



## **Examination Policy**

ALP Leicester  
Stonehill Avenue  
Birstall  
LE4 4JG

## **Introduction**

ALP Leicester believes that all students should have the opportunity to reach their full potential and to achieve a range of accreditations and awards. The purpose of this exams policy is:

- to ensure the planning and management of exams is conducted efficiently and in the best interests of candidates
- to ensure the operation of an efficient exams system with clear guidelines for all relevant staff
- ensure that ALP Leicester meets statutory guidance in conducting examinations

It is the responsibility of everyone involved in the exam processes to read, understand and implement this policy. The examination policy will be reviewed every year by the designated Head of Exams.

## **Disability Equality Act 2010**

This document is provided as an exams-specific supplement to the centre-wide accessibility policy/plan which details how the centre recognises its duties towards disabled candidates as defined under the terms of the Equality Act, 2010. The School makes a commitment to explore and provide access to suitable courses, submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates.

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

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

## The Equality Act 2010 - Definition of Disability

A definition is provided on page 4 of the current JCQ publication: Adjustments for Candidates with Disabilities and Learning Difficulties. The Equality Act 2010 definition of disability is usually considered cumulatively in terms of:

- identifying a physical or mental impairment;
- looking into adverse effects and assessing which are substantial;
- considering if substantial adverse effects are long term;
- judging the impact of long term adverse effects on normal day to day activities

The School will use these descriptions alongside the pupils Educational Health Care Plan to identify a students' persistent and significant difficulty in reading and understanding written material where this is in the person's native language, for example because of a mental impairment, a learning difficulty or a sensory or multisensory impairment including:

- persistent distractibility or difficulty concentrating;
- difficulty understanding or following simple verbal instructions;
- physical impairment – for example, difficulty operating a computer because of physical restrictions in using a keyboard.

This may influence factors such as:

- minor problems with writing or spelling;
- inability to read very small or indistinct print without the aid of a magnifying glass;
- inability to converse orally in a language which is not the speaker's native spoken language.

ALP Leicester will therefore make an assessment of students' needs in accordance with the JCQ guidance to ensure appropriate access arrangements are in place.

Where references are made to JCQ regulations/guidelines, further details can be found at [www.jcq.org.uk](http://www.jcq.org.uk). In particular the policy makes reference to:

- JCQ General and Vocational Qualifications Instructions for conducting examinations
- JCQ Adjustments for candidates with disabilities and learning difficulties. Access Arrangements and Reasonable Adjustments
- Ofqual – What schools and Schools and other centres should do if exams or other assessments are seriously disrupted – 23 January 2018
- Data protection Act 2018 and when it comes into force, the General Data Protection Regulation

## **Other Policies and linked documents**

Alongside the Exams Policy staff should also be familiar with:

- GDPR Policy
- Assessment policy
- Marking Policy
- SEN Policy
- Health and Safety Policy
- Staff handbook and code of conduct

## Contents

- Qualifications
- Exam series and timetables
- Entries, entry details and late entries
- Exam fees
- Equality legislation
- Estimated grades
- Managing invigilators
- Storage of examination papers (including electronic copies), internal assessments and pupil records
- Candidates
- Internal assessments and appeals
- Results
- Certificates
- Roles and responsibilities
- Appendix A – Contingencies
- Appendix B – Responsibilities for exams
- Appendix C – Internal Appeals
- Appendix D – Emergency Actions
- Appendix E – Processing Exam Papers
- Appendix F – Emergency Procedure
- Appendix G – Malpractice
- Appendix H – Learner Appeals
- Appendix I – Conflict of Interest

## Qualifications offered

- The qualifications offered at ALP Leicester are decided by the curriculum, strand and subject leaders in consultation with the Assistant Head for Curriculum and Head Teacher and ratified by the Senior Management Team.
- The types of qualifications offered range from phonics tests through to national awards, entry levels through to L1/L2 qualifications.
- Informing the exams officer (Assistant Head of Curriculum) of changes to a specification is the responsibility of the curriculum manager and subject leader. Decisions on whether a candidate should be entered for a particular subject and at what level will be taken by the curriculum or subject leader in consultation with the Assistant Head of Curriculum and curriculum manager

## Exam series

- External exams and/or assessments are scheduled as required by the examination or awarding body.
- Internal exams or assessments are held under external exam conditions. The curriculum manager or subject leader will decide which exam series are used in the centre.
- The centre does offer some examinations on an on-demand basis. If offered, on-demand assessments can be scheduled only in windows

agreed between the curriculum/subject leader and the assistant head teacher for curriculum (exams officer).

## **Exam timetables**

Once confirmed, the assistant head teacher for curriculum (exams officer) will circulate the exam timetables for internal and/or external exams at a specified date before each series begins.

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

- Candidates or parents/carers can request a discussion about subject entry, change of level or withdrawal.
- ALP Leicester does not accept entries from private candidates.
- ALP Leicester will not act as an exams centre for other organisations.
- Entry deadlines are circulated via email, briefing meetings, bulletins, and the school intranet
- Curriculum and subject leaders will provide estimated entry information to the exams officer to meet JCQ and awarding body deadlines.
- Entries and amendments made after an awarding organisation's deadline (i.e. late) require the authorisation, in writing, of the exam officer.
- Functional skills re-sits/retakes are allowed. Re-sit decisions will be made by the curriculum or subject leader in consultation with the assistant head teacher for curriculum (exams officer).

## **Exam fees**

- Candidates will not be charged for changes in awards or withdrawals made by the proper procedures or alterations arising from administrative processes provided these are made within the time allowed by the awarding bodies.
- The assistant head teacher for curriculum (exams officer) will publish the deadline for actions well in advance for each exams series.
- Entry fees, including re-sits, are paid by the School. Fee reimbursements are sought from candidates if they fail to sit an exam or controlled task without medical evidence or satisfactory evidence.

## **Equality Legislation**

- All exam centre staff must ensure that they meet the requirements of any equality legislation including the equalities and disability discrimination acts.
- The School will track pupil outcomes and entries to ensure that no pupil is disadvantaged in terms of accessing examinations.
- The centre will comply with legislation including the Equality Act, including making reasonable adjustments to the service that they provide to candidates in accordance with requirements defined by the legislation, awarding bodies,

and JCQ. This is the responsibility of the assistant head teacher for curriculum (exams officer).

## **Access arrangements**

- The assistant head teacher for curriculum (exams officer) will inform subject teachers of candidates with special educational needs and any special arrangements that individual candidates will need during the course and in any assessments/exams.
- A candidate's access arrangements requirement is determined by the assistant head teacher for curriculum (exams officer) in conjunction with subject leaders.
- Ensuring there is appropriate evidence for a candidate's access arrangement is the responsibility of the assistant head teacher for curriculum (exams officer).
- Submitting completed access arrangement applications to the awarding bodies is the responsibility of the examinations administration officer.
- Rooming for access arrangement candidates will be arranged by the assistant head teacher for curriculum (exams officer).
- Invigilation and support for access arrangement candidates, as defined in the JCQ access arrangements regulations, will be checked by the assistant head teacher for curriculum (exams officer) but will be the responsibility of the curriculum or subject leader to arrange for all exams other than GCSEs which the assistant head teacher for curriculum (exams officer) will take full responsibility of.

## **Contingency planning (see annex A)**

- Contingency planning for exams administration is the responsibility of the assistant head teacher for curriculum (exams officer).
- Contingency plans are available via email, noticeboard, briefing meetings, the school intranet and are in line with the guidance provided by Ofqual, JCQ and awarding organisations.
- The contingency for ALP Leicester in terms of examination space is the use of ALP Nuneaton. Prior to its use the awarding body will be notified for approval and if this is a planned change then the appropriate JCQ/Alt Site form is submitted
- Papers will be transported down to ALP Nuneaton by two members of staff, of which one must be a senior leader
- The examination body will be informed on the day of the change in venue
- Should a pupil be adversely affected by the change in venue and alternative arrangements then the School, having contacted and agreed with parents, will apply for special consideration

## **Storage of examination papers (including electronic copies), internal assessments and pupil records**

- All examination papers and internal assessments will be stored in a secure room and safe in accordance with the rules as detailed in the JCQ guidance, or the awarding body.
- Pupil electronic records and examinations will be held on the secure staff intranet service.
- Where papers and tests are downloaded (for example via the standards web-site or examining body) then papers will be held on a separate memory device and stored in the exam safe.
- Any sharing and storage of information will be in accordance with the School GDPR Policy.

## **Managing invigilators and student access support**

- External staff will not be used to invigilate examinations.
- Recruitment of internal invigilators is the responsibility of the assistant head teacher for curriculum (exams officer).
- Invigilators are recruited, timetabled, trained, and briefed by the assistant head teacher for curriculum (exams officer) in conjunction with allocated curriculum/subject leaders.
- Invigilators must attend the appropriate training, refresher courses and updates as directed by the assistant head teacher for curriculum (exams officer).
- It is the responsibility of the assistant head teacher for curriculum (exams officer) to ensure access to readers, signers, and alternative formats of test papers to meet student requirements. This includes training and supporting any readers/scribes/signers in their role.

## **Malpractice**

- The Head Teacher in consultation with the assistant head teacher for curriculum (exams officer) is responsible for investigating suspected malpractice, including administrative malpractice. See appendix G.

## **Exam/assessment days/controlled tasks**

- Prior to any exam or internal task the subject or class leader will complete an internal assessment form for examinations which will detail information relating to the test, exam or internal assessment being undertaken.
- The curriculum or subject leader will book all exam rooms after liaison with other users, and ensure that all examination equipment is available for all exams.
- The assistant head teacher for curriculum (exams officer) will make the question papers and materials available for the invigilator.
- Curriculum and subject leaders are responsible for setting up the allocated rooms, and will be advised of requirements at least 2 weeks in advance by



- assistant head teacher for curriculum (exams officer)
- The assistant head teacher for curriculum (exams officer) and exams officer will start and finish all exams in accordance with JCQ guidelines. If the examination officer is not available or more than two rooms are required then the assessment/exams administrator will deputise in this role and another member of SMT will support.
  - Subject staff may be present at the start of the exam to assist with identification of candidates. Any staff present must be in accordance with the rules defined by JCQ concerning who is allowed in the exam room and what they can do.
  - In practical exams, subject teachers' availability will be in accordance with JCQ guidelines.
  - Exam papers must not be read by subject teachers or removed from the exam room before the end of a session. Papers will be distributed to heads of department in accordance with JCQ's recommendations and no later than 24 hours after candidates have completed them.
  - After an exam, the exams officer will arrange for the safe dispatch of completed examination scripts to awarding bodies, working in conjunction with the assessment/exams officer and administration team.
  - Where on screen assessments are taking place the assistant headteacher (exams officer) will ensure the appropriate hardware has been prepared and that it is fit for the exam.
  - The candidate log in details for on screen assessments are downloaded on the day of the exam and presented to invigilators as part of the daily briefing.
  - The candidate log in details for on screen assessments are removed from the examination room and destroyed along with any other confidential materials, unless they form part of the associated documentation, such as register of attendance etc.
  - Where possible all on screen candidates that are sharing an exam room with paper based candidates will be placed at the back of the examination room, so as not to disturb other candidates.

## Candidates

- The assistant head teacher for curriculum (exams officer) will provide written information to candidates in advance of each exam series. A formal briefing session for candidates may be given by the curriculum or subject leader.
- The centre's published rules on acceptable dress and behaviour apply at all times. Candidates' personal belongings remain their own responsibility and the centre accepts no liability for their loss or damage.
- In an exam room candidates must not have access to items other than those clearly allowed in the instructions on the question paper, the stationery list, or the specification for that subject. This is particularly true of mobile phones and other electronic communication or storage devices with text or digital facilities. Any precluded items must not be taken into an exam room.
- Disruptive candidates are dealt with in accordance with JCQ guidelines. Candidates are expected to stay for the full exam time at the discretion of the examinations officer or lead invigilator. Note: candidates who leave an

exam room must be accompanied by an appropriate member of staff at all times.

- The assistant head teacher for curriculum (exams officer) is responsible for arranging the handling of late or absent candidates on exam day.

## **Clash candidates**

- The assistant head teacher for curriculum (exams officer) will be responsible as necessary for supervising escorts, identifying a secure venue and arranging overnight stays.

## **Special consideration**

- Should a candidate be unable to attend an exam because of illness, suffer bereavement or other trauma, be ill or otherwise disadvantaged or disturbed during an exam, then it is the candidate's responsibility to alert the centre's examinations officer to that effect.
- The candidate must support any special consideration claim with appropriate evidence within 1 day of the exam.
- The assistant head teacher for curriculum (exams officer) will make a special consideration application to the relevant awarding body within 2 days of the exam.

## **Internal assessment**

- It is the duty of curriculum or subject leaders to ensure that all internal assessments are ready for dispatch at the correct time. The exams officer will assist by keeping a record of each dispatch, including the recipient details and the date and time sent.
- It is the duty of curriculum or subject leaders to ensure moderation of all internal assessments in line with the awarding body. Minutes and notes of moderation meetings should be held on record and available for inspection
- Marks for all internally assessed work are provided to the exams office by the curriculum or subject leader. The exams officer will inform staff of the date when appeals against internal assessments must be made by. Any appeals will be dealt with in accordance with the centre's Internal Appeals Procedure (IAP) document.

## **Results**

- Result slips will be prepared by the assistant head teacher for curriculum (exams officer)

## **Enquiries about Results (EAR)**

- EARs may be requested by centre staff or the candidate following the release of results. A request for a re-mark or clerical check requires the written consent of the candidate, a request for a re-moderation of internally assessed work may be submitted without the consent of the group of candidates.
- The cost of EARs will be paid by the centre.
- All decisions on whether to make an application for an EAR will be made by the curriculum or subject leader.
- If a candidate's request for an EAR is not supported, the candidate may appeal and the centre will respond by following the process in its Internal Appeals Procedure (IAP) document (appendix B).
- All processing of EARs will be the responsibility of the assistant head teacher for curriculum (exams officer), following the JCQ guidance.

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

- After the release of results, candidates may ask curriculum or subject leaders to request the return of written exam papers or work within 30 days of the receipt of results.
- Centre staff may also request scripts for investigation or for teaching purposes. For the latter, the consent of candidates must be obtained.
- An EAR cannot be applied for once an original script has been returned.
- Processing of requests for ATS will be the responsibility of the examination officer.

## **Certificates**

- Candidates will receive their certificates posted (first class) in the year that they leave School. Until then all exam and award certificates will be kept in the examination store. A photocopy of the certificate will be sent home. It is the responsibility of the examination officer to manage the safe storage of certificates.
- Certificates can be collected on behalf of a candidate by third parties, provided they have written authority from the candidate to do so, and bring suitable identification with them that confirms who they are.
- The centre retains photocopied certificates for 5 years after the student has left the School. The centre shall not provide replacement or duplicate certificates once posted to parents/carers.
- Replacement certificates by an examination body once a student leaves ALP Leicester is the responsibility of parents/carers. Up to this point in time ALP Leicester will retain all certificates in the exam store.
- The School will provide a transcript of student accreditations and awards on request by a parent/carers.

Please refer to Appendices:

- Appendix A – Contingencies
- Appendix B – Responsibilities for exams
- Appendix C – Internal Appeals
- Appendix D – Emergency Actions
- Appendix E – Processing Exam Papers
- Appendix F- Word Processors
- Appendix G – Emergency Procedure
- Appendix H – Malpractice
- Appendix I – Learner Appeals
- Appendix J – Conflict of Interest

## Appendix A

### Contingency Plans

Contingency planning for exams administration is the responsibility of the assistant head teacher for curriculum (exams officer).

Contingency plans are available via email, noticeboard, briefing meetings, the school intranet and are in line with the guidance provided by Ofqual, JCQ and awarding organisations.

The qualifications regulators, awarding bodies and government departments responsible for education have prepared and agreed a Joint contingency plan for the examinations system in case of wide scale disruption as a result of a flu pandemic, adverse weather conditions or other event. The joint contingency plan is designed to ensure consistency of response in the event of major disruption to the examination system affecting significant numbers of candidates. In addition, awarding bodies have their own well-established contingency plans in place to respond to disruptions. It is important that exams officers who are facing disruption liaise directly with the relevant awarding body/bodies. Centres should prepare plans for any disruption to examinations as part of their general emergency planning. It is important to ensure that relevant centre staff are familiar with the plan.

Consideration should be given as to how these arrangements will be communicated to candidates, parents and staff should disruption to examinations occur. In the event that the head of centre decides the centre cannot be opened for scheduled examinations, the relevant awarding body must be informed as soon as possible. Awarding bodies will be able to offer advice regarding the alternative arrangements for conducting examinations that may be available and the options for candidates who have not been able to take scheduled examinations. The Joint contingency plan for the examination system in England, Wales and Northern Ireland may be downloaded from the Ofqual website:

<https://www.gov.uk/government/publications/exam-system-contingency-plan-englandwales-and-northern-ireland>

[Taken directly from JCQ Instructions for conducting examinations <http://www.jcq.org.uk/exams-office/ice---instructions> for-conducting- examinations, page iii]

#### Disruption of teaching time

If the centre is closed for an extended period or candidates are unable to attend for an extended period during normal teaching or study supported time, interrupting the provision of normal teaching and learning, alternative online learning methods or additional teaching time to compensate will be provided. The School will seek advice from awarding bodies as to whether deadlines can be extended or special consideration can be applied.

## **Staff Absence**

Should the assistant head teacher for curriculum (exams officer) be absent, another member of SMT would access the 'Contingency Exams Folder' in the exams cupboard and follow the instructions.

## **Fire Alarm**

From JCQ – Instructions for Conducting Exams

- Evacuate the examination room in line with the instructions given by the appropriate authority.
- Advise candidates to leave all question papers and scripts in the examination room.
- Candidates must be advised to close their answer booklet.
- Candidates should leave the room in silence.
- Make sure that the candidates are supervised as closely as possible while they are out of the examination room to make sure there is no discussion about the examination.
- Make a note of the time of the interruption and how long it lasted.
- Allow the candidates the full working time set for the examination.
- If there are only a few candidates, consider the possibility of taking the candidates (with question papers and scripts) to another place to finish the examination.
- Make a full report of the incident and of the action taken, and send it to the relevant awarding body.

## **Site Unavailability**

- If there is six weeks' notice that the site will not be available for conducting exams then JCQ can be contacted and an alternative sought. Should there be shorter notice then the contingency for ALP Leicester in terms of examination space is ALP Nuneaton.
- Papers will be transported down to ALP Nuneaton by two members of staff, of which one must be a senior leader.
- Should a pupil be adversely affected by the change in venue and alternative arrangements then the School, having contacted and agreed with parents, will apply for special consideration.
- In the event that the Head Teacher decides the School cannot be opened for scheduled examinations, the relevant awarding body must be informed as soon as possible.
- Awarding Bodies will be available to offer advice regarding the alternative arrangements for conducting examinations that may be available and the options for candidates who have not been able to take scheduled examinations.

**Centre unable to distribute results as normal or facilitate post results services (including in the event of the centre being unavailable on results day owing to an unforeseen emergency)**

- The Examinations Officer will contact the Awarding Bodies to notify them of any such incidents and act upon advice given.
- Results could be distributed from an alternative venue after consultation with SMT and the Awarding Bodies.
- Centres will be alerted if it was agreed to reschedule the examinations and the affected candidates will be expected to make themselves available in such circumstances.
- The decision regarding the rescheduling of examinations will always rest with the awarding body.
- The centre must conduct the examination on the scheduled date unless instructed to do otherwise by the awarding body.
- Where candidates choose not to be available for the rescheduled examination(s) for reasons other than those traditionally covered by special consideration, they will not be eligible for enhanced grading arrangements.
- Centres must therefore ensure candidates and parents are aware of this contingency arrangement so that they may take it into account when making their plans for the summer. However, the awarding bodies will not insist upon candidates being available throughout the entire timetable period as a matter of course.

## Appendix B Responsibilities

### Assistant Head Teacher for Curriculum (exams officer)

- Apply for centre recognition and exams.
- Apply for exam concessions and special arrangements.
- Set up exam rooms for externally assessed exams and ensure all criteria are met and procedures followed.
- IV in circumstances where the Subject Teacher is the only person teaching a subject (or there is no Lead Teacher).
- Create proforma to ensure exam regulations are followed during all internal assessments.
- Enter student for exams.
- Store paperwork.
- Maintain an exam database.
- Address coursework to be sent to markers.
- To perform ad hoc drop ins during internal assessments to ensure guidelines are being followed

### Subject Lead/Curriculum Manager

- Schedule and coordinate moderation .
- Schedule and coordinate standardisation.
- Share key dates and deadlines with teaching staff.
- Collect Coursework and complete relevant paperwork.
- Mark coursework along with subject leads.
- Share exam dates with the assistant head teacher for curriculum (exams officer) and exams officer so they can perform no notice drop ins.
- Contact your own specialist for the exam board.
- Ensure all students are at the correct level for all subjects.



## Exam responsibilities

	<b>General roles</b>	<b>Access arrangements / special consideration roles</b>	<b>Invigilator / invigilation / malpractice roles</b>
<b>Possible role options for inclusion in policy (select as many as required)</b>	Head Teacher Assistant Head Teacher Curriculum Manager subject Leaders Senior leadership team Exams officer Subject teachers Teaching Assistants Premises Officer Governors Candidate Parent/carers Other (please specify)	Doctor Subject Leaders/Tutors Educational psychologist Specialist teacher Exams officer MAST staff Head Teachers	Exams officer  Support staff Senior leaders  Head Teacher Senior Leadership Team Invigilators

### The Head Teacher of School:

- Has overall responsibility for the School as an exams centre and advises on appeals and re-marks.
- Is responsible for reporting all suspected or actual incidents of malpractice and for the overview of any recommendations in terms of JCQ annual audits - refer to the JCQ document *Suspected malpractice in examinations and assessments*.

### Assistant Head Teacher for Curriculum (exams officer)<sup>1</sup>:

- Ensures the coordination of the administration of internal and external examinations, along with overall strategic liaison with external agencies such as NCFE and examination bodies.
- Ensures that the centre is compliant with the JCQ guidelines.

<sup>1</sup>This is the individual to whom the Head Teacher has delegated responsibility for the administration of exams in their centre/school.

- Advises the senior leadership team, curriculum and subject leaders and other relevant support staff on annual exams timetables and procedures as set by

the various awarding bodies.

- Oversees the production and distribution, to all centre staff and candidates, of an annual calendar for all exams/awards in which candidates will be involved and communicates regularly with staff concerning imminent deadlines and events.
- Ensures that candidates and their parents are informed of and understand those aspects of the exams timetable that will affect them.
- Liaise with curriculum and subject leaders to create detailed data on estimated entries.
- Ensures that internal and external systems and processes support the timely entry of candidates for their exams.
- Coordinates access arrangements and makes applications for special consideration following the regulations in the JCQ publication *A guide to the special consideration process*.
- Identifies and manages exam timetable clashes.
- Accounts for income and expenditures relating to all exam costs/charges.
- Manages any exam invigilators, readers and other support staff responsible for the conduct of exams and student access requirements
- Ensures candidates' coursework / controlled assessment marks are submitted, and any other material required by the appropriate awarding bodies correctly and on schedule.
- Tracks, dispatches, and stores returned coursework / controlled assessments.
- Arranges for dissemination of exam results and certificates to candidates and forwards, in consultation with the SMT, any post results service requests.
- Identification and testing of candidates' requirements for access arrangements, the processing of any necessary applications in order to gain approval (if required), and management of access arrangements

**Curriculum and subject leaders** are responsible for:

- Coordination of examinations and awards in a subject
- Checks with subject and curriculum leaders that teaching staff have the necessary coursework and/or controlled assessments completed on time and in accordance with JCQ guidelines.
- Establishment of long- and medium-term planning along with overall quality assurance of the subject as detailed in the School quality assurance guidelines
- Provision of information related to examination entries *along with* guidance and to students who are unsure about exams entries or amendments to entries.
- Accurate completion of entry and all other mark sheets and adherence to deadlines as set by the exams officer.
- Accurate completion of coursework / controlled assessment mark sheets and declaration sheets.
- Moderation and the collation of moderation samples for despatch to the examination body.
- Ensuring access arrangements are in place for examinations

**Teachers** are responsible for:

- Supplying information on entries, coursework and controlled assessments as required by the curriculum or subject leader exams officer or designated staff.
- Ensuring that students' work is presented in line with the awarding bodies guidance, including marking and annotations as required. Meeting internal assessment criteria to ensure JCQ and exam board requirements for conducting tests and internal moderation is completed.

**Assessment/Exam officer** is responsible for:

- The collation of information relating to examinations including entries, predicted results, collation of results and the production of information ready for parents and other outside agencies.
- The storing and quality assurance of the information in electronic formats.
- The co-ordination of examination awards including collation, photocopying, filing and despatch to parents/carers.
- The generation of report information related to examinations.
- Inputting pupil information to appropriate awarding bodies.
- assisting the exams officer in the efficient running of exams according to JCQ regulations.
- Collection of exam papers and other material from the exams office before the start of the exam.
- Collection of all exam papers in the correct order at the end of the exam and ensuring their return to the exams office.
- Deputising for the exams officer in their absence.
- Receives, checks and stores securely all exam papers and completed scripts and ensures that scripts are dispatched as per the guidelines.

**Administration staff** are responsible for:

- Maintaining a log of examination correspondence both into and out of the School including carriers
- Ensuring late students for examinations are supported
- Ensuring that external moderators/assessors sign in and are aware of health and safety and safeguarding procedures on arrival to the School

**General school staff** are responsible for:

- Setting up the examination room

**Candidates** are responsible for:

- Confirmation and signing of entries
- Understanding coursework / controlled assessment regulations and signing a declaration that authenticates the coursework as their own.
- Ensuring they conduct themselves in all exams according to the JCQ regulations

## Appendix C

### Internal Appeals Policy for External Qualifications

ALP Leicester Policy on Appeals is in two parts:

1. **Policy on Internal Assessments for External Qualifications**
2. **Policy on External Assessments for External Qualifications (Enquiries about Results)**

ALP Leicester is committed to ensuring that:

- Internal assessments are conducted by members of the teaching staff who have the appropriate knowledge, understanding and skills and who have been trained in this area.
- Assessment evidence provided by candidates is produced and authenticated according to the requirements of the Awarding Body for the subject concerned.
- The consistency of internal assessment will be maintained by internal moderation and standardisation through curriculum or subject leaders
- All student work being assessed by teaching staff for external qualifications is carried out fairly, consistently and in accordance with the rules and regulations of the specification relating to the qualification.

If a student has any concerns about the procedures used in assessing their internally assessed work for public exams (i.e. controlled assessment/coursework/portfolios) s/he should discuss the matter with the Curriculum or subject Leader immediately. Following that, if the matter remains unresolved, the formal appeal procedure may be used by the student concerned.

The regulations for GCSE, GCE, Entry Level and Project Qualification Coursework Assignments and GCSE Controlled Assessments state that:

- “The work you submit for assessment must be your own”
- “You must not copy from someone else or allow another candidate to copy from you”
- “If you copy the words or ideas of others and don’t show your sources in references and a bibliography, this will be considered as cheating or malpractice”

Teachers have the right to reject a student’s work on the grounds of malpractice if any of the above regulations are broken. The student, parent or guardian of a student has the right to appeal against any decisions to reject a candidate’s internally assessed work on the grounds of malpractice.

## Written Appeals Procedure

The student, parent or guardian of a student wishing to appeal against the procedures used in internal assessment should write to the assistant head teacher for curriculum (exams officer) as soon as the matter arises. The deadline for the receipt of appeal applications to reach the school is ten days prior to the start of the written examination series. Internal appeals will be considered, and resolved, by the date of the last externally assessed paper of the series [e.g. by the end of June for the summer series].

On receipt of a written appeal, an enquiry into the internal assessment will be conducted by the Examinations Officer, a member of the Senior Management Team and an appropriate curriculum or subject leader not involved in the internal assessment decision. This enquiry will consider whether the procedures used in the internal assessment conformed to the published requirement of the Awarding Body and the ACCAC Code of Practice.

The outcome of the appeal will be reported in writing to the student, parent or guardian [including relevant correspondence with the Awarding Body] before public exam results day for the award.

A written record of the appeal and the outcome will be kept on file at the centre and the Awarding Body will be informed of any amendments.

### **2. Policy on External Assessments for External Qualifications [Enquiries about Results - EARs]**

Any student who wants to query a mark/grade awarded by an Awarding Body upon issue of results should follow the following procedure:

1. Contact the Examinations Officer **and** the subject teacher as soon as possible [but at least **5 working days before the published deadline for EARs**] in person to discuss the mark/grade. The Examinations Officer will advise on the options available to query the mark/grade and the costs involved.
2. Students should be aware that EARs can result in marks/grades being raised, confirmed or lowered. Students must sign a consent form to confirm that they understand the consequence of an EAR. Consent forms will be issued by the Examinations Officer.
3. The subject teacher will review the student's marks/grades and discuss with the subject Leader or Curriculum Leader to agree on the appropriate action taking into account the breakdown of marks, the grade boundaries and the student's predicted grades.

If the Department agrees to support the EAR:

The request, together with the students' consent form, should be made to the

assistant head teacher for curriculum (exams officer) **before the published deadline for EARs**. The cost of the enquiry will be met by the departmental budget. If the EAR is successful, the fee will be refunded.

If the Department does not agree to support the EAR:

A student may appeal against the decision not to support an EAR. Appeals should be made in writing to the Examinations Officer, at least **5 working days before the published deadline for EARs**. The appeal should state, in detail, the reason(s) for the appeal. This appeal should be signed and dated and should include the daytime contact telephone number of the student, parent or guardian. The appeal information will be reviewed by the Examinations Officer and a further member of the Senior Management Team; the outcome of the appeal will be communicated by telephone and 1<sup>st</sup> class letter post within 24 hours of receipt. This decision is final.

If the centre does not support the EAR the student may still proceed with the EAR but all costs involved will be paid by the student at the time the EAR is made. No EARs will be made until fees are paid. Requests must be made in person to the Examinations Officer **before the published deadline for EARs**. If the enquiry is successful the fee will be refunded to the student.

Outcomes following EARs will be forwarded by the Examinations Officer to the student as soon as they have been received from the Awarding Bodies.

## Appendix D Emergency Action Plan

### On Hearing the Fire Alarm

The invigilator must take the following action in an emergency such as a fire alarm:

- Tell the candidates to stop writing and leave the question papers and scripts on their desks.
- Evacuate the room in an orderly fashion without talking. The candidates must not attempt to collect bags or coats.
- The invigilator should collect the exam register and evacuate the candidates by following the emergency exit signs.
- Ensure that any Personal Evacuation Procedures in place are followed
- Assemble the candidates near: School storage unit
- When assembled check the candidates against the exams register and inform the fire marshals that all students and staff are accounted for
- The examination candidates must not have contact with other pupils and must not have mobile phones in their possession.
- Make sure that the candidates are supervised as closely as possible while they are out of the examination room.
- Make sure there is no discussion about the examination. Inform the candidates that they are still under examination regulations.
- Make a note of the time of the interruption and how long it lasted.
- At the end of the emergency the Examinations Officer or a senior member of staff will inform you when to return to the examination room.
- On return to the examination room allow the candidates **the full working time set** for the examination.
- Make a full written report of the incident to the EXAMINATIONS OFFICER who will promptly inform the relevant awarding bodies of the emergency.

## **Appendix E**

### **Processing examination papers**

#### **Receipt of exam papers**

1. It is important that examination papers are processed in a secure manner within the School.
2. If delivery of examination papers is made to ALP Leicester the exam officer should be contacted immediately. If the exam officer is unavailable the administration manager or a member of SMT should be contacted.
3. Papers should be logged into the examination receipt book by the administration team, noting the date, time, and signing for them.
4. Papers should be taken directly to the secure storage by the designated person as detailed in 2 – the date and time that this happens should also be logged in the receipt book. Spare keys for the exam room and safe are kept locked in the School safe.
5. If it is not the examination officer dealing with the receipt of the papers an email should be sent to the exam officer detailing which papers have been received.

#### **Collection of exam papers**

1. It is important that examination papers are processed in a secure manner within the School.
2. The exam officer should be contacted immediately that the courier has come to collect examination papers. If the exam officer is unavailable the administration manager or a member of SMT should be contacted.
3. Papers should be collected from the secure storage and taken directly to reception. The spare keys for the secure storage will be left with nominated SMT members.
4. The examination papers should be logged out through the dispatch log.
5. If the examination officer does not sign out the papers a confirmation email should be sent to the examination officer.



## **Transferring papers around the School**

1. Papers will not be collected from the exam room until absolutely required.
2. Should readers/signers or other support staff require access to the exam paper they will do this only in the examination room and under supervision.
3. Once exam papers have been collected they will remain under supervision, and the appropriate log will be completed.
4. Two individuals must check the day, date, time, subject, unit/component and tier of entry, if appropriate, immediately before a question paper packet is opened and the second pair of eyes check form must be completed.
5. Any completed exam papers will be processed in the location of the exam (until the papers have been sealed in the carrier bag) prior to being locked in the safe.

## **Appendix F**

### **Word Processors**

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

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

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

Needs might include where a candidate has, for example:

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

The only exception to the above where the use of a word processor may be considered for a candidate would be on a temporary basis as a consequence of a temporary injury at the time of the assessment or where a subject within the curriculum is delivered electronically and the centre provides word processors to all candidates.

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

Appropriate exam-compliant word processors will be provided by the IT department in liaison with the ALS lead/SENCo and the exams officer.

In exceptional circumstances where the number of appropriate word processors may be insufficient for the cohort of candidates approved to use them in an exam session, the cohort will be split into two groups. One group will sit the exam earlier than or later than the awarding body's published start time. The security of the exam will be maintained at all times and candidates will be supervised in line with section 7 of IC.

## **Appendix G**

### **Information relating to emergency procedures**

#### **No entry to the secure storage**

- Two key holders are the Assistant Head Teacher (Exams) and the Curriculum Manager.
- The key will be kept with both officers and available to gain entry into the secure storage.
- If either person is due to be out of school (e.g. attending a course) then a key will be handed to a designated senior leader and reception will be aware of its location.

#### **Access to the exam safe**

- Two key holders are the Assistant Head Teacher (Exams) and the Curriculum Manager.
- The key will be kept with both officers and available to gain entry into the room.
- If either person is due to be out of school (e.g. attending a course) then a key will be handed to a designated senior leader and reception will be aware of its location.

#### **Unavailability of the emergency location and the school**

- If the school and emergency facility (ALP Nuneaton) is unavailable then contact will be made with The Cedars Academy to request an examination room.
- If no room is available then Holmfield College will be contacted, followed by Ellesmere College.

#### **Exam Officer and the Exam Administrator is not in school**

- Should neither the examination officer or exam administrator be in the building then the Head Teacher or Assistant Head Teacher for Pastoral will assume or delegate the role of examinations officer.

#### **Storage of exam information**

- Pupil entries will be stored on the shared drive.
- All test papers will be stored securely in the exam office.

#### **Access to the exam room**

- If there are no general staff present then the setting-up of the exam room will be the responsibility of the exam officer

### **Non-attendance of readers, signers and interpreters**

- Where this relates to an exam other staff with similar levels of expertise will be used and class teaching groups changed accordingly.
- The VI/HI service will be contacted for additional support.
- Alternatively pupils will be supervised and allowed to take the exam at a separate time during the same day.

### **Non-collection of exam paper and/or last post has been missed**

- Any non-posted exam papers will be kept in the safe and posted on the 1<sup>st</sup> working day following the exam.
- Only the exam officer or a member of the senior management team can take the papers for external posting. Under no circumstance can this be a teacher or curriculum leader related to a child taking an exam.

### **In the Event of a Cyber Attack**

- Promptly reporting any incidents to the relevant awarding body/bodies which might compromise any aspect of assessment.
- Where candidates produce work electronically, ensuring their work is backed-up regularly and stored securely on the centre's IT system / Ensuring protection of the candidates' work from corruption and considering the risks and implications of any cyber-attack.
- Following and regularly reviewing National Cyber Security Centre advice for support in cyber security.
- preparedness and mitigation work / Using the NCSC's free Web Check and Mail Check services to help protect from cyber-attacks.

## Appendix H Malpractice

See [https://www.jcq.org.uk/wp-content/uploads/2020/09/Malpractice\\_20-21\\_v2-1.pdf](https://www.jcq.org.uk/wp-content/uploads/2020/09/Malpractice_20-21_v2-1.pdf)

### Instances of malpractice

Instances of malpractice arise for a variety of reasons:

- Some incidents are intentional and aim to give an unfair advantage in an examination or assessment;
- Some incidents arise due to a lack of awareness of the regulations, carelessness, or forgetfulness in applying the regulations;
- Some occur as a result of the force of circumstances which are beyond the control of those involved (e.g. a fire alarm sounds and the supervision of candidates is disrupted).
- The individuals involved in malpractice also vary. They may be: candidates; teachers, lecturers, tutors, trainers, assessors or others responsible for the conduct, administration or quality assurance of examinations and assessments including examination officers, invigilators and those facilitating Access Arrangements (e.g. readers, scribes and practical assistants);
- Assessment personnel such as examiners, assessors, moderators or internal and external verifiers;
- Other third parties, e.g. parents/carers, siblings or friends of the candidate.

Irrespective of the underlying cause or the people involved, all allegations of malpractice in relation to examinations and assessments need to be investigated. This is to protect the integrity of the qualification and to be fair to the centre and all candidates.

### Actions as a result of Malpractice

#### Head Teacher/Centre

The head of centre must:

- Notify the appropriate awarding body immediately of all alleged, suspected or actual incidents of malpractice.
- The only exception to this is candidate malpractice discovered in coursework or non-examination assessments before the authentication forms have been signed by the candidate (see paragraph 4.3).
- If staff malpractice is discovered in coursework or non-examination assessments, the head of centre must inform the awarding body immediately, regardless of whether the authentication forms have been signed by the candidate(s);
- Report malpractice using the appropriate forms as detailed in paragraph 4.2;
- Be accountable for ensuring that the centre and centre staff comply at all times with the awarding body's instructions regarding an investigation;
- Ensure that if it is necessary to delegate the gathering of evidence to a senior member of centre staff, the senior member of centre staff chosen is

independent and not connected to the department or candidate involved in the suspected malpractice.

- The head of centre should ensure there is no conflict of interest (see below) which might compromise the investigation;
- Respond speedily and openly to all requests for an investigation into an allegation of malpractice. This will be in the best interests of centre staff, candidates and any others involved;
- Make information requested by an awarding body available speedily and openly.
- Co-operate with an enquiry into an allegation of malpractice and ensure that their staff do so also, whether the centre is directly involved in the case or not
- Ensure staff members and candidates are informed of their individual responsibilities and rights as set out in this document;
- Forward any awarding body correspondence and evidence to centre staff and/or provide staff contact information to enable the awarding body to do so.
- Pass on to the individuals concerned any warnings or notifications of penalties, and ensure compliance with any requests made by the awarding body as a result.

## Appendix I Learner Appeals

<https://www.gov.uk/appeal-qualification-result> and  
<https://www.gov.uk/government/news/teacher-assessed-grades-for-students>

Students and parents have the following information regarding appeals shared with them via Schools Exam Policy

‘You can challenge the results of an exam or qualification if you think it’s wrong. You can ask Patrick McConnell (assistant head teacher for curriculum (exams officer) to get an exam result looked at again - this is called requesting a review.

If you’re not satisfied with the outcome, your school or School can make an appeal to Ofqual.’

## **Appendix J Conflict of Interest**

### **Staff teaching Subjects**

JCQ General Regulations for Approved Centres (section 5.3) states that centres must manage conflict of interests by: Informing the awarding bodies, before the published deadline for entries, of: any members of centre staff who are taking qualifications at their own centre which include internally assessed components/units any members of centre staff who are teaching and preparing members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) for qualifications which include internally assessed components/units.

At the start of each year the assistant head teacher for curriculum (exams officer) sends an email to lead teachers to request whether anyone is teaching a subject that is also being taken by a relative or close friend (that they are likely to advise) in order that we can assess the risk and inform the relevant exam boards.

### **Protocol for staff privy to Confidential Information relating to the contents of any Public Examination sat by any pupil of the school/School**

The sharing of confidential material relating to any current or future (“live”) public examination series by a member of staff is likely to constitute gross misconduct that is likely to result in dismissal. It is prohibited by school policy. It is also prohibited by the Conflict of Interests policies of the various exam boards.

It is incumbent on any member of staff privy to confidential information about public examinations to ensure that they maintain a position of complete neutrality and do not either advantage or disadvantage pupils in the school/School. Staff must ensure the examination syllabus (specification) is covered in full but must also ensure that specific material used in upcoming public examinations is not used in their teaching at the centre or to guide departmental schemes of work.

The aim of this protocol is to put in place measures to prevent the accidental sharing of confidential public examination material within the school/School and, thereby, to protect both the staff member concerned and pupils from allegations of examination maladministration or malpractice.

When a member of staff knows in advance the content (in whole or in part) of any public examination which is to be sat by any pupil, that staff member must not:

- Set any internal exam or revision material for that public examination;
- Save any confidential public examination material on any computer that the staff member uses for teaching or for any other school/School activity without ensuring that that material is stored in a password protected area;
- Bring into public areas within the school/School public examination related paper- work, products or materials on which the staff member has worked, or use departmental printers or photocopiers for such materials;
- Use, in the creation of live public examination papers, specific content which



the staff member or a member of his department has created for pupils in current or previous years, or which might be used by colleagues;

- Adapt his or her teaching to fit the questions that the staff member knows are coming up in a “live” public examination (e.g. by spending extra time on a topic, or by covering a topic with a particular slant).
- The member of staff must adhere to agreed departmental schemes of work; engage in “question spotting” or make any predictions about the contents of the public examination to any pupil or colleague;
- Invigilate any examination in an examination series in respect of which he or she has knowledge; divulge to pupils his or her role with the examination board.

### **Staff working for Exam Boards**

*(Currently no staff involved in exam marking – this is reviewed each year)*

The school/School currently only permits staff to be engaged by the exam boards on the following basis:

- A member of staff must seek permission from the Head/Head Teacher (in his/her capacity as Head of Examination Centre) prior to undertaking any role for an examination board and must seek renewed permission from the Head/Head Teacher each year.
- A member of staff given permission must complete a declaration form for staff involved in public examinations and return it to the Head of Centre who will retain a Register of Staff involved.
- A member of staff given permission must act with utmost integrity and take care to ensure that examination security is not compromised (deliberately or otherwise) and, if teaching pupils who will sit any examination of whose contents the staff member has, or will have, prior knowledge, the staff member must also sign and adhere to the school/School’s internal protocol, as set out below.
- A member of staff given permission must declare any training he or she has received from the examination board concerned and must provide details of the examination board’s applicable Conflict of Interests (or other relevant) policy.