

# Examination Policy and Contingency Plan

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Associated documents

# Introduction

The purpose of this policy is:

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To ensure the planning and management of exams is conducted efficiently and in the best interests of candidates

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To ensure the operation of an efficient exam system with clear guidelines for all relevant staff

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To ensure a consistent and effective response in the event of major disruption to the examination system

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

The policy will be reviewed annually.

The policy will be reviewed by the Head of Centre, Senior Leadership Team, Director of Sixth Form Studies, Faculty Leaders, Subject Leaders, Examinations Officer, Finance Manager and the Governors.

## Exam Responsibilities

### Head of Centre

Overall responsibility for the school as an examination centre;

- Holds the responsibility for reporting all suspicions or actual incidents of malpractice.

See JCQ document 'Suspected malpractice in examinations and assessments'

- Ensures knowledge of the JCQ General Regulations document is current.

- Ensures an Examinations Officer is appointed (the Head of Centre may not appoint themselves as Examinations Officer).

### **Examinations Officer**

Manages the administration of public examinations;

- Advises the Senior Leadership Team, Subject Leaders and other relevant support staff on annual examination timetables and application procedures as set by the various exam boards.
- Oversees the production and distribution of an annual calendar for all examinations in which candidates will be involved and communicates regularly with staff concerning imminent deadlines.
- Ensures examination documentation is communicated through the Communications Officer, website and relevant Head of Year.
- Ensures that candidates and their parents are informed of and understand those aspects of the examinations timetable that will affect them.
- Consults with teaching staff to ensure that necessary controlled assessments/non-examination assessments are completed on time and in accordance with JCQ guidelines.
- Provides and confirms detailed data on estimated entries.
- Receives checks and stores securely all examination papers and completed scripts.
- Assists the Additional Needs Co-ordinator in administering access arrangements.
- Identifies and manages examination timetable clashes.
- Organises the recruitment, training and monitoring of a team of examination invigilators who are responsible for the conduct of the examinations.
- Arranges for the distribution of examination results and certificates to candidates and forwards any appeals/Review requests to the exam boards.
- Maintains systems and processes to support the timely entry of candidates for their examinations.

### **Deputy Headteacher**

- Organisation of teaching and learning.
- External validation of courses followed at KS4 and KS5.
- Updating of examination guidance documents annually.

### **Faculty and Subject Leader**

***[Please also refer to the schools 'Policy for All External Examinations, Controlled Assessments & Non-examination Assessments (including Appeals)']***

- Guidance and pastoral oversight of candidates who are unsure about exam entries or amendments to entries.
- Involvement in post-results procedures.
- Accurate electronic input of controlled assessment/non-examination assessment marks.
- Ensuring controlled assessment/non-examination assessment declaration sheets are available for moderation.
- Ensuring controlled assessments/non-examination assessments are prepared and stored sufficiently and are ready for JCQ inspection.
- Accurate completion of entry and all other mark sheets and adherence to deadlines as set by the examinations officer.

### **Teachers**

- Notification of access arrangements (as soon as possible after the start of the course).
- Submission of candidate names to Subject Leaders.
- Submission of controlled assessment/non-examination assessment marks to Subject Leaders/Awarding Body secure websites by the relevant deadlines.

### **Additional Needs Co-ordinator**

- Administration of access arrangements including making applications and preparing/storing evidence for inspection purposes.
- Identification and testing of candidates' requirements for access arrangements.
- Provision of additional support to help candidates achieve their course aims.

### **Lead Invigilator**

- Ensure examination rooms are set out to comply with the regulations as per the JCQ 'Instructions for the Conduct of Examination'.
- Distribute the examinations papers and materials to the invigilation team. Ensure all candidates have the necessary materials to enable them to complete their examinations.
- Support the invigilation team in the examination room including checking for absentees and reporting them to the Examination Officer and removing mobile telephones from the examination room.
- Make the announcements at the start and the end of the examinations.
- Receive the examination scripts at the end of each examination, check and pack them and pass to the Examinations Officer.

### **Invigilators**

- Keep up to date with knowledge of the JCQ ICE rules and regulations and conduct the examination accordingly.

- Collection of examination papers and other material from the Examinations Officer/Lead Invigilator before the start of the exam.
- Support the Lead Invigilator by checking the examination room is set up correctly with the necessary notices prominently displayed, identifying absentees, collecting mobile telephones and distributing examination materials.
- Collection of all examination papers in the correct order at the end of the examination and their return to the examination office/Lead Invigilator.

### **Candidates**

- Confirmation of entries.  
Ensuring any queries with regards to entries are raised with teachers/Subject Leaders/Examinations Officer as early as possible.
- Understanding controlled assessment/non-examination assessment regulations and signing a declaration authenticating the work as their own.
- Understanding examination regulations.

### **Administrative Staff**

- Support for contacting absent students.
- Posting of examination papers.

## **Exam Seasons and Timetables**

### **Exam Seasons**

External examinations are scheduled in November, January and May/June.

The examination seasons used in the centre are decided by the Head of Centre, Deputy Head and Subject Leaders.

### **Timetables**

The Examinations Officer will circulate the timetables for external examinations once they are confirmed.

Individual timetables will be sent to students via SIMS InTouch and general timetables will be displayed on the school website.

## **Entries, Withdrawals, Re-sits and Examination Fees**

### **Entries**

Candidates are selected for their examination entries by their subject teachers and Subject Leaders.

Candidates can request entries, tier changes or withdrawals but they must discuss them with their teachers. The Examinations Officer will only make entries/changes to entries that are provided by Subject Leaders

The centre only accepts external candidates if they are students who have recently left MCS requesting resits of examinations that they have already taken. They may be required to

arrange an interview with the Director of Sixth Form Studies who will decide whether it is appropriate for the school to support them with their requested entries.

### **Late Entries**

Entry deadlines are circulated to heads of department in the form of a memo with their entry mark sheets and via email.

Late entries are only processed by the Examination Officer if requested by Subject Leaders.

### **Withdrawal Procedure**

A candidate may be withdrawn from an examination if he/she has failed to complete the course requirements. Such a decision will only be made after discussions involving the student, Subject Leader, SLT link and parent. Once a decision to withdraw has been made, a formal notification will be sent to the student/parent by the Subject Leader. A copy of this letter should be given to the Examinations Officer.

### **Examination Fees**

GCSE examination entry fees are paid for by the centre.

The initial entry for AS and A2 examinations are paid for by the centre. Late entry or amendment fees are paid for by the department.

### **Re-sits and Charging Policy**

All re-sit examination entries will be made as a result of discussions taking place between the student, subject teacher and Subject Leader. The cost of any re-sit required by a student of compulsory school age will be met by the School. The School will also pay the entry fee for all first attempts at examinations/modules in KS5. The cost of any subsequent AS or A level resit must be met in full by the student/parent/guardian. Students in the Sixth Form requesting retakes in Maths or English GCSE's, but not following curriculum lessons in those subjects will also be charged in the same way. Taking a large number of retake examinations can detract from students making progress on new modules. For ease of payment fees will be set up on ParentPay and payment required prior to the entries being sent to the Board(s). Absence from an examination caused by a student withdrawing themselves may incur a charge.

## **The Equality Act, Additional Learning Needs and Access Arrangements**

### **The Equality Act (EA)**

The Equality Act 2010 extends the application of the EA to general qualifications. All examination centre staff must ensure that the access arrangements and special consideration regulations and guidance are consistent with the law.

### **Additional Learning Needs**

The School is mindful of the fact that some students have additional educational needs that impact on examinations.

Heads of Year and the Additional Needs Co-ordinator will co-ordinate the collection of all information relating to additional educational needs following the regulations and guidance set down by JCQ. Details of students entitled to special arrangements for examinations will then be forwarded to the Examinations Officer for processing prior to the deadlines set by JCQ. Any special arrangements will also apply to controlled assessments. Any relevant supporting information from parents should be addressed for the Examinations Officer's attention.

### **Access Arrangements**

It is the responsibility of the Additional Needs Co-ordinator to;

- Make specific arrangements for students to take the examinations.
- Make applications (with the support of the Examinations Officer) to awarding bodies to allow students Access Arrangements in examinations.
- Have on file the approval confirmation, relevant evidence and signed Data Protection notices for each application for inspections purposes.

Rooming for access arrangement students will be arranged by the Examinations Officer with the Additional Needs Co-ordinator.

Invigilation for access arrangement students will be organised by the Examinations Officer.

Support for access arrangement students will be organised by the Additional Needs Coordinator.

## **Managing Invigilators and Examinations Days**

### **Managing Invigilators**

External invigilators will be used for external examination supervision.

The recruitment of invigilators is the responsibility of the Examinations Officer.

The Finance manager will secure the necessary Disclosure and Barring Service (DBS) clearance for new invigilators and arrange for the renewal of clearance for existing invigilators. Invigilators are timetabled by the Examinations Officer and briefed by the Examinations Officer and Lead Invigilator.

### **Examination Days**

The Examinations Officer will liaise with the Estates and Facilities Co-ordinator and other room users to book all examination rooms.

The Site Team is responsible for setting up the allocated examination rooms. The Examinations Officer will provide them with seating plans.

The Lead Invigilator will start and finish the examinations in the main examination room in accordance with the JCQ guidelines. In smaller examination rooms the allocated invigilator will be responsible for making the relevant announcements.

Subject staff may be present at the start of the examination to assist with the identification and settling of students. They may deal with any queries raised by students/invigilators with regards to tiers of entry and equipment needed but they may not address the students, look at the examination papers or remove any materials from the examination room.

In practical examinations subject teachers may be available in case of any technical difficulties.

Examination papers must not be read by subject teachers or removed from the examination room before the end of a session. All papers/secure documents must be returned to the Lead Invigilator or Examinations Officer. Papers will be distributed to Subject Leaders by the Examinations Officer. This will only be done after all sessions for the paper have been sat (there may be clashes/follow on examinations/hold overs) and all students scripts have been checked and securely packed.

## Examination Contingency

The priority when implementing contingencies will be to maintain three principles:

- Delivering assessments to published timetables.
- Delivering results to published timetables.
- Complying with regulatory requirements in relation to assessment, marking and standards.

The national examination timetable applies to GCSEs, AS Levels and A Levels.

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

Where there is disruption to teaching time and students miss teaching and learning the centre will ensure learners are prepared as usual for examinations.

- In the case of modular courses, the centre may advise learners to sit examinations in the next available series.
- The centre will have plans in place to facilitate alternative methods of learning.

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

In the event of students being unable to attend the centre to take examinations as normal, the centre will liaise with learners to identify whether the examination can be sat at an alternative venue in agreement with the relevant awarding organisations. JCQ guidance on alternative site arrangements can be accessed through the JCQ website.

- The centre will offer candidates the opportunity to sit any examinations missed at the next available series.
- The centre will apply to the awarding organisations for special consideration for candidates *where they have met the minimum requirements*. JCQ guidance on special consideration can be accessed through the JCQ website.



**Centre unable to open as normal during the examination period (e.g. snow days).**

If the centre is unable to open as normal for examinations, they will inform each awarding body with which examinations are due to be taken as soon as possible. As part of general planning for emergencies the centre will cover the impact on examinations. The Head of Centre will decide whether it is safe for the centre to open. The Head will take advice or follow instructions from the relevant local agencies in deciding whether the centre is able to open.

- The centre will open for examinations and examination candidates only if possible.
- The centre will use alternative venues in agreement with relevant awarding organisations (e.g. share facilities with other centres or use another public building if possible).
- The centre will offer candidates an opportunity to sit any examinations missed at the next available series.
- The centre will apply to the awarding organisations for special consideration for candidates *where they have met the minimum requirements*.

**Disruption to the transportation of completed examination scripts.**

- If there is a delay in the normal collection arrangements for completed examination scripts the centre will seek advice from the awarding organisations and the collection agency. The centre will seek approval from the awarding bodies before making their own arrangements for transportation.
- The centre will ensure secure storage of completed examination scripts until collection.

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

If the centre is unable to access or manage the distribution of results to candidates or to facilitate post results services the centre will contact the awarding organisations about alternative options i.e.:

- The centre will make arrangements to access its results at an alternative site.
- The centre will make arrangements to co-ordinate access to post result services from an alternative site.
- The centre will share facilities with other centres if this is possible.

**Examinations Officer absent at a critical stage of the examination cycle.**

In the event of the Examinations Officer being absent at a critical stage of the examination cycle, in order to minimise risk to examination administration and avoid any adverse impact of the students the centre will:

- Refer to the Examination Policy and Contingency Plan (as maintained by the Examinations Officer and Deputy Headteacher).
- Consult with the Awarding Bodies when necessary.
- Implement temporary cover for the role through the Curriculum Coordinator.

## Candidates, Clash Candidates and Special Consideration

### **Candidates**

The centres published rules on acceptable dress, behaviour and the candidates use of mobile phones and all electronic devices apply at all times.

***[Please also refer to the schools 'Guidance for External Examinations, Controlled Assessment and Non-examination Assessment KS4/ External Examinations and Nonexamination Assessment KS5']***

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

Disruptive candidates will be dealt with in accordance with the JCQ guidelines.

Candidates may leave the examination room for a genuine purpose requiring an immediate return to the examination room. They must be accompanied by a member of staff.

The Examinations Officer or another member of staff will attempt to contact any candidate who is not present at the start of an examination. They will be dealt with in accordance with the JCQ guidelines.

### **Clash Candidates**

The Examination Officer will be responsible as necessary for identifying escorts, a secure venue and arranging overnight supervision.

### **Special Consideration**

Should a candidate be too ill to sit an examination, suffer bereavement or other trauma or be taken ill during the examination itself, it is the candidates responsibility to alert the invigilator or Examinations Officer to that effect.

It may be relevant for a special consideration application to be supported by appropriate evidence, for example a letter from the candidate's doctor. All requests will be made electronically (as per the individual ABs processes) by the Examinations Officer.

## Controlled Assessment / Non examination Assessment and Appeals

### **Controlled Assessments and Non-examination Assessments**

Candidates who have to prepare controlled/non-examination assessments should do so by the deadlines issued by the school.

Subject Leaders will ensure that all controlled/non-examination assessments are ready for despatch at the correct time. Reception will keep a record of what has been sent and to whom.

Marks for all internally assessed assessments are entered on the relevant awarding bodies secure websites by subject teachers/Subject Leaders. Where electronic input of marks is not available then teachers/Subject Leaders should ensure the relevant documents are completed and returned to the Examinations Officer in a timely fashion so that they can be sent to the moderator within the ABs deadlines.

### **Appeals against Internal Assessments**

The centre is obliged to publish a separate procedure on this subject, which is available from the Examinations Officer and the Deputy Headteacher. The Policy must be available for inspection purposes.

The main points are:

- Appeals will only be entertained if they apply to the process leading to an assessment. There is no appeal against the mark or grade awarded.
- Candidates may appeal if they feel their work has been assessed unfairly, inconsistently or not in accordance with the specification for the qualification.
- Appeals must be made in writing to the Examinations Officer by 31<sup>st</sup> May. The Headteacher will then nominate a senior member of staff to lead the enquiry into whether the process used conformed to the necessary requirements.
- The findings will be formally reported back to the candidate at the beginning of July. The Examinations Officer will be given a copy of the findings for AB inspection purposes.

***\*Please also refer to the schools 'Policy for All External Examinations, Controlled Assessments & Non-examination Assessments (including Appeals)'***

## Results

Candidates will receive individual statements of results on results days in person at the centre and will also receive a copy by email.

Arrangements for the school to be open on results days are made by the Head of Centre. The provision of staff on results days is the responsibility of the Finance Manager.

## Enquiries about Results (EARs) and Access to Scripts (ATS)

### EARs

EARs may be requested by centre staff or candidates if there are reasonable grounds for believing there has been an error in marking.

When the centre does not uphold an EAR, a candidate may apply to have an enquiry carried out.

All relevant paperwork must be completed and handed to the Examinations Officer before any applications can be made.

There are fees associated with all EARs. If centre staff raise the enquiry the relevant department will be charged, if the candidate requests the EAR they will be charged. Fees will be advised prior to any applications being processed.

### ATS

After the release of results, candidates may ask subject staff to request the return of their papers, either to consider Reviews or for revision purposes.

If scripts are required to help decide whether an EAR is appropriate for AS or A Level examinations they must be requested within one week of the results being published. After this time only original scripts can be requested and further EARs cannot then be processed against that paper.

Centre staff may request scripts for teaching purposes. Candidate consent must be obtained prior to scripts being recalled for this purpose.

All relevant paperwork must be completed and handed to the Examinations Officer before any applications can be made.

***\*Please also refer to the schools 'Policy for All External Examinations, Controlled Assessments & Non-examination Assessments (including Appeals)'***

## Certificates

Certificates will be handed to students in person by their Form Tutor if they are still in school. They must be signed for upon receipt and the slip provided returned to the Examinations Officer.

If students have left, they can call in and collect and sign for their certificates once they are available. Notice that they are ready will be posted on the school website.

Certificates can only be collected on behalf of a student by a third party with the candidates consent.

All unclaimed certificates will be retained by the school for a minimum of 12 months from the date of their issue.

# Controlled Assessment and Non Examination assessments

## Outlining responsibilities – GCSE controlled assessment

### Senior Leadership Team Deputy Headteacher

- Accountable for the safe and secure conduct of controlled assessments. Ensure assessments comply with JCQ guidelines and awarding bodies' subject-specific instructions.
- At the start of the academic year, begin coordinating with subject leaders to schedule controlled assessments. (It is advisable that controlled assessments be spread throughout the academic years of key stage 4).
- Map overall resource management requirements for the year. As part of this resolve:
- Clashes/ problems over the timing or operation of controlled assessments.
- issues arising from the need for particular facilities (rooms, IT networks, time out of school etc.)
- Ensure that all staff involved have a calendar of events
- Create, publish and update an internal appeals policy for controlled assessments.

### Subject Leaders

- Decide on the awarding body and specification for a particular GCSE.

- Ensure that any changes to the scheduling of controlled assessments are communicated to students, and if substantial to parents. Changes should be recorded in the schools on line calendar; clashes should be identified.
- Ensure that at least 40% of overall assessment (controlled and/or external assessment) is taken in the exam series in which the qualification is certificated, to satisfy the terminal assessment requirement in accordance with the awarding body specification.
- Standardise internally the marking of all teachers involved in assessing an internally assessed component.
- Ensure that individual teachers understand their responsibilities with regard to controlled assessment.
- Ensure that individual teachers understand the requirements of the awarding body's specification and are familiar with the relevant teachers' notes, and any other subject specific instructions.
- Where appropriate, develop new assessment tasks or contextualise sample awarding body assessment tasks to meet local circumstances, in line with awarding body specifications and control requirements.

### **Teaching Staff**

- Understand and comply with the general guidelines contained in the JCQ publication *Instructions for conducting controlled assessments*.
- Understand and comply with the awarding body specification for conducting controlled assessments, including any subject-specific instructions, teachers' notes or additional information on the awarding body's website.
- Supply to the exams office details of all unit codes for controlled assessments.
- Obtain confidential materials/tasks set by awarding bodies in sufficient time to prepare for the assessment(s) and ensure that such materials are stored securely at all times.
- Supervise assessments (at the specified level of control). Undertake the tasks required under the regulations, only permitting assistance to students as the specification allows.
- Ensure that students and supervising teachers sign authentication forms on completion of an assessment.
- Mark internally assessed components using the mark schemes provided by the awarding body. Submit marks through the exams office to the awarding body when required, keeping a record of the marks awarded.

- Retain candidates' work securely between assessment sessions (if more than one).
- Post-completion, retain candidates' work securely until the closing date for enquiries about results. In the event that an enquiry is submitted, retain candidates work securely until the outcome of the enquiry and any subsequent appeal has been conveyed to the Centre.
- Ask the Additional Needs Coordinator for any assistance required for the administration and management of access arrangements.

### **Exams Administrator**

- Enter students for individual units, whether assessed by controlled assessment, external exam or on-screen test, before the deadline for final entries.
- Enter students' 'cash-in' codes for the terminal exam series.
- Where confidential materials are directly received by the exams office, to be responsible for receipt, safe storage and safe transmission, whether in CD or hard copy format.
- Download and distribute marksheets for teaching staff to use, and collect and send marksheets to awarding bodies before deadlines.
- On the few occasions where controlled assessment cannot be conducted in the classroom arrange suitable accommodation where controlled assessment can be carried out, at the direction of the senior leadership team.

### **Additional Learning Needs Co-ordinator**

- Ensure access arrangements have been applied for.
- Work with teaching staff to ensure requirements for support staff are met.





Risks and issues	Possible remedial action		Risk Assessment by
	Forward planning	<i>1.1 Action</i>	
<b>Timetabling</b>			
Assessment schedule clashes with other activities	Plan/establish priorities well ahead (e.g. start of academic year) for all subjects.	Plan dates in consultation with school calendar – negotiate with other parties	DHT/SL
Too many assessments close together across subjects.	Plan assessments so they are spaced over the duration of the course	Space assessments to at least allow candidates some time between assessments	DHT
<b>Accommodation</b>			
Insufficient space in classrooms for candidates	Once group sizes are known at the start of the year, flag instances where regular classroom space may not be suitable to conduct controlled assessment	Use more than one classroom or arrange room swaps	Subject Leader (SL)
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / IT facilities	Book rooms	Subject Leader, DHT

Risks and issues	Possible remedial action		Risk Assessment by
	Forward planning	<i>1.2 Action</i>	
<b>Downloading awarding body set tasks</b>			
IT system unavailable on day of assessment	Download tasks well ahead of scheduled assessment date in all cases	Book IT equipment well ahead and download tasks before scheduled date of assessment	Exams Office/SL
Teaching staff unable to access task details	Test secure access rights ahead of schedule every year and every session	Ensure teaching staff/have access rights for correct area of awarding body secure extranet sites ahead of time	Exams Office/SL
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Report loss to awarding body for replacement; download again	Exams Office/SL
<b>Absent candidates</b>			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates		Subject Leader (SL), Head of Year

Risks and issues	Possible remedial action		Risk Assessment by
	Forward planning	<b>1.3 Action</b>	
<b>Control levels for task taking</b>			
Assessment is undertaken under incorrect level of control (time, resources, supervision and collaboration)	Ensure teaching staff know what level is applicable and understand what is involved. Provide training if required	Seek guidance from the awarding body	Subject Leader (SL)
<b>Supervision</b>			
Student study diary/plan not provided or completed*	Ensure teaching staff/assessors are aware of the need for study diary/plans to be completed early in course	Ensure candidates start, continue and complete study diary/plans that are signed after every session	Subject Leader (SL), Class Teacher
Teaching staff do not understand supervision of controlled assessment is their responsibility	Ensure teaching staff understand nature of controlled assessments and their role in supervision		Subject Leader (SL),
Suitable supervisor has not been arranged for an assessment where teaching staff are <b>not</b> supervising	A suitable supervisor must be arranged for any controlled assessment where a teacher is not supervising, in line with the awarding body specification.		Subject Leader (SL), Cover Coordinator.

Risks and issues	Possible remedial action		Risk Assessment by
	Forward planning	<b>1.4 Action</b>	
<b>Task setting</b>			
Teaching staff fail to correctly set tasks	Ensure teaching staff understand the task setting arrangements as defined in the awarding body specification	Seek guidance from the awarding body	Subject Leader (SL)
Assessments have not been moderated as required in the awarding body specification	Check specification and plan required moderation appropriately	Seek guidance from the awarding body	Subject Leader (SL),
<b>Security of materials</b>			
Assessment tasks not kept secure before assessment	Ensure teaching staff understand importance of task security	Request/obtain different assessment tasks	Subject Leader (SL), Class Teacher.
Candidates' work not kept secure during or after assessment	Define appropriate level of security, in line with awarding body requirements, for each department as necessary	Take materials to secure storage	Subject Leader (SL), Class Teacher.
Insufficient or insecure storage space	Look at provision for suitable storage early in the course	Find alternative spaces	Subject Leader (SL)

Risks and issues	Possible remedial action		Risk Assessment by
	Forward planning	<b>1.5 Action</b>	
<b>Deadlines</b>			
Deadlines not met by candidates	Ensure all candidates are briefed on deadlines/penalties for not meeting them	Mark what candidates have produced by deadline and seek guidance from awarding body on further action.	Subject Leader (SL), Class Teacher.
Deadlines for marking and/or paperwork not met by teaching staff	Ensure teaching staff are given clear deadlines (prior to awarding body ones) to complete marking/paperwork so the exams office can process and send off marks ahead of AB deadlines	Seek guidance from awarding body	Subject Leader (SL)
<b>Authentication</b>			
Candidate fails to sign authentication form	Ensure all candidates have authentication forms to sign and attach to work when it is completed before handing in	Find candidate and ensure form is signed	Subject Leader (SL), Class Teacher.

Teaching staff fail to complete authentication forms or leave before completing authentication	Ensure teaching staff understand importance of authentication forms and the requirement of a signature	Return form to staff for signature. Ensure forms are signed as work is marked, not at end of season	Subject Leader (SL)
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Risks and issues	Possible remedial action		Risk Assessment by
	Forward planning	<i>1.6 Action</i>	
<b>Marking</b>			
Teaching staff interpret marking descriptions incorrectly	Ensure appropriate training and practicing of marking. Plan for sampling of marking during the practice phase.	Arrange for Reviewing. Consult awarding body specification for appropriate procedure	Subject Leader (SL)
Centre does not run standardisation activity as required by the awarding body	Plan against the requirements for standardisation for the awarding body when and how this activity will be conducted.	Check with the awarding body whether a later standardisation event can be arranged.	Subject Leader (SL), Leadership Link,
<b>Cyber-Attack</b>	<b>Forward Planning</b>	<b>1.7 Action</b>	Risk Assessment by

School IT systems are subject to a Cyber Attack through the year.	SRS contingency plan in place to mitigate against impact and loss of materials (See Cyber Incident Response Plan V2)	If students' controlled assessments or assignments are impacted exam board informed and suitable mitigations put in place.	SRS
School IT systems are subject to a Cyber Attack on exam days	SRS contingency plan in place to mitigate against impact and loss of materials (See Cyber Incident Response Plan V2)	If students' ability to complete exam or NEA is impacted, exam board is notified.	SRS
<b>Inappropriate use of Artificial Intelligence</b>	<b>Forward Planning</b>	<b>1.8 Action</b>	Risk Assessment by
Students and staff are unaware of the risks and consequences of submitting work produced by AI	Share JCQ guidance on the appropriate use of AI with students, staff and parents.	Publish guidance on school website and lead annual assemblies for Years 10-13. Discussed within ML Meeting.	DHT
Teacher suspects that student has submitted work produced by AI	Ensure that staff are aware of the risks of AI and how to spot malpractice.	Follow JCQ and school plagiarism and malpractice guidance and protocols when issues arise.	DHT/SL

## Non-examination assessments: the basic principles

### 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.

### How does JCQ monitor the management of non-examination assessments in centres?

The JCQ requires each centre to have a non-examination assessment policy in place:

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

A JCQ Centre Inspector will ask the examinations officer to confirm that such a policy is in place. The guidance provided in this document will help the head of centre to ensure that the centre's policy is fit for purpose. The policy will need to cover all types of non-examination assessment.

### Which GCE and GCSE specifications are affected?

These instructions apply to all GCE and GCSE specifications with one or more non-examination assessment components, as defined within the awarding body's specification and which contribute to the main qualification grade.

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

## Managing non-examination assessments: task setting

### Who is involved in task setting?

Where the awarding body is responsible for task setting, subject-specific tasks will be provided by the awarding body.

Where the centre is responsible for task setting, centres may:

- select from a number of comparable tasks provided by the awarding body;
- or
- design their own task(s), in conjunction with candidates where permitted, using criteria set out in the specification.

Where centres are responsible for task setting they must ensure that the assessment criteria, as detailed in the specification, can be met and tasks are accessible to candidates. Centres must refer to the awarding body's specification.



### **Is it permissible to give candidates a copy of the marking criteria?**

**Yes.** Candidates should be aware of the criteria used to assess their work. They can then understand what they need to do to gain credit. Specifications describe the marking criteria in detail. It is perfectly acceptable for teachers to produce a simplified candidate-friendly version, provided that it is not specific to the work of an individual candidate or group of candidates.

## **Managing non-examination assessments: issuing of tasks**

### **When are awarding body set tasks issued to centres?**

You must consult the relevant awarding body's specification to obtain the date for the issuing of tasks. Awarding bodies issue tasks well in advance to allow time for planning, resourcing and teaching in centres. Teachers must take care to distinguish between requirements/tasks for legacy Specifications and requirements/tasks for new specifications.

### **What action should be taken if the wrong task is given to candidates?**

The centre must make arrangements for candidates to undertake the correct task. Awarding bodies will do all they can to protect candidates' interests but in some cases it may not be possible to accept work based on the wrong task. Centres should therefore, take great care to ensure that they issue the correct task to candidates.

## **Managing non-examination assessments: task taking**

### **Supervision**

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

Invigilators and display of the JCQ No Mobile Phone poster and the JCQ Warning to Candidates are not required.

Candidates do not need to be directly supervised at all times. The use of resources, including the internet, is not tightly prescribed. Centres must always check the subject-specific requirements issued by the awarding body.

The centre must ensure that:

- there is sufficient supervision of every candidate to enable work to be authenticated;
- the work that an individual candidate submits for assessment is his/her own.

Work may be completed outside of the centre without direct supervision, provided that the centre is confident that the work produced is the candidate's own.

Candidates may normally:

- have unlimited access to electronic and printed resources;
- use the internet without restriction;
- work in groups.

Where candidates work in groups, the teacher should keep a record of each candidate's contribution.

Centres must ensure that candidates 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 - <http://www.jcq.org.uk/exams-office/information-for-candidates-documents>

In particular, centres must ensure that candidates:

- understand that information from published sources must be referenced;
- receive guidance on setting out references;
- are aware that they must not plagiarise other material.

### **Advice and feedback**

As appropriate to the subject and component, centres should advise candidates on aspects such as those listed below before work begins:

- sources of information;
- relevance of materials/concepts;
- structure of the response (for example, chapter titles and content);
- techniques of data collection;
- techniques of data presentation;
- skills of analysis and evaluation;
- health and safety considerations, including the use of equipment; • potential ethical considerations;
- security of their work.

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

### **What advice and feedback can I give to candidates during the task-taking stage?**

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

- review candidates' work and provide oral and written advice at a general level;
- having provided advice at a general level, allow candidates to revise and re-draft work.

General advice of this nature does not need to be recorded or taken into account when the work is marked.

If you give any assistance which goes beyond general advice, for example:

- provide detailed specific advice on how to improve drafts to meet the assessment criteria;
- give detailed feedback on errors and omissions which limits candidates' opportunities to show initiative themselves;
- intervene personally to improve the presentation or content of work;

then you **must** record this assistance and either take it into account when marking the work or submit it to the external examiner.

Annotation should be used to explain how marks were applied in the context of the additional assistance given.

**You must not** provisionally assess work and then allow the candidate to revise it.

In all subjects you **must not** provide any type of assistance which is explicitly prohibited in the specification. Assistance **must not** be given if there is no means to record it and to take account of it in the marking.

**Failure to follow this procedure constitutes malpractice.**

## Resources

### **What resources are allowed?**

In many subjects candidates will need to gather information from published sources when researching and planning their tasks.

Candidates normally have unrestricted access to resources. Centres must refer to the awarding body's specification and/or associated documentation.

**Unless the awarding body's specification says otherwise, for all formally supervised sessions:**

- the use of resources is always tightly prescribed and normally restricted to the candidate's preparatory notes;
- access to the internet is not permitted;
- candidates are not allowed to bring their own computers or other electronic devices, e.g. mobile phones.

### **Are candidates allowed to introduce new resources between formally supervised sessions?**

**No.** Candidates are not allowed to augment notes and resources between sessions. When work for assessment is produced over several sessions, the following material must be collected and **stored securely at the end of each session (and not accessible to candidates):**

- the work to be assessed;
- preparatory work.

Additional precautions need to be taken if the centre permits candidates to use computers to store work. This may involve collecting memory sticks for secure storage between sessions or restricting candidates' access to a specific area of the centre's IT network.

### **How should sources be acknowledged?**

The work submitted for assessment must include references where appropriate. To facilitate this, each candidate should keep a detailed record of his/her own research, planning, resources etc.

The record should include all the sources used, including books, websites and audio/visual resources.

Guidance is given in the JCQ document Information for candidates – non examination assessments – <http://www.icq.org.uk/exams-office/information-for-candidates-documents>

## **Word and time limits**

Word limits as detailed in specifications and subject-specific documentation are for guidance only. Centres should refer to awarding bodies' specifications as to whether time limits are mandatory. Where limits are for guidance only centres should discourage candidates from exceeding them.

## **Collaboration and group work**

### **When is group work permitted?**

Unless the specification says otherwise, candidates are free to collaborate when carrying out research and preparatory work.

Where the specification permits, some assignments may be undertaken as part of a group.

The specification may place a restriction on the maximum size of the group. It must be possible to attribute assessable outcomes to individual candidates.

Where an assignment requires written work to be produced, each candidate must write up his/her own account of the assignment. It is acceptable for all members of the group to record the same data, but each candidate must use his/her own words to describe how the data was obtained and draw his/her own conclusions. Where an artefact or a performance is required, candidates may collaborate, but their responses must be their own and their individual contributions must be clearly identified. The contribution of each individual candidate must be clear from both the work itself and, if applicable, the record forms.

### **Should all members of a group get the same mark?**

**No.** Group work is permitted but group assessment is not. Members of the group will have made different contributions and the work of each candidate must be individually assessed.

### **How is credit apportioned to individual candidates?**

The centre is responsible for monitoring group work and ensuring that each candidate's contribution can be separately assessed.

## **Authentication Process**

### **How is candidates' work authenticated?**

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

### **Where required by the awarding body's specification, the following procedures apply.**

Candidates **must** sign a declaration to confirm that the work they submit for final assessment is their own unaided work.

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

- the work is solely that of the candidate concerned;
- the work was completed under the required conditions;
- signed candidate declarations are kept on file.

***Signed candidate declarations must be kept on file until the deadline for an enquiry about results has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later. They may be subject to inspection by a JCQ Centre Inspector.***

***What if the teacher has doubts about the authenticity of the work?***

If you are unable to confirm that the work presented by a candidate is his/her own and has been completed under the required conditions:

- do not accept the candidate's work for assessment;
- record a mark of zero for internally assessed work.

If you are concerned that malpractice may have occurred, or if you are unable to authenticate the work for any other reason, you must inform a member of the senior leadership team

## Presentation of work

- 1 Allow candidates to word process written work. The regulations detailed in Section 8 of the JCQ document Instructions for conducting examinations do not apply to nonexamination assessments.
- 2 Instruct candidates to insert the following details on each page as a header or footer:
  - 5 digit centre number;
  - candidate number;
  - component code.
- 3 Allow candidates to use the spell/grammar check when they are word processing.
- 4 Encourage candidates submitting handwritten work to use black ink and write legibly.
- 5 Submit word-processed or handwritten work on A4 paper unless the specification states otherwise.
- 6 Include copies of presentations, charts, artefacts, photographs, letters, videos, audio recordings, transcripts of interviews and witness statements from supervising teachers where appropriate.
- 7 Consider insuring valuable or fragile materials against loss or damage. Awarding bodies are not liable for the loss of work or damage that occurs during moderation or in transit. 8 Do not include items of real or sentimental value such as photographs or certificates.
- 9 **Obtain informed consent at the beginning of the course from parents/carers if videos or photographs/images of candidates will be included as evidence of participation or contribution.**
- 10 Remove bulky covers and folders before work is sent for moderation or external marking.
- 11 Ensure that each candidate's work is securely fastened and that the awarding body's cover sheet is fully completed and attached to the work.

## Keeping material secure

### **When is secure storage of candidates' work required?**

Where candidates are producing work over a period of time under formal supervision their work **must** be stored securely.

Once any work is handed in by the candidate for formal assessment it must be stored securely.

### **What constitutes secure storage?**

Where work is stored in hard copy format, secure storage is defined as a securely locked cabinet or cupboard.

Where candidates are producing artefacts (e.g. Art and Design) secure storage may be defined as a classroom, studio or workshop which is locked or supervised from the end of one session to the start of the next.

### **What constitutes secure storage of digital content?**

It is the centre's responsibility to keep the work that candidates have submitted securely.

Where work is stored electronically centres are required to restrict access to this material and to utilise appropriate security safeguards such as firewall protection and virus scanning software. An effective back-up strategy **must** be employed so that an up to date archive of candidates' evidence is maintained.

### **Are teachers allowed to take work home to mark?**

**Yes**, provided that they take sensible precautions regarding its security.

### **When can marked work be removed from secure storage?**

Internally assessed work that is not required for moderation purposes and work returned to centres after moderation must be stored securely until all possible post-results services have been exhausted. If post-results services have not been requested, internally assessed work may be returned to candidates after the deadline for enquiries about results for the relevant series. If postresults services have been requested, internally assessed work may be returned once the enquiry about results and any subsequent appeal has been completed.

***Centres must remind candidates to keep their own work secure at all times and not share completed or partially completed work on-line, on social media or through any other means. The JCQ document Information for candidates – Guidelines when referring to examinations/assessments through the Internet should be brought to the attention of candidates - <http://www.jcq.org.uk/exams-office/information-for-candidates-documents/information-forcandidates---social-media>***

## Non-examination assessments; task marking – externally assessed components

### Conduct of externally assessed work

The format of external assessment will vary according to the specification and the component.

Some components, for example, may have a Visiting Examiner. Other components will require candidates' work to be despatched to an examiner. Details of the subject-specific arrangements will be found in the awarding body's specification.

Externally assessed components will be conducted within a window as specified by the awarding body.

### Submission of work

Centres **must** pay close attention to the completion of the attendance register, clearly indicating those candidates who are either present or absent. Failure to do so will impact upon an awarding body's ability to deliver an accurate set of results. The attendance register is a key part of the process of identifying candidates present for the assessment.

A copy of the attendance register **must** be kept until the deadline for enquiries about results has passed.

Where candidates' work needs to be despatched to an examiner it **must** be sent by the date specified by the awarding body.

## Non-examination assessments; task marking – internally assessed components

### Marking and annotation

Teachers are responsible for marking work in accordance with the marking criteria detailed in the relevant specification and associated subject-specific documents.

Teacher annotation should be used to provide evidence to indicate **how** and **why** marks have been awarded. This will facilitate the standardisation of marking within the centre and enable the moderator to check that marking is in line with the assessment criteria. **Annotate the work**

- Follow guidance in the relevant specification and associated subject-specific documents.
- Provide evidence to support your marks. Identify the assessment criteria that have been met.
- Be clear and unambiguous.
- Use key phrases from the criteria. For example, awareness of values, uses a variety of techniques, selects appropriate data.
- Insert annotations at the appropriate point in the work - in the margin or in the text – or write comments on the cover sheet to show clearly how credit has been awarded.

## **Award marks**

- If some work was done in groups, award marks that reflect the contribution of each individual candidate.
- If the candidate has received feedback and guidance over and above that allowed by the specification, take this into account. Apply the principle of best fit and use annotation to explain how marks have been applied in the context of the additional assistance given and document the details.

## **Complete documentation**

- Record the feedback and guidance that you have given.
- Enter marks in the way specified by the relevant awarding body.

## **What is the correct procedure if a candidate submits little or no work?**

### **Candidate submits no work whatsoever**

When marks are submitted to the awarding body the candidate must be recorded as absent (and not awarded a mark of zero).

### **Candidate submits very little work**

If some work has been produced, it must be assessed against the assessment criteria. The appropriate mark must be awarded. If none of the work submitted is worthy of credit, a mark of zero must be given.

## **Is the centre required to tell candidates what marks they have been awarded?**

**Yes.** The centre must inform candidates of their centre assessed marks as a candidate is allowed to request a review of the centre's marking **before marks are submitted to the awarding body.**

## **What is the correct procedure for a candidate requesting a review of the centre's mark?**

**Any review must be undertaken before marks are submitted to the awarding body.** Sufficient time must be given to candidates in order to allow them to review copies of material, as necessary, and reach a decision. The centre must also allow sufficient time for the review to be carried out, to make any necessary changes to marks and to inform the candidate of the outcome, all before the awarding body's deadline. The review must be carried out by an assessor who has appropriate competence, has had no previous involvement in the assessment of that candidate and has no personal interest in the review. The reviewer must ensure that the candidate's mark is consistent with the standard set by the centre.

Centres must also make it clear to candidates that any centre assessed marks are subject to change through the moderation process.

## **What is the correct procedure where a teacher teaches his/her own child?**

The centre must declare the conflict of interest and submit the marked work for moderation, whether or not it is part of the moderation sample. **Internal Standardisation**



Teachers must indicate on candidates' work, or on the cover sheet, the date when the work was marked.

It is important that all teachers involved in the assessment of a component mark to common standards. Centres must ensure that the internal standardisation of marks across assessors and teaching groups takes place.

**The following sequence is an example of good practice.**

**Obtain reference materials at an early stage in the course**

- In the first year of a new specification, participate in awarding body training.
- In subsequent years, obtain exemplar material provided by the awarding body and use your centre's own archive material.

**Hold a preliminary trial marking session prior to marking**

- Include all the teachers involved in assessment.
- Compare standards through cross-marking a small sample of work.
- Agree a common understanding of the assessment criteria.

**Carry out further trial marking at appropriate points during the marking period**

- Repeat the trial marking/cross-marking exercise.
- Ensure that any discrepancies in marking are resolved. **After most marking has been completed**
- Hold a further meeting to make final adjustments or assign responsibility for comparing marks to the teacher responsible for internal standardisation.

**Make final adjustments to marks prior to submission**

- If there are inconsistencies ensure that the teacher(s) concerned make(s) adjustments to their marks.
- The teacher responsible for internal standardisation checks the new marks.

**Retain work and evidence of standardisation**

- Retain evidence that internal standardisation has been carried out.
- Keep candidates' work in secure storage until after the closing date for enquiries about results for the series concerned or until any appeal, malpractice or other results enquiry has been completed, whichever is later. (See section 4.8, page 13).

## Submission of marks and work for moderation

1. Set internal deadlines that will allow your centre to accommodate any candidate requests for reviews of marking and to meet the deadline for the submission of marks and candidates' work, as published by the awarding body. This will enable the awarding body to meet the deadlines for completion of moderation and release of results. Awarding bodies may refuse to accept work submitted after the deadline.

2. Follow the awarding body's instructions regarding the submission of marks. This is normally done electronically. It is the responsibility of centres to carefully check the marks they are submitting to an awarding body in order to minimise errors. Marks for all candidates, not just the sample submitted, must be checked by the centre for both addition and transcription errors before submission.
3. Submit supporting documentation required by the awarding body:
  - authentication of candidates' work;
  - confirmation that internal standardisation has been undertaken;
  - any subject-specific information.

### **Is it possible to obtain an extension to the deadline for submission of marks?**

Where a centre has been affected by circumstances beyond its control, it may, in exceptional cases, be possible to grant a short extension. This is at the discretion of the awarding body.

The centre must contact the awarding body as soon as possible to request an extension.

The timely release of examination results will be put at risk if the deadlines for submission of marks and samples are not adhered to.

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

### **Moderation sample**

- Keep a record of names and candidate numbers for candidates whose work was included in the sample. This information may be needed if a review of moderation is made.
- Moderators normally return work direct to centres but work submitted electronically is not returned. **Marked work**
- Retain marked work under secure conditions until after the deadline for enquiries about results or until any appeal, malpractice or other results enquiry has been completed, whichever is later. This applies to all work – whether or not it was part of the moderation sample.
- Where work is being stored electronically, take steps to protect it from corruption and have a back-up procedure in place.
- If retention is a problem because of the nature of the work, retain some form of evidence such as photos, audio or video recordings. **Extracts and exemplar work**
- Awarding bodies will retain the work of some candidates for archive and standardisation purposes.
- For information on copyright please see paragraphs 6.12 to 6.19 of the JCQ publication General Regulations for Approved Centres  
<http://www.jcq.org.uk/examsoffice/general-regulations>

## External moderation – the process

The purpose of moderation is to ensure that the standard of marking is consistent across all centres. **Sample selection**

- The awarding body (or moderator acting on its behalf) specifies the sample which will include work from across the range of attainment at the centre.

It is the responsibility of centres to ensure that moderators receive the correct samples of work to review. **Sample submission**

- For most components, the centre submits a sample of work either to the moderator or directly to the awarding body, according to instructions.
- For some components the moderator visits the centre to mark the sample of work. **Sample assessment**
- The moderator assesses work in the sample using the published marking criteria.

### **Mark comparison and adjustment**

- Moderator marks are compared with the centre marks for the sample of work.
- The moderator may request some or all of the remaining work if he/she needs further evidence of the centre's marking.
- If the differences between the moderator's marks and the centre's marks exceed the allowed tolerance, but the moderator broadly agrees with the centre's rank order, adjustments may be applied to the centre's marks.
- If the moderator significantly disagrees with the centre's rank order (perhaps because internal standardisation has not been carried out effectively) the awarding body may ask the centre to re-consider its marks. Alternatively, the moderator's marks may be applied to all candidates in the centre and, in some circumstances, a charge may be made.

### **Feedback to centres**

- The final moderated marks are issued to centres electronically when results are published.
- Feedback forms are also issued to centres.

## External moderation – feedback

### **What sort of feedback can we expect?**

Feedback is intended to enable the centre to take remedial action, if necessary, before the next examination series. The feedback given is intended to be constructive, objective, supported by fact or judgement, and sufficiently detailed to explain any differences between the centre's assessments and the agreed standard for the component.

Feedback will cover the following aspects:

#### **Centre set tasks**

- Were they appropriate?
- Was there adequate coverage of the assessment objective(s)? **Centre assessments**
- Were they accurate against the criteria and in relation to the agreed standard for the component?

#### **Centre administration**

- Was this satisfactory?

### **Access arrangements**

The JCQ document Access Arrangements and Reasonable Adjustments, 1 September 2017 to 31 August 2018 provides detailed information -

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

Awarding bodies have developed their specifications to be compliant with equality legislation.

Access arrangements will be granted provided that these do not undermine the integrity of the qualification.

In principle, if a candidate has an access arrangement as part of his/her normal way of working within the centre, a similar arrangement will normally be permitted for written examinations and non-examination assessments. **Centres must apply for access arrangements in advance of timetabled written examinations and non-examination assessments.**

Information on the application of access arrangements in the Practical Skills Endorsement of a GCE A-level Biology, Chemistry, Geology and/or Physics specification may be found at: <http://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulationsand-guidance/reasonable-adjustments-for-gce-a-level-sciences-%E2%80%93-endorsement-ofpractical-skills>

#### **How can centres prepare themselves to cater for candidates with access arrangements?**

The ALNCo must ensure that all relevant staff are aware of any access arrangements which need to be applied for non-examination assessments.

#### **Special consideration**

The JCQ document A guide to the special consideration process provides detailed information – <http://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration> **Absence**

If candidates are absent will they be eligible for special consideration?

#### **Short-term occasional absence**

- The candidate was unexpectedly absent for one or more formally supervised sessions.
- Not eligible for special consideration. The candidate should be given an opportunity to make up the missed time. **Absence on the day of an external examiner visit**
- The candidate was absent for an acceptable reason on the day of an external examiner visiting.
- May be eligible for special consideration. Advice must be sought from the awarding body at the time of the candidate's absence as to possible alternative assessment arrangements. **Joined the course at a late stage**
- The candidate was absent for some formally supervised sessions because he/she joined the course at a late stage.

Not eligible for special consideration. The candidate should be given an opportunity to make up the missed time, if feasible.

#### **Longer-term absence when work is being submitted in a series prior to certification**

(Not applicable to linear specifications)

- The candidate was absent for an acceptable reason when his/her peers undertook the assessment.
- There will be another assessment opportunity prior to the series in which the candidate certifies.

Not eligible for special consideration. The candidate should submit the assessment in a subsequent examination series.

#### **Longer-term absence when work is to be submitted in the certification series**

- The candidate was absent for acceptable reasons when his/her peers undertook the assessment and was unable to complete the work at a later date.
- As this is the candidate's certification series there will be no further assessment opportunity to complete the work.

May be eligible for special consideration provided the published criteria are met.

#### **What are the criteria for a candidate who has been absent to be eligible for special consideration?**

- The candidate has covered the whole course and has been fully prepared for the relevant assessment.
- The candidate was unable to complete the relevant assessment during the certification series at the same time as his/her peers for an acceptable reason, i.e. a temporary injury, illness or other indisposition (where the assessment was scheduled for a restricted period of time.)
- The centre has taken all reasonable steps to try to accommodate the candidate in completing the assessment, including the consideration of a short extension.
- The centre can clearly set out why the assessment could not be completed in the certification series by means of an agreed extension.

- The candidate meets the published criteria for enhanced grading.
- The centre supports the application for special consideration.

**Are there any circumstances in which the awarding body will accept a reduced quantity of work?**

Yes, provided that **all** the following criteria are met.

- The specification requires completion of more than one piece of work.
- All pieces of work are assessed against the same criteria.
- The candidate has completed at least one piece of work and each required assessment objective has been covered at least once.

**Loss of work**

What are the criteria for a candidate, whose work has been lost, to be eligible for special consideration?

**Candidate responsible for loss**

- The loss is a consequence of negligence on the part of the candidate.

Not eligible for special consideration.

**Centre responsible for loss**

- The loss is not a consequence of negligence on the part of the candidate.
- The centre is able to verify that the work was completed or partially completed and had been monitored whilst it was in progress.

Eligible for special consideration.

**What is the procedure for requesting special consideration for a candidate whose work has been lost?**

**Obtain guidance**

Refer to the JCQ document A guide to the special consideration process – <http://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration> **Report the loss**

Submit Form 15 – JCQ/LCW to the relevant awarding body – <http://www.jcq.org.uk/examsoffice/forms>

AQA and OCR centres must not submit Form 15 – JCQ/LCW.

Applications must be submitted on-line using e-AQA or OCR Interchange as appropriate.

**If the work had been marked before it was lost or damaged** Submit the mark in the usual way.

Submit Form 15 – JCQ/LCW to the moderator and the awarding body by the deadline for submission of marks. AQA and OCR centres must not submit Form 15 – JCQ/LCW. Applications must be submitted on-line using e-AQA or OCR Interchange as appropriate.

**If the work had not been marked before it was lost or damaged**

Submit an estimated mark on Form 15 – JCQ/LCW. Base the estimate on the teacher’s assessment of the work actually seen. Do not attempt to estimate marks for work not seen.

AQA and OCR centres must not submit Form 15 – JCQ/LCW. Applications must be submitted on-line using e-AQA or OCR Interchange as appropriate.

### **If only part of the work is lost**

Seek further guidance from the awarding body.

## **Malpractice**

Teachers **must** familiarise themselves with the JCQ document Notice to Centres - Teachers sharing assessment material and candidates' work - <http://www.jcq.org.uk/exams-office/non-examinationassessments>

This may help to mitigate against candidate and centre malpractice.

For detailed guidance on dealing with suspected malpractice you should refer to the JCQ document Suspected Malpractice in Examinations and Assessments: Policies and Procedures - <http://www.jcq.org.uk/exams-office/malpractice> Candidates **must not**:

- submit work which is not their own;
- make available their work to other candidates through any medium;
- allow other candidates to have access to their own independently sourced material;
- assist other candidates to produce work;
- use books, the internet or other sources without acknowledgement or attribution;
- submit work that has been word processed by a third party without acknowledgement;
- include inappropriate, offensive or obscene material.

Candidates are not prohibited from lending books or other resources to one another provided these are not used as part of their own independently sourced material.

Candidates **must not** post their work on social media. They should be made aware of the JCQ document Information for candidates – Guidelines when referring to examinations/assessments through the Internet - <http://www.jcq.org.uk/exams-office/information-for-candidatesdocuments/information-for-candidates---social-media>

Heads of centre and senior leaders must ensure that those members of teaching staff involved in the direct supervision of candidates producing non-examination assessment are aware of the potential for malpractice.

**Teaching staff must be reminded that failure to report allegations of malpractice or suspected malpractice constitutes malpractice in itself. Teaching staff must:**

- be vigilant in relation to candidate malpractice and be fully aware of the published regulations;
- escalate and report any alleged, suspected or actual incidents of malpractice to the senior leadership team or directly to the awarding body.

### **What should a centre do if it suspects malpractice?**

**Irregularities identified by the centre prior to the candidate signing the authentication statement (where required)**

- The centre should deal with the irregularity under its own internal procedures.

- There is no requirement to report the irregularity to the awarding body. (The only exception to this is where the awarding body's confidential assessment material has been breached. The breach must be reported to the awarding body.)
- Details of any work which is not the candidate's own must be recorded on the record form.

#### **Irregularities identified by the centre subsequent to the candidate signing the authentication statement (where required)**

- The head of centre must notify the relevant awarding body at the earliest opportunity using Form JCQ/M1.
- If malpractice is found the awarding body will apply a penalty.

#### **Irregularities identified by an examiner or moderator subsequent to the candidate signing the authentication statement (where required)**

- The awarding body will ask the head of centre to conduct a full investigation and report his/her findings.

#### **What penalty is applied when candidate malpractice has occurred?**

If a breach of the regulations on the part of the candidate is discovered after a candidate has signed the authentication statement, the awarding body will apply one of the following penalties:

- the piece of work will be awarded zero marks;
- the candidate will be disqualified from that component for that examination series;
- the candidate will be disqualified from the whole subject for that examination series;
- the candidate will be disqualified from all subjects and barred from re-entering for a period of time.

## Enquiries about results services

For detailed information on enquiries about results services you should refer to the JCQ document Post Results Services, Information and guidance for centres <http://www.jcq.org.uk/examsoffice/post-results-services>

The following post-results services may be requested. Externally-assessed components

- Review of marking (Service 2)
- Priority Review of marking (Priority Service 2) Internally-assessed components
- Review of moderation (Service 3)
- This service is not available if no adjustment was made to the centre's marks as a result of the original moderation.

***A review of moderation is not available for an individual candidate.***

#### **What is the procedure for obtaining a review of moderation?**



### **Initiate a review of moderation**

- Submit a request for Service 3 – Review of moderation.
- The awarding body will provide details of where to send the sample where applicable.

### **Despatch moderation sample**

- The original moderation sample must be sent for review.
- Where requested, the sample must be despatched within three working days of receiving confirmation from the awarding body that the request has been accepted.

### **Receive outcome of review**

- You will be notified of the outcome.
- Feedback will normally be provided.

### **Why is the original moderation sample required?**

This is a review of the original moderation to ensure that the assessment criteria have been fairly, reliably and consistently applied. **It is not a re-moderation of candidates' work.**

The awarding body will have trained its reviewers to conduct reviews of moderation accurately and consistently. The sample of work submitted for review must have been stored securely. If there is evidence that work has been returned to candidates the enquiry will be cancelled.

### **What will happen if the centre fails to despatch the sample within three working days?**

The outcome of the enquiry may be delayed or the enquiry may be cancelled.

### **Other issues**

#### **What happens if, after submission, it is discovered that the wrong task was given to candidates?**

The centre must submit an application for special consideration. Awarding bodies do all they can to protect candidates' interests but in some cases it may not be possible to accept work based on the wrong task. Centres must therefore, take great care to ensure that they give candidates the correct task for the year of submission. See section 3, page 6 for further information.

#### **Can excluded pupils, distance learners (see Appendix 3, page 42), private candidates and those who do not attend a centre for whatever reason do non-examination assessments?**

You should refer to the relevant specification and/or subject-specific guidance in the first instance. Where the specification is available to those outside of mainstream education, the centre which makes the entry/entries must arrange for supervision, authentication and marking as required.

#### **Can a non-examination assessment mark be carried forward when a candidate re-takes a qualification?**

Yes. When a candidate re-takes a qualification which includes non-examination assessment he/she may carry forward (re-use) the mark for the non-examination assessment component. (This will be the final post-moderation mark in the case of internal assessment.)

However, where a qualification consists entirely of non-examination assessment, the candidate must re-take at least one component.

Within the lifetime of the specification there is no restriction on the time between the original attempt and the re-take, or on the number of occasions on which a mark may be carried forward.

If a candidate has two or more previous non-examination assessment marks, the most recent nonabsent mark will be used, even if this is a lower mark.

For candidates entered for unitised WJEC specifications the centre should contact the relevant awarding body for advice.

**What happens if a candidate moves to a different centre during the course?**

It may be possible to help candidates who move centres during the course. Possible solutions depend on the stage at which the move takes place. The relevant awarding body should be contacted at the earliest opportunity for advice about individual cases.



# **External Examinations, Controlled Assessments & Non-examination Assessments (including Appeals)**

**Centre No: 68348**

## **Introduction**

This School Policy is designed to promote quality, consistency, accuracy and fairness in assessment and awarding. In all cases, the final awarding decisions are taken by the Awarding Bodies: AQA; OCR; Edexcel and WJEC.

This document covers the School's policy in dealing with the Awarding Bodies, the Joint Council for Qualifications (JCQ), internal departments, officers of the School and any other parties involved in awarding matters.

## **Examinations and Procedures Relating to Examinations**

Examinations policy is decided by the Senior Leadership Team (SLT) with reference to the guidance and regulations supplied by the JCQ and the Awarding Bodies. The Examinations Officer is responsible to the Head of Centre for the day to day administration of the examinations system.

All candidates should note that the Awarding Bodies are often unable to process appeals and queries relating to the examinations process, timetabling, internal assessment or complaints from students or parents. All queries of this type must be raised in the first instance with the

School Examinations Officer. Should a complaint relating to the administration of some part of the exams process be made against the Examinations Officer, this must first be notified to Mr C Hampshire, Deputy Headteacher.

At the time of the examinations, candidates must be aware of the JCQ 'Warning to Candidates', a copy of which is posted outside each examination room.

**During examinations, candidates must:**

1. Follow any instructions given to them by the Examinations Officer, member of the Examinations Office staff or any invigilator present.
2. be aware that the possession of a mobile phone, iPod, MP3/4 player or any other electronic communication/storage device in an examination room, whether switched on or not, is an offence under JCQ regulations. School policy is that any such device brought into the examination room must be switched off and handed to an invigilator; it will be kept in a secure area until the end of the examination. From 1<sup>st</sup> September 2021 JCQ require students to remove all wrist watches and leave outside of the exam room. Failure to observe these regulations may result in the loss of all results for the examination.
3. be aware that it is their responsibility to arrive at their examination with all equipment necessary for the completion of their examination. **This equipment includes black pens, pencils, rulers and calculators.**

Students are allowed to bring bottled water (no other type of drink) into the examination room but regulations state that if they do the bottle must be see through and ALL labels must be removed.

Candidates must also be aware of the regulations regarding the submission of controlled assessments and non-examination assessments, particularly those relating to the proper acknowledgement of sources. Failure to do so can result in the Awarding Bodies or the JCQ setting penalties which can include official reprimands, loss of examination marks or in extreme cases the loss of all examination results and banning from future examinations.

The School undertakes to run the examinations system in accordance with the published JCQ guidance, given in the Instructions for the Conduct of Examinations (ICE) document, and others.

**Review Procedure**

A request for a Review can be raised by a student, teacher or parent. **Any such request must be made prior to deadlines set by JCQ; that is 20<sup>th</sup> September for May/June examinations and 4 weeks from the publication of results for all other examinations.** Students and parents must be made aware that results could go down and students must sign the appropriate consent form before any Review request is processed.

A Review request will be supported by the School if a result is considered unexpected. In all other cases the student/parent is free to continue with the Review request but will be charged the appropriate fee as set by the particular examination board.

### **Examination Re-sits and Charging Policy**

All re-sit examination entries will be made as a result of discussions taking place between the student, subject teacher and Subject Leader. The cost of any re-sit required by a student of compulsory school age will be met by the School. The School will also pay the entry fee for all first attempts at examinations/modules in KS5. The cost of any subsequent AS or A level resit must be met in full by the student/parent/guardian. Students in the Sixth Form requesting retakes in Maths or English GCSE's but not following curriculum lessons in those subjects will also be charged in the same way. Taking a large number of retake examinations can detract from students making progress on new modules. For ease of payment fees will be set up on ParentPay and payment required prior to the entries being sent to the Board(s). Absence from an examination caused by a student withdrawing themselves may incur a charge.

### **Withdrawal Procedure**

A candidate may be withdrawn from an examination if he/she has failed to complete the course requirements. Such a decision will only be made after discussions involving the student, Subject Leader, SLT link and parent. Once a decision to withdraw has been made, a formal notification (available from the Examinations Office), will be sent to the student/parent by the Subject Leader. A copy of this letter should be given to the Examinations Officer.

### **Access Arrangements/Special Consideration**

The School is mindful of the fact that some students have additional educational needs that impact on examinations.

Heads of Year and the Additional Needs Co-ordinator will co-ordinate the collection of all information relating to additional educational needs following the regulations and guidance set down by JCQ. Details of students entitled to special arrangements for examinations will then be forwarded to the Examinations Officer for processing prior to the deadlines set by JCQ. Any special arrangements will also apply to controlled assessments. Any relevant supporting information from parents should be addressed for the Examinations Officer's attention.

### **Controlled Assessments and Non-examination Assessments**

Most subjects have a controlled assessment or non-examination assessment component whose marks contribute to the final grade. It is most important that students keep to the deadlines for the submission of these assessments. The controlled/non-examination assessment deadlines are sent home in the form of a calendar at the beginning of September. This calendar is also available to view on the school website.

Many students are extremely conscientious and our experience has shown that this can create problems. Students should act on the advice of their teachers in regard to:

- The amount of time to be spent on any controlled/non-examination assessment (there may be rigid guidance)
- The need for planning
- The identification of areas for improvement.

Our approach to controlled/non-examination assessment planning and deadlines is a reflection of the importance of this element of the course and our intention to support students in every way in order to reduce stress and pressure. This is why we have a procedure to ensure that all our students are treated fairly regarding the meeting of controlled assessment deadlines. Please read this very carefully.

### **What are Controlled Assessments and Non-examination Assessments?**

Controlled/non-examination assessments are a form of internal assessment where the control levels are set for each stage of the assessment process: task setting; task taking and task marking. Controlled/non-examination assessments measure subject specific skills that may not necessarily be judged by external assessment.

Depending on the level of control defined within the specification, controlled/nonexamination assessments may take place for example:

- In a normal timetabled lesson or other defined session under supervised conditions;
- Entirely within the centre under supervision with controlled access to resources; or
- Outside the centre and involve research with limited supervision.

Controlled/non-examination assessments may take place at any time during the course (see schedule attached).

### **Level of Supervision**

Supervision can be:

- Formal (high level of control);
- Informal (medium level of control); or
- Limited (low level of control)

as detailed in the specification.

Under **formal supervision** students **must** be under direct supervision at all times. The use of resources by students and his/her interaction with others will be directed by the awarding body; **in particular access to e-mail, the internet and mobile phones must not be permitted.** Students may be required, as an example, to produce an extended piece of work or submit their responses to a series of structured questions under controlled conditions.

**Students must not use a mobile phone or any other electronic communication device during a session which is subject to formal supervision.**

Under **informal supervision**, the use of resources is not tightly prescribed and group work is normally permitted provided that any assessable outcomes can be attributed to individual

students. Students **do not** need to be under direct supervision at all times. However, the school **must** ensure that:

- all students participate in the assessment;
- plagiarism does not take place;
- sources used by a student are clearly recorded;
- each student's preparation for the final production of the work is his/her own.

Under **limited supervision** the requirements are clearly specified by the awarding body and work may be completed without direct supervision. Research or data collection may take place outside of the classroom, for example at home.

### **Controlled Assessment and Non-examination Assessment Guidance**

Controlled/non-examination assessment deadlines for submission will be set by departments. After this deadline a teacher or a department cannot accept a controlled assessment unless there are extenuating circumstances. Assessments will then be marked, standardised and moderated prior to submission to the examination board.

Successes in controlled/non-examination assessments require students to be both organised and committed. Teachers and departments will set individual deadlines, on a week by week basis, with their students to complete components of the assessments. By following the schedule laid down by their teacher students will receive regular feedback and have the opportunity to review and improve as they proceed. **It is therefore vital that if last minute panic and underachievement is to be avoided that internal deadlines are met.**

### **Controlled Assessment and Non-examination Assessment Procedures at Monmouth Comprehensive School**

1. Controlled/non-examination assessment is a form of internal assessment where the control levels are set for each stage of the assessment process.
2. The statutory regulations require all candidates to confirm that work they submit for assessment is their own. Each candidate is required to sign a declaration before submitting their work for final assessment.  
This is to confirm that the work is their own and that any assistance given and/or sources used have been acknowledged.
3. Students must read and understand fully the **Notice to Candidates** from the Joint Council for Qualifications about Controlled/Non-examination Assessment regulations. There are copies included in this booklet and copies will be available on the school website.
4. All students are given the appropriate level of support and guidance and equal opportunity to complete the work.
5. Controlled/non-examination Assessments must be handed in by the agreed published departmental deadline which is earlier than the final



deadline for the Awarding Body. This is to enable work to be marked and standardized.

6. You will be given clear instructions by the department as to the time and place for handing in the work.
7. The work must be handed in by you and not given to another student in the School to hand in.
8. If you are absent for a controlled/non-examination assessment, additional time, if required, will be arranged by the department.
9. If controlled/non-examination assessments have not been completed by the deadline, the incomplete work must be handed in by the deadline to receive a mark. There may be no further opportunity to complete this work for an improved mark.

### **Controlled Assessment and Non-examination Assessment Appeals Procedure**

1. The Joint Council for Qualifications Code of Practice requires schools to have a published appeals procedure relating to internal assessment decisions.
2. The grounds for appeal relate only to the procedure used in arriving at internal assessment decisions and do not apply to the judgements themselves.
3. Appeals must be made in writing to the **Examinations Officer, Monmouth Comprehensive School by 31 May** of the year that the work was assessed.
4. The appeals procedure is available for inspection.

### **What the Subject Leader must provide for the Appeal Panel**

1. Departmental minutes from the first meeting of the school year to indicate that the School procedure for controlled/non-examination assessment was discussed and given out to new and existing members of the department. Absentees were given their copy.
2. The mark scheme or marking criteria for the controlled/nonexamination assessment provided by the Awarding Body
3. The departmental mark scheme or marking criteria given to the teachers for marking the controlled/non-examination assessment if this differs from that of the Awarding Body.
4. Dates when the controlled/non-examination assessment was set and to be handed in for that student.

5. Evidence that all teaching groups have been given the appropriate level of support and guidance and equal opportunity to complete the work.
6. The departmental policy for candidates who were absent when the controlled/non-examination assessment was set or were absent for part of the period during which the work was being carried out.
7. Dates when the controlled/non-examination assessment was marked by the teachers.
8. The name of the teacher in charge of the internal standardization.
9. Dates when the teacher attended the last Awarding Body standardization meeting.
10. Evidence that the information from this meeting was disseminated to the department.
11. Date(s) for departmental standardization meeting and teacher in attendance.
12. If the teacher assessing the piece of controlled/non-examination assessment was absent, what was done to ensure that the information was given to the teacher?
13. Copy of controlled/non-examination assessment marks sent to the Awarding Body.





