





## Examinations Policy

North East Futures UTC has been established to change the education, skills and employment paradigm in our IT and Healthcare Science sectors in the North East. It provides the opportunity for young people from all the communities in this region to benefit from its specialist provision.

Local Governors and all the North-East Futures staff are committed to a policy of equality and aim to ensure that all students, employees, job applicants, other member of the school community and visitors are treated fairly and with respect.

We aim to give equal access to the high quality educational opportunities we provide and to ensure that everyone feels that they are a valued member of the school community. We seek to create a safe and happy environment where all our students can flourish and where social and cultural diversity are celebrated.

Reviewed by:	Principal
Frequency of policy review:	Three years
Last Reviewed:	November 2022
By Dan Sydes	
Ratified by Local Board of Governors on:	November 2022
By Derek Marshall	
Next Review Date:	November 2023

This policy is reviewed annually to ensure compliance with current regulations

### **Key staff involved in the policy implementation and quality process.**

Role	Name(s)
Head of Centre	Mr Dan Sydes
Assistant Principal	Karen Nixon/Joanne Harrison
Exams Officer	Karen Nixon
SENDco	Emma Baty
Access Arrangement Facilitator	
SEND Manager (supporting SENDCO with access arrangements)	Helyn Bulman

# Examination Contingency plan

## Purpose of the plan

This plan examines potential risks and issues that could cause disruption to the management and administration of the exam process at NE Futures UTC. By outlining actions/procedures to be invoked in case of disruption it is intended to mitigate the impact these disruptions have on our exam process.

Alongside internal processes, this plan is informed by scenarios contained in the *Joint contingency plan in the event of widespread disruption to the examination system in England, Wales and Northern Ireland*.

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

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

## Causes of potential disruption to the exam process

Exam Officer for extended absence at key points in the exam process (cycle)

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

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

#### *Planning*

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

#### *Entries*

awarding bodies not being informed of early/estimated entries which prompts release of early information required by teaching staff  
candidates not being entered with awarding bodies for external exams/assessment  
awarding body entry deadlines missed or late or other penalty fees being incurred

#### *Pre-exams*

exam timetabling, rooming allocation; and invigilation schedules not prepared  
candidates not briefed on exam timetables and awarding body information for candidates  
exam/assessment materials and candidates' work not stored under required secure conditions

internal assessment marks and samples of candidates' work not submitted to awarding bodies/external moderators

#### *Exam time*

exams/assessments not taken under the conditions prescribed by awarding bodies

required reports/requests not submitted to awarding bodies during exam/assessment periods e.g. very late arrival, suspected malpractice, special consideration candidates' scripts not dispatched as required to awarding bodies

### *Results and post-results*

Full or partial access to examination results affects the distribution of results to candidates the facilitation of the post-results services

### Centre actions:

Pre-exams: a member of SLT will identify key tasks with reference to the NE Futures UTC Exams SOP (see below), with the Data Administrator establishing key dates by contacting exam boards. Data Administrator will liaise with staff at the academy to establish what is required. Member of SLT will ensure that timetables are distributed and Data Administrator will coordinate sending off any internally assessed work. Data Administrator will book rooms and invigilators. If extra invigilators are required, the member of SLT will arrange recruitment and training.

During Exams: a member of SLT will identify key tasks with reference to the NE Futures UTC Exams Procedure (see below). If seating plans have not been produced, the member of SLT will support the Data Administrator with producing them. During exams, the Data Administrator will supervise the invigilators who have been trained with JCQ procedure and will carry out their normal duties if they are issued with exam papers, candidates and rooms. The Data Administrator will print off the seating plans. The member of SLT will ensure that the correct candidates are sent to each room.

Post Exams: all Very Late Arrivals, suspected malpractice, special consideration and other queries will be collated by the member of SLT and reported to the exams boards with assistance from the Data Administrator.

Results will be downloaded by the Administrator who will work with the Centre Principal to arrange distribution. Post results queries will be managed by the member of SLT and the Principal.

NOTE: it is usual practice for the Data Administrator to support the Exams Officer – therefore, in the case of the absence of the Data Administrator, the Finance Administrator will support.

## NE Futures UTC Exams Procedure

	Exams Officer	Administration Team
<b>Responsible for</b>	<ul style="list-style-type: none"><li>• Produce mock examination timetables</li><li>• Quality control of mock examinations</li></ul>	<ul style="list-style-type: none"><li>• Print mock papers</li><li>• Organise rooms for mocks</li><li>• Distribute papers and answer booklets/paper for mocks</li></ul>
<b>Sept</b>	<ul style="list-style-type: none"><li>• Review the Exams Policy and Procedures</li><li>• Estimated entries/Intention to Enter</li><li>• Specification and examination details updated for each subject</li><li>• Ensure Awarding Bodies have correct contact details</li></ul>	

	<ul style="list-style-type: none"> <li>• Update contact details with National Centre Number Register</li> <li>• Inform Awarding Bodies or any staff who are preparing family members for exams</li> <li>• Access Arrangements for Year 10 and Year 12 (SENDCO responsibility to implement)</li> <li>• DfE checking exercise</li> <li>• Register Vocational Qualifications</li> <li>• GL Assessment testing, etc.</li> </ul> <p>Responsibility of Principal to implement</p>	
<b>Oct</b>	<ul style="list-style-type: none"> <li>• Provisional exams timetable – teachers to send requests (i.e. BTEC)</li> <li>• Head of Centre to respond to NCNR annual update (by end of October)</li> </ul>	
<b>Nov</b>	•	<ul style="list-style-type: none"> <li>• Archive coursework – 3 months</li> </ul>
<b>Dec</b>	<ul style="list-style-type: none"> <li>• Register Voc. Qualifications and examinations – check accuracy</li> <li>• Invigilation arrangements (outsourcing)</li> </ul>	<ul style="list-style-type: none"> <li>• Find out deadlines for coursework/controlled assessment</li> </ul>
<b>Jan</b>	<ul style="list-style-type: none"> <li>• Quality control of Voc. Qualification. exams</li> </ul>	
<b>Feb</b>	<ul style="list-style-type: none"> <li>• Summer entries</li> </ul>	
<b>Mar</b>	<ul style="list-style-type: none"> <li>• Finalise summer exam timetable</li> <li>• Finalise Mock Exam week</li> <li>• Create invigilator plan</li> </ul>	
<b>Apr</b>	<ul style="list-style-type: none"> <li>• Inform students/parents/staff on summer exam timetable – real and mocks</li> <li>• Ensure that the 'JCQ Information for candidates' document is shared with students</li> </ul>	<ul style="list-style-type: none"> <li>• Book invigilators and readers</li> <li>• Create exams lists</li> <li>• Create seating plans (extra time/tiers)</li> <li>• Letters and timetables out to parents</li> </ul>
<b>May</b>	<ul style="list-style-type: none"> <li>• Quality control of examinations</li> <li>• Check arrangements for SLT calling in students</li> </ul>	<ul style="list-style-type: none"> <li>• Print and display Mobile Phone and Warning to Candidates posters</li> <li>• Pens, pencils, instructions in exams room</li> <li>• Lay out exam hall for exams, including booklets, ID labels and equipment</li> <li>• Check clocks and note exam start times</li> <li>• Start and finish exams, including gathering papers</li> <li>• Dispatch scripts to the exam boards</li> </ul>
<b>Jun</b>		
<b>Jul and Aug</b>	<ul style="list-style-type: none"> <li>• Lead mock exams week</li> <li>• Submit declaration for late arrivals of candidates</li> <li>• Check learners to 'dis-apply'</li> <li>• Send Malpractice reports</li> <li>• Special Considerations – last exam</li> <li>• Data and results</li> </ul>	<ul style="list-style-type: none"> <li>• Start and finish exams, including gathering papers</li> <li>• Distribute mock exam papers back to relevant department</li> <li>• Invigilator feedback</li> <li>• Results Day admin</li> </ul>

## Risk Management

The following section details the risks of absence for key members of staff regarding examinations at NE Futures UTC

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

#### Criteria for implementation of the plan

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

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

#### Centre actions:

- Teachers, SLT to bring candidates to the attention of Exams Officer who will arrange for testing by outside agency (contact details held by SEND manager).
- Exams Officer will ensure that criteria have been met and apply to Awarding body. Exams Officer will ensure that these arrangements are provided in the exam.

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

#### Criteria for implementation of the plan

Key tasks not undertaken including:

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

#### Centre actions:

- Exams Officer will alert Principal, who will allocate another teacher to provide this information. Exams Officer will contact exams boards for advice, if pre-release material does not arrive.

3. 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*
- *Invigilator fails to implement policy, procedure or training in discharging their duties*

Centre actions:

- Exams Officer to calculate invigilating needs in good time to recruit and train new invigilators in readiness.
- Senior invigilator(s) trained to lead examinations.
- Members of permanent support staff trained as invigilators, just in case.

4. 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:

- Exam Officer to identify rooming needs in good time to bring any shortage to the attention of the Principal so that suitable accommodation can be agreed upon in advance of the exam season.
- In the event of the hall being unusable, list of free rooms to be made available for alternative accommodation

5. Failure of IT systems

Criteria for implementation of the plan

- *MIS system failure at final entry deadline (this would only be an issue if we had no MIS throughout the year)*
- *Failure of communication systems with awarding bodies throughout the year (e.g. A2C)*
- *MIS system failure during exams preparation*
- *MIS system failure at results release time*

Centre actions:

- Exams Officer to ensure that entries are made ahead of the deadline to avoid this possibility
- Exams Officer will prepare handmade seating plans from Awarding body registers, or if appropriate, recycle plans from Mocks
- Exams Officer to collate results from Awarding Body websites.

6. Disruption of teaching time – centre closed for an extended period

Criteria for implementation of the plan

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

*The centre to communicate with parents, carers and students about the potential for disruption to teaching time and plans to address this.*

Centre actions:

- Transfer candidates to use facilities at alternative venue with support from MAT

7. Candidates unable to take examinations because of a crisis – centre remains open

Criteria for implementation of the plan

- Candidates are unable to attend the examination centre to take examinations as normal

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

Centre actions:

- Contact Awarding body and Exam officer arrange for candidates to take exams at home, hospital or at another appropriate venue such as at South Tyneside College.
- Special considerations applied for on an individual student and/or examination basis

8. Centre unable to open as normal during the exams period

Criteria for implementation of the plan

- Centre unable to open as normal for scheduled examinations

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

Centre actions:

- Contact exam boards – hire a marquee for the ‘yard’ or arrange to use hall of a local primary College or church.

9. Disruption in the distribution of examination papers

Criteria for implementation of the plan

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

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

Centre actions:

- Contact the Awarding Body for their direct instructions.
- Ensure careful tracking of papers against the centre’s exam timetable throughout the season



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

### Criteria for implementation of the plan

- Delay in normal collection arrangements for completed examination scripts
- The awarding board loses tracking on scripts dispatched from the centre

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

### Centre actions:

- Keep papers locked in secure and padlocked cabinet within the examination secure room in strong room and contact Awarding Body for advice or take them to the Post Office for collection with appropriate paperwork, depending of the nature of the problem.
- Ensure tracking documentation is kept on every dispatch from the centre as per the JCQ guidance through Instructions for Conducting Examinations 2017-18

## 11. 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 they can be marked

*It is the responsibility of the Head of Centre to communicate this immediately to the relevant awarding organisation(s) and subsequently to students and their parents or carers. [JCP scenario 6]*

### Centre actions:

- Contain and lock up all evidence. Collect witness statements and other evidence. Contact Awarding Body immediately for advice.

## 12. Centre unable to distribute results as normal

### Criteria for implementation of the plan

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

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

### Centre actions:

- Contact Awarding Bodies, if necessary
- Arrange to use facilities of a local primary College

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

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

### **Ofqual**

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

<https://www.gov.uk/government/publications/exam-system-contingency-plan-england-wales-and-northern-ireland/joint-contingency-plan-in-the-event-of-widespread-disruption-to-the-examination-system-in-england-wales-and-northern-ireland>

## **JCQ**

*General regulations*

<http://www.jcq.org.uk/exams-office/general-regulations>

*Guidance on alternative site arrangements*

<http://www.jcq.org.uk/exams-office/forms>

*Instructions for conducting examinations*

<http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations>

*A guide to the special consideration process*

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

## **GOV.UK**

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

<https://www.gov.uk/emergencies-and-severe-weather-Colleges-and-early-years-settings>

*Teaching time lost due to severe weather conditions*

<https://www.gov.uk/government/publications/teaching-time-lost-due-to-severe-weather-conditions/teaching-time-lost-due-to-severe-weather-conditions>

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

<https://www.gov.uk/government/publications/dispatch-of-exam-scripts-yellow-label-service/dispatch-of-exam-scripts-guide>

# Exam Day Procedure

## Exam day preparation

Exams Officer to store Exam Day details in advance for each individual exam. In the absence of the Exams Officer, the Principal will be responsible for these details going to each exam room.

These packs will contain the exam student register, staff names and (for external exams) labels for sending off the completed scripts., a copy of the seating plan, access arrangements (including students using laptops, students in separate rooms with readers/scribes etc), start time, length of exam (normal and extra time) and any other relevant exam info.

Invigilators should be 1:30 students. In an onscreen exam 1:15 students.

A copy of these 'exam packs' are required in each exam room.

The seating plan must be followed by placing a candidate identification card on the relevant desk. The cards will include details of where the candidate should sit and student and centre numbers. The plan seeks to minimise disruption to those with access arrangements or special considerations.

The 'exam packs' are important as it is JCQ regulations that a yellow instruction book (ICE 2022-2023) is taken to the main exam room. The 'exam packs' contain these along with other essentials, such as a white board to write the times date, etc. of the exam (this is another JCQ reg.). They should also be stocked with spare equipment and a laminated card that should be read to the student/s at the beginning of the exam.

In external examinations you cannot open the packets of exam question papers until 8:00am or 12:30pm; this must be done under supervision of another member of staff. Once open they must be guarded stringently. On the front of the exam paper it will say what special equipment is required. Put all equipment on the desks ready.

Every exam room must display the following posters as a minimum and at least one clock.

	<b>OUTSIDE EXAM ROOM</b>
<b>MUST</b>	Warning to candidates
	No Mobile phones
<b>ADVISED</b>	Seating plan on hall door
	Silence Exams in Progress

If rooms other than the hall are being used, it is essential to make sure that the seats are set out as per the seating plan (alter either to get them to match – seats must be 1.25 meters from the centre of one to the next) and any relevant teaching aids are covered or removed.

Exam room Keys are kept by the Exams Officer and spare keys to the exam room are with the Principal. As the papers cannot be left unattended it is best to have more than one person go to fetch them. Before you leave the strong room, check the packets as to whether answer papers are included - if not, choose the correct ones from the counter.

Put out the exam papers according to the seating plan, making sure that the foundation and higher tiers are checked to be correct. Mark up the large white board with the date, centre number, and all the paper numbers and start and finish times. Some students are entitled to

extra time; this should be marked on the seating plan. Send invigilators in small rooms with their 'exam packs', extra equipment and papers.

### Things needed on exam day

- **POSTERS** - 2 x warning + No Phones + silence + centre no.
- **BOARD** showing times
- **CLOCKS** with batteries
- **SEATING PLAN** marked with extra time and highlighted tiers
- **INVIGILATORS** booked and written on seating plan
- **STUDENT I.D. LABELS** on desk per seating plan
- **BOX** with pens, pencils, yellow Instruction Booklet.
- **SENIOR LEADER** booked to call in students as per seating plan
- **REGISTER** kept in exam packs, which also has other notes and parcel labels
- **QUESTION PAPERS** - keep safe and don't open too early
- **ANSWER PAPERS** - if separate ones required
- **EQUIPMENT** as listed on front of exam paper
- **LATE CANDIDATE INSTRUCTIONS** on orange slip

### Getting Started

A member of SLT or the Line Manager (no member of teaching staff for the exam should enter the hall) of the exam should collect candidates from agreed area. They will need a copy of seating plan and will call out their names, one line at a time. Invigilators wait in hall.

There should be silence in the exam room(s) always. As soon as the last candidate is seated, start to read the laminated instructions to candidates, or the suggested reading from the official yellow instructions book, or play the recording on the laptop. Invigilators will collect phones. Remember to get candidates to write names on front of answer sheets and read instructions on the front of the paper.

Note the exact start time of the exam. If any students are missing, advise a member of the team, who might be able to ring to discover their whereabouts. Also, mark the seating plan 'absent'. Write anything else that needs to be noted on the seating plan.

If any student needs to leave the room, you must make sure that they are accompanied and that you are not left short of invigilators (1:30)

If any student arrives late, mark the seating plan, check they have no phone, explain that their paper might or might not be accepted - give them full time, if feasible.

### Finishing

At end of exam, announce 'stop writing and remain seated'. You can give 5 minutes warning, if all finish at same time, but don't have to. Collect answer papers. Candidates can collect phones from Student Reception. Send off candidates as quietly as possible, one column at a time.

(Teaching staff or faculty may collect papers 24 hours after the examination has finished.)

For external exams complete the attendance registers and pack, with the answer scripts, into correct bags (kept in the Exams Office). Use labels from exam packs.

Ask invigilators to make a note of hours.

Give parcel to Principal's PA and complete the log. Parcel Force should have been booked to come and collect (Parcel Force 0870 240 0913).

Useful phone numbers:

<b>Exam Board</b>	<b>Phone Number</b>
AQA	0800 197 7162
Edexcel	0844 463 2535
OCR	01223 553 998
WJEC	02920 265 000

## Emergency evacuation procedure for exam rooms

It is vital that at the commencement of each exam, an invigilator marks the seating plan with all absent candidates.

If the fire bell goes, the chief invigilator [the person who started the exam or someone nominated by them, if they are not present] should ask all candidates to stop writing and then write down the time on the seating plan.

The chief invigilator tells the candidates to remain in their seats and asks the other invigilators to take an alphabetical lining up card and stand next to the doors (in the case of small rooms, candidates can form one line). The candidates should be instructed to **remain silent** and calm throughout the evacuation, advising that anybody discussing the exam will be reported to the exam board.

Anybody using a wheel chair or crutches must be escorted by an invigilator to a place of safety. The invigilator should then report to the chief invigilator via the outside of the building.

Next, the chief invigilator should instruct the invigilators to open the doors and stand holding up their cards away from the building (in small rooms, the invigilator should do this). Candidates should be evacuated starting with those nearest the doors (leaving via the nearest exit). Each row should be told in turn to stand up and leave quickly away from building in silence and to queue up with the invigilator displaying the letter of their surname. The invigilators should lead the candidates right away from the building, into the designated area at the front of school, so that the doors do not become blocked. They must ensure that the exam is not discussed and that candidates are not put in danger from vehicles on exit. In the case of small rooms, candidates should leave via the nearest exit.

When all are out, the chief invigilator should take the seating plan and go out to check everyone is there. All exam papers should remain in the exam rooms. The chief invigilator or SLT may then redirect students.

When danger has passed, the chief invigilator will instruct a line at a time to re-enter the hall in silence and take their seats. They will then instruct candidates in small rooms to re-enter in the same way. When all are in, the time is marked on the seating plan and the exam restarted. All lost time will be allowed at the end. All candidates who may have prejudiced the exam will be listed and reported to the exam board.

### Main Points

- Candidates with mobility difficulties evacuate immediately.
- Small rooms to evacuate immediately via the nearest exit, in silence.
- Take seating plans, but leave exam papers.

### Instructions for candidates on the procedure for the evacuation of the exam room in an emergency

On hearing the fire bell:

The Chief Invigilator will instruct all candidates to stop writing, close your exam booklets and remain **silent** and seated.

They will ask an Invigilator to assist any candidate with mobility difficulties to go through doors and outside

Other Invigilators will stand next to doors ready to open them (if more than one invigilator is in the room).

The Chief Invigilator will instruct the Invigilators to open the doors (if in the hall). In a small room, they will lead you out of the building.

Following the Invigilator's instructions, you will evacuate by the row nearest the main doors/door first, with the next row following that, etc.

If there is immediate danger obstructing this route, then candidates will be sent through nearest fire door.

Cards with line up letters will be held up by the invigilators. Students should look for the card bearing the first letter of their surname and join its line. If you are in a small room, you will line up with those students in your exam room.

You will line up at the front of the school building. After being accounted for you may be re-directed. Mind the traffic.

All candidates to keep quiet (any communication could result in disqualification) and you must leave papers on desk.

Listen to, and watch for, directions from Invigilators.

# Controlled Assessment and Non-Examined Assessment

## What does this affect?

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

*“The regulator’s definition of an examination is very narrow and in effect any type of assessment that is not ‘externally set and taken by candidates at the same time under controlled conditions’ 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’.”*

[Definition taken directly from the JCQ publication]

Instructions for conducting non-examination assessments– Foreword, page 3]

This publication is further referred to in this policy as NEA

## Purpose

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

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

[NEA – The basic principles, page 4]

## 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 – The basic principles, page 4]

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

### The basic principles

#### **Head of Centre**

- Ensures that the centre’s *non-examination assessment policy* is fit for purpose
- Ensures the centre’s *internal appeals procedures* clearly detail the procedure to be followed by candidates (or their parents/carers) appealing against internally assessed marks

#### **Senior leaders**

- Ensure the correct conduct of non-examination assessments 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 Lead/Lead Internal Verifier**

- Confirms with subject heads that appropriate awarding body forms and templates for non-examination assessments 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.

### **Line Manager**

- Ensures subject teachers understand their role and responsibilities within the non-examination assessment process
- Ensures NEA and relevant awarding body subject specific instructions are followed in relation to the conduct of non-examination assessments
- Ensures that the correct level of control is used for each assessment
- 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 or is made as a separate unit entry code) to the internal deadline for entries

### **Exams Officer**

- 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 from a choice 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 always
- Ensures requirements for legacy specification tasks and new specification tasks are distinguished between

### 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
- Where candidates may work in groups, keeps a record of each candidate's contribution
- Ensures candidates are aware of the 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 documents *Information for candidates*

### Advice and feedback

#### Subject teacher

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

### 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 conditions for any formally supervised sessions are understood and followed by candidates
- Ensures candidates understand that they are not allowed to introduce improved notes or new resources between formally supervised sessions
- Ensures that where appropriate to include references, candidates keep a detailed record of their own research, planning, resources etc.

### 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 enquiries about results has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later
- Provides signed candidate declarations where these may be requested by a JCQ Centre Inspector
- Where there may be doubt about the authenticity of the work of a candidate or if malpractice is suspected, follows the authentication procedures and malpractice information in [NEA](#) and informs the Exams Officer

### Presentation of work

#### Subject teacher

- Instructs candidates to present work as detailed in [NEA](#) unless the awarding body's specification gives different subject-specific instructions
- Instructs candidates to add their candidate number, centre number and the component code of the assessment as a header/footer on each page of their work

### Keeping materials secure

#### Subject teacher

- When work is being undertaken by candidates under formal supervision, ensures work is securely stored between sessions (if more than one session)
- When work is submitted by candidates for final assessment, ensures work is securely stored
- Follows secure storage instructions as defined in [NEA 4.8](#)
- Takes sensible precautions when work is taken home for marking
- Stores internally assessed work, including the sample returned after awarding body moderation, securely until the closing date for enquiries about results or until the outcome of an enquiry or any subsequent appeal has been conveyed to the Centre

- Reminds candidates of the need to keep their own work secure always and not share completed or partially completed work on-line, on social media or through any other means
- Liaises with the IT Support Team to ensure that appropriate arrangements are in place to restrict access between sessions to candidates' work where work is stored electronically

### **IT Technician**

- Ensures appropriate arrangements are in place to restrict access between sessions to candidates' work where work is stored electronically as instructed by subject teachers.

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

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

#### **Subject teacher**

- Liaises with the Exams Officer regarding arrangements for the conduct of any externally assessed non-examination component of a specification
- Liaises with the Visiting Examiner where this may be applicable to any externally assessed component
- Conducts the externally assessed component within the window specified by the awarding body
- Conducts the externally assessed component according to the JCQ publication

*Instructions for conducting examinations*

#### **Exams Officer**

- Arranges timetabling, rooming and invigilation if this is applicable to any externally assessed non-examination component of a specification under the direction of the subject teacher

### **Submission of work**

#### **Subject teacher**

- Provides the attendance register to a Visiting Examiner

#### **Exams Officer**

- Provides the attendance register to the subject teacher where the component may be assessed by a Visiting Examiner
- Ensures the awarding body's attendance register for any externally assessed component is completed correctly to show candidates who are present and any who may be absent
- Where candidates' work must be despatched to an awarding body's examiner, ensures the completed attendance register accompanies the work
- Keeps a copy of the attendance register until after the deadline for enquiries about results for the exam series
- Packages the work as required by the awarding body and attaches the examiner address label
- Despatches the work to the awarding body's instructions by the required deadline

## Marking – internally assessed components

### Marking and annotation

#### **Subject teacher**

- 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

#### **Exams Officer**

- Ensures candidates are informed about the academy's internal appeal policy by distributing a copy at the beginning of the KS4 course.

### 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

#### **Subject teacher**

- Indicates on work (or cover sheet) the date of marking
- Marks to common standards

### Submission of marks and work for moderation

#### **Subject teacher**

- Provides marks to the Exams Officer to the internal deadline
- Ensures checks are made that marks for any additional candidates are submitted and ensures mark input is checked before submission to avoid transcription errors
- Provides the moderation sample to the Exams Officer to the internal deadline
- Ensures the moderator is provided with authentication of candidates' work, confirmation that internal standardisation has been undertaken and any other subject-specific information where this may be required

#### **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 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

## 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 until after the deadline for enquiries about results
- Takes steps to protect any work stored electronically from corruption and has a back-up procedure in place
- Retains evidence of work where retention may be a problem (for example, photos of artefacts etc.)

### **Exams Officer**

- Ensures any sample returned after moderation is retained until after the date of required retention and then returned to the subject teacher

## External moderation - feedback

### **Line Manager**

- Checks moderator reports and ensures that any remedial action, if necessary, is undertaken before the next examination 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

### **Subject teacher**

- Works with the SENDCo to ensure any access arrangements for eligible candidates are applied to assessments

### **Special educational needs coordinator (SENDCo)**

- Follows the regulations and guidance in the JCQ publication *Access Arrangements and Reasonable Adjustments*
- 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
- Verifies the centre's specialist assessor and assessment process by checking qualifications of the assessor and retaining of copy of the assessor's relevant certificates

## Special consideration

### Subject teacher

- Understands that a candidate may be eligible for special consideration in assessments in certain situations where a candidate
  - is absent
  - produces a reduced quantity of work
  - work has been lost
- Liaises with the Exams Officer when special consideration may need to be applied for a candidate taking assessments

### Exams Officer

- Refers to the JCQ publication *A guide to the special consideration process*
- Where a candidate is eligible, applies 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

## Malpractice

### Head of Centre

- Understands the responsibility to report to the relevant awarding body any suspected cases of malpractice involving candidates, teachers, invigilators or other administrative staff
- Is familiar with the JCQ publication *Suspected Malpractice in Examinations and Assessments: Policies and Procedures*

### Subject teacher

- Is aware of the JCQ *Notice to Centres - Teachers sharing assessment material and candidates' work*
- Ensures candidates understand the JCQ document *Information for candidates - non-examination assessments*
- Ensures candidates understand the JCQ document *Information for candidates - Social Media*

### Exams Officer

- Signposts the JCQ publication *Suspected Malpractice in Examinations and Assessments: Policies and Procedures* to the Head of Centre
- Signposts the JCQ *Notice to Centres - Teachers sharing assessment material and candidates' work* to subject heads
- Signposts candidates to the relevant JCQ information for candidate's documents
- Where required, supports the Head of Centre in investigating and reporting incidents of suspected malpractice

## Enquiries about results

### Head of Centre



- Ensures the centre's *internal appeals procedures* clearly detail the procedure to be followed by candidates (or their parents/carers) appealing against a centre decision not to support an enquiry about results request or not supporting an appeal following the outcome of an enquiry about results

#### **Line Manager**

- Provides relevant support to subject teachers making decisions about enquiries about 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 an enquiry about results to the internal deadline
- Supports the Exams Officer in collecting candidate consent where required

#### **Exams Officer**

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

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

#### **Head of Centre**

- Provides a signed declaration as part of the National Centre Number Register Annual Update, 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

#### **Line Manager**

- Confirms understanding of the *Spoken Language Endorsement for GCSE English Language specifications designed for use in England*
- 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 the storage and submission of recordings

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

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
<b>Task setting</b>		
Awarding body set task: IT failure/corruption of task details where set task details accessed from the awarding body online	<i>Awarding body key date for accessing/downloading set task noted prior to start of course IT systems checked prior to key date Alternative IT system used to gain access Awarding body contacted to request direct email of task details</i>	Line Manager  Line Manager & IT tech  Line Manager EO
Centre set task: Subject teacher fails to meet the assessment criteria as detailed in the specification	<i>Ensures that subject teachers access awarding body training information, practice materials etc.</i>	Line Manager
Candidates do not understand the marking criteria and what they need to do to gain credit	<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 Candidates confirm they understand the marking criteria</i>	Line Manager & Subject teacher  Subject Teacher
Subject teacher long term absence during the task setting stage	<i>See centre's exam contingency plan - Teaching staff extended absence at key points in the exam cycle</i>	Line Manager & SLT
<b>Issuing of tasks</b>		
Task for legacy specification given to candidates undertaking new specification	<i>Ensures subject teachers take care to distinguish between requirements/tasks for legacy specifications and requirements/tasks for new specifications</i>	Line Manager

	<i>Awarding body guidance sought where this issue remains unresolved</i>	Line Manager
Awarding body set task not issued to candidates on time	<i>Awarding body key date for accessing set task as detailed in the specification noted prior to start of course Course information issued to candidates contains details when set task will be issued and needs to be completed by Set task accessed well in advance to allow time for planning, resourcing and teaching</i>	Line Manager  Subject Teacher Line Manager
The wrong task is given to candidates	<i>Ensures course planning and information taken from the awarding body's specification confirms the correct task will be issued to candidates Awarding body guidance sought where this issue remains unresolved</i>	Line Manager  Line Manager
Subject teacher long term absence during the issuing of tasks stage	<i>See centre's exam contingency plan - Teaching staff extended absence at key points in the exam cycle</i>	Line Manager & SLT
<b>Task taking</b>		
<b>Supervision</b>		
Planned assessments clash with other centre or candidate activities	<i>Assessment plan identified for the start of the course Assessment dates/periods included in centre wide calendar</i>	SLT
Rooms or facilities inadequate for candidates to take tasks under appropriate supervision	<i>Timetabling organised to allocate appropriate rooms and IT facilities for the start of the course Staggered sessions arranged where IT facilities insufficient for number of candidates Whole cohort to undertake written task in large exam venue at the same time (exam conditions do not apply)</i>	Line Manager & EO
Insufficient supervision of candidates to enable work to be authenticated	<i>Confirm subject teachers are aware of and follow the current JCQ publication Instructions for conducting non-examination assessments and any other specific instructions detailed in the awarding body's specification in relation to the supervision of candidates Confirm subject teachers understand their role and responsibilities as detailed in the Centre's non-examination assessment policy</i>	Line Manager & EO  SLT
A candidate is suspected of malpractice prior to submitting their work for assessment	<i>Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (chapter 9 Malpractice) are followed An internal investigation and where appropriate internal disciplinary procedures are followed</i>	SLT & EO

Access arrangements were not put in place for an assessment where a candidate is approved for arrangements	<i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (chapter 2), to determine the process to be followed to apply for special consideration for the candidate</i>	Line Manager, SENDCo & EO
<b>Advice and feedback</b>		
Candidate claims appropriate advice and feedback not given by subject teacher prior to starting on their work	<i>Process is in place as part of the centre's quality assurance procedures Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity Full records kept detailing all information and advice given to candidates prior to starting on their work as appropriate to the subject and component Candidate confirms/records advice and feedback given prior to starting on their work</i>	Line Manager SLT
Candidate claims no advice and feedback given by subject teacher during the task-taking stage	<i>Process is in place as part of the centre's quality assurance procedures Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity Full records kept detailing all advice and feedback given to candidates during the task-taking stage as appropriate to the subject and component Candidate confirms/records advice and feedback given during the task-taking stage</i>	Line Manager SLT
A third-party claim that assistance was given to candidates by the subject teacher over and above that allowed in the regulations and specification	<i>An investigation is conducted; candidates and subject teacher are interviewed and statements recorded where relevant Records as detailed above are provided to confirm all assistance given Where appropriate, a suspected malpractice report is submitted to the awarding body</i>	SLT & EO
Candidate does not reference information from published source	<i>Candidate is advised at a general level to reference information before work is submitted for formal assessment Candidate is again referred to the JCQ document Information for candidates: non-examination assessments Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion</i>	Line Manager & Subject teacher
Candidate does not set out references as required	<i>Candidate is advised at a general level to review and re-draft the set out of references before work is submitted for formal assessment Candidate is again referred to the JCQ document Information for candidates: non-examination assessments Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion</i>	Line Manager & Subject teacher

Candidate joins the course late after formally supervised task taking has started	<i>A separate supervised session(s) is arranged for the candidate to catch up</i>	Line Manager & Subject teacher
Candidate moves to another centre during the course	<i>Awarding body guidance is sought to determine what can be done depending on the stage at which the move takes place</i>	Line Manager & EO
An excluded student wants to complete his/her non-examination assessment(s)	<i>The awarding body specification is checked to determine if the specification is available to a candidate outside mainstream education If so, arrangements for supervision, authentication and marking are made separately for the candidate</i>	SLT & EO
<b>Resources</b>		
A candidate augments notes and resources between formally supervised sessions	<i>Preparatory notes and the work to be assessed are collected in and kept secure between formally supervised sessions Where memory sticks are used by candidates, these are collected in and kept secure between formally supervised sessions Where work is stored on the centre's network, access for candidates is restricted between formally supervised sessions</i>	Line Manager
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>	Line Manager
<b>Word and time limits</b>		
A candidate is penalised by the awarding body for exceeding word or time limits	<i>Records confirm the awarding body specification has been checked to determine if word or time limits are mandatory Where limits are for guidance only, candidates are discouraged from exceeding them Candidates confirm/record any information provided to them on word or time limits is known and understood</i>	Subject Teacher Line Manager
<b>Collaboration and group work</b>		
Candidates have worked in groups where the awarding body specification states this is not permitted	<i>Awarding body specification has been checked to determine if group work is permitted Awarding body guidance sought where this issue remains unresolved</i>	Subject Teacher Line Manager
<b>Authentication procedures</b>		

A teacher has doubts about the authenticity of the work submitted by a candidate for internal assessment  Candidate plagiarises other material	<i>Subject staff are made aware of the JCQ document Teachers sharing assessment material and candidates' work Records confirm that candidates have been issued with the current JCQ document Information for candidates: non-examination assessments Candidates confirm/record that they understand what they need to do to comply with the regulations for non-examination assessments as outlined in the JCQ document Information for candidates: non-examination assessments The candidate's work is not accepted for assessment A mark of zero is recorded and submitted to the awarding body</i>	Subject Teacher Line Manager
Candidate does not sign their authentication statement/declaration	<i>Declaration is checked for signature before accepting the work of a candidate for formal assessment</i>	Subject teacher
Subject teacher not available to sign authentication forms	<i>Ensures a centre-wide process is in place for subject teachers to sign authentication forms at the point of marking candidates work as part of the centre's quality assurance procedures</i>	Line Manager
<b>Presentation of work</b>		
Candidate does not fully complete the awarding body's cover sheet that is attached to their worked submitted for formal assessment	<i>Cover sheet is checked to ensure it is fully completed before accepting the work of a candidate for formal assessment</i>	Subject teacher
<b>Keeping materials secure</b>		
Candidates work between formal supervised sessions is not securely stored	<i>Subject teachers are aware of and follow current JCQ publication Instructions for conducting non-examination assessments Regular monitoring ensures subject teacher use of appropriate secure storage</i>	Subject Teacher Line Manager
Adequate secure storage not available to subject teacher	<i>Alternative secure storage sourced where required</i>	Line Manager & SLT

<b>Task marking – externally assessed components</b>		
A candidate is absent on the day of the examiner visit for an acceptable reason	<i>Awarding body guidance is sought to determine if alternative assessment arrangements can be made for the candidate If not, eligibility for special consideration is explored and a request submitted to the awarding body where appropriate</i>	Line Manager & EO
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>	Line Manager & EO
<b>Task marking – internally assessed components</b>		
A candidate submits little or no work	<i>Where a candidate submits no work, the candidate is recorded as absent when marks are submitted to the awarding body Where a candidate submits little work, the work produced is assessed against the assessment criteria and a mark allocated appropriately; where the work does not meet any of the assessment criteria a mark of zero is submitted to the awarding body</i>	Subject teacher
A candidate is unable to finish their work for unforeseen reason	<i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (chapter 5), to determine eligibility and the process to be followed for shortfall in work</i>	Line Manager & EO
The work of a candidate is lost or damaged	<i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (chapter 5), to determine eligibility and the process to be followed for lost or damaged work</i>	Line Manager & EO
Candidate malpractice is discovered	<i>Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (chapter 9 Malpractice) are followed Investigation and reporting procedures in the current JCQ publication Suspected Malpractice in Examinations and Assessments are followed Appropriate internal disciplinary procedures are also followed</i>	Line Manager Head of Centre & EO
A teacher marks the work of his/her own child	<i>A conflict of interest is declared by informing the awarding body that a teacher is teaching his/her own child at the start of the course Marked work of said child is submitted for moderation whether part of the sample requested or not</i>	Line Manager & EO
An extension to the deadline for submission of marks is required for a legitimate reason	<i>Awarding body is contacted to determine if an extension can be granted Relevant staff are signposted to the JCQ publication A guide to the special consideration process (chapter 5), to determine eligibility and the process to be followed for non-examination assessment extension</i>	Line Manager & EO

After submission of marks, it is discovered that the wrong task was given to candidates	<i>Awarding body is contacted for guidance Relevant staff are signposted to the JCQ publication A guide to the special consideration process (chapter 2), to determine eligibility and the process to be followed to apply for special consideration for candidates</i>	Line Manager & EO
A candidate wishes to appeal 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 Candidates are informed of their marks Candidates are informed that these marks are subject to change through the awarding body's moderation process Candidates are informed of their marks prior to the internal deadline set by the Exams Officer for the submission of marks Through the candidate exam handbook, candidates are made aware of the centre's internal appeals procedures and timescale for submitting an appeal prior to the submission of marks to the awarding body</i>	SLT & EO
Deadline for submitting work for formal assessment not met by candidate	<i>Deadline given and understood by candidates at the start of the course Candidates confirm/record deadlines known and understood Depending on the circumstances, awarding body guidance sought to determine if the work can be accepted late for marking providing the awarding body's deadline for submitting marks can be met Decision made (depending on the circumstances) if the work will be accepted late for marking or a mark of zero submitted to the awarding body for the candidate</i>	Subject Teacher Line Manager
Deadline for submitting marks and samples of candidates work ignored by subject teacher	<i>Internal/external deadlines are published at the start of each academic year Reminders are issued through senior leaders/subject heads as deadlines approach Deadlines known and understood by subject teachers Where appropriate, internal disciplinary procedures are followed</i>	Line Manager & SLT
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>	SLT

## Examination Accessibility

### Purpose

This document is provided as an exams-specific supplement to the *centre-wide accessibility policy/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 policy as GR.

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

- identifying the need for appropriate arrangements, reasonable adjustments and/or adaptations (referred to in this policy as ‘access arrangements’)
- requesting access arrangements
- implementing access arrangements and the conduct of exams

### The Equality Act 2010 definition of disability

A definition 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 policy as AA.

### Identifying the need for access arrangements

#### 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
- Ensures a policy demonstrating the centre’s compliance with relevant legislation is in place
- Ensures the assessment process is administered in accordance with the regulations
- Ensures the quality of the access arrangements process within the centre

#### Senior leaders

- Are familiar with the entire contents of the annually updated JCQ publications including GR and AA
- Ensures staff roles, responsibilities and processes in identifying, requesting and implementing access arrangements are clearly defined and documented



- Ensures a policy demonstrating the centre's compliance with relevant legislation is in place
- Lead on the access arrangements process to facilitate access for candidates

### **Teaching staff**

- Inform the SENDCo of any support that might be needed by a candidate
- Support the SENDCo in determining the need for and implementing access arrangements
- Provide information to evidence the normal way of working of a candidate

### **Assessor of candidates with learning difficulties**

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

- Has detailed understanding of the current JCQ publication AA
- Conducts appropriate assessments to identify the need(s) of a candidate
- Provides appropriate evidence to confirm the need(s) of a candidate

### **Special educational needs coordinator (SENDCo)**

- 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
- Ensures that the student has completed a Data Protection preform giving permission for the application of Access Arrangements
- Completes appropriate documentation as required by the regulations of JCQ and the awarding body
- 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.
- 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
- Ensures an appropriately qualified assessor(s) is appointed and that evidence of the qualification(s) of the person(s) appointed is held on file
- Presents when requested by a JCQ Centre Inspector, evidence of the assessor's qualification
- Ensures the need for access arrangements for a candidate will be considered on a subject by subject basis

## **Requesting access arrangements**

### **Special educational needs coordinator (SENDCo)**

- Is familiar with the entire contents of the annually updated JCQ publication GR and is aware of information contained in AA
- 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
- Completes appropriate documentation as required by the regulations of JCQ and the awarding body

- Ensures appropriate and required evidence is held on file to confirm validation responses in AAO including the completion of JCQ Form 8, where required, and a body of evidence to substantiate the candidate's normal way of working within the centre
- Maintains a file for each candidate that will include:
  - completed JCQ/awarding body application forms and evidence forms
  - appropriate evidence to support the need for the arrangement where required
  - appropriate evidence to support normal way of working within the centre
  - in addition, for GCSE and GCE qualifications (where approval is required), a print out of the AAO approval and a signed data protection notice (which provides candidate consent to their personal details being shared)

### **Exams 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
- 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
- Follows guidance in AA Chapter 8 to process approval applications for access arrangements for GCSE and GCE qualifications
- 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
- Confirms by ticking the '*Confirmation*' box prior to submitting the application for approval that the '*malpractice consequence statement*' has been read and accepted
- Makes an *awarding body referral* through AAO where the initial application for approval may not be approved by AAO, where it is deemed by the centre that the candidate does meet the criteria for the arrangement(s)
- Ensures that arrangements, and approval where required, are in place before a candidate takes his/her first exam or assessment (which is externally assessed or internally assessed/externally moderated)
- Ensures that where approval is required that this is applied for by the awarding body deadline
- Maintains a record of completed JCQ/awarding body application forms
- Presents the files when requested by a JCQ Centre Inspector (along with those held by SENDco on individual student supporting evidence)
- Liaises with teaching staff regarding any appropriate modified paper requirements for candidates
- Liaises with the SENDCo to ensure AAO approval is in place for early opening of papers where this may be required where the centre is permitted to modify a timetabled written component exam paper (copy on coloured paper, enlarge to A3 or copy to single sided print)
- Following the appropriate process (AAO for GCE and GCSE; *JCQ Form 7* or *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

### 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 SENDCo, 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
- 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 (SENDCo)

- 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)
- 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
- Liaises with the Exams Officer (EO) regarding facilitation and invigilation of access arrangement candidates in exams
- 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

#### Exams 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 exam information (JCQ information for candidate's documents, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it
- Ensures that any arrangements put in place do not unfairly disadvantage or advantage disabled candidates
- 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
- 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, Oral Language Modifier, reader, scribe or Sign Language Interpreter)
- Ensures facilitators supporting candidates are appropriately trained and understand the rules of the access arrangement(s)
- Ensures the facilitator is known by or introduced to the candidate prior to exams

- Ensures a facilitator acting as a prompter is aware of the appropriate way to prompt depending on the needs of the candidate
- Ensures cover sheets, where these are required by the arrangement are completed as required by facilitators
- Provides cover sheets prior to the start of an exam where required for access arrangements and ensures that these have been fully completed before candidates' scripts are dispatched to examiners/markers
- Liaises with the SENDCo 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 SENDCo to ensure exam information (JCQ information for candidate's documents, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it
- Liaises with the SENDCo regarding the facilitation and invigilation of access arrangement candidates
- Liaises with the SENDCo regarding rooming of access arrangement candidates
- Liaises with the SENDCo 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 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, where approved, opens the exam question paper packet in the secure room no earlier than 90 minutes prior to the published start time of the exam
- Understands that where permitted/approved, secure exam question paper packets may need to be opened early where preparation is required by the facilitator (Oral Language Modifier, Live Speaker, Sign Language Interpreter only)

### **Assistant Principal**

- Support the SENDCo and the Exams Officer to ensure appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams
- Liaise with the EO to ensure that invigilators are made aware of the Equality Act 2010 and are trained in disability issues

### **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'."*

### **Special educational needs coordinator (SENDCo)**

- Liaises with teaching staff to implement appropriate access 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 access arrangements that are in place for their assessments
- Ensures facilitators supporting candidates are appropriately trained and understand the rules of the access arrangement(s)
- 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

### **Teaching staff**

- Support the SENDCo in implementing appropriate access arrangements for candidates
- Provide the SENDCo with assessment schedules to ensure arrangements are put in place when required
- Liaise with the SENDCo regarding assessment materials that may need to be modified for a candidate
- Ensures cover sheets are completed as required by facilitators

### **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 (SENDCo)**

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

### **Teaching staff**

- Provide exam materials that may need to be modified for a candidate

### **Assistant Principals & Exams Officer**

- Support the SENDCo in implementing appropriate access arrangements for candidates
- Provide the SENDCo 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>SENDCo 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 SENDCo; 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 appropriate 'Alternative site for the conduct of exams form'</i></p> <p><i>EO provides candidate with exam timetable and JCQ information for candidates</i></p> <p><i>Pastoral head confirms with candidate the information is understood</i></p> <p><i>Pastoral head agrees with candidate that prior to each exam will call to confirm fitness to take exam</i></p> <p><i>EO allocates invigilator(s) to candidate's timetable; confirms time of collection of exam papers and materials</i></p> <p><i>Invigilator monitors candidate's condition for each exam and records any issues on incident log</i></p> <p><i>Invigilator records rest breaks (time and duration) on incident log and confirms set time given for exam</i></p> <p><i>Invigilator briefs EO after each exam on how candidate's performance in exam may have been affected by his/her condition</i></p> <p><i>EO discusses with pastoral head if candidate is eligible for special consideration (candidate present but disadvantaged)</i></p> <p><i>EO processes request(s) for special consideration where applicable; incident log(s) provides supporting evidence</i></p> <p><i>Pastoral head informs candidate that special consideration has been requested</i></p>
Persistent and significant difficulties in accessing written text	Reader/computer reader 25% Extra time Separate invigilation within the centre	<p><i>Confirms candidate is disabled within the meaning of the Equality Act 2010</i></p> <p><i>Papers checked for those testing reading</i></p> <p><i>Computer reader sourced for use in papers (or sections of papers) testing reading OR up to 50% extra time awarded</i></p> <p><i>Form 8, signed and dated, with Sections A, B and C completed; kept on file with body of supporting evidence, printed approval from AAO and signed data protection notice</i></p>
Significant difficulty in concentrating	Prompter Separate invigilation within the centre	<p><i>Gathers evidence to support substantial and long term adverse impairment</i></p> <p><i>Confirms with candidate how and when they will be prompted</i></p> <p><i>Briefs invigilator to monitor candidate and the method of prompting (call out his name to bring his</i></p>

		<i>attention back to the paper - confirms requirement for separate room)</i>
A wheelchair user	Desk Rooms Facilities Seating arrangements Practical assistant	<i>Applies for practical assistant to help candidate set up wheelchair and other equipment in a practical assessment; approval automatically fails so awarding body referral lists the tasks that will be performed</i> <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>



## Word Processors in Exams

### Introduction

This policy on the use of word processors in examinations and assessments is reviewed and updated annually, early in the autumn term, on the publication of updated JCQ regulations and guidance contained in the publications Access Arrangements and Reasonable Adjustments and Instructions for conducting examinations.

References to 'AA' relate to JCQ *Access Arrangements and Reasonable Adjustments 2022/23* and ICE to JCQ *Instructions for conducting examinations 2022/23*.

### Principles for using a word processor

NE Futures UTC complies with AA chapter 4 regulations as follows:

(AA 4.2.1)

- Candidates with access to word processors can do so to remove barriers for disabled candidates and candidates whose handwriting presents difficulties which prevent them from being placed at a substantial disadvantage because of persistent and significant difficulties.
- The use of word processors is only permitted whilst ensuring that the integrity of the assessment is maintained, at the same time as providing access to assessments for a candidate with handwriting difficulties.

(AA 4.2.2)

- The use of a word processor is not granted where it will compromise the assessment objectives of the specification in question.

(AA 4.2.3)

- Candidates may not require the use of a word processor in each specification. As subjects and their methods of assessments may vary, leading to different demands of our candidates, the need for the use of a word processor is considered on a subject-by-subject basis.

(AA 4.2.4)

- The use of a word processor is agreed/processed at the start of the course. Candidates are subsequently aware that they will have the use of a word processor for examinations and controlled assessments/coursework.
- Candidates are aware that they will have the use of a word processor for examinations and controlled assessments/coursework.

(AA 4.2.5)

- The use of a word processor for candidates is only granted if it reflects the support given to the candidate as their 'normal way of working', which is defined as support:
  - in the classroom; or
  - working in small groups for reading and/or writing; or
  - literacy support lessons; or
  - literacy intervention strategies; and/or
  - in internal tests and mock examinations



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

NE Futures UTC complies with AA section 5 as follows:

(AA 5.8.1)

- Provides a word processor with the spelling and grammar check facility/predictive text disabled (switched off).
- Only grants the use of a word processor to a candidate where it is their normal way of working (see 4.2.5 above) within the centre.
- Only grants the use of a word processor to a candidate if it is appropriate to their needs (for example, the quality of language significantly improves because of using a word processor due to problems with planning and organisation when writing by hand)

(AA 5.8.2)

- Provides access to word processors to candidates in controlled assessments or coursework components as standard practice unless prohibited by the specification.

(AA 5.8.3)

- Allows candidates to use a word processor in an examination to type certain questions, i.e. those requiring extended writing, and handwrite shorter answers.
- Are also aware that examinations which have a significant amount of writing, as well as those that place a greater demand on the need to organise thought and plan extended answers, are those where candidates will frequently need to type. Examinations which require more simplistic answers are often easier to handwrite within the answer booklet. The candidate avoids the difficulty of visually tracking between the question paper and screen.

(AA 5.8.4)

- In all cases, ensures that a word processor cover sheet (Form 4) **Appendix 1** is completed and attached to each candidate's typed script.
- Ensures in Functional Skills English (Reading and Writing components) the use of a word processor with the spell check facility switched on is permitted for all candidates.
- Does not simply grant the use of a word processor to a candidate because he/she prefers to type rather than write or can work faster on a keyboard, or because he/she uses a laptop at home.

### **Word processors and their programmes**

NE Futures UTC complies with ICE 8.8 instructions by ensuring:

- word processors are used as a type-writer, not as a database, although standard formatting software is acceptable
- word processors have been cleared of any previously stored data, as must any portable storage medium have used
- an unauthorised memory stick is not permitted for use by a candidate
- where required, candidates are provided with a memory stick, which has been cleared of any previously stored data, by the Exams Officer, centre IT technician or nominated invigilator.
- word processors are in good working order at the time of the examination

- word processors are accommodated in such a way that other candidates are not disturbed and cannot read the screen
- where a candidate using a word processor is accommodated separately, a separate invigilator is used
- word processors are either connected to a printer so that a script can be printed off, or have the facility to print from a portable storage medium
- documents are printed after the examination is over
- candidates are present to verify that the work printed is their own
- word processed scripts are attached to any answer booklet which contains some of the answers
- word processors are used to produce scripts under secure conditions, and if they are not then the centre is aware that they may be refused by the awarding body
- word processors are not used to perform skills which are being assessed
- word processors are not connected to an intranet or any other means of communication.
- candidates are not given access to other applications such as a calculator (where prohibited in the examination), spreadsheets etc. when using a word processor
- graphic packages or computer aided design software is not included on a word processor unless permission has been given to use these
- predictive text software or an automatic spelling and grammar check is disabled unless the candidate has been permitted a scribe or is using voice recognition technology (the script must have a scribe cover sheet attached), or the awarding body's specification permits the use of automatic spell checking
- voice recognition technology is not included on word processors unless the candidate has permission to use a scribe or relevant software
- word processors are not used on the candidate's behalf by a third party unless the candidate has permission to use a scribe

### **Laptops and Word Processors**

NE Futures UTC further complies with ICE 8.8 instructions by ensuring:

- the battery capacity of all laptops and/or tablets is checked before the candidate's examination(s) with the battery sufficiently charged for the entire duration of the examination or a mains lead attached with a suitable point for connection.
- candidates with fully charged laptops or tablets are given the opportunity to be seated within the main examination hall without the need for separate invigilation and power points
- candidates are reminded that their centre number, candidate number and the unit/component code must appear on each page.
- candidates using WordPad software (which do not allow for the insertion of a header or footer) are instructed to handwrite their details as a header or footer once they have finished the examination and printed off their typed script; candidates are also supervised to ensure that they are solely performing this task and not re-reading their answers or amending their work in any way
- each page is appropriately numbered.
- candidates are instructed to use a minimum 12pt font and double spacing
- invigilators remind candidates to save their work at regular intervals

- candidates granted the use of a word processor are present at the end of the examination when their script is printed off so they can verify that the work printed off is their own.

### **Accommodating word processors in examinations**

The use of word processors is internally accommodated in the following manner:

- Although candidates could choose to remain in the main exam room with their word processor, they often choose to be invigilated in a classroom where any technical problem can have sorted out quickly.
- The candidates will be allocated a room and the IT technician or the invigilator will take the word processor to the room and make sure that it is working correctly when the candidate arrive.

### **Invigilation arrangements relating to the use of word processors include the following:**

- The invigilator will remind the candidate to save their work onto a removable storage device and ask the candidate to accompany them to the IT technician or the Exams Officer to print the work and insert their name and candidate number. Alternatively, where the candidate is using a computer, the candidate will save work to a secure area. The script will then be put inside the normal answer book along with the Word Processor form, which is signed by the invigilator and Exams Officer and taken by the Technician, Invigilator or Exams Officer to the main exam room to be collated with the other scripts for despatch. An instruction sheet has been made to advise candidates on how to follow the rules with their laptops

### **Other arrangements relating to the use of word processors/tablets:**

- It is the candidate's responsibility to make sure that they have a working word processor and that they save their work and check that it is their work that is printed to be despatched. The candidates should follow the invigilator/IT technician to the place of printing and check that their script has their name on. If there is not a word processor provided when it had previously been agreed by the SENDCO then they should request to speak to the Exams Officer at the beginning of the exam who will arrange it.
- If a candidate has difficulties with the normal equipment or it isn't their normal way of working, e.g. uses a tablet for their lessons, the IT Technician will adapt a similar tablet to ensure it provides no advantage over a laptop in line with the JCQ Access Arrangement guidance, ICE 8.8.

### **Notes on the completion of the Word Processor cover sheet**

#### **Centre:**

- Laptop use if determined from normal way of working at the UTC. Evidence is collected from teachers and short concise file note completed.
- **Examination scripts:** the form **must** be completed and securely attached to the front of the script, which **must** be sent to the awarding body/examiner in the normal way.
- The script **must** be produced in accordance with the regulations in **Chapter 8, section 8.8, of the JCQ publication *Instructions for conducting examinations*. Failure to comply may constitute malpractice which could lead to the disqualification of the candidate.**
- The information required in the boxes on the form **must** be correct and complete.
- In the box marked **Comments** please indicate whether any problems were experienced with the production of the script which should be drawn to the attention of the examiner.

- The form **must** be signed by the invigilator and countersigned by the Head of Centre/Examinations Officer for the script to be accepted.

### Word Processor cover sheet

Please read the attached notes before completing this form.	
<b>Examination series</b>	

<b>Centre No</b>	
------------------	--

<b>Candidate No</b>		<b>Candidate name</b>	
---------------------	--	-----------------------	--

<i>Examination for which a word processor was used</i>			
<b>Awarding body</b>	<b>Specification title</b>	<b>Specification entry code</b>	<b>Unit/component</b>

Comments (if appropriate):

Some questions were answered in the answer booklet which is attached to this form.  
(Please select the appropriate response)

Number of typed pages produced by the candidate

The above-named candidate produced their work during the examination in accordance with **section 8.8** of the JCQ publication *Instructions for conducting examinations*.

<b>Invigilator</b>	Date	
Name (Please print)		
Signature		
<b>Head of Centre/Exams Officer</b>	Date	
Name (Please print)		
Signature		

*To be completed by the examiner*

- ☐ I have read the word processor cover sheet.  
☐ I have marked the script in accordance with the instructions given.

Comments (if appropriate) for awarding body attention

<b>Examiner/Moderator</b>	Date	
Name (Please print)		
Signature		

## Instructions for Invigilators and Students

### Exam Laptop/computer

This is an exam laptop/computer for candidates who are Word Processing their Answers

- You need an exam paper to read the questions from, fill in your Name etc. on this.
- If an answer needs lines drawing or has boxes to tick they are to be done in the answer booklet in the usual manner
- When you are typing your answers onto the laptop/computer remember to include the Question number so the person marking the question knows which one it is.

### Getting Started

- If using a laptop, make sure you are close to a socket and the laptop is plugged in during your exam.
- You will need a USB stick inserted to save your work onto – alternatively, you will be instructed of where to securely save your work on the system
- Switch on the laptop/computer as soon as possible, it takes a while to get logged in.
- Enter the username and password details you have been given
- Follow any additional instructions on the screen
- Insert the USB stick, if applicable
- At the bottom of the screen select WordPad.
- On the home tab change the Line Spacing to 2pt.
- You will need to put your **Full Name, Candidate Number and Centre Number** at the top of the page.
- Under this you will need to write the **Name of the Exam** and the **Exam Code**.
- Save the document to the USB stick and call the file **Your Name** and the **Name of the exam**. Alternatively, you will be instructed of where to save your file, securely, on the UTC network
- Begin your exam when the invigilator tells you to start.
- Remember to keep saving your work throughout the exam.

### Finishing the Exam

- Once the exam is finished save your work onto the USB stick/network again.
- If using a USB, please click the **Safely Remove Hardware** Icon in the bottom right corner, you may need to click the **'Hidden Icon'** until you see the **Safely Remove Hardware**.
- Switch the laptop/computer off and put the laptop away (if applicable), making sure you keep hold of the USB Stick (if applicable).
- With the invigilator, take the Laptop and USB stick (if applicable) and go to the IT Technician to print your exam off

- You must stay with the Officer whilst your exam is printing and once it has you must write your **Full Name, Candidate Number and Centre Number** on the top of every page that is printed.

## Procedures to verify candidate identity during examinations.

The Exams team will prepare student ID cards for examination days, which will have placed on desks and enable invigilators to confirm student identity. Photographs from BROMCOM will be used for exam ID cards in accordance with data protection usage.

The member of staff in the assessment will check each Identity Card as they are taking the register.

If there are any students where there is a query/issue in relation to their identity, the member of staff will verify the identity of the student through Arbor or personal knowledge.

Students must have had their identity verified before they can start their assessment.

## Complaints and appeals

### Purpose of the procedure

This procedure confirms NE Futures UTC compliance with JCQ's *General Regulations for Approved Centres 2022-23*, section 5.8 that the centre has in place "...a written complaints and appeals procedure which will cover general complaints regarding the centre's delivery or administration of a qualification."

### Grounds for complaint

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

### Teaching and learning

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

- ▶ Candidate not informed of his/her centre assessed marks in sufficient time to request/appeal a review of marking prior to marks being submitted to the awarding body
- ▶ Candidate not given sufficient time to review materials to decide whether to request a review of centre assessed marks

### Access arrangements

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

### Entries

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

### Conducting examinations

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

### Results and Post-results

- ▶ Before exams, candidate not made aware of the arrangements for post-results services and the accessibility of senior members of centre staff after the publication of results
- ▶ Candidate not having access to a member of senior staff after the publication of results to discuss/make decision on the submission of an 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 check, a review of marking, a review of moderation or an appeal (complainant to refer via the centre's *internal appeals procedure*)
- ▶ Centre applied for the wrong post-results service/for the wrong exam paper for a candidate
- ▶ Centre missed awarding body deadline to apply for a post-results service
- ▶ Centre applied for a post-results service for candidate without gaining required candidate consent/permission

### Complaints and appeals procedure

If a candidate (or his/her parent/carer) has a general concern or complaint about the centre's delivery or administration of a qualification he/she is following, NE Futures UTC 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 College Principal.

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

### How to make a formal complaint

A complaint should be submitted via the normal NE Futures UTC Complaints Policy (available on [nefuturesutc.co.uk](http://nefuturesutc.co.uk))

Appeals and submission of complaints are detailed in this policy.

### Candidates access to scripts

Results Candidates will receive individual results by email on results days to their school email address. Arrangements for the school to be open on results days are made by the School Office. The provision of staff on results days is the responsibility of the Head and Deputy Head (Academic).

### Enquiries About Results (EAR)

Candidates are reminded that an EAR can result in their mark and/or grade being lowered. It is recommended that candidates seek the advice of their Line Manager before requesting a remark.

EARs may be requested by centre staff if there are reasonable grounds for believing there has been an error in marking affecting all candidates. The centre will request a re-mark of a representative sample of candidates at the expense of the centre. The centre will obtain candidate consent before requesting a re-mark.

### Access to Scripts (ATS)

Awarding bodies will provide examination centres and their candidates with access to externally marked scripts for the following examinations: GCE Advanced and Advanced Subsidiary, GCSE



Scripts may be requested by the centre to either: to inform an appeal about an A Level result; or for teaching and learning purposes. Candidate consent is required before a script may be requested.

Scripts may be requested by candidates at their own expense. The required fees will be published prior to each examination season. All necessary paperwork must be fully complete and the required fee received before an ATS request will be processed. Only under exceptional circumstances will the centre pay for an ATS requested by a candidate, as determined by the Head of Centre.

Please note that the centre deadline for ATS will be before the deadline for the examination boards to allow time for the request and payment to be processed. No requests will be accepted after the centre deadline.

The centre will be able to request priority copies of relevant GCE scripts before deciding whether to lodge an enquiry about results. Please note, this service is not available for any enquiries at GCSE (once a GCSE script has been returned a remark cannot be applied for). This priority service will only be requested for individual Year 13 candidates if their place in higher education has been affected by their A Level grade. Individual Year 12 or other Year 13 students may not request a priority script. Staff may request priority scripts of Year 12 or Year 13 candidates only if they suspect there may be a case to appeal the marking across the cohort.

If a GCE candidate is thinking of having a priority service remark enquiry about results, an application for a priority copy of the script must not be requested. The candidate should progress straight to a priority service remark enquiry about results, given the limited amount of time available for this service.

After the release of results, AS/A Level candidates may request the return of papers within seven days' scrutiny of the results to assess whether to ask for a remark or not. Centre staff may also request scripts for investigation or for teaching purposes. For the latter, the consent of candidates must be obtained. Some GCSE scripts are available on-line, after publication of results.

## Certificates

Certificates are posted (first class) after receipt from the boards, or available for collection in the College. Certificates may not be collected on behalf of a candidate by a third party. Certificates are not withheld from candidates who owe fees. The centre retains certificates for two years after which they will be destroyed in accordance with Data Protection Act.

## Archiving

### **Purpose of archiving**

The purpose of archiving is to:

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

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Access arrangements information	Any hard copy information kept by the EO relating to an access arrangement candidate.	To be returned to SENDCo as records owner at end of the candidate's final exam series.	Confidential shredding
Attendance register copies		To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.  [Reference <a href="#">ICE</a> 6,15]	Confidential waste/shredding
Awarding body administrative information	Any hard copy publications provided by awarding bodies.	To be retained until the current academic year update is provided.	Confidential shredding
Candidates' work	Non-examination assessment work (inc. controlled assessment, coursework, portfolios) returned to the centre after awarding body moderation.	To be immediately returned to subject staff as records owner.  To be stored safely and securely along with work that did not form part of the moderation sample (including materials stored electronically) until after the deadline for EARs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series.  [Reference <a href="#">GR</a> 3, 5]	Returned to candidates or safe disposal
Certificates		Unclaimed/uncollected certificates to be retained securely for a minimum of 12 months from date of issue.  [Reference <a href="#">GR</a> 5]	Confidential destruction
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	To be retained for 4 years from the date of certificate destruction.  [Reference <a href="#">GR</a> 5]	Confidential destruction
Certificate issue information	A record of certificates that have been issued to candidates.	[Reference <a href="#">GR</a> 5]	Confidential shredding
Confidential materials delivery logs	A log recording confidential materials delivered by awarding bodies to the centre and		Confidential shredding

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
	issued to authorised staff.		
Confidential materials tracking logs	A log to track materials taken from or returned to secure storage throughout the time the material is confidential.		Confidential shredding
Dispatch logs	Proof of dispatch of exam script packages to awarding body examiners covered by the <a href="#">DfE (Standards &amp; Testing Agency) yellow label service</a>		Confidential shredding
Entry information	Any hard copy information relating to candidates' entries.		Confidential shredding
Exam question papers	Question papers for timetabled written exams.	Issued to teaching staff after the published finishing time of the exam and only when all candidates in the centre have completed the exam.  Instructions issued by an individual awarding body relating to the use of question papers for vocational qualifications after the examination has taken place are followed.  [Reference <a href="#">ICE</a> 16 and <a href="#">GR</a> 5,6]	Confidential shredding
Exam room checklists	Checklists confirming room conditions and invigilation arrangements for each exam room.	To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.  [Reference <a href="#">ICE</a> 6]	Confidential shredding
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms.		Confidential shredding
Exam stationery		When awarding body or JCQ common stationery is considered surplus or is out-of-date it will be disposed of.  [Reference <a href="#">ICE</a> page 4 and <a href="#">ICE</a> 23]	Confidential disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Examiner reports		To be immediately provided to line manager of that subject as records owner.	Confidential shredding
Finance information	Copy invoices for exams-related fees.	To be returned to Finance department as records owner at the end of the academic year.	Confidential shredding
Invigilation arrangements	See <i>Exam room checklists</i>		Confidential shredding
JCQ publications	Any hard copy publications provided by JCQ.	To be retained until the current academic year update is provided.	Confidential shredding
Moderator reports		To be immediately provided to line manager responsible for the teaching area as records owner.	Confidential shredding
Overnight supervision information	Copy of JCQ form <i>Timetable variation and confidentiality declaration for overnight supervision</i> for any candidate eligible for these arrangements.	To be retained for JCQ inspection purposes for the relevant exam series.	Confidential shredding
Post-results services: confirmation of candidate consent information	Hard copy or email record of candidate consent for an EAR or ATS request to be submitted to an awarding body	EAR consent to be retained for at least six months following the outcome of the enquiry or any subsequent appeal.  ATS consent to be retained for at least six months from the date consent given.  [Reference <a href="#">PRS 4</a> , appendix A and B]	Confidential shredding
Post-results services: requests/outcome information	Any hard copy information relating to a post-results service request (EARs, appeals, ATS) submitted to an awarding body for a candidate and outcome information from the awarding body.		Confidential shredding
Post-results services: scripts provided by ATS service	Copies of exam scripts (or an electronic image of the script) returned to the centre by the awarding body/copies downloaded by the	Where copies of scripts are retained by the centre, they must be securely stored (including any electronic versions) until they are no longer required.	Confidential disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
	centre where the awarding body provides online access to scripts.	[Reference <a href="#">PRS 6</a> ]	
Post-results services: tracking logs	A log tracking to resolution all post- results service requests submitted to awarding bodies.		Confidential shredding
Private candidate information	Any hard copy information relating to private candidates' entries.		Confidential shredding
Proof of postage – candidate work	Proof of postage of sample of candidates' work to awarding body moderators.		Confidential shredding
Resolving clashes information	Any hard copy information relating to the resolution of a candidate's clash of exam papers or a timetable variation.		Confidential shredding
Results information	Broadsheets of results summarising candidate final grades by subject by exam series.	Records for current year plus previous 6 years to be retained as a minimum.  [Reference <a href="#">Records Management Toolkit for Schools</a> ]	Confidential shredding
Seating plans	Plans showing the seating arrangements of all candidates for every exam taken.	To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.  [Reference <a href="#">ICE 6</a> ]	Confidential shredding
Special consideration information	Any hard copy information relating to a special consideration request and supporting evidence submitted to an awarding body for a candidate.	Evidence supporting an on- line special consideration application and  evidence supporting a candidate's absence from an exam must be kept until after the publication of results.  [Reference <a href="#">SC 6</a> ]	Confidential shredding
Suspected malpractice reports/outcomes	Any hard copy information relating to a suspected malpractice		Confidential shredding

<b>Record type</b>	<b>Record(s) description (where required)</b>	<b>Retention information/period</b>	<b>Action at end of retention period (method of disposal)</b>
	investigation/report submitted to an awarding body and outcome information from the awarding body.		
<b>Transfer of credit information</b>	Any hard copy information relating to a GCE AS transfer of credit arrangement (for a legacy unitised GCE AS specification) application submitted to an awarding body for a candidate.	To be retained until the issue of the GCE A level result for the candidate.	<b>Confidential shredding</b>
<b>Transferred candidate information</b>	Any hard copy information relating to an application for a transferred candidate arrangement submitted to an awarding body for a candidate.	To be retained until the transfer arrangements are confirmed by the awarding body.	<b>Confidential shredding</b>
<b>Very late arrival reports/outcomes</b>	Any hard copy information relating to a very late arrival report submitted to an awarding body for a candidate and outcome information from the awarding body.		<b>Confidential shredding</b>

## Access Arrangements

The NE Futures UTC Access Arrangements procedures follows the regulations and guidance which are issued annually by the Joint Council for Qualifications for Access Arrangements and Reasonable Adjustments. These are adjustments for candidates with substantial disabilities and learning difficulties.

### Access Arrangements and Reasonable Adjustments

Access arrangements are agreed before an assessment (examination or non-examined assessment). They allow candidates with special educational needs, disabilities or temporary injuries to:

- access the assessment;
- 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'.

### 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.

***The disability must be substantial, persistent and long term, unless it is a temporary injury.***

### Access Arrangements

All arrangements must be processed and approved before an examination or assessment and before the published deadline apart from applications due temporary injury or impairment.

Access Arrangements can only be applied for if the candidate meets all the following criteria:

- They must be disabled within the meaning of the Equality Act 2010\*
- The Access Arrangement/s being applied must be their normal way of working
- Their disability is persistent and significant
- There must be evidence of the candidate's current difficulties and how they substantially impact on teaching and learning in the classroom

- Teaching staff must provide evidence of the need and the provision of reasonable adjustments in the classroom, to meet the candidate's needs, due to their disability 2
- Written confirmation must be provided to say that without the Access Arrangement applied for the candidate would continue to be at a substantial disadvantage

## How Access Arrangements are managed at the UTC

Responsibilities Access Arrangements are overseen by the SENDCO  
Access Arrangement Assessments are carried out by our Specialist Assessor  
Arrangements are processed/implemented by the Exams Officer

## The Access Arrangements Process

### Year 10

- If there is sufficient evidence and history of need, an application for Access Arrangements will be made in the autumn term, in consultation with the student and parents/carers
- Parents/carers and the student will be informed as to if the application has been approved.
- All students with Access Arrangements will, apart from those with some sensory or physical disabilities, will be designated as having special educational needs
- Students/Parents will be issued with a letter showing which Access Arrangements they are entitled to

### Year 11

- Students with Access Arrangements will practice using them in examination situations during Mock Exams in Year 10 and 11
- All students with Access Arrangements must continue to need the arrangements and use it for the duration of the examination series otherwise it may be withdrawn.

### Year 12/13

There will be a review of the students with previous Access Arrangements moving into the UTC Sixth Form to decide if they need to continue with existing Arrangements. The SENDCO and Exams Officer will carry out this review, and arrange to reapply for AA should the student continue to require them. Students moving to other colleges can request copies of their Access Arrangement evidence to take with them.



### The Joint Council for Qualifications states:

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. (by the independent assessor). Failure to do this may lead to us being unable to use the report Sixth Forms and Colleges of Further Education. If a student had Access Arrangements in Years 10/11 then they can be re-applied for providing there is evidence from teachers that the student continues to need and use them.

### Concerns about students

It is important that if you think a student may have special educational needs or a disability that you talk to the SLT and SENDCO as early as possible for us to provide suitable support and build up a history of need.

#### *Private Assessments Prior to commissioning*

A private assessment which may potentially be used for Access Arrangements. A private assessor must contact the school before the assessment is undertaken.

### Lockdown

Refer to the Lockdown Policy for more information