awarding bodies for external exams/assessment*
- *awarding body entry deadlines missed or late or other penalty fees being incurred Pre-exams*
- *invigilators not trained or updated on changes to instructions for conducting exams*
- *exam timetabling, rooming allocation; and invigilation schedules not prepared*
- *candidates not briefed on exam timetables and awarding body information for candidates*
- *confidential exam/assessment materials and candidates' work not stored under required secure conditions*
- *internal assessment marks and samples of candidates' work not submitted to awarding bodies/external moderators*

Exam time

- *exams/assessments not taken under the conditions prescribed by awarding bodies*
- *required reports/requests not submitted to awarding bodies during exam/assessment periods, for example very late arrival, suspected malpractice, special consideration*
- *candidates' scripts not dispatched as required for marking to awarding bodies Results and post-results*
- *access to examination results affecting the distribution of results to candidates*
- *the facilitation of the post-results services*

Centre actions to mitigate the impact of the disruption

- SLT to nominate a 'deputy' to cover the role/task. This would usually be the Exams Assistant. Extra help could be called on from the Lead Invigilator.
- Extra Hours should be considered to the deputy to ensure they have sufficient time to cover the work required
- Relief staff to be given access to secure storage procedures, including keys for doors, user names and passwords for the staff network and exams websites
- Always report long term absence to the Exam Boards so that they are aware of the situation

2. ALS lead/SENCo extended absence at key points in the exam cycle

Criteria for implementation of the plan

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

Planning

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

Pre-exams

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

Exam time

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

Centre actions to mitigate the impact of the disruption

- SLT to nominate a 'deputy' to cover the role, usually the assistant SENCo.

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

Criteria for implementation of the plan

Key tasks not undertaken including:

Early/estimated entry information not provided to the exams officer on time; resulting in prerelease information not being received

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

Non-examination assessment tasks not set/issued/taken by candidates as scheduled

Candidates not being informed of centre assessed marks before marks are submitted to the awarding body and therefore not being able to consider appealing internal assessment decisions and requesting a review of the centre's marking

Internal assessment marks and candidates' work not provided to meet awarding body submission deadlines

Centre actions to mitigate the impact of the disruption

- HODs should take responsibility for any missing entries, coursework marks and any assessment marks in the absence of a member of teaching staff

4. Invigilators – lack of appropriately trained invigilators or invigilator absence

Criteria for implementation of the plan

Failure to recruit and train sufficient invigilators to conduct exams

Invigilator shortage on peak exam days

Invigilator absence on the day of an exam

Centre actions to mitigate the impact of the disruption

- Check availability of any other invigilators for that slot
- Liaise with internal departments within the centre to redeploy available members of staff
- Consider employing agency invigilators
- Continue to advertise and interview suitable candidates for invigilator roles

5. Exam rooms – lack of appropriate rooms or main venues unavailable at short

notice

Criteria for implementation of the plan

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

Insufficient rooms available on peak exam days

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

Centre actions to mitigate the impact of the disruption

- Room bookings must be made early enough in advance to ensure there are sufficient rooms for exam students
- If there is an emergency on the day, the free room calendar must be checked first and moves made accordingly
- If all students are in exams at any one time, then the rooms used by that Year group in that period, should be free and could be booked for exams Alternative venue details:
- Use alternative venues in agreement with relevant awarding organisations (e.g. share facilities with other centres or use public buildings if possible)

6. Cyber-attack

The Meridian Trust takes the potential threat of a Cyber Attack very seriously and as a trust, we have a Response Plan set out which details the specifics related to the exam series and should be only actioned in conjunction with each school's general plan

Further advice has been provided by JCQ: <https://www.jcq.org.uk/dfe-and-national-cyber-security-centre-ransomware-update/>

Criteria for implementation of the plan

Where a cyber-attack may compromise any aspect of delivery

Access Issues Preventing Continuity of Exam		Time Impact		Impact process
1)	Access to exam site & official documentation	1 wk	Medium	
2)	Access to exam & controlled assessment	1 day	Medium	entries
3)	Access to pupil data concerning special	1 wk	Medium	considerations
4)	Access to exam payment services	1 wk	Low	
5)	Administration of ongoing exams	1 wk	Medium	

(timetabling, organising resources and submitting paperwork)

6) Access to contact details of invigilation staff 1-2 wks Low

Centre actions to mitigate the impact of the disruption

Possible Work Solutions & Data Required

- 1) Exams Officers should have access to the location where hard copies of documentation/evidence is kept in a secure and safe place. All subject heads are saving digital evidence to individual OneDrive/Teams. With the support of the IT team, our network is backed up in the Microsoft cloud and to Barracuda's cloud. The trust's general Cyber Attack process is to immediately contact the NCSC, NCA, DfE and other local authorities as required.
- 2) Exams Officer can access systems remotely and via awarding bodies websites all entries can be uploaded manually to them. Controlled assessment work is stored securely within Office 365. With the support of the IT team, our network is backed up in the Microsoft cloud and to Barracuda's cloud.
- 3) SENCo has hard copies filed on-site. With the support of the IT team, our network is backed up in the Microsoft cloud and to Barracuda's cloud
- 4) The Trust's finance approach ensures that there is instant access to bank account functionality on and off site from other schools within the trust
- 5) Exams Officer has hard files for timetabling and resources. All that can be continued remotely. With the support of the IT team, our network is backed up in the Microsoft cloud and to Barracuda's cloud
- 6) Exams Officer & HR (SCR) has hard files on contact details

7) Failure of IT systems

Criteria for implementation of the plan

MIS system failure at final entry deadline

MIS system failure during exams preparation

MIS system failure at results release time

Centre actions to mitigate the impact of the disruption

MIS system failure at final entry deadline

- Use of IT equipment from other academy trust schools including mirror of backend equipment at our secondary datacenter.
- Restore MIS System using “live” backup system
- Use of same MIS system at another school within academy trust MIS system failure during exams preparation

MIS system failure during exams preparation

- Use of IT equipment from other academy trust schools including mirror of backend equipment at our secondary datacenter.
- Restore MIS System using “live” backup system
- Use of same MIS system at another school within academy trust MIS system failure at results release time

MIS system failure at results release time

- Use of IT equipment from other academy trust schools including mirror of backend equipment at our secondary datacenter.
- Restore MIS System using “live” backup system
- Use of same MIS system at another school within academy trust

8) Emergency evacuation of the exam room (or centre lock down)

Criteria for implementation of the plan

Whole centre evacuation (or lock down) during exam time due to serious incident resulting in exam candidates being unable to start, proceed with or complete their exams

Centre actions to mitigate the impact of the disruption

- Use alternative venues in agreement with relevant awarding organisations (e.g. share facilities with other centres or use public buildings if possible)
- Apply to awarding organisations for special consideration for candidates where they have met the minimum requirements
- Offer candidates an opportunity to sit any examinations missed at the next available series, if possible

9) Disruption of teaching time in the weeks before an exam – centre closed for an

extended period

Criteria for implementation of the plan

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

Centre actions to mitigate the impact of the disruption

- (Where there is disruption to teaching time and students miss teaching and learning, it remains the responsibility of centres to prepare students, as usual, for examinations. In the case of modular courses, centres may advise candidates to sit examinations in an alternative series. Centres should have plans in place to facilitate alternative methods of learning.)
- see alternative venue to minimise the impact the loss of teaching and learning

10) Candidates at risk of being unable to take examinations – centre remains open

Criteria for implementation of the plan

Candidates at risk of being unable to attend the examination centre to take examinations as normal

Centre actions to mitigate the impact of the disruption

- Focus on options that enable candidates to take their examinations)

11) Centre at risk of being unable to open as normal during the examination period

(Including in the event of the centre being unavailable for examinations owing to an unforeseen emergency)

Criteria for implementation of the plan

Centre at risk of being unable to open as normal for scheduled examinations

Centre actions to mitigate the impact of the disruption

- (This must focus on options that enable candidates to take their examinations)

The centre to communicate with relevant awarding organisations at the outset to make them aware of the issue. The centre to communicate with parents, carers and candidates regarding solutions to the issue. [JCP scenario 2]

- Liaise with candidates to identify whether the examination can be sat at an alternative venue in agreement with the relevant awarding organisations
- Offer candidates an opportunity to sit any examinations missed at the next available series
- Apply to awarding organisations for special consideration where they have met the minimum requirements (candidates are only eligible for special consideration if they have been fully prepared and have covered the whole course but are affected by adverse circumstances beyond their control. If a candidate chooses not to sit an examination for other reasons they should be aware that special consideration rules will not apply.

Alternative venue details:

Use alternative venues in agreement with relevant awarding organisations (e.g. share facilities with other centres or use public buildings if possible)

12) Disruption in the distribution of examination papers

Criteria for implementation of the plan

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

Centre actions to mitigate the impact of the disruption

- Awarding organisations to provide centres with electronic access to examination papers via a secure external network. Centres would need to ensure that copies are received, made and stored under secure conditions and should have plans in place to facilitate such an action. Awarding organisations would provide guidance on the conduct of examinations in such circumstances.
- as a last resort, and in close collaboration with centres and regulators, awarding organisations to consider scheduling of the examination on an alternative date.
- Open for examinations and examination candidates only, if possible.
- Use alternative venues in agreement with relevant awarding organisations (e.g. share facilities with other centres or use public buildings if possible)
- Apply to awarding organisations for special consideration for candidates where they have met the minimum requirements
- Offer candidates an opportunity to sit any examinations missed at the next available series, if possible

13) Disruption to transporting completed examination scripts

Criteria for implementation of the plan

Delay in normal collection arrangements for completed examination scripts/assessment evidence

Centre actions to mitigate the impact of the disruption

- Where examinations are part of the national 'yellow label' service or where awarding bodies arrange collections, centres should contact the relevant awarding bodies for advice and instructions and shouldn't make their own arrangements for transportation unless told to do so by the awarding body.
- For any examinations where centres make their own collection arrangements, centres should investigate alternative options that comply with the requirements detailed in the JCQ publication *Instructions for conducting examinations*. • Centres to ensure secure storage of completed examination scripts until collection.
- Seek advice from the awarding organisation.

14) Assessment evidence is not available to be marked

Criteria for implementation of the plan

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

Completed examination scripts/assessment evidence does not reach awarding organisations

Centre actions to mitigate the impact of the disruption

- Awarding organisations to generate candidate marks for affected assessments based on other appropriate evidence of candidate achievement as defined by the awarding organisations.
- Where marks cannot be generated by awarding organisations candidates may need to retake affected assessment in a subsequent assessment series.
- Awarding organisations are contacted immediately and guidance sought
- Students, parents and carers are informed of the situation
- Candidate retake the assessment that has been affected at a subsequent assessment window, if possible.

15) Centre unable to distribute results as normal or facilitate post results services

(Including in the event of the centre being unavailable on results day owing to an unforeseen emergency)

Criteria for implementation of the plan

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

Centre actions to mitigate the impact of the disruption

- Distribution of results: centre to make arrangements to access its results at an alternative site, in agreement with the relevant awarding organisation
- Centres to make arrangements to coordinate access to post results services from an alternative site.
- Centres to share facilities with other centres if this is possible, in agreement with the relevant awarding organisation.
- Facilitation of post results services: centre to make arrangements to make post results requests at an alternative location
- Centres to contact the relevant awarding organisation if electronic post results requests are not possible.

Alternative venue details:

Use alternative venues in agreement with relevant awarding organisations (e.g. share facilities with other centres or use public buildings if possible)

Further guidance to inform procedures and implement contingency planning

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

Contingency planning

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

Covid specific guidance

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

- [actions for schools during the coronavirus outbreak](#)
- [actions for FE colleges and providers during the coronavirus outbreak](#) from the Department for Education in England
- [responsibility for exams](#) from the Department for Education in England
- [vocational, technical and other general qualifications in 2022](#) from Ofqual (regulator)
- [GCSE, AS and A level qualifications in 2022](#) from Ofqual (regulator)
- [education and childcare: coronavirus](#) from Welsh Government
- [Qualifications Wales homepage](#) from Qualifications Wales (regulator)
- [coronavirus \(COVID-19\): guidance for school and educational settings in Northern Ireland](#) from Department of Education in Northern Ireland
- [coronavirus \(COVID-19\) \(information from CCEA\)](#) – information on vocational, technical and general qualifications from CCEA Regulation

General contingency guidance

- [emergency planning and response](#) from the Department for Education in England
- [school organisation: local-authority-maintained schools](#) from the Department for Education in England
- [exceptional closure days](#) from the Department of Education in Northern Ireland
- [checklist – exceptional closure of schools](#) from the Department of Education in Northern Ireland
- [school terms and school closures](#) from NI Direct
- [opening schools in extremely bad weather](#) – guidance for schools from the Welsh Government
- [bomb threats](#) procedures for handling bomb threats from the National Counter Terrorism Security Office

Disruption to assessments or exams

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

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

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

Steps you should take

Exam planning

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

In the event of disruption

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

After the exam

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

Steps the awarding organisation should take

Exam planning

1. Establish and maintain, and at all times comply with, an up-to-date, written contingency plan.
2. Ensure that the arrangements in place with centres and other third parties enable them to deliver and award qualifications in accordance with their conditions of recognition.

In the event of disruption

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

After the exam

Consider any requests for special consideration for affected students. For example, those who may have lost their internally assessed work or whose performance in assessments or exams could have been affected by the disruption.

If any students miss an exam or are disadvantaged by the disruption

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

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

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

Wider communications

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

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

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

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

Widespread national disruption to the taking of examinations or assessments

The governments' view across England, Wales and Northern Ireland is education should continue in 2021 to 2022 with schools remaining open and that examinations and assessments will go ahead in both autumn 2021 and summer 2022.

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

We will update this page as necessary, with any further relevant links, should national disruption occur.

(Ofqual guidance extract above taken directly from the Exam system contingency plan: England, Wales and Northern Ireland – **What schools and colleges and other centres should do if exams or other assessments are seriously disrupted** (last updated 30 September 2021)
<https://www.gov.uk/government/publications/examsystem-contingency-plan-england-wales-and-northern-ireland/what-schools-and-colleges-should-do-if-exams-or-other-assessments-are-seriously-disrupted>)

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

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

[plan-england-wales-and-northern-ireland/what-schools-and-colleges-should-do-if-exams-or-other-assessments-are-seriously-disrupted](https://www.gov.uk/government/publications/exam-system-contingency-plan-england-wales-and-northern-ireland/what-schools-and-colleges-should-do-if-exams-or-other-assessments-are-seriously-disrupted) <https://www.gov.uk/government/publications/exam-system-contingency-plan-england-wales-and-northern-ireland>

15.2 own well-established contingency plans in place to respond to
body/bodies. rs who are facing disruption liaise directly with the relevant awarding

15.3 sruption to examinations as part of their general emergency planning.
staff are familiar with the plan. Consideration should be given as to
ated to candidates, parents and staff should disruption to examination

occur. 15.4
ides the centre cannot be opened for scheduled examinations, the
s soon as possible. Awarding bodies will be able to offer advice
candidates who have not been able to take conducting examinations that may be available and the options for
examinations.

15.5 The awarding bodies will designate is [contingency day](#) 'contingency days' for examinations, summer 2023. Th
the qualification regulators' document *North* *Exam system contingency plan: England, Wales and*
[and-northern-ireland](#) [/government/publications/exam-system-contingency-plan-england-wales-](#)

The designation of [a contingency day](#)

contingency planning for exam [contingency days](#) within the common examination timetable is
in

In the event of national disruption to a d disruption to examinations. It is part of the awarding bodies'
summer

2023, the awarding bodies will
nd government departments to agree the most appropriate
st resort the affected examinations will be rescheduled. Although
one timetable date affected following t impact to a minimum, it is possible that there could be more
the be alerted if it is agreed to reschedule the examinations and the
, make themselves available in such circumstances. The decisio
tions will always rest with the awarding body. The centre must

the scheduled date unless instructed to
body.

t
ailable for the rescheduled examination(s) for reasons other
cial consideration, they will not be eligible for enhanced grading
ensure candidates and parents are aware of [the](#) contingency
[em](#) into account when making their plans for the summer.

arrangements so that they may take
timetable period as a matter of course. nsist upon candidates being available throughout the entire

(JCQ guidance above taken directly from **Instructions for conducting examinations 2022-2023**

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

JCQ Joint Contingency Plan www.jcq.org.uk/exams-office/other-documents

JCQ notice - Preparing for disruption to examinations (effective from 11 October 2021)

www.jcq.org.uk/exams-office/other-documents

This Notice is based on guidance provided within the JCQ Joint Contingency Plan, which is available from the JCQ website: www.jcq.org.uk/exams-office/other-documents/jcq-joint-contingency-plan

In the event of widespread disruption to the examination system, all centres **must** have contingency plans in place. There are three main categories of disruption, which are outlined below:

Candidates at risk of being unable to take examinations – centres remain open

Centres' contingency plans should focus on options that enable candidates to take their examinations. As part of these preparations, centres should take into account the guidance provided in the JCQ publication Instructions for conducting examinations: <http://www.jcq.org.uk/exams-office/ice-instructions-for-conducting-examinations>

section 6.2 of the JCQ

- consider moving the starting times of the examination for all candidates (see the JCQ publication Instructions for conducting examinations)

the JCQ publication Instructions

- being aware of the rules for very late arrivals (see section 21 conducting examinations).

Wherever possible, it is always in the best interest for candidates to sit the examination. If candidates are unable to sit the examination meet the criteria, special consideration through absence for an acceptable reason is available. See the guide to the special consideration process.

<https://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance>

Please do not hesitate to call the relevant awarding body if you require additional support in the event of disruption to examinations.

Centres at risk of being unable to open as normal during the examination period

As above, centres' contingency plans must focus on enabling candidates to take their examinations. Centres at risk of being unable to open as normal:

Centres at risk of being unable to open as normal:

The responsibility for deciding whether it is safe for a centre to open lies with the head of centre. Centres should seek advice for taking advice or following instructions from relevant local or national agencies.

Information on what centres should do if examinations or other assessments are seriously disrupted is available in the three country regulators' exam system contingency plan:

www.gov.uk/government/publications/exam-system-contingency-plan-england-northern-ireland/what-schools-and-colleges-should-do-if-exams-or-other-assessments-are-disrupted

Special consideration through absence for acceptable reasons is also available as an option if centres are unable to open. If all other options have been exhausted and candidates meet the relevant criteria, special consideration through absence for acceptable reasons is also available as an option.

Please do not hesitate to call the relevant awarding body if you require additional support in the event of disruption to your examinations.

Disruption to transporting completed examination scripts

for advice and instructions:

If there is a delay in normal collection arrangements for completed examination scripts, centres should investigate the reasons for the delay and contact the relevant awarding body for advice and instructions.

investigate

- where examinations are part of the national 'yellow label' service or where awarding bodies arrange collections, centres should contact the relevant awarding bodies

- for examinations where centres make their own collection arrangements, centres should consider alternative options that comply with the JCQ publication Instructions for conducting examinations

- completed scripts must be stored securely until they are collected. Summary of centre and awarding body responsibilities Examination centres are responsible for:

- preparing plans for any disruption to examinations as part of centres' general emergency planning deciding whether the examinations can be held if the centre is unable to open and if not, how to inform relevant awarding bodies of the situation

- ~~exploring the opportunities if the centre cannot open for examinations and for alternative arrangements~~
~~agreeing such arrangements with the awarding bodies~~
- ~~judging whether candidates meet the requirements for special consideration because of any disruption~~
~~submitting these requests to the relevant awarding bodies~~
- ~~assessing their circumstances and liaising with awarding bodies in the event of disruption to the transportation of papers.~~

Awarding bodies are responsible for:

examination materials for
examinations

on possible alternative examination arrangements and
declining/approving proposals for

approving requests for special consideration.

alternative examination arrangements

is, please contact the relevant
for advice:

Contacting the awarding bodies

AQA

0800 197 7162

ees@aqg.org.uk

CEEA

028 9026 1212, 028 9026 1293, 028 9026 1425

centresupport@ceea.org.uk

OCR

01223 553998

support@ocr.org.uk

Pearson 0344 463 2535 **WJEC**

02020 265 077

exams@wjec.co.uk

(JCQ guidance above taken directly from the notice – **Preparing for disruption to examinations** effective from
11 October 2021 www.jcq.org.uk/preparing-for-disruption-to-examinations/)

JCQ Notice to Centres – Examination contingency plan/examinations policy www.jcq.org.uk/exams-office/general-regulations/notice-to-centres--exam-contingency-plan/

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

Guidance notes on alternative site arrangements www.jcq.org.uk/exams-office/online-forms

Guidance notes for transferred candidates www.jcq.org.uk/exams-office/online-forms Instructions
for conducting examinations www.jcq.org.uk/exams-office/ice---instructions-forconducting-examinations

A guide to the special consideration process www.jcq.org.uk/exams-office/access-arrangementsand-special-consideration/regulations-and-guidance

GOV.UK

Emergency planning and response: Severe weather; Exam and assessment disruption; Coronavirus
(COVID-19) www.gov.uk/guidance/emergencies-and-severe-weather-schools-and-early-yearssettings
www.gov.uk/government/publications/emergency-planning-and-response-for-education-childcare-and-childrens-social-care-settings

School organisation: local authority-maintained schools

www.gov.uk/government/publications/school-organisation-maintained-schools

Dispatch of exam scripts guide: Ensuring the service runs smoothly; Contingency planning
www.gov.uk/government/publications/dispatch-of-exam-scripts-yellow-label-service

Wales

School closures: examinations gov.wales/school-closures-examinations

Opening schools in extremely bad weather: guidance for schools gov.wales/opening-schoolsextremely-bad-weather-guidance-schools

Northern Ireland

Exceptional closure days www.education-ni.gov.uk/articles/exceptional-closure-days

Checklist for Principals when considering Opening or Closure of School – exceptional closure of schools www.education-ni.gov.uk/publications/checklist-exceptional-closure-schools

National Counter Terrorism Security Office ProtectUK

Guidance – Bomb Threats www.gov.uk/government/publications/crowded-places-guidance/bomb-threats
www.protectuk.police.uk

National Cyber Security Centre

The NCSC's free [Web Check](#) and [Mail Check](#) services can help protect schools from cyberattacks. Two NCSC cyber security services, which are already helping thousands of organisations to protect their websites and email servers from cyber-attacks, are now available to **all UK schools**. Both tools are available free of charge, are quick to set up, and thereafter run automatically. More information is available from the [NCSC website](#).

The Department for Education has been asking centres to review **National Cyber Security Centre advice** following increasing number of cyber-attacks involving ransomware infections.

The NCSC

information supports centres in cyber security preparedness and mitigation work.

Ransomware attacks continue and the Department is reminding centres to review the NCSC advice

and to take precautions. This includes ensuring that you have backups in place for your key services

and data.

For ease of reference, the Department has highlighted key links relating to the NCSC cyber security

guidance below:

1. [More ransomware attacks on UK education – NCSC.GOV.UK](#)
2. [Ransomware advice and guidance for your IT teams to implement](#)
3. [Offline backups in an online world](#)
4. [Backing up your data](#)
5. [Practical resources to help improve your cyber security](#)

6. Building Resilience: Ransomware and the risks to schools and ways to prevent it
7. School staff offered training to help shore up cyber defences - NCSC.GOV.UK

Appendix 9

Exam Archiving Procedure

2022/23

Purpose of the procedure

The purpose of this procedure 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 held within Meridian Trust 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	Any hard copy information kept by the EO relating to an access arrangement candidate.	To be returned to ALS lead/SENCo as records owner at end of the candidate's final exam series.	
Alternative site arrangements	Any hard copy information generated on an alternative site arrangement. Notifications submitted online via CAP.		
Attendance register copies		(Reference ICE 12... 22: ...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... keep a copy of the attendance register until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later)	Confidential waste/shredding
exams administration Awarding body information	Any hard copy publications provided by awarding bodies.	To be retained until the current academic year update is provided.	

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. (Reference GR 3.15: ... ensure that when scripts that have been returned under access to scripts arrangements are no longer required, they are disposed of in a confidential manner, but no earlier than the dates specified by the awarding bodies...)	Confidential disposal
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Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
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 (including materials stored electronically) (Reference GR 3.15: ...store safely and securely all nonexamination assessments, including controlled assessments, coursework or portfolios, retained in, or returned to, the centre until the deadline for a review of moderation has passed or until a review of moderation, an appeal or a malpractice investigation has been completed, whichever is later. This includes materials stored electronically. See paragraph 4.8 of the JCQ publication <i>Instructions for conducting non - examination assessments</i> https://www.jcq.org.uk/exams-office/non-examinationassessments)	Returned to candidates or safe disposal

Centre consortium arrangements for centre assessed work	Any hard copy information generated or relating to consortium arrangements for centre assessed work. Applications submitted online via CAP.		
Certificates	Candidate certificates issued by awarding bodies.	(Reference GR 5.14 : ...retain all unclaimed certificates under secure conditions for a minimum of 12 months from the date of issue)	Confidential destruction
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	(Reference GR 5.14 : ...destroy any unclaimed certificates after retaining them for a minimum of 12 months. They must be destroyed in a confidential manner. Centres that do not have a means of destroying certificates confidentially may return them to the respective	Confidential destruction

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		<p>awarding body. A record of certificates that have been destroyed should be retained for four years from their date of destruction. However, candidates should be informed that some awarding bodies do not offer a replacement certificate service. In such circumstances the awarding body will issue a Certifying Statement of Results... (Where an awarding body issues a replacement certificate, or a Certifying Statement of Results, this will provide an accurate and complete record of results for all qualifications covered by the original certificate...</p> <p>...return any certificates requested by the awarding bodies. Certificates always remain the property of the awarding bodies.)</p>	

Certificate issue information	A record of certificates that have been issued.	(Reference GR 5.14 : ...distribute certificates to all candidates without delay and regardless of any disputes (such as non-payment of fees). Certificates must not be withheld without prior permission from an awarding body which will only be given in very exceptional circumstances. A record should be kept of the certificates that are issued...)	
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.		
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		

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
	in the secure storage facility by the exams officer (or other authorised member of centre staff) throughout the period the materials are confidential		

Conflicts of interest records	Records demonstrating the management of conflicts of interest	(Reference GR 5.3 : ...The records may be inspected by a JCQ Centre Inspector and/or awarding body staff. They might be requested in the event of concerns being reported to an awarding body. The records must be retained until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.)	
Dispatch logs	Proof of dispatch of exam script packages to awarding body examiners covered by the DfE (Standards & Testing Agency) yellow label service		
Entry information	Any hard copy information relating to candidates' entries.		
Exam question papers	Question papers for timetabled written exams.	<p>(Reference ICE 31: Question papers must not be released to centre personnel until after the awarding body's published finishing time for the examination or, in the case of a timetable variation, until all candidates within the centre have completed the examination)</p> <p>For CCEA examinations question papers must not be released until 24 hours after the published finishing time for the examination</p> <p>(Reference GR 6.13: ...For confidentiality purposes papers must not be released to centre personnel in accordance with the above licence until after the awarding body's published finishing time for the examination or, in the case of a timetable variation, until all candidates within the centre have completed the examination. This does not restrict access to</p>	Issued to subject staff

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
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		papers by authorised centre personnel for the purpose of conducting examinations...)	
Exam room checklists	Checklists confirming exam room conditions and invigilation arrangements for each exam session.		
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms for each exam session.		
Exam stationery	Awarding body exam stationery provided solely for the purpose of external exams.	(Reference ICE 30: ...return unused stationery to the secure storage facility or secure room until needed for a future examination. Surplus stationery must not be used for internal school tests, mock examinations and nonexamination assessments... destroy confidentially any out-of-date stationery.)	Confidential destruction
Examiner reports		(Where/if provided) To be immediately provided to head of department as records owner.	
Finance information	Copy invoices for exams-related fees.	To be returned to Finance department as records owner at the end of the academic year.	
Invigilation arrangements	See <i>Exam room checklists</i>		
Invigilator and facilitator training records		(Reference ICE 12: A record of the content of the training given to invigilators and those facilitating an access arrangement for a candidate under examination conditions must be available for inspection and retained on file until the deadline for reviews of marking has	

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.)	
Moderator reports		(Where printed from electronic copy) To be immediately provided to head of department as records owner.	
Moderation returns logs	Logs recording the return of candidates' work to the centre by the awarding body at the end of the moderation period		
Overnight supervision information	<p>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</p> <p>Any hard copy information relating to overnight supervision arrangements. Reports submitted online via CAP.</p>	(Reference ICE 8: ...keep all completed forms available for inspection until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later. Forms may be stored electronically or in hard copy paper format and must not be sent to an awarding body, unless specifically requested...)	
Post-results services: confirmation of candidate consent information	Hard copy or email record of required candidate consent	(Reference PRS 4.2, plus appendix A and B: 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. The awarding bodies reserve the right to inspect such documentation.)	

Post-results services: requests/outcome information	Any hard copy information relating to a post-results service request (RoRs, appeals, ATS) submitted to an awarding		
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Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
	body for a candidate and outcome information from the awarding body.		
Post-results services: tracking logs	Logs tracking to resolution all post-results service requests submitted to awarding bodies.		
Private candidate information	Any hard copy information relating to private candidates' entries.		
Proof of postage – candidates' work	Proof of postage of sample of candidates' work submitted to awarding body moderators. (Proof of postage of candidates' scripts to awarding body examiners/markers)	(Reference ICE 29: Centres not involved in the secure despatch of exam scripts service... must obtain proof of postage/despatch for each packet of scripts, which must be retained on the centre's files until the results are published, in case of loss or damage. (Proof of postage will provide evidence that the candidates' scripts have left the centre. 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.) ...)	
Resolving timetable clashes information	Any hard copy information relating to the resolution of a candidate's clash of timetabled exam papers		

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.	
Seating plans	Plans showing the seating arrangements of all candidates for every exam taken.	(Reference ICE 12: ...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	
Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		or other results enquiry has been completed, whichever is later...)	
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.	(Reference SC 6: All applications must be supported by signed evidence produced by a member of the senior leadership team. The centre must retain this evidence until after the publication of results.)	
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.		
Transferred candidate arrangements	Any hard copy information relating to a transferred candidate arrangement. Applications submitted online via CAP.		

Very late arrival reports/outcomes	Any hard copy information relating to a candidate arriving very late to an exam. Reports submitted online via CAP.		
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Appendix 10a

INTERNAL APPEALS PROCEDURE 2022/23

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Purpose of the procedure

This procedure confirms Meridian Trust's compliance with JCQ's **General Regulations for Approved Centres** (section 5.3x) that the centre will

- have in place and available for inspection a written internal appeals procedure which must cover at least appeals regarding internal assessment decisions, post-result services and appeals, and centre decisions relating to access arrangements and special consideration

This procedure covers appeals relating to:

- Internal assessment decisions (centre assessed marks)
- Centre decisions not to support a clerical re-check, a review of marking, a review of moderation or an appeal
- Centre decisions relating to access arrangements and special consideration
- Centre decisions relating to other administrative issues

Appeals relating to 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 all Meridian Trust schools 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 Meridian Trust compliance with JCQ's **General Regulations for Approved Centres** (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	Submitted by the deadline set by the awarding body.	Summer-2023
	GCE	Final date for submission of centre assessed marks (AQA, OCR, Pearson and WJEC)	Summer-2023
	BTEC	Submitted by the deadline set by the awarding body.	Summer-2023

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

Meridian Trust ensures that all centre staff follow a robust *Non-examination Assessment Procedure* (for the management of GCE and GCSE non-examination assessments). This details all procedures relating to non-examination assessments for GCE, GCSE, Project qualifications and any other qualifications delivered in our Trust. **Note** – the JCQ Notice to Centres –

Informing candidates of their centre assessed marks (FAQ 1) confirms that the JCQ publication **General Regulations for Approved Centres** states that centres **must** have a written internal appeals procedure relating to internal assessment decisions in all qualifications. Details of this procedure **must** be communicated, made widely available and accessible to all candidates, 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. Meridian Trust is committed to ensuring that work produced by candidates is authenticated in line with the requirements of the awarding body. Where more than one subject teacher/tutor is involved in marking candidates' work, internal moderation and standardisation will ensure consistency of marking.

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

Meridian Trust 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 of the 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 the originals will be shared under supervised conditions) within set procedure

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. **The centre will ensure students are informed of the centres outcome for their work at least 21 days before the examination deadline. Students then have 7 days in which to make an appeal. Allowing 14 days for the centre to share documents required with the student, complete any appeal investigations and submit the grades to the examination boards.** Requests must be made in writing within stated procedure of receiving copies of the requested materials **by completing the internal appeals form**
8. allow **14 calendar days** for the review to be carried out, to make any necessary changes to marks and to inform the candidate of the outcome, all before the awarding body's deadline 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 **for the component in question** and has no personal interest in the **outcome of 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.

This procedure is informed by the JCQ publications [Instructions for conducting non-examination assessments](#) (section 6.1), [Review of marking \(centre assessed marks\)](#) suggested template for centres and [Notice to Centres – Informing candidates of their centre assessed marks](#)

Appeals relating to centre decisions not to support a clerical re-check, a review of marking, a review of moderation or an appeal

This procedure confirms Meridian Trust compliance with JCQ's **General Regulations for Approved Centres** (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 an online application for 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. Full details of these services, internal deadlines for requesting a service and fees charged are provided by the exams officer.

Candidates are also made aware of the arrangements for post-results services prior to the issue of results. Candidates are also informed of the periods during which senior members of centre staff will be available/accessible immediately after the publication of results so that results may be discussed, and decisions made on the submission of reviews of marking. before they sit any exams Candidates are made aware/informed by the policy and Examination Lead. If the centre or a candidate (or his/her/their 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, Meridian Trust schools 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, Meridian Trust schools 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, Meridian Trust schools will:

- For a review of marking (RoR priority service 2), advise the candidate he/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 his/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 his/her/their 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 7 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 **7 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.

Appeals regarding centre decisions relating to access arrangements and special consideration

This procedure confirms **Meridian Trust schools'** compliance with JCQ's **General Regulations**

for Approved Centres (section 5.3x) that the centre will

- have in place and available for inspection a written internal appeals procedure which must cover at least appeals regarding centre decisions relating to access arrangements and special consideration **Meridian Trust** will:
- comply with the principles and regulations governing access arrangements and special consideration as set out in the JCQ publications **Access Arrangements and Reasonable Adjustments** and **A guide to the special consideration process**
- ensure that all staff who manage and implement access arrangements and special consideration are aware of the requirements and are appropriately supported and resourced

Access arrangements and reasonable adjustments

In accordance with the regulations, **Meridian Trust**:

- recognises its 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.
- complies with its responsibilities in identifying, determining and implementing appropriate access arrangements and reasonable adjustments

Failure to comply with the regulations have the potential to constitute malpractice which may impact on a candidate's result(s)

Examples of failure to comply include:

- putting in place access arrangements/adjustments that are not approved
- failing to consider putting in place access arrangements (which may be a failure to comply with the duty to make reasonable adjustments)
- permitting access arrangements/adjustments within the centre which are not supported by appropriate evidence
- charging a fee for providing reasonable adjustments to disabled candidates AARA (Importance of these regulations)

Special consideration

Where **Meridian Trust** can provide signed evidence to support an application, it will apply for special consideration at the time of the assessment for a candidate who has temporarily

experienced illness, injury or some other event outside of their control when the issue or event has had, or is reasonably likely to have had, a material effect on the candidate's ability to take an assessment or demonstrate his or her normal level of attainment in an assessment.

Centre decisions relating to access arrangements, reasonable adjustments and special consideration

This may include **Meridian Trust** decision not to make/apply for a specific reasonable adjustment or to apply for special consideration, in circumstances where a candidate does not meet the criteria for, or there is no evidence/insufficient evidence to support the implementation of an access arrangement/reasonable adjustment or the application of special consideration.

Where **Meridian Trust** makes a decision in relation to the access arrangement(s), reasonable adjustment(s) or special consideration that apply for a candidate or candidates

- If a candidate who is the subject of the relevant decision (or the candidate's parent/carer) disagrees with the decision made and reasonably believes that the centre has not complied with its responsibilities or followed due procedures, a written request setting out the grounds for appeal should be submitted
- An **internal appeals form** should be completed and submitted, within **7 calendar/working days** of the decision being made known to the appellant.

To determine the outcome of the appeal, the head of centre will consult the respective JCQ publication to confirm the centre has complied with the principles and regulations governing access arrangements and/or special consideration and followed due procedures.

The appellant will be informed of the outcome of the appeal **14 calendar/working days** of the appeal being received and logged by the centre

If the appeal is upheld, **Meridian Trust** will **proceed to implement the necessary arrangements/submit the necessary application**

This procedure is informed by the JCQ publications [A guide to the awarding bodies' appeals processes](#) (section 3), [Suspected Malpractice: Policies and Procedures](#) (section 3.3), [General Regulations for Approved Centres](#) (section 5.4), [Access Arrangements and Reasonable Adjustments](#) (Importance of these regulations) and [A guide to the special consideration process](#) (sections 1, 2, 6)

Appeals regarding centre decisions relating to other administrative issues

Circumstances may arise that cause **Meridian Trust** to make decisions on administrative issues that may affect a candidate's examinations/assessments

Where **Meridian Trust** may make a decision that affects a candidate or candidates:

- If a candidate who is the subject of the relevant decision (or the candidate's parent/carer) disagrees with the decision made and reasonably believes that the centre has not complied the regulations or followed due process, a written request setting out the grounds for appeal should be submitted
- An **internal appeals form** should be completed and submitted within 7 calendar/working days of the decision being made known to the appellant.

The appellant will be informed of the outcome of the appeal within 14 calendar/working days of the appeal being received and logged by the centre

This procedure is informed by the JCQ publication [A guide to the awarding bodies' appeals processes](#) (section 7)

Internal Appeals form

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

FOR CENTRE USE ONLY	
Date received	
Reference No.	

- ☐ 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
- ☐ Appeal against the centre's decision relating to access arrangements or special consideration
- ☐ Appeal against the centre's decision relating to an administrative issue

*Where the nature of the appeal does not relate directly to an awarding body's specific qualification, indicate N/A in awarding body specific detail boxes

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:

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

[illegible]

Further guidance to inform and implement appeals procedures

JCQ publications

- General Regulations for Approved Centres <https://www.jcq.org.uk/exams-office/general-regulations>
- Post-Results Services <https://www.jcq.org.uk/exams-office/post-results-services>
- JCQ Appeals Booklet (A guide to the awarding bodies' appeals processes) <https://www.jcq.org.uk/exams-office/appeals>
- Notice to Centres – Informing candidates of their centre assessed marks <https://www.jcq.org.uk/exams-office/non-examination-assessments>
- Suspected Malpractice: Policies and Procedures <https://www.jcq.org.uk/exams-office/malpractice/>
- Access Arrangements and Reasonable Adjustments <https://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance/>
- A guide to the special consideration process <https://www.jcq.org.uk/exams-office/accessarrangements-and-special-consideration/regulations-and-guidance/>

Ofqual publications

- GCSE (9 to 1) qualification-level conditions and requirements <https://www.gov.uk/government/publications/gcse-9-to-1-qualification-level-conditions>
- GCE qualification-level conditions and requirements <https://www.gov.uk/government/publications/gce-qualification-level-conditions-andrequirements>

Appendix 10b

Reviews of marking – centre assessed marks (GCE coursework, GCE and GCSE non-examination assessments, Project qualifications)

2022/23

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

Candidates' work will be marked by staff who have appropriate knowledge, understanding and skill, and who have been trained in this activity.

Meridian Trust schools are committed to ensuring that work produced by candidates is authenticated in line with the requirements of the awarding body. Where more than one subject teacher/tutor is involved in marking candidates' work, internal moderation and standardisation will ensure consistency of marking.

1. **Meridian Trust schools** will ensure that candidates are informed of their centre assessed marks so that they may request a review of the centre's marking before marks are submitted to the awarding body. **All candidates must be aware of their marks 21 days before the submission deadline to the board. Students will be given 5 days to consider if they wish to appeal.**
2. **Meridian Trust schools** will inform candidates that they may request copies of materials to assist them in considering whether to request a review of the centre's marking of the assessment.
3. **Meridian Trust schools** will, having received a request for materials, promptly make them available to the candidate. This will either be the originals viewed under supervised conditions or copies. **Within 3 days.**
4. **Meridian Trust schools** will provide candidates with sufficient time, normally at **least five** working days, to allow them to review copies of materials and reach a decision.
5. **Meridian Trust schools** will provide a clear deadline for candidates to submit a request for a review of the centre's marking. Requests will not be accepted after this deadline. Requests **must** be made in writing and candidates **must** explain on what grounds they wish to request a review. **No later than 12 days before the examination board deadline.**
6. **Meridian Trust schools** will allow sufficient time for the review to be carried out, to make any necessary changes to marks and to inform the candidate of the outcome, all before the awarding body's deadline for the submission of marks. **(time frame is 12 days from this point).**
7. **Meridian Trust schools** will 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 for the component in question and has no personal interest in the outcome of the review. **This will be undertaken by an objective**

curriculum director, via protected time, on the assessment calendar, a requirement that they must be available to help with appeals for the 2 weeks before exam board submission.

8. Meridian Trust schools will instruct the reviewer to ensure that the candidate's mark is consistent with the standard set by the centre.
9. Meridian Trust schools will inform the candidate in writing of the outcome of the review of the centre's marking.
10. The outcome of the review of the centre's marking will be made known to the head of centre. A written record of the review will be kept and made available to the awarding body upon request. The centre will inform the awarding body if it 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 the centre's marking is in line with national standards. The mark submitted to the awarding body is subject to change and should therefore be considered provisional.

Lockdown Procedure

(Exams) 2022/23

Purpose of the procedure

This procedure details the measures taken at **Meridian Trust schools** in the event of a centre lockdown during the conducting of examinations.

Depending on the nature of the incident, centres may also decide to evacuate, invacuate (an inward evacuation) or use a protected space(s). However, this procedure focuses specifically upon the actions, roles and responsibilities during an exams-related lockdown.

A lockdown may be required in the following situations (this is not an exhaustive list):

- an incident or civil disturbance in the local community which poses a risk
- an intruder on the site with the potential to pose a risk
- local risk of air pollution, such as a smoke plume or gas cloud
- a major fire in the vicinity
- a dangerous animal roaming loose
- an internal threat from a student
- any other external or internal incident which has the potential to pose a threat to the safety of exams staff and candidates

Meridian Trust schools has devised lockdown procedures during the conducting of examinations after consulting **GOV.UK Stay Safe ProtectUK** guidance.

~~With regard to conducting examinations,~~ In the event of a lockdown during an examination the focus before, during and after an exam will be:

- training staff engaged/involved in the conducting of examinations
- how to achieve an effective lockdown
- implementing **Run, Hide, Tell** principles
- the welfare and safety of exam candidates and centre staff engaged in the conducting of examinations
- ~~• maintaining the integrity and security of the examinations/assessments process~~
- ~~• how to achieve an effective lockdown~~
- how to let people know what's happening
- maintaining the integrity and security of the examinations/assessments process
- ~~• training staff engaged/involved in the conducting of examinations~~
- ~~• stay safe principles (Run, Hide, Tell)~~

Roles and responsibilities

Head of centre

- To ensure that a dedicated lockdown alarm tone is in place and recognised by all staff and candidates

- To ensure that all staff involved in the conducting of examinations are trained in how to raise the alarm for a lockdown, act effectively and made aware of their responsibilities
- To arrange appropriate training for all exams-related staff in lockdown procedures
- To ensure that candidates are aware of the procedures relating to a lockdown, particularly those arriving late for an examination who cannot access the exam room due it being **locked-down in lockdown**
- To ensure that all candidates and staff are aware of **a possible** exit point in case an intruder manages to gain access, or the exam room becomes unsafe
- To provide written lockdown procedures for exam room/invigilator use
- To inform the relevant **emergency services** immediately in the case of any potential threat to the safety of exams staff and candidates

Senior leadership team (SLT)

- To have accountability for all exams staff and candidates taking examinations during a lockdown
- To run training/drills for examination candidates on lockdown procedures
- To inform parents/carers about the centre's Lockdown Policy in relation to the conducting of examinations
- To have a presence around exam room areas prior to the start of each exam session
- To liaise with the appropriate authorities and awarding bodies regarding candidates taking examinations during a lockdown
- To use the exam room attendance register(s) to compile a list of all candidates not accounted for **Exams officer**
- To train invigilators in the centre's lockdown procedure – **this should also include identifying all access and egress points within exam rooms, an awareness of the design of the locking device within each room and if there is more than one invigilator, whose role it would be to secure the exam room**
- Where safe/possible, to liaise with SLT/invigilators in all exam rooms during a lockdown
- To assist with **lockdown training** for staff and students where applicable to the conducting of examinations

Invigilators

- To be aware of the centre's lockdown procedure
- **To quickly and physically secure access/egress points**
- **To be aware of an effective communication system to inform authorities of the situation**

- To complete attendance registers as soon as possible so candidates can be identified in the event of a lockdown
- Where safe/possible, to communicate with the exams officer during a lockdown to confirm the situation in a particular exam room

Lockdown procedure

Before an examination

If a lockdown is required as candidates are entering/waiting to enter the exam room, the following procedure will be employed:

- A member of SLT will be present around exam room areas
- Candidates will be instructed to enter the exam room immediately
- Candidates will be instructed to remain silent, hide under exam desks or sit against a wall/around a corner but not near the door and to ensure mobile phones are on silent and non-vibrate mode
- Where safe/possible, the SLT member will communicate (via mobile phone/walkie talkie) the situation to the exams officer (ensuring that all mobile phones/walkie talkies are on silent and non-vibrate mode)
- Where safe/possible, the exams officer will collate the information from all exam rooms and forward this to the head of centre immediately
- Invigilators will:
 - lock all windows and close all curtains/blinds
 - switch off all lights
 - lock all doors and/or use tables, or any other furniture, to barricade the entrance to the examination room
 - take an attendance register/head count if possible
 - (if the threat is a chemical or toxic release) instruct candidates to cover their nose and mouth (their own clothing can be used) and attempt to use anything to hand to seal up cracks around doors and any vents into the room
 - where safe/possible, not leave the examination question papers unattended/out of sight
- The head of centre will make informed decisions on alerting parents/carers, awarding bodies and emergency services

During an examination

If a lockdown is required during the exam/when candidates are in the exam room, the following procedure will be employed:

- Invigilators will:
 - tell candidates to stop writing immediately and close their answer booklets
 - collect the attendance register

- make a note of time when the examination was suspended
- instruct candidates to remain silent, leave all examination materials on their desks and hide under desks
- where safe/possible, communicate (via mobile phone/walkie talkie) the situation to the exams officer (ensuring that all mobile phones/walkie talkies are on 'silent' mode)
- lock all windows and close any/all curtains/blinds ○ switch off all lights
- lock all doors and/or use tables, or any other furniture, to barricade the entrance to the examination room
- (if the threat is a chemical or toxic release) instruct candidates to cover their nose and mouth (their own clothing can be used) and attempt to use anything to hand to seal up cracks around doors and any vents into the room
- where safe/possible, not leave the examination question papers and candidates' scripts unattended/out of sight
- Where safe/possible, the exams officer will collate the information from all exam rooms and forward this to the head of centre immediately
- The head of centre will make informed decisions on alerting parents/carers, awarding bodies and emergency services
- If appropriate, where safe/possible, and following centre policy, the exams officer (or invigilators in the absence of the exams officer) will initiate the emergency evacuation procedure
- Where safe/possible, the exams officer will collect all examination papers and materials for safe/secure storage following advice from the appropriate awarding bodies

After an examination

If a lockdown is required after the exam/as candidates are leaving the exam room, the following procedure will be employed:

- Invigilators will:
 - stop dismissing candidates from the exam room
 - instruct candidates who have left the room to re-enter the exam room ○ instruct candidates to remain silent and hide under desks/tables ○ where safe/possible, communicate (via mobile phone/walkie talkie) the situation to the exams officer (ensuring that all mobile phones/walkie talkies are on silent and non-vibrate mode)
 - lock all windows and close any/all curtains/blinds ○ switch off all lights
 - lock all doors and/or use tables, or any other furniture, to barricade the entrance to the exam room

-
- (if the threat is a chemical or toxic release) instruct candidates to cover their nose and mouth (their own clothing can be used) and attempt to use anything to hand to seal up cracks around doors and any vents into the room
- where safe/possible, not leave the examination question papers and candidates' scripts unattended/out of sight
- Where safe/possible, the exams officer will collate the information from all exam rooms and forward this to the head of centre immediately

Ending a lockdown

- The lockdown will be ended by either:
 - the sound of a defined alarm, or
 - the identification/authorisation of Emergency Service officers/SLT/head of centre entering each exam room
- A specific word or phrase may be used to confirm that the instruction to end the lockdown is genuine
- Invigilators will undertake a head count/register and confirm attendance with the exams officer/SLT
- Where applicable and if advised to do so by SLT/head of centre, and following JCQ guidelines, if there is sufficient time remaining, candidates may restart their examination
- Invigilators will then:
 - ask candidates to return to their desks, remind them they are under formal exam conditions and allow a settling down period
 - allow candidates the full working time remaining to do their examination
 - recalculate the revised finish time(s)
 - tell the candidates to open their answer booklets and re-start their exam
 - amend the revised finish time(s) on display to candidates
 - note how long the lockdown lasted on the exam room incident log (to later inform a report to the awarding body/bodies and where relevant, any centrewide lockdown recording form/log)
- The exams officer will:
 - provide a report of the incident for the awarding body/bodies (through application of the special consideration process or as advised by the awarding body/bodies)
 - safely/securely store all collected exam papers and materials pending awarding body advice/guidance
- Where applicable/possible/available, SLT/exams officer will:
 - discuss any alternative exam sittings with the awarding body/bodies

○

offer, arrange and provide support services to staff and candidates

- At the earliest opportunity, SLT/head of centre will prepare a communication to parents/carers advising them of events (including relevant actions and outcomes)
- Where possible, exams staff and candidates will be invited to attend an assembly led by the head of centre to discuss the lockdown and offer ongoing support ○ If this is not possible, communications will be provided via a centre text/email/newsletter and information uploaded to the centre website
 - Each school has a lockdown process in place. IT push message to inform.

Non-Examination Assessment Protocol

2022/23

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What does this protocol affect?

This protocol 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 protocol as [NEA](#)

Purpose of the protocol

The purpose of this protocol, 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 protocol 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 Protocol is fit for purpose and covers all types of non-examination assessment
 - Ensures the centre's Internal Appeals Procedures clearly details 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 nonexamination 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 (Electronic signatures are acceptable)

- 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
- Ensures if candidates' work is to be submitted electronically, that it meets the awarding body's specified requirements

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

Consortium arrangements

Subject head/lead

- Ensures a consortium co-ordinator is nominated (where this may be required as the consortium lead)
- If the consortium lead, liaises with the exams officer to ensure the relevant awarding body is informed that the centre is part of a consortium by submitting Form

- JCQ/CCA Centre consortium arrangements for centre-assessed work for each exam series affected

- Ensures procedures for internal standardisation as a consortium are followed

Subject teacher

Provides marks to the exams officer to the internal deadline

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

Exams officer

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

Submission of marks and work for moderation

Subject teacher

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

-
- Submits any supporting documentation required by the awarding body/Provides the exams officer with any supporting documentation required by the awarding body

Exams officer

Inputs and submits marks online, via the awarding body secure extranet site, keeping a record of the marks submitted, to the external deadline/Confirms with subject teachers that marks have been submitted to the awarding body deadline

- Where responsible for marks input, ensures checks are made that marks for any additional candidates are submitted and ensures mark input is checked before submission to avoid transcription errors
- Submits the requested samples of candidates' work to the moderator by the awarding body deadline, keeping a record of the work submitted/Confirms with Subject teacher that the moderation sample has been submitted to the awarding body deadline
- Ensures that for postal moderation:
 - work is dispatched in packaging provided by the awarding body
 - moderator label(s) provided by the awarding body are affixed to the packaging
 - proof of dispatch is obtained and kept on file until the successful issue of final results
- Through the subject teacher, 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 or centre staff~~
- Ensures any irregularity identified by the centre before the candidate has signed the authentication statement (where required) are dealt with under its own internal procedures, with no requirement to report the irregularity to the awarding body (The only exception being where the awarding body's confidential assessment materials has been breached, the breach must be report to the awarding body)
- 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 details 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...)

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- 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

Subject head/lead

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

Qualification/Subject specific additional information

If additional information/procedures for planning and managing non-examination assessments in specific subjects of qualifications is required this is completed by the subject lead/head of department for each subject in question.

Where additional subjects are added, follow the format in terms of layout, use of heading level etc. Remember to **update** the table of contents page so the specific subject heading appears in the list of contents.

Where this section is considered not relevant, simply delete the page. (Remember to **update** the table of contents page).

An example to illustrate how this section could be used

A level Geography

- Each candidate undertakes a single independent investigation based on a question or issue defined and developed by the candidate
- Candidates may be given general guidance but must not be provided with a choice of titles or tasks from which to choose

GCE/GCSE Art & Design

- JCQ's *Instructions for conducting examinations* are followed for the conduct of externally set components

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><i>Records confirm that relevant centre staff are familiar with and follow:</i></p> <ul style="list-style-type: none"> • <i>the current JCQ publication Instructions for conducting non-examination assessments</i> • <i>the JCQ document Notice to Centres – Sharing NEA material and candidates' work – www.jcq.org.uk/exams-office/non-examinationassessments</i> 	

Candidate malpractice	<p><i>Records confirm that candidates are informed and understand they must not:</i></p> <ul style="list-style-type: none"> • <i>submit work which is not their own</i> • <i>make available their work to other candidates through any medium</i> • <i>allow other candidates to have access to their own independently sourced material</i> • <i>assist other candidates to produce work</i> • <i>use books, the internet or other sources without acknowledgement or attribution</i> • <i>submit work that has been word processed by a third party without acknowledgement</i> • <i>include inappropriate, offensive or obscene material</i> <p><i>Records confirm that candidates have been made aware of the JCQ documents Information for candidates – nonexamination assessments and Information for candidates</i></p> <p><i>– Social Media – www.jcq.org.uk/examsoffice/information-for-candidates-documents and understand they must not post their work on social media</i></p>	
Task setting		
Awarding body set task: IT failure/corruption of task details where set task details accessed from the awarding body online	<p><i>Awarding body key date for accessing/downloading set task noted prior to start of course</i></p> <p><i>IT systems checked prior to key date</i></p> <p><i>Alternative IT system used to gain access</i></p> <p><i>Awarding body contacted to request direct email of task details</i></p>	
Centre set task: Subject teacher fails to meet the	<i>Ensures that subject teachers access awarding body training information, practice materials etc.</i>	

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
assessment criteria as detailed in the specification	<p><i>Records confirmation that subject teachers understand the task setting arrangements as defined in the awarding body's specification</i></p> <p><i>Samples assessment criteria in the centre set task</i></p>	

Candidates do not understand the marking criteria and what they need to do to gain credit	<p><i>A simplified version of the awarding body's marking criteria described in the specification that is not specific to the work of an individual candidate or group of candidates is produced for candidates</i></p> <p><i>Records confirm all candidates understand the marking criteria</i></p> <p><i>Candidates confirm/record they understand the marking criteria</i></p>	
Subject teacher long term absence during the task setting stage	See centre's Exam Contingency Plan (Teaching staff extended absence at key points in the exam cycle)	
Issuing of tasks		
Awarding body set task not issued to candidates on time	<p><i>Awarding body key date for accessing set task as detailed in the specification noted prior to start of course</i></p> <p><i>Course information issued to candidates contains details when set task will be issued and needs to be completed by</i></p> <p><i>Set task accessed well in advance to allow time for planning, resourcing and teaching</i></p>	
The wrong task is given to candidates	<p><i>Ensures course planning and information taken from the awarding body's specification confirms the correct task will be issued to candidates</i></p> <p><i>Awarding body guidance sought where this issue remains unresolved</i></p>	
Subject teacher long term absence during the issuing of tasks stage	See centre's Exam Contingency Plan (Teaching staff extended absence at key points in the exam cycle)	
A candidate (or parent/carer) expresses concern about safeguarding, confidentiality or faith in undertaking a task such as a presentation that may be recorded	<p><i>Ensures the candidate's presentation does not form part of the sample which will be recorded</i></p> <p><i>Contacts the awarding body at the earliest opportunity where unable to record the required number of candidates for the monitoring sample</i></p>	
Task taking		
Supervision		

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
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Planned assessments clash with other centre or candidate activities	Assessment plan identified for the start of the course Assessment dates/periods included in centre wide calendar	
Rooms or facilities inadequate for candidates to take tasks under appropriate supervision	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)	
Insufficient supervision of candidates to enable work to be authenticated	Confirm subject teachers are aware of and follow the current JCQ publication Instructions for conducting nonexamination 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 protocol	
A candidate is suspected of malpractice prior to submitting their work for assessment	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	
Access arrangements were not put in place for an assessment where a candidate is approved for arrangements	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	
Advice and feedback		
Candidate claims appropriate advice and feedback not given by subject teacher prior to starting on their work	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	
Candidate claims no advice and feedback given by	Ensures a centre-wide process is in place for subject teachers to record all advice and feedback provided to	

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
subject teacher during the task-taking stage	<p><i>candidates during the task-taking stage as part of the centre's quality assurance procedures</i></p> <p><i>Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity</i></p> <p><i>Full records kept detailing all advice and feedback given to candidates during the task-taking stage as appropriate to the subject and component</i></p> <p><i>Candidate confirms/records advice and feedback given during the task-taking stage</i></p>	
A third party claims that assistance was given to candidates by the subject teacher over and above that allowed in the regulations and specification	<p><i>An investigation is conducted; candidates and subject teacher are interviewed and statements recorded where relevant</i></p> <p><i>Records as detailed above are provided to confirm all assistance given</i></p> <p><i>Where appropriate, a suspected malpractice report is submitted to the awarding body</i></p>	
Candidate does not reference information from published source	<p><i>Candidate is advised at a general level to reference information before work is submitted for formal assessment</i></p> <p><i>Candidate is again referred to the JCQ document</i></p> <p><i>Information for candidates: non-examination assessments</i></p> <p><i>Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion</i></p>	
Candidate does not set out references as required	<p><i>Candidate is advised at a general level to review and redraft the set out of references before work is submitted for formal assessment</i></p> <p><i>Candidate is again referred to the JCQ document</i></p> <p><i>Information for candidates: non-examination assessments</i></p> <p><i>Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion</i></p>	
Candidate joins the course late after formally supervised task taking has started	<p><i>A separate supervised session(s) is arranged for the candidate to catch up</i></p>	

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>	
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Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
An excluded pupil wants to complete a nonexamination 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>	

Resources

A candidate augments notes and resources between formally supervised sessions	<i>Preparatory notes and the work to be assessed are collected in and kept secure between formally supervised sessions Where memory sticks are used by candidates, these are collected in and kept secure between formally supervised sessions Where work is stored on the centre's network, access for candidates is restricted between formally supervised sessions</i>	
A candidate fails to acknowledge sources on work that is submitted for assessment	<i>Candidate's detailed record of his/her own research, planning, resources etc. is checked to confirm all the sources used, including books, websites and audio/visual resources Awarding body guidance is sought on whether the work of the candidate should be marked where candidate's detailed records acknowledges sources appropriately Where confirmation is unavailable from candidate's records, awarding body guidance is sought and/or a mark of zero is submitted to the awarding body for the candidate</i>	

Word and time limits

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>	
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Collaboration and group work

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</i> <i>Awarding body guidance sought where this issue remains unresolved</i>	
Authentication procedures		

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
<p>A teacher has doubts about the authenticity of the work submitted by a candidate for internal assessment</p> <p>Candidate plagiarises other material</p>	<p><i>Records confirm subject staff have been made aware of the JCQ document Notice to Centres - Sharing NEA material and candidates' work</i></p> <p><i>Records confirm that candidates have been issued with the current JCQ document Information for candidates: non-examination assessments</i></p> <p><i>Candidates confirm/record that they understand what they need to do to comply with the regulations for nonexamination assessments as outlined in the JCQ document Information for candidates: non-examination assessments</i></p> <p><i>The candidate's work is not accepted for assessment A mark of zero is recorded and submitted to the awarding body</i></p>	
Candidate does not sign their authentication statement/declaration	<p><i>Records confirm that candidates have been issued with the current JCQ document Information for candidates: non-examination assessments</i></p> <p><i>Candidates confirm/record they understand what they need to do to comply with the regulations as outlined in the JCQ document Information for candidates: nonexamination assessments</i></p> <p><i>Declaration is checked for signature before accepting the work of a candidate for formal assessment</i></p>	
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>	
Presentation of work		

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>	
Keeping materials secure		
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 nonexamination assessments</i> <i>Regular monitoring/internal audit ensures subject teacher use of appropriate secure storage</i>	

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
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</i> <i>Alternative secure storage sourced where required</i>	
Candidates work produced electronically is not securely stored	<i>Records confirm subject teachers are aware of and follow current JCQ publication Instructions for conducting nonexamination assessments</i> <i>Internal processes and regular monitoring/internal audit by IT Manager ensures:</i> <ul style="list-style-type: none"> <i>access to this material is restricted (insert how)</i> <i>appropriate security safeguards are in place (insert names/types of protection)</i> <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> <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> 	
Task marking – externally assessed components		

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</i> <i>If not, eligibility for special consideration is explored and a request submitted to the awarding body where appropriate</i>	
A candidate is absent on the day of the examiner visit for an unacceptable reason	<i>The candidate is marked absent on the attendance register</i>	
Task marking – internally assessed components		
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</i> <i>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>	

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
A candidate is unable to finish their work for unforeseen reason	<i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 5), to determine eligibility and the process to be followed for shortfall in work</i>	
The work of a candidate is lost or damaged	<i>Relevant staff are signposted to the JCQ publication Instructions for conducting non-examination assessments (section 8), to determine eligibility and the process to be followed for lost or damaged work</i>	
Candidate malpractice is discovered	<i>Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (section 9 Malpractice) are followed</i> <i>Investigation and reporting procedures in the current JCQ publication Suspected Malpractice: Policies and Procedures are followed</i> <i>Appropriate internal disciplinary procedures are also followed</i>	

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)	<p><i>A possible conflict of interest is declared by informing the awarding body before the published deadline for entries for each examination series</i></p> <p><i>Marked work of said candidate is submitted for moderation whether part of the sample requested or not</i></p>	
An extension to the deadline for submission of marks is required for a legitimate reason	<p><i>Awarding body is contacted to determine if an extension can be granted</i></p> <p><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 non-examination assessment extension</i></p>	
After submission of marks, it is discovered that the wrong task was given to candidates	<p><i>Awarding body is contacted for guidance</i></p> <p><i>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></p>	
A candidate wishes to appeal/request a review of the marks awarded for their work by their teacher	<i>Candidates are informed of the marks they have been awarded for their work prior to the marks being submitted to the awarding body</i>	
Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
	<p><i>Records confirm candidates have been informed of their marks</i></p> <p><i>Candidates are informed that these marks are subject to change through the awarding body's moderation process</i></p> <p><i>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</i></p> <p><i>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></p>	

Deadline for submitting work for formal assessment not met by candidate	<p><i>Records confirm deadlines given and understood by candidates at the start of the course</i></p> <p><i>Candidates confirm/record deadlines known and understood</i></p> <p><i>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</i></p> <p><i>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></p>	
Deadline for submitting marks and samples of candidates work ignored by subject teacher	<p><i>Internal/external deadlines are published at the start of each academic year</i></p> <p><i>Reminders are issued through senior leaders/subject heads as deadlines approach</i></p> <p><i>Records confirm deadlines known and understood by subject teachers</i></p> <p><i>Where appropriate, internal disciplinary procedures are followed</i></p>	
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>	

Special Consideration Procedure 2022/23

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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 procedure

The purpose of this procedure is to identify roles and responsibilities in the special consideration process and confirms that **all schools in Meridian Trust** will submit any applications for special consideration where candidates meet the published criteria. (JCQ's [General Regulations for Approved Centres](#), section 5.9)

Eligibility for special consideration

Roles and responsibilities Head

of centre

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

Exams officer

- Understands the criteria as detailed in [SC](#) to determine where candidates will/will not be eligible for special consideration
- Ensures that, where relevant and in eligible situations, applications for special consideration will be submitted to awarding bodies

Teaching staff and/or ALS lead/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 **all Meridian Trust schools** 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)

Some examples are provided below are shared as a written point of reference, they are not definitive and localised examples may be recorded.

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 (GCE and Level 3 exams) or more than 5 hours 30 minutes (GCSE, Level 1 and Level 2 exams) including any approved extra time but not any time taken for supervised rest breaks, special consideration for an allowance on the last paper taken will be applied for.
4. Where a candidate may be affected 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 taking 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 and/or ALS lead/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](#).

In cases of online applications for special consideration, the candidate/candidates will be informed when an application for special consideration is submitted to the awarding body (to ensure compliance with the UK GDPR/Data Protection Act 2018).

Evidence to support all 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 a paper application is specifically required by the awarding body
- 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

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 **compelling** 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.

Whistleblowing Procedure

(Exams) 2022/23

Whistleblowing at **Meridian Trust schools** is encouraged, not penalised, and staff are made aware that they have a duty to report any concerns they have about the conduct of examinations.

The head of centre and governing board at **Meridian Trust schools** aim to create and maintain an approach to examinations that reflects an ethical culture, and encourages staff and students to be aware of and report practices that could compromise the integrity and security of examinations.

In compliance with section 5.11 of the JCQ's **General Regulations for Approved Centres**¹, **Meridian Trust schools** will:

- take all reasonable steps to prevent the occurrence of any malpractice (which includes maladministration) before, during and after assessments have taken place
- inform the awarding body **immediately** of any alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, by completing the appropriate documentation
- as required by an awarding body, gather evidence of any instances of alleged or suspected malpractice (which includes maladministration) in accordance with the JCQ publication **Suspected Malpractice: Policies and Procedures**² and provide such information and advice as the awarding body may reasonably require

This procedure requirement has been added within **General Regulations for Approved Centres** in response to the recommendations within the report of the *Independent Commission on Examination Malpractice*³.

This procedure sets out the whistleblowing procedures at **Meridian Trust schools**. **Meridian Trust schools** are fully aware of the contents of this procedure and will escalate any instances of malpractice to the relevant awarding body/bodies.

This procedure also sets out the principles which allow members of centre staff and students to feel confident in reporting instances of actual, alleged or suspected malpractice to relevant members of senior leadership. **Purpose of the procedure**

- encourages individuals to raise concerns, which will be fully investigated by appropriately trained and experienced individuals
- identifies how to report concerns

¹ Reference www.jcq.org.uk/exams-office/general-regulations/

² Reference www.jcq.org.uk/exams-office/malpractice/

³ Reference www.jcq.org.uk/examination-system/imc-home/

- explains how such concerns will be investigated and sets expectations regarding the reporting of outcomes
- provides details of relevant bodies to whom concerns about wrongdoing can be reported, including awarding organisations and regulators
- includes a commitment to do everything reasonable to protect the reporter's identity, if requested
- sets out how those raising concerns will be supported.

This procedure details the steps that could be taken by an individual involved in the management, administration and/or conducting of examinations if **Meridian Trust schools** fails to comply with its obligation to report any alleged, suspected or actual incidents of malpractice or maladministration.

The Whistleblower

A whistleblower is defined as a person who reports an actual or potential wrongdoing and is protected by the Public Interest Disclosure Act 1998, providing they are acting in the public interest.

If the person raising the issue is a worker, this will be considered as whistleblowing. This includes agency staff and contractors.

Reporting

If a member of centre staff involved in the management, administration and/or conducting of examinations (such as exams officer, exams assistant or invigilator), a student or a member of the public (such as a parent/carer) has a concern or reason to believe that malpractice has or will occur in an examination or assessment, concerns should normally be raised as per Meridian Trust Whistleblowing policy.

However, there may be times when it may be more appropriate to refer the issue direct to the Academy Council, most often when the allegation is against the head of centre.

Examples of malpractice

In addition to the trust wide Whistleblowing Policy, this exams-specific procedure, includes reference to exams-related breaches including, but not limited to, the following:

- Failure to comply with exam regulations as set out by the Joint Council for Qualifications (JCQ) and its awarding bodies
- A security breach of the examination paper
- Conduct of centre staff which undermines the integrity of the examination
- Unfair treatment of candidates by either giving an advantage to a candidate/group of candidates (e.g. by permitting a candidate an access arrangement which is not

supported by appropriate evidence), or disadvantaging candidates by not providing access to the appropriate conditions (providing a 'level playing field')

- Possible fraud and corruption (e.g. accessing the exam paper prior to the exam to aid teaching and learning)
- Abuse of authority (e.g. the head of centre/members of the senior leadership team overriding JCQ and awarding body regulations)
- Other conduct which may be interpreted as malpractice/maladministration

Whistleblowing

If the individual does not feel safe raising the issue/reporting malpractice within the centre, or they have done so and are concerned that no action has been taken, that individual could consider making their disclosure⁴ to a malpractice expert at the awarding body for the qualification where malpractice is suspected.

For members of centre staff, it is likely that the Public Interest Disclosure Act (PIDA)⁵ offers you legal protection from being dismissed or penalised for raising certain serious concerns ('blowing the whistle'). Whistleblowing rights under PIDA are day one rights⁶. This means that the worker does not need the same two years' service that is needed for other employment rights.

In order to investigate concerns effectively, the awarding body should be provided with as much information as possible/is relevant, which may include:

- The qualifications and subjects involved
- The centre involved
- The names of staff/candidates involved
- The regulations breached/specific nature of suspected malpractice
- When and where the suspected malpractice occurred
- Whether multiple examination series are affected
- If the issue has been reported to the centre and what the outcome was
- How the issue became apparent

Members of the public are not protected by PIDA, but the awarding body will make every effort to protect their identity if that is what they wish, unless the awarding body is legally obliged to release it⁷.

⁴ Reference www.jcq.org.uk/exams-office/malpractice/public-interest-disclosure-act/

⁵ Reference **Public Interest Disclosure Act 1998** www.legislation.gov.uk/ukpga/1998/23/contents

⁶ Reference <https://protect-advice.org.uk/pida/>

⁷ Reference www.ocr.org.uk/administration/general-qualifications/assessment/malpractice/whistleblowing/ ⁸

Reference www.gov.uk/guidance/ofquals-whistleblowing-policy

Alternatively, a worker could consider making a disclosure to Ofqual⁸ as a prescribed body for whistleblowing to raise a concern about wrongdoing, risk or malpractice. **Anonymity**

In some circumstances, the whistleblower might find it difficult to raise concerns with the nominated member of the senior leadership team. If a concern is raised anonymously, the

issue may not be able to be taken further if insufficient information has been provided. In such instances, and if appropriate, the allegation may be disclosed to a union representative, who could then be required to report the concern without disclosing its source. Alternatively, whistleblowers or others with concerns about potential malpractice can report the matter direct to Ofqual, who is identified as a 'prescribed body'⁸. Awarding organisations are not prescribed bodies under whistleblowing legislation; however, awarding organisation investigation teams do give those reporting concerns the opportunity for anonymity.

A whistleblower can give his/her name, but may also request confidentiality; the person receiving the information should make every effort to protect the identity of the whistleblower.

Students

Students at **Meridian Trust schools** are made to feel comfortable discussing/reporting malpractice issues of which they are aware. The regulations surrounding their assessments, and wider academic integrity, will be reiterated to students who are undertaking, or who are about to undertake, their courses of study.

⁸ Reference www.gov.uk/government/publications/blowing-the-whistle-list-of-prescribed-people-and-bodies-2/whistleblowing-list-of-prescribed-people-and-bodies

Word Processor Procedure (Exams) 2022/23

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examinations	

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 2022-2023](#) and [Instructions for conducting examinations 2022-2023](#) publications.

Introduction

The use of a word processor in exams and assessments is an available access arrangement/reasonable adjustment.

(AA 4.2.1)

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 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 access arrangements/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 access arrangements/reasonable 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 access arrangements/reasonable adjustments on a subject-by-subject basis.

(AA 4.2.1)

The Additional Learning Support lead/SENCo must ensure that the proposed access arrangement/reasonable adjustment does not **unfairly** disadvantage or advantage a candidate.

(AA 4.2.7)

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

Purpose of the procedure

This procedure details how **Meridian Trust schools** complies with AA chapter 4 (Managing the needs of candidates and principles for centres), section 5.8 (Word processor) and ICE

(sections 14.20–27) 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 criteria Meridian Trust schools use to award and allocate word processors for examinations and assessments

The 'normal way of working' for exam candidates, as directed by the head of centre, is that candidates handwrite their exams unless there are exceptions

Exceptions

A candidate may be awarded the use of a word processor in examinations where:

- the candidate may have an approved access arrangement in place, for example the use of a scribe/speech recognition technology
- 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

The centre will

- allocate the use of a word processor to a candidate with the spelling and grammar check facility/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
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 access arrangements/reasonable 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 he/she now wants to type rather than write in exams or can work faster on a keyboard, or because he/she uses a laptop at home. (AA 5.8.4)

Exceptions

The only exceptions to the above where Additionally 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 according to individual needs for example in the main examination hall/room, in a room for a smaller group of candidates, etc.

In compliance with the regulations the centre:

- provides a word processor with the spelling and grammar check 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)
- (where a candidate is to be seated with the main cohort without the use of a power point) checks the battery capacity of the word processor before the candidate's exam to ensure that the battery is sufficiently charged for the entire duration of the exam (ICE 14.21)
- 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 these instances once the candidate has completed the examination and printed off his/her typed script, he/she is instructed to handwrite their details as a header or footer. The candidate is supervised throughout this process to ensure that he/she is 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 give the candidate access to other applications such as a calculator (where prohibited in the examination), e-mail, the Internet, social media sites, spreadsheets
- 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 computer reading (text to speech) software unless the candidate has permission to use a computer reader
- 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 has ended**

(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)
- if a candidate omits to insert the required header or footer, he/she is instructed to handwrite the details as a header or footer; the candidate is supervised throughout this process to ensure that he/she is solely performing this task and not re-reading their answers or amending their work in any way (ICE 14.22)

The centre will also ensure that where an awarding body may require a word processor cover sheet, this is included with the candidate's typed script (and according to the relevant awarding body's instructions). (ICE 14.26)

The centre may retain electronic copies of word processed scripts as the electronic copy of a word processed script may be accepted by an awarding body where the printed copy has been lost. However, the centre would need to demonstrate to the awarding body that the file has been kept securely. The head of centre would be required to confirm this in writing to the awarding body. (ICE 14.27)

Allocating 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.]

The criteria Cambridge Meridian Academies Trust uses to award and allocate word processors for examinations

Overtyping here the centre's statement to meet the requirement.

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

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An example, by way of illustration, is provided below. However, this is an example **only** which if used **must** be adapted to address your centre-specific processes and the criteria used for awarding and allocating the use of word processors in your centre.

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.

Statement produced by: **Cambridge Meridian Academies Trust** — Statement date: 25-11-2021

Appendix 16a

Learner's Examination Malpractice Procedure

1. The Allegation

Suspected malpractice by students

- 1.1. Examiners, moderators and external verifiers who suspect malpractice in an examination or assessment must notify the Academy Examination Manager. A full account of the incident **must** be submitted together with supporting evidence and an indication of which regulation or specification requirement has been broken.
- 1.2. Where suspected malpractice is identified by a centre, the head of centre must submit full details of the case at the earliest opportunity to the relevant awarding body.

Form JCQ/M1 (suspected candidate malpractice) or **Form JCQ/M2a** (suspected malpractice/maladministration involving centre staff) **must** be used to notify an awarding body of an incident of malpractice. Each form is available from the JCQ website - <http://www.jcq.org.uk/exams-office/malpractice>

Notifications in letter format will be accepted providing the information given covers the same points as Form JCQ/M1 or JCQ/M2a.

- 1.3. Malpractice by a candidate in a coursework or controlled assessment component of a specification discovered prior to the candidate signing the declaration of authentication need not be reported to the awarding body but must be dealt with in accordance with the centre's internal procedures.

Centres should not normally give credit for any work submitted which is not the candidate's own work. If any assistance has been given, a note **must** be made of this on the cover sheet of the candidate's work or other appropriate place.

(Note: Centres are advised that if coursework or portfolio work or controlled assessment which is submitted for internal assessment is rejected by the centre on grounds of malpractice, candidates have the right to appeal against this decision. The JCQ website contains advice on the recommended procedures for appeals against internal assessment decisions.)

- 1.4. Awarding bodies are aware that the reporting of malpractice by a member of staff or a candidate can create a difficult environment for that staff member or candidate.

Accordingly, an awarding body will try to protect the identity of an informant if this is asked for at the time the informant gives information.

An awarding body will use such information in its investigation but will not present to the Malpractice Committee information from an informant who wishes to withhold his/her identity.

- 1.5. If the information is provided over the telephone, the informant will usually be asked to make the allegation in writing.
- 1.6. When an awarding body receives an allegation from someone other than the head of a centre (including anonymous reports), the awarding body will evaluate the allegation in the light of any other available information, to see if there is cause to investigate.

2. The awarding body's response to an allegation of malpractice

- 2.1. In the case of notifications of suspected malpractice received from examiners, moderators, external verifiers, the regulator or members of the public (including whistle-blowers) the awarding body will consider the information provided and decide to:
 - take no further action; **or**
 - ask the head of centre, or another suitably qualified individual, to conduct a full investigation into the alleged malpractice and to submit a written report; **or**
 - investigate the matter directly.
- 2.2. The awarding body will notify the regulators as soon as it receives an allegation of a serious breach of security. The other awarding bodies which have approved that centre, and the police, may also be informed.
- 2.3. On receipt of a notification of suspected malpractice, submitted by a head of centre, the awarding body will consider the information provided and decide either:
 - to take no further action; **or**
 - if the notification takes the form of a Report, to make a decision on the case in accordance with the procedures, (where the evidence permits) - **see sections 8 to 13; or**
 - to ask the head of centre to carry out a further investigation as described in **sections 6.1 to 6.6** and provide further evidence; **or**

- to investigate the matter further itself.

- 2.4. Regardless of whether the allegation of malpractice is proven or not, in order to ensure the integrity of, and public confidence in, future examinations/assessments, the awarding body may undertake additional inspections and/or monitoring, and/or require additional actions

3. The investigation

Investigations carried out by the head of centre/appointed investigator

- 3.1 It will normally be expected that investigations into allegations of malpractice will be carried out by the head of centre. The head of centre should be with the investigation in a timely manner
- 3.2 Those responsible for conducting an investigation should establish the full facts and circumstances of any alleged malpractice. It should not be assumed that because an allegation has been made, it is true.
- 3.3 The head of centre should consider that both staff and candidates can be responsible for malpractice.

If the investigation is delegated to another **senior member of centre staff**, the head of centre retains overall responsibility for the investigation. In selecting a suitable **senior member of centre staff** the head of centre **must** take all reasonable steps to avoid a conflict of interest.

Where a conflict of interest may be seen to arise, investigations into suspected malpractice should not be delegated to the manager of the section, team or department involved in the suspected malpractice. In the event of any concerns regarding conflicts of interest or the suitability of the potential investigator, the head of centre should contact the awarding body as soon as possible to discuss the matter.

- 3.4 If a centre is reporting the suspected malpractice, the awarding bodies recommend that, as a minimum, the centre provides the accused individuals with a completed copy of the form or letter used to notify the awarding body of the malpractice.
- 3.5 Where the person conducting the investigation deems it necessary to interview a candidate or member of staff in connection with an alleged malpractice, the interviews must be conducted in accordance with the centre's own policy for conducting disciplinary enquiries.
- 3.6 The involvement of legal advisors is not necessary, at least where there is no allegation of criminal behaviour.

However, if any party wishes to be accompanied by a solicitor or trade union official, the other parties must be informed beforehand to give them the opportunity to be similarly supported. An awarding body will not be liable for any professional fees incurred.

The head of centre is required to make available an appropriate venue for such interviews. Interviews may also be conducted over the telephone. Individuals involved may be requested to provide a written statement.

4. Investigations carried out by the awarding body

- 4.1 An awarding body will not normally withhold from the head of centre any evidence or material obtained or created during the course of an investigation into an allegation of malpractice.

However, it may do so where this would involve disclosing the identity of an informant who has asked for his/her identity to remain confidential. In such cases, the awarding body will provide the evidence and material and will withhold information that would reveal the person's identity and will explain why the withheld information cannot be provided.

Any material or evidence not provided to the head of centre will not be provided to a Malpractice Committee and will not be considered when deciding whether an allegation of malpractice is proven or not.

- 4.2 If investigations reveal that candidates had prior knowledge of the content of an examination or assessment, the awarding body must establish whether information could have been divulged to candidates at other centres or to other unauthorised persons.
- 4.3 Sometimes it is necessary for the awarding body to interview a candidate during an investigation. If the candidate is a minor or a vulnerable adult, and if the interview is to be conducted face to face, the awarding bodies undertake to do this only in the presence of the head of centre, or other senior member of staff, or the candidate's parent/carer or with the permission of the head of centre or parent/carer.
- 4.4 Interviews may also be conducted over the telephone.
- 4.5 When it is necessary for a member of the awarding body staff to conduct an interview with a staff member, the member of staff being interviewed may be accompanied by a friend or advisor (who may be a representative of a teacher association or other association).
- 4.6 If the individual being interviewed wishes to be accompanied by a legal advisor, the other parties must be informed beforehand to give them the opportunity to be similarly supported.

The head of centre will be required to make available an appropriate venue for such interviews.

- 4.7 The individual being interviewed may also be requested to provide a written statement

- 4.8 When in the view of the investigator, there is sufficient evidence to implicate an individual in malpractice, that individual whether a candidate or a member of staff, accused of malpractice, **must**:
- be informed (preferably in writing) of the allegation made against him or her;
 - be advised that a copy of the JCQ publication Suspected Malpractice in Examinations and Assessments: Policies and Procedures can be found on the JCQ website - <http://www.jcq.org.uk/exams-office/malpractice>
 - know what evidence there is to support that allegation;
 - know the possible consequences should malpractice be proven;
 - have the opportunity to consider their response to the allegations (if required);
 - have an opportunity to submit a written statement;
 - be informed that he/she will have the opportunity to read the submission and make an additional statement in response, should the case be put to the Malpractice Committee;
 - have an opportunity to seek advice (as necessary) and to provide a supplementary statement (if required);
 - be informed of the applicable appeals procedure, should a decision be made against him or her;
 - be informed of the possibility that information relating to a serious case of malpractice may be shared with other awarding bodies, the regulators, the Police and/or professional bodies including the Teaching Agency as appropriate
- 4.9 Responsibility for informing the accused individual rests with the head of centre. In certain circumstances it may be necessary for the head of centre to exercise discretion, in the light of all the circumstances of the case, as to the timing and the means by which an allegation of malpractice and the supporting evidence is presented to the individual(s) involved.

Full details of the awarding body's appeals procedures will be sent to the head of centre involved in an appeal.

5. The Report

- 5.1 After investigating an allegation of malpractice the head of centre must submit a full written Report of the case to the relevant awarding body.
- 5.2 The Report should be accompanied by the following documentation, as appropriate:
- a statement of the facts, a detailed account of the circumstances of the alleged malpractice, and details of any investigations carried out by the centre;

- written statement(s) from the invigilator(s), assessor, internal verifier(s) or other staff who are involved;
- written statement(s) from the candidate(s);
- any mitigating factors;
- information about the centre's procedures for advising candidates of the awarding bodies' regulations;
- seating plans showing the exact position of candidates in the examination room;
- unauthorised material found in the examination room;
- any work of the candidate and any associated material (e.g. source material for coursework) which is relevant to the investigation.

5.3 Form **JCQ/M1** or Form **JCQ/M2b** should be used as the basis of the Report.

The forms are available from the JCQ website -

<http://www.jcq.org.uk/examsoffice/malpractice>

Reports in letter format will be accepted providing the information given covers the same points as the form.

5.4 The awarding body will decide on the basis of the Report, and any supporting documentation, whether there is evidence of malpractice and if any further investigation is required. The head of centre will be informed accordingly

6. The decision

The Malpractice Committee

6.1 In order to determine the outcomes in cases of alleged malpractice awarding bodies may appoint a Panel or Committee composed of internal and/or external members experienced in examination and assessment procedures. Alternatively, this function may be allocated to a named member or members of staff. In this document the Committee (or awarding body personnel responsible for making decisions in malpractice cases) is referred to as the "Malpractice Committee". The Committee may be assisted by an awarding body member of staff.

6.2 The following applies to the activities of the Malpractice Committee (or to the personnel acting in this capacity):

- The work of the Malpractice Committee is confidential.
- Members of the Malpractice Committee are required to identify any case of which they have personal knowledge or might be said to have some interest which could lead to an inference that the committee had been biased. Any member with a close personal interest will take no part in the discussion of the case and will not be present when the Malpractice Committee discusses the matter.

- Accused individuals, heads of centre and their representatives are not entitled to be present at meetings of the Malpractice Committee.
- 6.3 The key principle underpinning the composition of the Malpractice Committee is that it is independent of those who have conducted the investigation.
- 6.4 Awarding body staff who have directly investigated the case will play no role in the decision-making process.
- 6.5 No one who declares an interest in the outcome of the case will be present in the room when the case is considered.
- 6.6 Information supplied to the Malpractice Committee will be only that which is directly relevant to the case under consideration and which has been made available to the person against whom the allegation has been made, subject to redaction.

The person against whom the allegation has been made will be given the opportunity to make a statement to the Malpractice Committee in light of the material provided.

Making the decision - overview

- 6.7 In making a decision on any Report, the Malpractice Committee will establish that correct procedures have been followed in the investigation of the case, and that all individuals involved have been given the opportunity to make a written statement.
- 6.8 If satisfied, the Malpractice Committee will then seek to determine: ▪
- whether the examination and assessment regulations have been broken;
 - where the culpability lies for the breach of regulations.
- 6.9 If the Malpractice Committee is satisfied that there is sufficient evidence that malpractice has occurred, the Committee will then determine:
- appropriate measures to be taken to protect the integrity of the examination or assessment and to prevent future breaches;
 - the nature of any sanction or penalty to be applied.

Making the decision

Each case of suspected malpractice will be considered and judged on an individual basis in the light of all information available. Where there is an established, clearly evidenced, repeated pattern of behaviour this may be taken into consideration when determining whether a sanction should be applied.

The Malpractice Committee will seek to make decisions unanimously, but, if necessary, may decide by a majority.

- 6.10 The Malpractice Committee will consider, as separate issues:
- whether or not there has been malpractice; and

- if malpractice is established, whether a sanction should be applied.

6.11 When making a decision in a case the Malpractice Committee will:

- identify the regulation or specification requirement which it is alleged has been broken;
- establish the facts of the case. Where there are conflicting statements the decision as to whether or not there has been malpractice is made by reference to the facts as disclosed by the papers, independent of any decision on sanctions;
- decide whether the facts as so established actually breach the regulations or specification requirements.

If a breach of regulations has occurred, the Malpractice Committee will establish who is responsible for this and;

- consider any points in mitigation;
- determine an appropriate level of sanction or penalty, considering the least severe penalty first.

6.12 The Malpractice Committee must be satisfied from the evidence before it that on the balance of probabilities the alleged malpractice occurred (i.e. that it is more likely than not). It is possible that the evidence in some cases may be inconclusive, but the awarding body may decline to accept the work of the candidates in order to protect the integrity of the qualification for the majority

6.13 In situations where a case is deferred because the Committee requires further information in order to make a determination, the deferral and the nature of the request will be shared with the investigation team and the individual against whom the allegation has been made.

6.14 In straightforward cases where the evidence is not contested or in doubt, awarding bodies may invoke a summary procedure. A sanction or sanctions may be applied and notified to an individual or centre following consideration of the case by an awarding body member of staff.

6.15 Sanctions and penalties applied under this summary procedure are subject to appeal, as are all other sanctions and penalties resulting from cases of malpractice.

Please see the JCQ publication A guide to the awarding bodies' appeals processes - <http://www.jcq.org.uk/exams-office/appeals>

CMAT 2021: Addendum to CMAT App1 (now App16a) Learner Malpractice, in line with new CMAT Centre Policy (2022-23 only if required and may be adjusted pending JCQ guidance).

Taken from amended JCQ Guidance on malpractice for awarding in summer 2020 in line with 2021 Centre Policy

The JCQ awarding bodies very much value your cooperation with the teacher assessed grade process and appreciate that you will be working hard to make sure this is a success. We are all eager to ensure that we issue results which are a fair and accurate reflection of learners' abilities. The integrity of the results are particularly dependent on robust procedures within schools and colleges.

There may some instances where a few individuals fail to act appropriately in the conduct of the teacher assessed grade process. To support schools and colleges in these challenging times, we wanted to provide some information regarding when we might need to investigate.

Centres/centre staff

The awarding bodies may investigate credible allegations that raise concerns about the failure to follow due procedures in the teacher assessed grade process.

Examples (for General and Vocational qualifications) include:

- A Head of Centre fails to submit the required declaration when approving and submitting their teacher assessment grades.
- A failure by a centre to appropriately manage Conflicts of Interest (COIs) within a centre.
- Teacher assessment grades being released to learners (or their parents/carers) before the issue of results.
- If new exam entries are created for learners who had not intended to enter for June 2021 or if tier changes are made to gain an unfair advantage rather than as an accurate reflection of a learner's ability.
- A failure to submit teacher assessment grades, this might include situations in which centre staff have been unreasonably pressured into making changes to their teacher assessment grades.
- A failure to accurately report grades of completed units for vocational qualifications.

Examples of malpractice/maladministration, taken from Centre Policy advice include:

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

All such instances of Malpractice or maladministration will be investigated and dealt with inline with this procedure.

Learners

It is possible that some learners may attempt to influence their teachers' judgements on their teacher assessed grades. Learners might try to do this by submitting false evidence of performance or by applying pressure. The awarding bodies anticipate that the majority of such instances will be dealt with by the centre internally. However, if the learner's behaviour continues then please inform the relevant awarding body using the JCQ M1 form. The awarding bodies will contact your centre directly if we receive credible allegations that such pressure has been applied.

Possible Consequences

The consequences of malpractice or maladministration as published in the JCQ guidance: *JCQ Suspected Malpractice: Policies and Procedures* and including the risk of a delay to students receiving their grades, up to, and including, removal of centre status have been outlined to all relevant staff.

Learner's Examination Malpractice Procedure for undertaking ASDAN qualifications

1. The Allegation

Suspected malpractice by students

- 1.1. Examiners, moderators and external verifiers who suspect malpractice in an examination or assessment must notify the Academy Examination Manager. A full account of the incident **must** be submitted together with supporting evidence and an indication of which regulation or specification requirement has been broken.
- 1.2. Where suspected malpractice is identified by a Centre, the head of Centre must submit full details of the case at the earliest opportunity to the relevant awarding body.

Completion of template for suspected candidate malpractice or suspected malpractice/maladministration involving Centre staff must be used to notify the awarding body of an incident of malpractice.

- 1.3. Malpractice by a candidate in a coursework or controlled assessment component of a specification discovered prior to the candidate signing the declaration of authentication need not be reported to the awarding body but must be dealt with in accordance with the center's internal procedures.

Centre's should not normally give credit for any work submitted which is not the candidate's own work. If any assistance has been given, a note **must** be made of this on the cover sheet of the candidate's work or other appropriate place.

Note: Centre's are advised that if coursework or portfolio work or controlled assessment which is submitted for internal assessment is rejected by the Centre on grounds of malpractice, candidates have the right to appeal against this decision.

- 1.4. Awarding bodies are aware that the reporting of malpractice by a member of staff or a candidate can create a difficult environment for that staff member or candidate.

Accordingly, an awarding body will try to protect the identity of an informant if this is asked for at the time the informant gives information.

An awarding body will use such information in its investigation but will not present to the Malpractice Committee information from an informant who wishes to withhold his/her identity.

- 1.5. If the information is provided over the telephone, the informant will usually be asked to make the allegation in writing.
- 1.6. When an awarding body receives an allegation from someone other than the head of a Centre (including anonymous reports), the awarding body will evaluate the allegation in the light of any other available information, to see if there is cause to investigate.

2. The awarding body's response to an allegation of malpractice

- 2.1. In the case of notifications of suspected malpractice received from examiners, moderators, external verifiers, the regulator or members of the public (including whistle-blowers) the awarding body will consider the information provided and decide to:
 - take no further action; **or** ask the head of Centre, or another suitably qualified individual, to conduct a full investigation into the alleged malpractice and to submit a written report; **or** investigate the matter directly.

- 2.2. The awarding body will notify the regulators as soon as it receives an allegation of a serious breach of security. The other awarding bodies which have approved that Centre, and the police, may also be informed.
- 2.3. On receipt of a notification of suspected malpractice, submitted by a head of Centre, the awarding body will consider the information provided and decide either:
- to take no further action; **or** if the notification takes the form of a Report, to make a decision on the case in accordance with the procedures, (where the evidence permits) – **see sections 8 to 13; or**
 - to ask the head of Centre to carry out a further investigation as described in **sections 6.1 to 6.6** and provide further evidence; **or**
 - to investigate the matter further itself.
- 2.4. Regardless of whether the allegation of malpractice is proven or not, in order to ensure the integrity of, and public confidence in, future examinations/assessments, the awarding body may undertake additional inspections and/or monitoring, and/or require additional actions

3. The investigation

Investigations carried out by the head of Centre/appointed investigator

- 3.1 It will normally be expected that investigations into allegations of malpractice will be carried out by the head of Centre. The head of Centre should be with the investigation in a timely manner.
- 3.2 Those responsible for conducting an investigation should establish the full facts and circumstances of any alleged malpractice. It should not be assumed that because an allegation has been made, it is true.
- 3.3 The head of Centre should consider that both staff and candidates can be responsible for malpractice.

If the investigation is delegated to another **senior member of Centre staff**, the head of Centre retains overall responsibility for the investigation. In selecting a suitable **senior member of Centre staff** the head of Centre **must** take all reasonable steps to avoid a conflict of interest.

Where a conflict of interest may be seen to arise, investigations into suspected malpractice should not be delegated to the manager of the section, team or department involved in the suspected malpractice. In the event of any concerns regarding conflicts of interest or the suitability of the potential investigator, the head of Centre should contact the awarding body as soon as possible to discuss the matter.

3.4 If a Centre is reporting the suspected malpractice, the awarding bodies recommend that, as a minimum, the Centre provides the accused individuals with a completed copy of the form or letter used to notify the awarding body of the malpractice.

3.5 Where the person conducting the investigation deems it necessary to interview a candidate or member of staff in connection with an alleged malpractice, the interviews must be conducted in accordance with the center's own policy for conducting disciplinary enquiries.

3.6 The involvement of legal advisors is not necessary, at least where there is no allegation of criminal behaviour.

However, if any party wishes to be accompanied by a solicitor or trade union official, the other parties must be informed beforehand to give them the opportunity to be similarly supported. An awarding body will not be liable for any professional fees incurred.

The head of Centre is required to make available an appropriate venue for such interviews. Interviews may also be conducted over the telephone. Individuals involved may be requested to provide a written statement.

4. Investigations carried out by the awarding body

4.1 An awarding body will not normally withhold from the head of Centre any evidence or material obtained or created during the course of an investigation into an allegation of malpractice.

However, it may do so where this would involve disclosing the identity of an informant who has asked for his/her identity to remain confidential. In such cases, the awarding body will provide the evidence and material and will withhold information that would reveal the person's identity and will explain why the withheld information cannot be provided.

Any material or evidence not provided to the head of Centre will not be provided to a Malpractice Committee and will not be considered when deciding whether an allegation of malpractice is proven or not.

- 4.2 If investigations reveal that candidates had prior knowledge of the content of an examination or assessment, the awarding body must establish whether information could have been divulged to candidates at other center's or to other unauthorized persons.
- 4.3 Sometimes it is necessary for the awarding body to interview a candidate during an investigation. If the candidate is a minor or a vulnerable adult, and if the interview is to be conducted face to face, the awarding bodies undertake to do this only in the presence of the head of Centre, or other senior member of staff, or the candidate's parent/carer or with the permission of the head of Centre or parent/carer.
- 4.4 Interviews may also be conducted over the telephone.
- 4.5 When it is necessary for a member of the awarding body staff to conduct an interview with a staff member, the member of staff being interviewed may be accompanied by a friend or advisor (who may be a representative of a teacher association or other association).
- 4.6 If the individual being interviewed wishes to be accompanied by a legal advisor, the other parties must be informed beforehand to give them the opportunity to be similarly supported.

The head of Centre will be required to make available an appropriate venue for such interviews.

- 4.7 The individual being interviewed may also be requested to provide a written statement
- 4.8 When in the view of the investigator, there is sufficient evidence to implicate an individual in malpractice, that individual whether a candidate or a member of staff, accused of malpractice, **must**:
- be informed (preferably in writing) of the allegation made against him or her;
 - know what evidence there is to support that allegation.
 - know the possible consequences should malpractice be proven.
 - have the opportunity to consider their response to the allegations (if required);
 - have an opportunity to submit a written statement;
 - be informed that he/she will have the opportunity to read the submission and make an additional statement in response, should the case be put to the Malpractice Committee;
 - have an opportunity to seek advice (as necessary) and to provide a supplementary statement (if required);
 - be informed of the applicable appeals procedure, should a decision be made against him or her;
 - be informed of the possibility that information relating to a serious case of malpractice may be shared with other awarding bodies, the regulators, the Police and/or professional bodies including the Teaching Agency as appropriate
- 4.9 Responsibility for informing the accused individual rests with the head of Centre. In certain circumstances it may be necessary for the head of Centre to exercise discretion, in the light of all the circumstances of the case, as to the timing and the means by which an allegation of malpractice and the supporting evidence is presented to the individual(s) involved.

Full details of the awarding body's appeals procedures will be sent to the head of Centre involved in an appeal.

5. The Report

5.1 After investigating an allegation of malpractice the head of Centre must submit a full written Report of the case to the relevant awarding body.

5.2 The Report should be accompanied by the following documentation, as appropriate:

- a statement of the facts, a detailed account of the circumstances of the alleged malpractice, and details of any investigations carried out by the Centre;
- written statement(s) from the invigilator(s), assessor, internal verifier(s) or other staff who are involved;
- written statement(s) from the candidate(s);
- any mitigating factors;
- information about the Centre's procedures for advising candidates of the awarding bodies' regulations;
- seating plans showing the exact position of candidates in the examination room;
- unauthorized material found in the examination room;
- any work of the candidate and any associated material (e.g. source material for coursework) which is relevant to the investigation.

5.3 The Report should ideally be completed on the standard template. Reports in letter format will be accepted providing the information given covers the same points as the template.

5.4 The awarding body will decide on the basis of the Report, and any supporting documentation, whether there is evidence of malpractice and if any further investigation is required. The head of Centre will be informed accordingly.

6. The decision

The Malpractice Committee

In order to determine the outcomes in cases of alleged malpractice awarding bodies may appoint a Panel or Committee composed of internal and/or external members experienced in examination and assessment procedures. Alternatively, this function may be allocated to a named member or members of staff. In this document the Committee (or awarding body personnel responsible for making decisions in malpractice cases) is referred to as the "Malpractice Committee". The Committee may be assisted by an awarding body member of staff.

6.1 The following applies to the activities of the Malpractice Committee or personnel acting in this capacity:

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- Members of the Malpractice Committee are required to identify any case of which they have personal knowledge or might be said to have some interest which could lead to an inference that the committee had been biased. Any member with a close personal interest will take no part in the discussion of the case and will not be present when the Malpractice Committee discusses the matter.
- Accused individuals, heads of Centre and their representatives are not entitled to be present at meetings of the Malpractice Committee.

6.2 The key principle underpinning the composition of the Malpractice Committee is that it is independent of those who have conducted the investigation.

6.3 Awarding body staff who have directly investigated the case will play no role in the decision-making process.

6.4 No one who declares an interest in the outcome of the case will be present in the room when the case is considered.

6.5 Information supplied to the Malpractice Committee will be only that which is directly relevant to the case under consideration and which has been

made available to the person against whom the allegation has been made, subject to redaction.

The person against whom the allegation has been made will be given the opportunity to make a statement to the Malpractice Committee in light of the material provided.

Making the decision - overview

6.6 In making a decision on any Report, the Malpractice Committee will establish that correct procedures have been followed in the investigation of the case, and that all individuals involved have been given the opportunity to make a written statement.

6.7 If satisfied, the Malpractice Committee will then seek to determine:

- whether the examination and assessment regulations have been broken; ▪ where the culpability lies for the breach of regulations.

6.8 If the Malpractice Committee is satisfied that there is sufficient evidence that malpractice has occurred, the Committee will then determine:

- appropriate measures to be taken to protect the integrity of the examination or assessment and to prevent future breaches;
- the nature of any sanction or penalty to be applied.

Making the decision

Each case of suspected malpractice will be considered and judged on an individual basis in the light of all information available. Where there is an established, clearly evidenced, repeated pattern of behaviour this may be taken into consideration when determining whether a sanction should be applied.

The Malpractice Committee will seek to make decisions unanimously, but, if necessary, may decide by a majority.

6.9 The Malpractice Committee will consider, as separate issues:

- whether or not there has been malpractice; and if malpractice is established, whether a sanction should be applied.

6.10 When making a decision in a case the Malpractice Committee will:

- identify the regulation or specification requirement which it is alleged has been broken;
- establish the facts of the case. Where there are conflicting statements the decision as to whether or not there has been malpractice is made by reference to the facts as disclosed by the papers, independent of any decision on sanctions;
- decide whether the facts as so established actually breach the regulations or specification requirements.

If a breach of regulations has occurred, the Malpractice Committee will establish who is responsible for this and;

- consider any points in mitigation;
- determine an appropriate level of sanction or penalty, considering the least severe penalty first.

6.11 The Malpractice Committee must be satisfied from the evidence before it that on the balance of probabilities the alleged malpractice occurred (i.e. that it is more likely than not). It is possible that the evidence in some cases may be inconclusive, but the awarding body may decline to accept the work of the candidates in order to protect the integrity of the qualification for the majority.

6.12 In situations where a case is deferred because the Committee requires further information in order to make a determination, the deferral and the nature of the request will be shared with the investigation team and the individual against whom the allegation has been made.

6.13 In straightforward cases where the evidence is not contested or in doubt, awarding bodies may invoke a summary procedure. A sanction or sanctions may be applied and notified to an individual or Centre following consideration of the case by an awarding body member of staff.

6.14 Sanctions and penalties applied under this summary procedure are subject to appeal, as are all other sanctions and penalties resulting from cases of malpractice.

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Examples (for General and Vocational qualifications) include:

- A Head of Centre fails to submit the required declaration when approving and submitting their teacher assessment grades.
- A failure by a Centre to appropriately manage Conflicts of Interest (COIs) within a Centre.
- Teacher assessment grades being released to learners (or their parents/carers) before the issue of results.
- If new exam entries are created for learners who had not intended to enter for June 2021 or if tier changes are made to gain an unfair advantage rather than as an accurate reflection of a learner's ability.
- A failure to submit teacher assessment grades, this might include situations in which Centre staff have been unreasonably pressured into making changes to their teacher assessment grades.
- A failure to accurately report grades of completed units for vocational qualifications.

Examples of malpractice/maladministration, taken from Centre Policy advice include:

- Breaches of internal security.

- Deception.
- Improper assistance to students.
- Failure to appropriately authenticate a student's work.
- Over direction of students in preparation for common assessments.
- Allegations that center's submit grades not supported by evidence that they know to be inaccurate.
- Centre's enter students who were not originally intending to certificate a grade in the Summer 2021 series.
- Failure to engage as requested with awarding organization during the External Quality Assurance and appeal stages; and failure to keep appropriate records of decisions made and teacher assessed grades.

All such instances of Malpractice or maladministration will be investigated and dealt with inline with this procedure.

Learners

It is possible that some learners may attempt to influence their teachers' judgements on their teacher assessed grades. Learners might try to do this by submitting false evidence of performance or by applying pressure. The awarding bodies anticipate that the majority of such instances will be dealt with by the Centre internally.

However, if the learner's behaviour continues then please inform the relevant awarding body. The awarding bodies will contact your Centre directly if we receive credible allegations that such pressure has been applied.

Possible Consequences

The consequences of malpractice or maladministration including the risk of a delay to students receiving their grades, up to, and including, removal of Centre status have been outlined to all relevant staff.

Signatory section: signed/dated by all ASDAN staff each academic year. This is retained in the ASDAN Centre File.

Name	Role	Signature
