# EXAMINATIONS POLICY

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## Introduction

This examinations policy has been produced in order to rationalise the various procedures associated with examinations during the academic year. In particular, the purpose of this policy is to:

- Ensure that the planning and management of exams are conducted efficiently and in the best interest of candidates
- Ensure the operation of an efficient exam system with clear guidelines for all relevant members of staff

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

This exam policy will be reviewed every year by the Head of Centre / Senior Deputy Head and Examinations Manager. All correspondence relating to this policy document should be sent in the first instance, to the Student Communications.

This document reflects on instructions for conducting examinations in accordance with the Joint Council for Qualifications (JCQ). The instructions are for use in all AEA, GCE, GCSE, ESL, University Foundation Programme and internal examinations. The instructions are additional to any guidelines or regulations the awarding bodies have issued in their booklets or specifications. Should there be any conflict between guidelines, the JCQ regulations shall prevail.

## Exam Responsibilities

**Head of Centre**

Overall responsibility for the school as an exam centre.

- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:
  - General regulations for approved centres (GR)
  - Instructions for conducting examinations (ICE)
  - Access Arrangements and Reasonable Adjustments (AA)
  - Suspected Malpractice in Examinations and Assessments (SMEA)
  - Instructions for conducting non-examination assessments (NEA) (and the instructions for conducting controlled assessment and coursework)
- Ensures the centre has appropriate accommodation to support the size of the cohorts being taught.
- Ensures the National Centre Number Register Annual Update (administered on behalf of the JCQ member awarding bodies by OCR) is responded to by the end of October confirming they are both aware of and adhering to the latest version of the

JCQ regulations and instructions for conducting examinations and approves the Head of Centre formal declaration

- Ensures the Exam Manager (EO) attends appropriate training events offered by awarding bodies, MIS providers and other external providers to enable the exam process to be effectively managed and administered
- Ensures a named member of staff acts as the Special Educational Needs Co-ordinator (SENCo), which shall be referred to as the ALS coordinator
- Ensures centre staff are supported and appropriately trained to undertake key tasks within the exams process
- Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the Exam Manager.
- Ensures "that a teacher who teaches the subject being examined, or a senior member of teaching staff who has had overall responsibility for the candidate's preparation for the examination, is not an invigilator during the timetabled written examination or on-screen test..." [ICE 6]
- Ensures security within the examination process is managed according to JCQ and awarding body regulations, guidance and instructions including:
    - The location of the centre's secure storage unit is in an area solely assigned to examinations
    - The relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk that arrangements are in place to check that the correct question paper packets are opened by authorised members of centre staff.
- Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place (that allows the HoC to act immediately in the event of an emergency or staff absence). Please refer to Appendix 5: Exam Contingency plan.
- Ensures required internal appeals procedures are in place. Please refer to Appendix 7: Internal Appeals Procedures.
- Ensures a disability policy for exams showing the centre's compliance with relevant legislation is in place. Please refer to Appendix 3: Disability Policy.
- Ensures a complaints and appeals procedure covering general complaints regarding the centre's delivery or administration of a qualification is in place. Please refer to Appendix 11: Complaints & Appeals procedure.
- Ensures the centre has a child protection/safeguarding policy in place, including Disclosure and Barring Service (DBS) clearance, which satisfies current legislative requirements. Please refer to Safeguarding and Child Protection Policy 2017-02-07_signed.pdf on Shackleton or available in print from the Exam Manager
- Ensures the centre has a data protection policy in place. Please refer to Appendix 13: GDPR (Exams) policy.
- Ensures the centre has documented processes in place relating to access arrangements and reasonable adjustments. Please refer to Appendix 1: Access Arrangements Policy.

- Ensures staff are only entered for qualifications through the centre as a last resort where entry through another centre is not available
- Ensures the appropriate steps are taken where a candidate being entered for exams is related to a member of centre staff
- Ensures members of centre staff do not forward e-mails and letters from awarding body or JCQ personnel without prior consent to third parties or upload such correspondence onto social media sites such as Facebook
- Ensures members of centre staff do not advise parents/candidates to contact awarding bodies/JCQ directly

**Senior Deputy Head**

- Advises on appeals and reviews of marking.
- Ensure all members of staff and students are aware of exam protocols.

**Heads of Department**

- Oversee and manage all exam entries, mark sheets and adherence to deadlines, as set by the Awarding Organisation(s) and school
- Oversee and manage completion of predicted grade forms, internal mark sheets and declaration/authentication of work forms
- Provide guidance and pastoral oversight of candidates, who are unsure about exam entries or amendments to entries

Should be familiar with the contents, refer to and direct relevant centre staff to annually updated JCQ publications including:

- General regulations for approved centres
- Instructions for conducting examinations
- Access Arrangements and Reasonable Adjustments
- Suspected Malpractice in Examinations and Assessments
- Instructions for conducting non-examination assessments (and the instructions for conducting controlled assessment and coursework)

HoDs should nominate a departmental/subject representative to be in attendance at the beginning of their specific examinations. These subject representatives should wait outside the exam room and must not interfere with the work of the invigilators or read the exam paper.

HoDs are involved in post-results procedures

**Teaching Staff**

Provide accurate and timely submission of all exam entries through Heads of Department as appropriate.

**Additional Learning Support (ALS) Co-ordinator**

- Administration of Access Arrangements
- Identification and testing of candidate requirements for access arrangements

- Organisation of any additional support, to assist candidates achieve their course aims
- Responsibility for informing Exam Manager of all candidates who have had an access arrangement application and supplying confirmation of exam requirements
- Provision of JCQ J8 Forms to Exams Office for each candidate with access arrangements
- Instructing candidates to sign the Data Protection Notice before the AAO application is been made

**Senior Deputy Head**

- Advises and manages the examinations policy ensuring all processes are adhered to, effective and efficient
- Responsible for reporting all suspicions or actual incidents of malpractice to the Head Teacher and ensuring the response is acted upon.

**Deputy Head Teacher Academic**

- Accurate analysis of results and the preparation of all reports on examination results

**Examinations Officer**

- Manages the administration of all public and internal exams
- Advises the SLT, HoDs, subject tutors and other relevant support staff of annual exam timetables and application procedures as set by the various Awarding Organisation(s) (AOs)
- Administration of all examinations, including liaison with AOs, ensuring that all entries are placed in accordance with JCQ deadlines and regulations
- Production and distribution to staff and candidates of an annual calendar/schedule for all exams, in which candidates will be involved
- To remain on-site at all times, when exams are taking place

Understands the contents of annually updated JCQ publications

including:

- General regulations for approved centres
- Instructions for conducting examinations
- Suspected Malpractice in Examinations and Assessments
- Post-results services (PRS)

Is familiar with the contents of annually updated information from awarding bodies on administrative procedures, key tasks, key dates and deadlines

- Ensures key tasks are undertaken and key dates and deadlines met
- Recruits, trains and deploys a team of internal/external invigilators; appoints lead invigilators, as required and keeps a record of the training provided to

invigilators for the required period

- Ensures awarding bodies are notified before the associated entries are submitted, where a candidate is being taught and prepared for examinations and assessments by a relative or where a relative of exams office staff is being entered for examinations and assessments
- Regular communication with all staff concerning imminent deadlines and events
- Ensure that candidates are informed of and understand those aspects of the exam timetable that will affect them
- Consult with teaching staff to ensure that necessary coursework, controlled assessments, non-examination assessments and endorsements are completed on time and in accordance with JCQ/UFP guidelines
- Provides and confirms detailed data on estimated entries
- Receives, checks and stores securely, all exam papers and completed scripts

**Lead Invigilator/Invigilators**

Are responsible for:

- Maintaining the integrity of the exam
- Reporting to the Exams Office to sign in and out before and after each booked exam
- Collecting and checking exam papers and other exam material from the Exam Manager before the start of each exam
- Distribution of exam papers within the exam hall in accordance with registers and seating plans
- Completion of exam registers
- Recording the details of each exam in the Exam log book including full reports on any incidents of malpractice
- Collection of all exam papers and scripts in the correct order at the end of each exam and their safe return to the Exam Manager
- Upholding the 'Rules and Guidance for Invigilators' as outlined by the Exam Manager and the 'Instructions for Conducting Examinations' (ICE) Yellow JCQ booklet

**Candidates**

- Candidates are responsible Checking and confirmation of their exam statement of entries
- Checking their own exam timetables through Student Portal and attending all scheduled exams
- Informing the Exam Manager/HoDs if they wish to be withdrawn from a particular exam
- Understanding coursework regulations and signing a declaration, authenticating internally produced work as their own

## Qualifications Offered

Qualifications currently offered include A Level, University Foundation, ESL (IELTS and Cambridge Main Suite) qualifications and (I) GCSEs.

The subjects offered for these qualifications in any academic year may be found in the centre's published prospectus for that year. If there are any changes to the specification followed, from the previous year, the Exam Manager must be informed by HoDs, during the first week of the new academic year.

Decisions on whether a candidate should not take an individual subject exam will be taken in consultation with the candidate, parents, HoDs and the Deputy Head Teacher(Academic).

## Examination Seasons and Timetables

**Exam Seasons**

Internal and mock exams are scheduled as announced in the annual academic calendar for the school.

External exams are scheduled for May/June.

**Timetables**

Once confirmed, the Exam Manager will circulate exam timetables for all internal and external exams. These will be sent out by email directly to students, and will be available on Shackleton, and Student Portal

## Entries, Late Entries, Amendments and Examination Fees

**Entries**

The Exam Manager will send a download of class lists to HoDs to request entries for each exam subject. Candidates are selected for their exam entries by teaching staff through the Heads of Department (HoDs). The returned list of exam entries must clearly indicate which students are to be entered for each paper and the overall qualification. The Exam Manager will not make changes to entries unless instructed to do so in writing by the appropriate person.

Candidates and/or parents can request a subject entry, change of level or withdrawal. Such requests should be submitted in writing to the Exam Manager.

**Late Entries**

Entry deadlines are circulated to HoDs and Teaching staff via email and school academic calendar. Late entries must be authorised by the Deputy Head Teacher(Academic) or the

Principal

**Exam Fees (including late, amendment and withdrawal fees)**

Candidates pay for all normal exam fees.

All late entry and amendment fees are paid by the Department, unless a candidate/parent has requested the change, in which case the candidate will pay.

## The Disability Discrimination Act (DDA), Equalities Act, Special Needs and Access Arrangements

**DDA**

The Disability Discrimination Act 2005 and the Equalities Act, extends the application of the DDA to general qualifications. All exam centre staff must ensure that the access arrangements and special consideration regulations and guidance are consistent with the law.

**Special Educational Needs**

A candidate's special needs requirements are determined by the Additional Learning Support Co- Ordinator.

The Additional Learning Support Co-ordinator will inform subject teachers of those candidates who are embarking on a course leading to a public examination and who have special educational. The Additional Learning Support Co-ordinator will then inform individual staff of any special arrangements that individual candidates can be granted during the course and in the exam.

**Access Arrangements**

Candidates, who may require access arrangements, are identified during the admissions process. Making special arrangements for candidates to take exams is the responsibility of the Additional Learning Support Co-ordinator through the initial screening tests and subsequent testing. Submitting completed access arrangement applications to the awarding bodies by the specified Awarding Organisation deadlines and notifying the Exam Manager, is the responsibility of the Additional Learning Support Co-ordinator. The Exam Manager is responsible for ensuring that access arrangements are applied to each exam taken by these candidates.

Rooming for access arrangement candidates will be organised by the Exam Manager in liaison with the Additional Learning Support Co-ordinator. Those using laptops will be strategically placed as to not disturb others with the sound of typing. The Additional Learning Support Co-ordinator should inform the Exam Manager of any candidates which require a separate room as standard.

Invigilation and support for access arrangement candidates will be organised by the Exam

Manager in liaison with the Additional Learning Support Co-ordinator.

## Coursework, Controlled assessments and Non-Exam Assessments (NEA), Internal Assessments & Endorsements ( Do online exams come under controlled assessments?- Cambridge Assessment English Language exams?)

**Coursework/NEA/Controlled Assessments**

- Candidates, who have to prepare coursework, will do so by the date stipulated by the JCQ/Awarding Organisation(s)
- HoDs must ensure that all coursework and relevant paperwork is completed and returned to the Exam Manager by the required date.
- Teaching staff must use the JCQ documents: Instructions for conducting controlled assessments, instructions for conducting coursework and instructions for conducting non-examinations assessments. These are publically available from the JCQ website and the Exams Office upon request.
  For more information, please refer to *Appendix 2: Controlled Assessment Policy* and *Appendix 8: Non-Examination Assessment Policy.*

**Internal Assessments and Endorsements**

- Marks for all internally assessed coursework, are forwarded to the Exam Manager by the HoDs and will be recorded in a coursework mark log. Internally assessed grades for formative units are recorded on the departmental trackers and copies of these must be made available to the External moderators by the required date.

Internally assessed marks will be released to students, before the results are submitted to the Awarding Organisation, in line with guidance set-out in *Appendix 7: Internal Appeals Procedure.* Appeals can be logged using the Internal Appeals Form, found in *Appendix 8: Internal Appeals Form.* As per UAL guidelines, no final unit assessments can be released to students. Student appeals can be made in line with UAL policy following results day in August.

## Examination Centre Organisation

Examination or other assessment processes are an important part of all courses, in that student success is dependent on them. Therefore, the school must ensure that all such processes are robust and secure.

**Safe Custody of Question Papers and Other Examination Materials**

Each question paper and examination material delivery must be checked carefully upon receipt and the Awarding Organisation(s) notified immediately, if there are any discrepancies or any other cause for concern such as:

- Discrepancies between the material received and the advice note
- The material received does not meet the agreed requirements
- The material has been damaged rendering it unfit for use
- There is evidence of a breach of security

**Security**

Reception staff are responsible for ensuring that the Exam Manager is notified as soon as a delivery from the Awarding Organisation(s) arrives and that the delivery is recorded on the Exams delivery log. The delivery must be held securely in Reception until the EO or another member of Exams Staff can collect it. This must then be signed out and taken to the Exams Office for checking.

Examination papers must be locked away, ideally in lockable, fireproof, non-portable strong metal cabinets. Cabinets must be in a secure room with access restricted to key holders. Ideally, the room should be windowless. Where there are windows, arrangements must be made for them to be fitted with an effective security device (e.g. Metal bars). The door to the room should be of solid construction, have secure hinges and be fitted with a security lock. Only the following members of staff are authorised to have access to the Exam Store, one of whom must be the Exam Manager:

- Principal
- Vice Principal
- Deputy Head Teacher(Academic)
- Deputy Head Teacher(Admission and Administration)
- Exam Manager

No other employee or contractor is permitted in the store without direct supervision.

The Exam Manager must be informed immediately if the securities of the examination papers or confidential ancillary instructions are put at risk by fire, theft, loss, damage, unauthorised disclosure or any other circumstances.

The packets of examination papers and other examination material must not be opened more than four hours before the time appointed for the examination concerned, except where otherwise instructed. Strict precautions must be taken to safeguard examination papers after they have been opened. In particular, they must not be removed from the school and when not in use, must be kept in a secure area.

Examination stationery will be provided by the Awarding Organisation(s). Such material must be stored securely at all times, so that no unauthorised person has access to them.

**Timetable Start Times and Variations**

All morning and afternoon exams will begin at 9.00am and 1.30pm respectively, apart from CIE, at which students must be under formal supervision at the key time for the relevant administrative zone. For timetable variations, please refer to the JCQ ICE booklet for guidance.

If candidates are permitted to take an examination in a different session from other candidates, all copies of the question paper used in the earlier session must be recovered, sealed in an envelope and returned to secure storage.

**Use of Calculators**

Students will be expected to provide their own calculators to examinations. The school does hold a small number of calculators available for loan in examinations. However, the school will not take responsibility in the case of calculator failure or if the back-up supply is depleted. See the 2020/21 guidance on calculators below.

<table>
<tr>
<td>Calculators must be:<ul><li>of a size suitable for use on the desk;</li><li>either battery or solar powered;</li><li>free of lids, cases and covers which have printed instructions or formulas.</li></ul></td>
<td rowspan="2">Calculators must not:<ul><li>be designed or adapted to offer any of these facilities: -<ul><li>language translators;</li><li>symbolic algebra manipulation;</li><li>symbolic differentiation or integration;</li><li>communication with other machines or the internet;</li></ul></li><li>be borrowed from another candidate during an examination for any reason;*</li><li>have retrievable information stored in them - this includes:<ul><li>databanks;</li><li>dictionaries;</li><li>mathematical formulas;</li><li>text.</li></ul></li></ul></td>
</tr>
<tr>
<td>The candidate is responsible for the following:<ul><li>the calculator's power supply;</li><li>the calculator's working condition;</li><li>clearing anything stored in the calculator.</li></ul></td>
</tr>
</table>

**Resources for Examinations**

Resources other than calculators may be permitted for some papers, as stipulated in the exam paper notes. These may include dictionaries and editions of set texts. Candidates should be informed in advance that they are responsible for bringing with them any materials stipulated as required for the examination. Possession of unauthorised material in an examination, whether for intended use or not, constitutes an infringement which will be subject to penalty and possible disqualification.

Prohibited electronic communication/storage devices now include wristwatches with a data storage device. Any internet-enabled device is barred from the Exam Room. These must be left in a designated cloakroom, but the school will not accept responsibility for items left and are damaged or lost as a consequence.

**Examination Locations**

All candidates must sit the examination in the location as detailed on their personal timetable/statement of entry.

The location standards for examinations are as follows:

- The Operations Manager is responsible for the ensuring all allocated exams rooms are set up as per the Exams Office request in accordance with JCQ regulations.

- Due attention must be paid to such matters as heating, lighting, ventilation and the level of extraneous noise
- No display material, which might be helpful to candidates, must be visible in the examination
- Reliable clocks must be visible to each candidate in the examination room
- A board showing the centre number, examination paper title and code and the starting and finishing times of each examination be visible to all candidates
- The seating arrangements must be such as to allow all candidates to face the same direction and prevent candidates from overlooking, intentionally or otherwise, the work of others. The minimum permissible distance between desks (centre-to-centre) is 1.25 m
- Each candidate should have a separate desk or table, of sufficient size to accommodate question papers, maps and answer booklets
- Candidates will be seated in candidate number order

The aforementioned standards also apply to Additional Learning Support candidates who may be located differently.

## Invigilation Arrangements

The recruitment of Invigilators is the responsibility of the Exam Manager and HR Manager. The necessary Disclosure and Barring Service (DBS) clearance for new invigilators is the responsibility of the HR Manager. DBS fees will be paid by the School.

The Exam Manager through the Head of Centre, must ensure that invigilation is carried out by suitably qualified and experienced adults. Whilst the Head of Centre has discretion to decide who is suitably qualified and experienced, any relative of a candidate in the examination room is specifically not eligible to serve as an invigilator.

Relevant invigilator training sessions and briefings will be given annually by the Exam Manager.

The invigilator is the person in the examination room responsible for the conduct of a particular examination session in the presence of the candidates. Invigilators must give their whole attention to the proper conduct of the examination. Invigilators are not to perform any additional task in the examination room, talk to each other except in relation to the examination in progress.

Sufficient invigilators must be appointed to ensure that the examination is conducted in accordance with the following requirements:

- At least one invigilator must be present for every 30 candidates or part thereof
- Invigilators may be changed, provided that the number present does not fall below the number prescribed
- When only one invigilator is present, he/she must be able to summon assistance easily, without leaving the examination room and without disturbing the candidates

- Arrangements must be such that each candidate in the examination room can be observed by an invigilator at all times
- Invigilators must be familiar with the JCQ Regulations, which govern guidelines for examinations

If the number of candidates is over 30 in a given location, an experienced invigilator should be assigned the role of Lead Invigilator. Lead Invigilators should:

- Make their presence and identity known to other invigilators upon arrival in the examination location or staff room
- Be on duty throughout the examination
- Co-ordinate the start and finish of the examination in accordance with agreed protocols
- Take responsibility for resolving any problems, which may arise during the examination

Examination rules cannot be exhaustive and cover every eventually. If a situation arises, which is not covered by the rules, or if for any reason the rules cannot be wholly applied, invigilators must use their discretion, with guidance from the Exam Manager if necessary, within the principle that whatever decision is taken, the candidates are not disadvantaged. Any such irregular decisions should be noted in the exam room log book.

Invigilators must be in the examination location at least 30 minutes before the start of each examination period, to ensure that all requisite administrative functions have been undertaken; for example, that all necessary stationery, etc. is available and distributed to candidates' desks before candidates are admitted to the examination room.

Invigilators must exercise constant vigilance; they should, from time-to-time, move about the examination room at random, bearing in mind the importance of causing minimum disturbance to students. They should occasionally inspect matter on candidates' desks.

Invigilators must ensure that all examination scripts and unused books are collected at the end of the examination. Completed scripts must not be left unattended in the examination room after the examination has ended.

## Conduct during Examinations

All examinations must be carried out in accordance with JCQ Regulations.

**General**

Invigilation is an essential task to ensure the proper conduct of examinations. As such:

- Exam papers must not be read by Tutors, or removed from the exam room. Exam question papers may be collected from the Exams Office by HoDs, 24 hours after the exam has taken place in accordance with JCQ regulations.
- Candidates must observe all instructions given by an invigilator
- A candidate who wishes to attract the attention of an invigilator shall remain seated and raise a hand

- If the Lead Invigilator is in doubt about the identity of a candidate during the exam, the Exam Manager should be informed immediately. The candidate should be allowed to take the paper and held at the end of the exam to meet with the Exam Manager or a member of the teaching staff, who will verify their identity
- Any candidate alleged to have committed an offence under these regulations, could be subject to disciplinary/administrative procedures

**Identification of Candidates**

The invigilators must be satisfied as to the identity of every candidate attending each examination session. Students should bring their Student Identification Card with them to all examinations as proof of Identity. Please refer to: *Appendix 12: Procedure to verify the identity of all candidates* for further guidance.

**Entering and Leaving Examination Rooms**

Invigilators must ensure that the following rules are adhered to:

- Candidates may be admitted to the examination room not more than 15 minutes before the start of the examination, except in approved cases where extra time has been allowed for a candidate to start the paper earlier.
- Candidates who have arrived one hour or more after the exam start time will be allowed to sit the exam. However, the Exam Manager must be informed immediately by the Lead Invigilator. A very late entry form will be completed and sent to the Awarding Organisation. Whether the very late candidate is disqualified from the examination is decided by the Awarding Body.
- Candidates are expected to stay in the exam room until the full duration of the examination has passed, candidates cannot leave early. Candidates, who leave the examination room without the permission of an invigilator, will be deemed to have withdrawn from the examination and will not be permitted to re-enter the examination room. Students wishing to use the bathroom or who feel unwell must raise their hand to get the attention of an invigilator.
- All answer books (used and unused), are to be collected from candidates before they are permitted to leave the examination room

**Examination Stationery and Materials**

The invigilator must take all reasonable steps to ensure that:

- All work, including rough work, is done in the answer books provided. Additional sheets of paper, such as graph paper and drawings, must be clearly marked with the candidate's student number and fixed to the relevant answer book
- Pages may not be removed from an answer book, nor may an answer book be removed from the examination room
- Mathematical tables, charts and other relevant texts, which may be provided for candidates' use, are the property of the school and may not be removed from the

examination room.

- Only permissible aids, such as calculators are used by the candidates. Guidance about what constitutes a permissible aid will be provided on the examination paper and/or by the examination invigilators. A candidate, who brings into the examination a calculator other than a type specified in the examination notes, commits an offence under the JCQ Regulations.

**Unauthorised Materials**

- Unauthorised materials and mobile phones, in particular, whether or not switched on or within reach constitute an infringement of the regulations.
- Invigilators may inspect any materials or items in the examination room, or in any candidates' possession, at any time during the examination.
- If unauthorised items are taken into the examination room, such items should be placed out of reach of the candidates before the examination commences.

**Starting the Examination**

An examination is deemed to be in progress from the time the candidates enter the room until all scripts have been collected. However, before candidates are permitted to start work, the invigilator must ensure that candidates are seated in accordance with the prescribed seating plan.

In addition, the Lead Invigilator must read to candidates, regulations relating to the conduct of the examination and the behaviour expected of candidates during the examination.

**Attendance Register**

In accordance with JCQ Regulations, the Lead Invigilator must complete the Attendance Register during the examination. If a candidate is not shown on the Attendance Register, he/she may be permitted to sit the examination and their name added to the register.

If a candidate has been entered but is not present for the examination, he/she must be marked as
'Abs' on the Attendance Register. Lead Invigilators will be made aware of clash students who will be sitting the paper in a different session. The attendance register for each paper is only completed once all of the sessions in which the paper has been planned have been completed, including those sessions in which students with clashes sit the paper.

**Behaviour during Examinations**

The following rules must be strictly enforced, to ensure that candidates are not unduly disturbed during an examination:

- Throughout the whole of the examination, silence must be maintained, except when requests for additional answer books, etc. are made. A candidate whose behaviour persistently disturbs other candidates may be excluded from the examination.

- Candidates may not bring food into the examination room except under approved medical conditions. Water is permitted, but all labels must be removed and the liquid inside must be clear.
- A candidate may not communicate in any way with any person other than an invigilator during the examination.
- During the examination, no candidate may retain any article, such as a school bag etc., which is not required for the purpose of the examination. Such articles should be preferably not taken into the examination room. If they are, they must be left in a part of the room, as directed by the senior invigilator, but remain the responsibility of the candidate.
- Unless the examination instructions explicitly state otherwise, candidates are not permitted to bring into the examination room any written notes or other materials, which would be of value in answering examination questions
- Any form of cheating in examinations is malpractice and will be treated as a serious offence by the school and reported to the relevant Awarding Organisation(s)

**Malpractice**

Wherever possible, the invigilator should remove and keep any unauthorised material that a candidate may have in the examination room.

The Examinations Officer through the Head of Centre, must report all cases of suspected or actual malpractice. The Head of Centre has the authority to expel a candidate from the examination room, if malpractice may have been committed and in other circumstances if regarded as essential by the Head of Centre. This should only be done in exceptional circumstances or, if a candidate would disrupt other candidates by continuing to be in the examination room.

If candidates have committed malpractice, the awarding organisation may disqualify them or make them subject to other sanctions and penalties.

**Emergencies**

- For guidance on dealing with emergencies in the exam room, please refer to *Appendix 4: Emergency Evacuation Policy.*

**Finishing Examinations**

Candidates will **not** get a five minute warning before the end of the exam. Students must take responsibility for managing their own time during the exam. At the end of the examination, candidates should be told to:

- Stop writing. Allow candidates who arrived late and have been permitted the full working time to do their examination, to continue after the normal finishing time and inform them to stop writing after the extra time allowed has passed.
- Make sure that they have included necessary information on their scripts, including any loose sheets
- Make sure their answers are correctly numbered

- Fasten any loose answer sheets including supplementary answer sheets to the back of their answer booklet with a treasury tag. Paper clips or staples must not be used
- When all scripts have been collected, the Lead Invigilator should instruct the candidates to leave the hall collecting their belongings on the way out. Once collected, scripts should be placed in the order shown on the Attendance Register and checked to ensure that all scripts are present and that candidates have used their correct candidate numbers. After collation, the scripts should be handed to the Exam Manager for despatch to the Awarding Body.

**Administration, packing and Sending of Scripts**

The Exam Manager is to ensure that:

- The correct envelopes provided by the appropriate awarding body are used
- The relevant attendance registers are sent with the scripts
- Envelopes are fastened securely
- Scripts are sent to the appropriate examiner without delay within one working day from the end of the examination
- Scripts are kept securely if kept overnight
- Packages are sent by Parcelforce, logging all parcels on the exam despatch record/ obtaining a certificate of posting for each package. This certificate should be kept until results are published
- All relevant seating plans, registers, exam details and any relevant notes are filed accordingly and retained until results have been received

## Results, Certificates, Enquiries about Results (EARS) and Access to Scripts (ATS)

**Results**

- Individual student results will be promulgated on the Student Portal
- All individual candidate statement of results (electronic copy) received for the summer exams, will be despatched by email to students only upon request, unless the Exam Manager is requested to do otherwise. A parent, if authorised by the student, can receive the statement of results on behalf of the student. The school will not forward results to any other party.

**Certificates**

- Candidates may request that they receive their examination results via the postal service. Such requests must be made in writing to the Examinations Officer. For addresses within the UK, certificates will be despatched by recorded delivery. For addresses outside of the UK, following a receipt of the £50 fee, certificates will be despatched by DHL.
- Certificates may not be collected on behalf of a candidate by a third party unless written

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permission is received by email from the personal address associated with the student's account
- Certificates will not be withheld from students who owe fees

**Enquiries about Results (EARs)**

- EARs for general qualifications may be requested by the School or the candidate.
- If reasonable grounds exist for such a request, the request will be approved by the Deputy Head Teacher(Academic) and the EAR will be made by the School.
- When the School does not recognise that there are reasonable grounds a candidate may still apply to have an enquiry, however, the candidate will be charged independently for this application.

**Access to Scripts (ATS)**

- After the release of results, candidates may ask the HOD to request the return of papers. Requests must made in writing within 3 days.
- If a result is queried, the Exam Manager in conjunction with the HOD and Deputy Head Teacher(Academic), will investigate the feasibility of asking for a review of marking at the candidate's expense.
- Centre staff may also request scripts for investigation or, for teaching purposes. For the latter, consent from the candidate must be obtained and the fee charged to the relevant department.

**Planning and Managing Controlled Assessments**

- All regulations from JCQ must be followed and will be overseen by relevant staff and the examinations officer who will ensure risks are managed effectively and maintain examination integrity. Please see *Appendix 2: Controlled Assessments Policy and Risk Assessment* for further guidance.

## Child Protection & Safeguarding Inc. DBS clearance

CATS SCHOOLS is committed to safeguarding and promoting the welfare of children and young people and expect everyone connected with the School/s to share this commitment. Please refer to the *Safeguarding and Child Protection Policy 2023-02-23_signed,* which can be accessed by navigating to CATS Cambridge Policies.

APPENDIX 1

## ACCESS ARRANGEMENTS POLICY

| | |
|---|---|
| Updated | October 2023 |
| Next Review Date | September 2024 |
| Approved by Principal | Yes |
| Key Staff | VP, Deputy Head Teacher(Academic),<br>Deputy Head Teacher(Admission and Administration)<br>Exam Manager |
| Lead Staff for Review | Deputy Head Teacher(Academic) |

## What are Access Arrangements and Reasonable Adjustments

**Access arrangements**

"Access arrangements are agreed before an assessment. They allow candidates with special educational needs, disabilities or temporary injuries to access the assessment and show what they know and can do without changing the demands of the assessment. The intention behind an access arrangement is to meet the particular needs of an individual candidate without affecting the integrity of the assessment. Access arrangements are the Head Teacherway in which awarding bodies
comply with the duty under the Equality Act 2010* to make 'reasonable adjustments'."

[AA Definitions, page 3]

**Reasonable adjustments**

"The Equality Act 2010 requires an Awarding Body to make reasonable adjustments where a disabled person would be at a substantial disadvantage in undertaking an assessment.

A reasonable adjustment for a particular person may be unique to that individual and may not be included in the list of available Access Arrangements.

How reasonable the adjustment is will depend on a number of factors including the needs of the disabled candidate/learner. An adjustment may not be considered reasonable if it involves unreasonable costs, timeframes or affects the security or integrity of the assessment.

There is no duty on the Awarding Bodies to make any adjustment to the assessment objectives being tested in an assessment."

[AA Definitions, page 3]

## Purpose of the Policy

The purpose of this policy is to confirm that CATS Cambridge fulfils *"its obligations in respect of identifying the need for, requesting and implementing access arrangements."*

[JCQ '*General regulations for approved centres*' Chapter5.5] This document is further referred to in this policy as GR

The policy is annually reviewed to ensure that arrangements are carried out in accordance with the current edition of the JCQ publication
*"Adjustments for candidates with disabilities and learning difficulties Access Arrangements and Reasonable Adjustments"*

This publication is further referred to in this policy as AA.

## Disability Policy (Exams)

A large part of the access arrangements policy is covered in the Disability Policy (Exams) which covers staff roles and responsibilities in identifying the need for, requesting and implementing access arrangements and the conduct of exams. See Disability Policy (Exams), *Appendix 3* of the Examinations Policy.

The access arrangements policy further covers the assessment process and related issues in more detail.

## The Assessment Process

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

- An access arrangements assessor who has successfully completed a post-graduate course at or equivalent to Level 7, including at least 100 hours relating to individual specialist assessment. An access arrangements assessor may conduct assessments to be recorded within Section C of Form 8; and/or
- An appropriately qualified psychologist registered with the Health & Care Professions Council who may conduct assessments to be recorded within Section C of Form 8 and where necessary undertake full diagnostic assessments; and/or
- A specialist assessor with a current SpLD Assessment Practising Certificate, as awarded by Patoss, Dyslexia Action or BDA and listed on the SASC website, who may conduct assessments to be recorded within Section C of Form 8 and where necessary undertake full diagnostic assessments.

And;

> An access arrangements assessor must have successfully completed a post-graduate course at or equivalent to Level 7, including at least 100 hours relating to individual specialist assessment, which must include training in all of the following:

- The theoretical basis underlying psychometric tests, such as the concepts of validity and reliability; standard deviations and the normal curve; raw scores, standard scores, quotients, percentiles and age equivalent scores; the concept of statistically significant discrepancies between scores; standard error of measurement and confidence intervals;
- The appropriate use of nationally standardised tests for the age group being tested;
- The objective administration of attainment tests which can be administered individually. This must include tests of reading accuracy, reading speed, reading comprehension and spelling. Appropriate method of assessing writing skills, including speed, must also be covered;
- The appropriate selection and objective use of tests of cognitive skills, see paragraph 7.5.12, page 86;

- The ethical administration of testing including the ability to understand the limitation of their own skills and experience, and to define when it is necessary to refer the candidate to an alternative professional

[AA 7.3]

## The Qualifications of the Current Assessor

- Diploma for Teachers of Pupils with Specific Learning Difficulties (Dip RSA)
- Postgraduate Diploma in Women's Studies
- Certificate in Education

**Checking the qualification(s) of the assessor(s)**

- Qualifications are checked at initial interview
- They are photocopied at the time of employment and kept on the school system, can be accessed by emailing the school administrator
- The qualifications recognised qualification that are awarded by

the BDA. The ALS teacher/assessor also has AMBDA status

## How the Assessment Process is Administered

- Students are referred in 3 ways
- Teacher referral
- Self (student) referral
- Admission: Documents received from home country on admission
- Referred students are assessed by an appropriately qualified specialist teacher.
- Tests include those approved to assess Ability, Attainment and Diagnosis.
- A detailed report is produced showing quantitative and qualitative information plus recommendations for support.
- Some referred students are assessed by an outside agency depending on the nature of the assessment needed. Subsequent assessment reports are stored on the ALS system and the report information is disseminated to required teaching staff including recommendations to support learning.
- Assessment result scores are also available on the ALS register
- Interventions are put in place where needed and students needing extra learning support are timetabled according to need
- Students with an LD or needing learning support are included on a register which is updated and circulated to staff termly. The register includes scores from assessment reports.
- Access Arrangements are put in place for all appropriate students

**Private candidates are not accepted at CATS Cambridge.**

## Recording Evidence of Need

Evidence for GCSE and A Level is collected in the following ways:

- On the JCQ Form 8
- On a Test Results form (displays standard scores achieved in assessment tests)
- In individual written reports

- Work samples from teaching staff
- On a ALS register (additional learning support)
- The data is gathered by the ALS Co-ordinator
- Hard and soft copies are available

**Note:**

"Completing Form 8 – JCQ/AA/LD, Profile of Learning Difficulties…

Only Form 8 is acceptable. Spreadsheets, e-mail messages, centre devised equivalents of Form 8,
educational psychologists' reports and other reports are not acceptable for inspection purposes…"
[AA 7.6]

"A privately commissioned assessment carried out without prior consultation with the centre cannot be used to award access arrangements and cannot be used to process an application using Access arrangements online.

The ALS Coordinator must complete at least a 'skeleton' Section A of Form 8 prior to the candidate being assessed (Section C of Form 8)… Where a privately commissioned report, or a report from an external professional, is rejected by a centre, the head of centre or a member of the senior leadership team should provide a written rationale supporting their decision to the parent/carer. [AA 7.3]

## Gathering Evidence of Normal Way of Working

**Students undergo an assessment:**

The evidence is gathered by the ALS Co-ordinator

- Up to date standardised tests recommended by PATOSS/Dyslexia Action are used to produce attainment scores.
- Data gathered is displayed on a Test Results Form
- Individual reports are written describing the findings
- Individual lessons are provided where necessary
- Work samples are gathered
- The evidence is stored in both hard and soft copies

## Processing Applications for Access Arrangements

**Access arrangements online (AAO)**

- Applications are submitted once the evidence is gathered.
- The ALS co-ordinator is responsible for making the applications
- The necessary information is gathered prior to application
- Application approvals are printed off and placed in the student files in hard and soft copy

- Files are located in the ALS office and on the school computer

system Applications requested have, so far, been granted

## Centre-delegated Access Arrangements

Information and evidence to support centre delegated arrangements is gathered, recorded and stored in individual student files in the ALS office

## Word Processor Policy (Exams)

An exam candidate may be approved the use of a word processor where this is appropriate to the candidate's needs and not simply because this is the candidate's preferred way of working within the centre.

The school has its own form on which the policy is explained and the conditions under which the use of a laptop is approved according to JCQ regulations. See Appendix 10: Word processor policy (exams)

The school records the rules stipulated by the JCQ on a headed school form.

- A form is completed for those students who are approved to use a laptop according to JCQ regulations.

The form is stored in the students' folders

## Separate Invigilation within the Centre

A decision where an exam candidate may be approved separate invigilation within the centre will be based on whether the candidate

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

*[AA 5.16]*

The school would make this decision based on:

- The needs/difficulty/impairment of the individual student
- The evidence gathered to describe the need
- The advice and examples described in the JCQ regulations

APPENDIX 2

# POLICY FOR THE MANGEMENT OF CONTROLLED ASSESSMENTS

| | |
|---|---|
| Updated | October 2023 |
| Next Review Date | September 2024 |
| Approved by Principal | Yes |
| Key Staff | VP, Deputy Head Teacher(Academic), Deputy Head Teacher(Admission and Administration), Exam Manager |
| Lead Staff for Review | Deputy Head Teacher(Academic) |

## Purpose of the Policy

This purpose of this policy is to:

- Identify staff responsibilities in planning and managing GCSE controlled assessments;
- [Taken from JCQ GCSE controlled assessments - Outlining staff responsibilities ]
- Examine potential risks and issues relating to the implementation of controlled assessment for GCSE qualifications and how these might be managed and mitigated through forward planning and remedial actions.

  [Taken from JCQ GCSE controlled assessments - Risk management process]

This policy complies with JCQ's 2017/18 General Regulations 5.8 in that the centre is required to "have in place, and be available for inspection purposes, a written policy with regard to the management of GCSE controlled assessments".

**This policy does not cover specific instructions for conducting controlled assessments which are provided by JCQ and awarding bodies.**

## Staff Responsibilities in Planning and Managing GCSE Controlled Assessment (legacy GCSE qualifications)

- **Senior Leadership Team - Deputy Head Teacher(Academic) 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 Heads of Department/subject 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
- Publish and update the internal appeals policy, which covers controlled assessments, see Appendix 7: Internal appeals procedures

**Heads of Department**

- Decide on the awarding body and specification for a particular GCSE.
- 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 contextualize 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).
- Supply the exams office with all relevant, completed paperwork by the internal deadline.
- 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 appropriate special educational needs coordinator (ALS Coordinator)

for any assistance required for the administration and management of access arrangements.

**Exam Manager**

- 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 mark sheets for teaching staff to use, and collect and send mark sheets 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.

**ALS Coordinator**

- Ensure access arrangements have been applied for
- Work with teaching staff and exams office to ensure requirements for support staff are met by sending a list of students who require access arrangements to Heads of Department and the Exam Manager.

## Risk Management Process

| Example risks and issues | Possible remedial action | | Staff |
|---|---|---|---|
| | Forward planning | Action | |
| **Timetabling** | | | |
| Controlled assessment schedule clashes with other activities | Plan/establish priorities well ahead (e.g. at the start of the academic year) | Plan dates in consultation with school calendar – negotiate with other parties | Deputy Head Teacher(Academic), HoDs, EO, |
| Too many controlled assessments close together across GCSE subjects | Plan controlled assessments so they are spaced over the duration of the course | Space controlled assessments to allow candidates sometime between them | Deputy Head Teacher(Academic), HoDs, EO |
| **Accommodation** | | | |
| Insufficient space in classrooms for candidates | Once the size of the cohort is known at the start of the year, flag instances where regular classroom space may not be suitable to conduct controlled assessments | Use more than one classroom or multiple sittings where necessary | HoDs, EO, Deputy Head Teacher(Admission and Administration) |
| Insufficient facilities for all candidates | Careful planning ahead and booking of rooms / centre facilities | | EO, Deputy Head Teacher(Admission and Administration) |

| Example risks and issues | Possible remedial action | | Staff |
|---|---|---|---|
| | Forward planning | Action | |
| **Downloading awarding body set tasks** | | | |
| 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 | EO, IT Support |
| Teaching staff unable to access task details | Test secure access rights ahead of controlled assessment schedule every year and every session | Ensure teaching staff have access rights for the correct area of awarding body secure extranet sites well ahead of the controlled assessment schedule | EO, Teaching staff |
| Loss of task details in transmission | Download tasks well ahead of scheduled assessment date | Contact awarding body and ask for replacement task; download again | EO |
| **Absent candidates** | | | |
| Candidates absent for all or part of assessment (various reasons) | Plan alternative session(s) for candidates | | AP(A), EO, Teaching staff |

| Example risks and issues | Possible remedial action | | Staff |
|---|---|---|---|
| | Forward Planning | Action | |
| **Control levels for task taking** | | | |
| The 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 | HoDs, EO |
| **Supervision** | | | |
| Student study diary/plan not provided or completed* | Ensure teaching staff 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 | Teaching staff |
| Teaching staff do not understand that the supervision of controlled assessments is their responsibility | Ensure teaching staff fully understand the nature of controlled assessments and their role in supervising assessments | | HoDs |
| A suitable supervisor has not been arranged for an assessment where teaching staff are **not** supervising | A suitable supervisor must be arranged for any controlled assessment session where a teacher is not supervising, in line with the awarding body's specification | | EO/ Deputy Head Teacher(Admission and Administration) |

| Example risks and issues | Possible remedial action | | Staff |
|---|---|---|---|
| | Forward planning | Action | |
| **Task setting** | | | |
| Teaching staff fail to correctly set tasks | Ensure teaching staff fully understand the task setting arrangements as defined in the awarding body's specification** | Seek guidance from the awarding body | HoD |
| Assessments have not been moderated in line with the awarding body's specification | Check specification and plan required moderation appropriately | Seek guidance from the awarding body | HoD |
| **Security of materials** | | | |
| Assessment tasks not kept secure before assessment | Ensure teaching staff fully understand the importance of task security | Contact the awarding body to request/obtain different assessment tasks | EO, Teaching staff |
| Candidates' work not kept secure during or after assessment | Define the appropriate level of security, in line with the awarding body's requirements, for each department as necessary | Seek guidance from the awarding body | EO, Teaching staff |
| Insufficient or insecure storage space | Look at provision for suitable storage at the start of the GCSE course | Find alternative storage within the centre | EO |

All tasks whether set by the awarding body or the centre **must** be developed in line with the requirements of the specification.

| **Example risks and issues** | **Possible remedial action** | | **Staff** |
|---|---|---|---|
| | **Forward planning** | **Action** | |
| **Deadlines** | | | |
| Deadlines not met by candidates | Ensure all candidates are briefed on deadlines and the penalties for not meeting them | Mark what candidates have produced by the deadline<br>Seek guidance from awarding body on further action | Teaching staff |
| Deadlines for marking and/or paperwork not met by teaching staff | Ensure teaching staff are given clear deadlines (prior to the awarding body deadline) to complete marking/paperwork (Marks can then be processed and submitted ahead of awarding body deadlines) | Seek guidance from awarding body | HoDs, Deputy Head Teacher(Academic) |
| **Authentication** | | | |
| Candidate fails to sign authentication form | Ensure all candidates have authentication forms to sign | Find candidate and ensure authentication form is signed | Teaching staff, EO |

| | | | |
|---|---|---|---|
| | Ensure that the authentication form is securely attached to their work when it is completed and handed in for marking | | |
| Teaching staff fail to complete authentication forms or leave before completing the authentication process | Ensure teaching staff fully understand the importance of authentication forms and the requirement of a signature | Return the authentication form to the teacher for signature<br>Ensure authentication forms are signed as work is marked | Teaching staff, EO |

| **Example risks and issues** | **Possible remedial action** | | **Staff** |
|---|---|---|---|
| | **Forward planning** | **Action** | |
| **Marking** | | | |
| Teaching staff interpret marking descriptions incorrectly | Ensure appropriate training and practicing of marking<br>Plan for sampling of marking during the practice phase | Arrange for re-marking<br>Consult the awarding body's specification for appropriate procedures | HoDs, Deputy Head Teacher(Academic) |
| Centre does not run the standardisation activity as required by the awarding body | Plan against the awarding body's requirements for standardisation, i.e. when and how this activity must be conducted | Check with the awarding body whether a later standardisation event can be arranged | HoDs, Deputy Head Teacher(Academic) |

# APPENDIX 3
# DISABILITY POLICY (EXAMS)

| | |
|---|---|
| Updated | October 2023 |
| Next Review Date | September 2024 |
| Approved by Principal | Yes |
| Key Staff | VP, Deputy Head Teacher(Academic)<br>Deputy Head Teacher(Admission and Administration)<br>Exam Manager |
| Lead Staff for Review | Deputy Head Teacher(Academic) |

## Purpose of the Policy

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

- "Recognises its duties towards disabled candidates as defined under the terms of the Equality Act 2010†. This must include a duty to explore and provide access to suitable courses, submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates.
- †or any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect"

[Quote taken directly from section 5.4 of the current JCQ publication *General regulations for approved centres*]

This publication is further referred to in this policy as GR.

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

- Identifying the need for appropriate arrangements, reasonable adjustments and/or adaptations (referred to in this policy as 'access arrangements')
- Requesting access arrangements
- Implementing access arrangements and the conduct of exams
- Good practice in relation to the Equality Act 2010

## The Equality Act 2010 Definition of Disability

A definition is provided on page 4 of the current JCQ publication Adjustments for candidates with disabilities and learning difficulties Access Arrangements and Reasonable Adjustments

This publication is further referred to in this policy as AA.

## Identifying the need for Access Arrangements

**Roles and**

**responsibilities Head**

**of centre**

- Is familiar with the entire contents, refers to and directs relevant centre staff to the annually updated JCQ publications including GR and AA
- Ensures the assessment process is administered in accordance with the regulations

**Deputy Head Teacher(Academic)**

- Are familiar with the entire contents of the annually updated JCQ publications including GR and AA
- Ensures staff roles, responsibilities and processes in identifying, requesting and implementing access arrangements are clearly defined and documented
- Ensures a appropriately qualified assessor(s) is appointed and that evidence of the qualification(s) of the person(s) appointed is held on file
- Ensures a policy demonstrating the centre's compliance with relevant legislation is in place
- Support the ALS Coordinator in determining the need for and implementing access arrangements
- Defines and documents roles, responsibilities and processes in identifying, requesting and implementing access arrangements (Access arrangements policy)

**ALS Coordinator**

- Has full knowledge and understanding of the contents, refers to and directs relevant centre staff to the annually updated JCQ publication AA
- Ensures the quality of the access arrangements process within the centre
- Leads on the access arrangements process to facilitate access for candidates
- Ensures arrangements put in place for exams/assessments reflect a candidate's normal way of working within the centre
- Ensures the need for access arrangements for a candidate will be considered on a subject by subject basis
- Presents when requested by a JCQ Centre Inspector, evidence of the assessor's qualification
- Works with teaching staff, relevant support staff and the Exam Manager to ensure centre- delegated and awarding body approved access arrangements are put in place for candidates taking internal and external exams/assessments
- Provide information to evidence the normal way of working of a candidate
- Provides appropriate evidence to confirm the need(s) of a candidate

**Assessor of candidates with learning difficulties**

- Has detailed understanding of the current JCQ publication AA
- Conducts appropriate assessments to identify the need(s) of a candidate
- Completes appropriate documentation as required by the regulations of JCQ and the awarding body

**Exam Manager**

- Ensures that all assessments carried out and arrangements put in place comply

with JCQ and awarding body regulations and guidance
- Has detailed understanding of the current JCQ publication AA

**Teaching staff**

- Inform the ALS Coordinator of any support that might be needed by a candidate

## Requesting Access Arrangements

**Roles and responsibilities**

**ALS Coordinator**

- Determines if the arrangements identified for a candidate require prior approval from the awarding body before the arrangements are put in place or if approval is centre-delegated
- Follows guidance in AA Chapter 8 to process approval applications for access arrangements for GCSE and GCE qualifications
- Applies for approval where this is required, through Access arrangements online (AAO), or through the awarding body where qualifications sit outside the scope of AAO
- Ensures appropriate and required evidence is held on file to confirm validation responses in AAO including the completion of JCQ Form 8, where required, and a body of evidence to substantiate the candidate's normal way of working within the centre
- Confirms by ticking the 'Confirmation' box prior to submitting the application for approval that the 'malpractice consequence statement' has been read and accepted
- Makes an awarding body referral through AAO where the initial application for approval may not be approved by AAO, where it is deemed by the centre that the candidate does meet the criteria for the arrangement(s)
- Ensures that arrangements, and approval where required, are in place before a candidate takes his/her first exam or assessment (which is externally assessed or internally assessed/externally moderated)
- Ensure a statement is provided which details the criteria the centre uses to award and allocate word processors for exams
- Ensures that where approval is required that this is applied for by the awarding body deadline
- Provides a policy on the use of word processors in exams and assessments (see word processor (exams) policy
- Ensures the qualified assessor(s) has access to the assessment objectives for the relevant specification(s) a candidate is undertaking
- Maintains a file for each candidate that will include:
    - Completed JCQ/awarding body application forms and evidence forms
    - Appropriate evidence to support the need for the arrangement where required
    - Appropriate evidence to support normal way of working within the centre
    - In addition, for GCSE and GCE qualifications (where approval is required), a print out of the AAO approval and a signed data protection notice (which provides candidate consent to their personal details being shared)
- Presents the files when requested by a JCQ Centre Inspector
- Liaises with teaching staff regarding any appropriate modified paper requirements for candidates
- Liaises with the Exam Officer to ensure AAO approval is in place for early opening of papers where this may be required where the centre is permitted to modify a timetabled written component exam paper (copy on coloured paper, enlarge to A3 or copy to single sided print)
- Following the appropriate process(AAO for GCE and GCSE; JCQ Form 7 or Form VQ/EA), orders published modified papers, by the awarding body's deadline for the

exam series, where these may be required for a candidate

**Exam Manager**

- Is familiar with the entire contents of the annually updated JCQ publication GR and is aware of information contained in AA where this may be relevant to the EO role
- Ensures that arrangements, and approval where required, are in place before a candidate takes his/her first exam or assessment (which is externally assessed or internally assessed/externally moderated)

## Implementing Access Arrangements and the Conduct of Exams

**Roles and**

**responsibilities**

**External assessments**

These are assessments which are normally set and marked/examined by an awarding body which must be conducted according to awarding body instructions and/or the JCQ publication *Instructions for conducting examinations* (ICE).

**Head of centre**

- Supports the ALS Coordinator, the Exam Manager and other relevant centre staff in ensuring appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams
- Is familiar with the Checklist for heads of centre and examination officers – The Equality Act 2010 and conduct of examinations provided in the current ICE (page 44)

**Deputy Head Teacher(Academic)**

- Is familiar with the Checklist for heads of centre and examination officers – The Equality Act 2010 and conduct of examinations provided in the current ICE (page 44)

**ALS Coordinator**

- Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access for candidates where they are disabled within the meaning of the Equality Act (unless a temporary emergency arrangement is required at the time of an exam)
- Ensures a candidate is involved in any decisions about arrangements, adjustments and/or adaptations that may be put in place for him/her and ensures the candidate understands what will happen at exam time
- Ensures exam information (JCQ information for candidates documents, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it

- Ensures that prior to any arrangements being put in place checks are made that arrangements do not impact on any assessment criteria/competence standards being tested
- Ensures that any arrangements put in place do not unfairly disadvantage or advantage disabled candidates
- Liaises with the Exam Manager (EO) regarding facilitation and invigilation of access arrangement candidates in exams
- Ensures an invigilator acting as a prompter is aware of the appropriate way to prompt depending on the needs of the candidate
- Liaises with the EO to ensure that invigilators are made aware of the Equality Act 2010 and are trained in disability issues
- Liaises with the EO where an invigilator may be required to support a candidate requiring an emergency (temporary) access arrangement at the time of exams
- Liaises with relevant centre staff to ensure appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams

**Exam Manager**

- Is familiar with and follows the Checklist for heads of centre and examination officers – The Equality Act 2010 and conduct of examinations provided in the current ICE (page 44)
- Ensures exam information (JCQ information for candidates documents, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it
- Ensures that prior to any arrangements being put in place checks are made that arrangements do not impact on any assessment criteria/competence standards being tested
- Ensures that any arrangements put in place do not unfairly disadvantage or advantage disabled candidates
- Liaises with other relevant centre staff regarding the provision of appropriate rooming and equipment that may be required to facilitate access for disabled candidates to exams
- Appoints appropriate centre staff as invigilators to support candidates (practical assistant, prompter, Oral Language Modifier, reader, scribe or Sign Language Interpreter)
- Ensures invigilators supporting candidates are appropriately trained and understand the rules of the particular access arrangement(s)
- Ensures the invigilator is known by or introduced to the candidate prior to exams
- Ensures an invigilator acting as a prompter is aware of the appropriate way to prompt

depending on the needs of the candidate

- Ensures cover sheets, where these are required by the arrangement are completed as required by invigilators
- Liaises with relevant centre staff to ensure appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams
- Liaises with the ALS Coordinator to ensure exam information (JCQ information for candidates documents, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it
- Liaises with the ALS Coordinator regarding the facilitation and invigilation of access arrangement candidates
- Liaises with the ALS Coordinator regarding rooming of access arrangement candidates
- Liaises with the ALS Coordinator to ensure that invigilators are made aware of the Equality Act 2010 and are trained in disability issues
- Ensures appropriate seating arrangements are in place where different arrangements may need to be made for a candidate to facilitate access to his/her exams
- Ensures invigilators are briefed prior to each exam session of the arrangements in place for a disabled candidate in their exam room
- Checks in advance of dated exams/assessments that modified paper orders have arrived (and if not will contact the awarding body to ensure that papers are available when required)
- Makes modifications that are permitted by the centre (a question paper copied onto coloured paper, an A4 to A3 enlarged paper or a paper printed on single sheets or where a question paper may need to be scanned into PDF format where a candidate is approved the use of a computer reader) that may be required and, where approved, opens the exam question paper packet in the secure room no earlier than 90 minutes prior to the published start time of the exam
- Understands that where permitted/approved, secure exam question paper packets may need to be opened early where preparation is required by the facilitator (Oral Language Modifier, Live Speaker, Sign Language Interpreter only)
- Ensures that the invigilator only has access to the papers one hour prior to the published start time of the exam
- Provides cover sheets prior to the start of an exam where required for particular access arrangements and ensures that these have been fully completed before candidates' scripts are dispatched to examiners/markers
- prints pre-populated cover sheets from AAO where this is required for GCSE and GCE qualifications
- Has a process in place to deal with emergency (temporary) access arrangements as they arise at the time of exams in terms of rooming and invigilation
- Liaises with the ALS Coordinator where a facilitator may be required to support a

candidate requiring an emergency (temporary) access arrangement at the time of exams
- Where required for emergency (temporary) access arrangements, applies for approval through AAO or through the awarding body where qualifications sit outside the scope of AAO

**Heads of Department**
- Support the ALS Coordinator and the Exam Manager to ensure appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams
- Be familiar with the centre's emergency evacuation procedures and the arrangements that may need to be in place for a candidate with a disability who may need assistance when an exam room is evacuated

**IT Department**
- IT or other specialist equipment that may need to be provided or adapted for a candidate is done so, as requested by the Exam Manager

**Operations team**
- Operations staff responsible for rooms and non-specialist equipment (chairs, tables, clocks etc.) used for exams that may need to be adapted for a candidate, as directed by Exam Manager

## 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.

There are also exceptions where a candidate may be awarded the use of a word processor in exams where he/she 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.

Exceptions 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

**Allocating word processors**
Appropriate exam-compliant word processors will be allocated by the IT department in liaison with the ALS Co-ordinator and the Exam Manager. 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 published start time. The security of the exam will be maintained at all times and candidates will be supervised in line with section 2.11 of ICE.

## Internal Assessments

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

> *"Externally marked and/or externally set practical examinations taken at different times across centres are classified as 'NEA'."*
>
> [Quote taken from the JCQ publication *Instructions for conducting non-examination assessments – Foreword, page 3*]

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

**Exam Manager**
- Ensures centre-delegated and awarding body approved arrangements are in place prior to a candidate taking his/her first formal supervised assessment
- Ensures candidates are aware of the access arrangements that are in place for their assessments
- Ensures invigilators supporting candidates are appropriately trained and understand the rules of the particular access arrangement(s)
- Ensures invigilators supporting candidates are appropriately trained and understand the rules of the particular access arrangement(s)
- Ensures cover sheets are completed as required by invigilators
- Liaises with the teacher where an invigilator may be required to support a candidate requiring an emergency (temporary) access arrangement at the time of his/her formal supervised assessment
- Provides the ALS Coordinator with assessment schedules to ensure arrangements are put in place when required

- Liaises with the ALS Coordinator regarding assessment materials that may need to be modified for a candidate

**Teaching staff**

- Support the ALS Coordinator in implementing appropriate access arrangements for candidates

## Internal Exams

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

**ALS Coordinator**

Liaises with teaching staff to implement appropriate access arrangements for candidates

**Teaching staff**

- Support the ALS Coordinator in implementing appropriate access arrangements for candidates

**Exam Officer**

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

## Facilitating Access Examples

The following information confirms the centre's good practice in relation to the Equality Act 2010 and the conduct of examinations.

On a candidate by candidate basis, consideration is given to:

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

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

| Example of candidate need(s) | Arrangements explored | Centre actions |
|---|---|---|
| A medical condition which prevents the candidate from taking exams in the centre | Alternative site for the conduct of examinations<br>Supervised rest breaks | ALS Coordinator gathers evidence to support the need for the candidate to take exams at home<br>Pastoral head provides written statement for file to confirm the need<br>Approval confirmed by ALS Coordinator; AAO approval for both arrangements not required<br>Pastoral head discussion with candidate to confirm the arrangements should be put in place<br>EO submits appropriate 'Alternative site for the conduct of exams form'<br>EO provides candidate with exam timetable and JCQ information for candidates<br>Pastoral head confirms with candidate the information is understood<br>Pastoral head agrees with candidate that prior to each exam will call to confirm fitness to take exam<br>EO allocates invigilator(s) to candidate's timetable; confirms time of collection of exam papers and materials<br>Invigilator monitors candidate's condition for each exam and records any issues on incident log<br>Invigilator records rest breaks (time and duration) on incident log and confirms set time given for exam<br>Invigilator briefs EO after each exam on how candidate's performance in exam may have been affected by his/her condition<br>EO discusses with pastoral head if candidate is eligible for special consideration (candidate present but disadvantaged)<br>EO processes request(s) for special consideration where applicable; incident log(s) provides supporting evidence<br>Pastoral head informs candidate that special consideration has been requested |

| | | |
|---|---|---|
| Persistent and significant difficulties in accessing written text | Reader/computer reader<br>25% Extra time | Confirms candidate is disabled within the meaning of the Equality Act 2010<br>Papers checked for those testing reading |

| | | |
|---|---|---|
| | Separate invigilation within the centre | Computer reader sourced for use in papers (or sections of papers) testing reading OR up to 50% extra time awarded<br>Form 8, signed and dated, with Sections A, B and C completed; kept on file with body of supporting evidence, printed approval from AAO and signed data protection notice |
| Significant difficulty in concentrating | Prompter<br>Separate invigilation within the centre | Gathers evidence to support substantial and long term adverse impairment<br>Confirms with candidate how and when they will be prompted<br>Briefs invigilator to monitor candidate and the method of prompting (call out his name to bring his attention back to the paper - confirms requirement for separate room) |
| A wheelchair user | Desk<br>Rooms<br>Facilities<br>Seating arrangements<br>Practical assistant | Applies for practical assistant to help candidate set up wheelchair and other equipment in a practical assessment; approval automatically fails so awarding body referral lists the tasks that will be performed<br>Provides height adjustable desk in exam room<br>Allocates exam room on ground floor near adapted bathroom facilities<br>Spaces desks to allow wheelchair access<br>Seats candidate near exam room door<br>Confirms arrangements in place to assist the candidate in case of emergency evacuation of the exam room<br>Practical assistant cover sheet printed from AAO; to be completed by facilitator and inserted inside the candidate's work where this may be applicable to the assessment |

APPENDIX 4

# EMERGENCY EVACUATION POLICY (EXAMS)

| | |
|---|---|
| Updated | October 2023 |
| Next Review Date | September 2024 |
| Approved by Principal | Yes |
| Key Staff | VP, Deputy Head Teacher(Academic), Deputy Head Teacher(Admission and Administration)<br>Exam Manager |
| Lead Staff for Review | Deputy Head Teacher(Academic) |

## Purpose of the Policy

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

**When is an emergency evacuation required?**

An emergency evacuation is required where it is unsafe for candidates to remain in the exam room. This might include a fire in the exam room, the fire alarm sounding to warn of fire, bomb alert or other serious threat.
In exceptional situations, where candidates might be severely disadvantaged or distressed by remaining in the exam room, the emergency evacuation procedure may also need to be followed. This might include situations where there is severe disruption in the exam room, serious illness of a candidate or invigilator or similarly serious incidents.

## Emergency evacuation of an Exam Room

**Roles and**

**responsibilities Head**

**of centre**

- Ensures the emergency evacuation policy for exams is fit for purpose and complies with relevant health and safety regulation

**Senior leader**

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

**ALS Coordinator**

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

**Exam Manager**

- Ensures invigilators are trained in emergency evacuation procedures and how an incident and actions taken must be recorded
- Ensures candidates are briefed (*Candidate exam handbook*), prior to exams taking place, on what will happen in the event of an emergency in the exam room

- Provides invigilators with a copy of the emergency evacuation procedures for every exam room
- Provides a standard invigilator announcement for each exam which includes appropriate information for candidates regarding what will happen if the fire alarm sounds
- Provides an exam room incident log in each exam room
- Liaises with the ALS Coordinator and other relevant staff prior to each exam where different procedures or assistance may need to be provided for a disabled candidate
- Briefs invigilators prior to each exam where different procedures or assistance may need to be provided for a disabled candidate
- Ensures appropriate follow-up is undertaken after an emergency evacuation reporting the incident to the awarding body and the actions taken through the special consideration process

**Invigilators**

- By attending training, ensure they understand what to do in the event of an emergency in the exam room
- Follow the actions required in the emergency evacuation procedure issued to them for every exam room
- Confirm with the Exam Manager, where different procedures or assistance may need to be provided for a disabled candidate they are invigilating

**Teaching staff**

- Support the senior leader, ALS Coordinator, Exam Manager and invigilators in ensuring the safe emergency evacuation of exam rooms

## Emergency Evacuation Procedure

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

| Emergency Evacuation Procedure |
| --- |
| **Actions to be taken**<br>(as detailed in the current JCQ *Instructions for conducting examinations, chapter18, Emergencies*) |
| Stop the candidates from writing |
| Collect the attendance register (in order to ensure all candidates are present) and evacuate the examination room in line with the instructions given by the appropriate authority |
| Evacuate the examination room in line with the instructions given by the appropriate authority |
| 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 to the relevant awarding body |
| **Additional centre-specific actions to be taken** |
| Emergency evacuation plans for ARBC and CIBC are included in invigilator handbook |
| For an emergency evacuation for an exam taking place on campus, students must be kept away from the rest of the evacuated cohort |

## APPENDIX 5

## EXAM CONTINGENCY PLAN

| | |
|---|---|
| Updated | October 2023 |
| Next Review Date | September 2024 |
| Approved by Principal | Yes |
| Key Staff | VP, Deputy Head Teacher(Academic),<br>Deputy Head Teacher(Admission and Administration)<br>Exam Manager |
| Lead Staff for Review | Deputy Head Teacher(Academic) |

### Purpose of the Plan

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

Alongside internal processes, this plan is informed by the Exam system contingency plan: England, Wales and Northern Ireland which provides guidance in the publication what schools and schools and other centres should do if exams or other assessments are seriously disrupted.

This plan also confirms CATS Cambridge is compliant with the JCQ regulation (section 5.3, *General Regulations for Approved Centres 2023-24*) that the centre *has in place a written examination contingency plan which covers all aspects of examination administration. This will allow members of the senior leadership team to act immediately in the event of an emergency or where the head of centre, examinations officer or ALS is absent at a critical stage of examinations cycle*. The examination contingency plan should reinforce procedures in the event of the centre being unavailable for examinations, or on results day, owing to an unforeseen emergency. The potential impact of a cyber-attack should also be considered.

### National Centre Number Register and other requirements

The head of centre will also ensure that, CATS Cambridge, as part of the contingency plan enables the prompt handling of urgent Issues only, responds to the awarding bodies' request for Information regarding the contact details of a senior member of staff. This will ensure that any urgent matters which might adversely affect candidates which arise outside of term time, and potentially put qualification awards at risk, can be addressed by awarding bodies with the support of that member of staff. Head od centre should ensure that this member of staff has the necessary authority to mobilise resources to provide this support, which might Include resolving Issues within the centre Itself.

## Possible causes of potential disruption to the Exam Process

Exam officer extended absence at a critical stage of the exam cycle.

*Criteria for implementation of the plan*

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

**Planning**

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

**Entries**

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

**Pre-exams**

- Invigilators not trained or updated on changes to instructions for conducting exams
- Exam timetabling, rooming allocation; and invigilation schedules not prepared
- Candidates not briefed on exam timetables and awarding body information for candidates
- Exam/assessment materials and candidates' work not stored under required secure conditions
- Internal assessment marks and samples of candidates' work not submitted to awarding bodies/external moderators

**Exam time**

- Exams/assessments not taken under the conditions prescribed by awarding bodies
- Required reports/requests not submitted to awarding bodies during exam/assessment periods, for example very late arrival, suspected malpractice, special consideration
- Candidates' scripts not dispatched as required for marking to awarding bodies

**Results and post-results**

- Access to examination results affecting the distribution of results to candidates
- The facilitation of the post-results services

**Centre actions to mitigate the impact of the disruption**

- Deputy Head Teacher(Academic), Vice Principal, Attendance Manager with

Examinations to take over these roles.
- An invigilator can be an office assistant in this instance to help with general administration.

**ALS Coordinator extended absence at critical stage of the exam cycle**

*Criteria for implementation of the plan*

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

**Planning**

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

**Pre-exams**

- Approval for access arrangements not applied for to the awarding body
- Centre-delegated arrangements not put in place
- Modified paper requirements not identified in a timely manner to enable ordering to meet external deadline
- Staff providing support to access arrangement candidates not allocated and trained

**Exam time**

- Access arrangement candidate support not arranged for exam rooms

**Centre actions to mitigate the impact of the disruption**

- Deputy Head Teacher(Academic) to arrange for a temporary ALS coordinator to assess students pre-exams

- Exam Manager has access to Access Arrangements Online, so can process requests
- Exam Manager will liaise with temporary ALS coordinator to collect evidence of normal way of working from teaching staff

**Teaching staff extended absence at a critical stage of the exam cycle**

*Criteria for implementation of the plan*

Key tasks not undertaken including:

Early/estimated entry information not provided to the Exam Manager on time; resulting in pre- release information not being received

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

Non-examination assessment tasks not set/issued/taken by candidates as scheduled Candidates not being informed of centre assessed marks before marks are submitted to the awarding body and therefore not being able to consider appealing internal assessment decisions and requesting a review of the centre's marking Internal assessment marks and candidates' work not provided to meet awarding body submission deadlines

**Centre actions to mitigate the impact of the disruption**

- Exam Manager to liaise with Heads of Department to collect early/estimated entry information
- Exam Manager to look at previous year's entries for more information

**Invigilators - lack of appropriately trained invigilators or invigilator absence**

*Criteria for implementation of the plan*

- Failure to recruit and train sufficient invigilators to conduct exams
- Invigilator shortage on peak exam days
- Invigilator absence on the day of an exam

**Centre actions to mitigate the impact of the disruption**

- Teaching staff are always briefed before the exam season on the main invigilator duties and responsibilities, they can cover in instance of invigilator absence
- APA to authorise using invigilators from Agency staff
- Exams Office to liaise with Cambridge Exams Network, put a call-out for spare invigilators at local centres

**Exam rooms - lack of appropriate rooms or main venues unavailable at short notice**
*Criteria for implementation of the plan*

Exam Manager unable to identify sufficient/appropriate rooms during exams timetable planning Insufficient rooms available on peak exam days

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

**Centre actions to mitigate the impact of the disruption**

- Main venues are Arbury Road Baptist Church and Chesterton Indoor Bowls Club. We

can contact Wesley Church, City Church Cambridge or St Andrew's Church if venue becomes unavailable

**Failure of IT systems**

*Criteria for implementation of the plan*

- MIS system failure at final entry deadline
- MIS system failure during exams preparation
- MIS system failure at results release time

**Centre actions to mitigate the impact of the disruption**

- Entries can be input directly onto awarding organisation websites in case of MIS failure
- Exam Manager to keep timetables and seating plans on shared and local drive in case of MIS failure
- Ensure IT support is always available throughout results time to combat system failure and plan against potential issues

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

*Criteria for implementation of the plan*

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

**Centre actions to mitigate the impact of the disruption**

- Candidates to be kept at all times under formal supervision
- Invigilators to take attendance register when evacuating
- Candidates will be kept separate from other students or members of the public
- Invigilator to alert the Exam Manager immediately and await

instruction

**Disruption of teaching time – centre closed for an extended**

**period** *Criteria for implementation of the plan*

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

Centre closed interrupting the of normal teaching and learning

The centre to communicate with parents, carers and students about the potential for disruption to teaching time and plans to address this. [Joint Contingency Plan (JCP) scenario 1]

**Centre actions to mitigate the impact of the disruption**

- Centre to contact Arbury Road Baptist Church or other exam venue to book classrooms
- School Office Manager to contact teaching agency in case of staff absences

**Candidates may not be able to take examinations because of a crisis – centre remains open**

*Criteria for implementation of the plan*

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

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

**Centre actions to mitigate the impact of the disruption**

- Examinations are usually off-site
- Candidates to take exams, as scheduled on public timetable
- Exam Manager to submit documentation outlining when/how/why candidates have been disadvantaged by the crisis

**Centre may not be able to open as normal during the exams period**

*Criteria for implementation of the plan*

Centre may not be able to open as normal for scheduled examinations (including centre being unavailable for examinations owing to an unforeseen emergency)

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

**Centre actions to mitigate the impact of the disruption**

- Examinations are usually taken off-site where possible
- Examinations organised to take place on campus will be moved to an external venue – JCQ Centre Inspection Service will be notified of an alternative site arrangements by submitting the JCQ Alternative Site form online, using the Centre Admin Portal CAP.
- If papers cannot be retrieved from secure storage, Exams Office will contact the relevant awarding bodies to get digital copies of papers. If printing facilities unavailable on-campus, printers are available at CSVPA and Kett House (Head Office)

**Disruption in the distribution of examination papers**

*Criteria for implementation of the plan*

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

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

**Centre actions to mitigate the impact of the disruption**

- Candidates to be kept in formal exam conditions until replacement papers arrive at exam venue
- Exams Office will contact the relevant awarding bodies to get digital copies of papers. If printing facilities unavailable on-campus, printers are available at CSVPA and Kett House (Head Office). There is a non-networked printer in the office of Susanna/Silvana which could be used in an emergency.
- Exams Cupboard has a spare printer

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

*Criteria for implementation of the plan*

Delay in normal collection arrangements for completed examination scripts

The centre to communicate with relevant awarding organisations at the outset to resolve the issue. CATS Cambridge will seek advice from awarding organisations and will make their own arrangements for transportation unless told to do so by awarding body.

**Centre actions to mitigate the impact of the disruption**

- Exams Office to contact awarding organisations immediately and await advice
- Exams Office to keep papers in secure storage until alternative arrangements have been made

**Assessment evidence is not available to be marked**

*Criteria for implementation of the plan*

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

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

**Centre actions to mitigate the impact of the disruption**

- Exams Office to contact the relevant awarding bodies immediately
- Damaged scripts/assessment to be kept in secure storage as evidence

**Centre unable to distribute results as normal**

*Criteria for implementation of the plan*

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

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

**Centre actions to mitigate the impact of the disruption**

- Exams Office to have multiple ways to distribute results. Through student portal, email and post. If all of these fail, the centre will contact the awarding organisations for advice

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

**DFE**

Meeting digital and technology standards In schools and schools

Cyber security standards for school and schools

Cyber-crime and cyber security: a guide for education providers

DfE Cyber Security Guidance - March 2023

**Ofqual**

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

**Contingency planning**

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

**Disruption to assessments or exams**

In the absence of any instruction from the relevant awarding organisation, the school or school should assume that any exam or timetabled assessment should take place if it is possible for it to do so. This may mean having to locate alternative premises.

If the exam or assessment cannot take place, or if a student misses an exam or loses their assessment due to an emergency or other event outside the control of the school or school, you should discuss alternative arrangements with your awarding organisation.

**The school or school should consider the following**

**steps Exam planning**

- Review your contingency plan well in advance of each exam series.
- Ensure that copies of question papers are received and stored under secure conditions.

**In the event of disruption**

- Contact the relevant awarding organisation and follow its instructions.
- Take advice, or follow instructions, from relevant local or national agencies in deciding whether the school or school is able to open.
- Identify whether the exam can be sat at an alternative venue, in agreement with the relevant awarding organisation.

- Where accommodation is limited, prioritise students whose progression will be severely delayed if they do not take their exams when planned.
- Communicate with parents, carers and students regarding any changes to the exam timetable.
- Advise students, where appropriate, to sit exams in the next available series.

**After the exam**

- Consider whether students may be eligible for special consideration.
- Ensure that scripts are stored under secure conditions.
- . Return scripts to awarding organisations in line with their instructions. Never make alternative arrangements for the transportation of completed exam scripts, unless told to do so by the awarding organisation.

**The awarding organisation should take the**

**following steps Exam planning**

- Establish, maintain and at all times comply with an up to date written contingency plan.
- Ensure that the arrangements that are in place with schools and schools enable them to deliver and award qualifications in accordance with its conditions of recognition.

**In the event of disruption**

- Take all reasonable steps to mitigate any negative effect, in relation to its qualifications, arising from any disruption.
- Provide effective guidance to any of its centres responsible for delivering qualifications on its behalf.
- Ensure that where an assessment is required to be completed under specified conditions, students complete the assessment under those conditions (other than where any reasonable adjustments or special considerations require alternative conditions).
- Promptly notify the relevant regulators about any event which could have a negative effect on students, standards or public confidence.

**After the exam**

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

**When a student misses an exam or is disadvantaged by the disruption**

If you feel that the performance of all or some of your students has been negatively affected by the disruption you should ask your awarding organisation about applying for special consideration. The decision about what special consideration is, or is not appropriate, is for awarding organisations to make. Their decisions might be different, for different qualifications and for different subjects.
However, we encourage awarding organisations to adopt a consistent approach, including

between learners, schools or schools, and awarding organisations, when dealing with a number of similar cases.

[Ofqual guidance extract taken directly from the Exam system contingency plan: England, Wales and Northern Ireland - What schools and schools and other centres should do if exams or other assessments are seriously disrupted, sections 1 and 2 https://www.gov.uk/government/publications/exam-system-contingency-plan-england-wales-and-northern- ireland/what-schools-and-schools-should-do-if-exams-or-other-assessments-are-seriously-disrupted]

**JCQ**

**Contingency planning**

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

In addition, awarding bodies have their own well-established contingency plans in place to respond to disruptions. It is important that Exam Managers 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.

**Cyber Attack**

Criteria for implementation of the plan

- Where a cyber-attack may compromise any aspect of delivery of examinations

**Planning:** Constant review of risks and weak points in security measures. Increasing staff awareness of data security through training. Results can be accessed from awarding body websites and printed. SLT will monitor the situation and take any action require as directed by the Awarding Bodies.

**Actions:** Containment may include isolating/closing a compromised section of the network. Attempt to recover any losses and limit the damage. Identify any affected data and notify organisations as appropriate. Back up MIS data base (Shackleton) as per schedule. Keep

network security up to date. Ensure the Exams Manager & Deputy Head TeacherAcademic has access to awarding body sites from home. In the event of an exam being significantly compromised which requires ICT for completion, the school may use an alternative venue.

**Staff:** Examination Officer, IT Manager, Deputy Head TeacherAcademic and Principal.

**Further information may be found at:**

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

[JCQ guidance taken directly from JCQ Instructions for conducting examinations http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations, page iv]
General regulations for approved centres http://www.jcq.org.uk/exams-office/general-regulations Guidance on alternative site arrangements http://www.jcq.org.uk/exams-office/forms
Guidance on transferred candidate arrangements
https://www.jcq.org.uk/exams-office/entries
Instructions for conducting examinations
http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations A guide to the special consideration process
http://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations- and-guidance

**GOV.UK**
Emergency planning and response: Severe weather; Exam disruption
https://www.gov.uk/guidance/emergencies-and-severe-weather-schools-and-early-years-settings Teaching time lost due to severe weather conditions
https://www.gov.uk/government/publications/teaching-time-lost-due-to-severe-weather-conditions Dispatch of exam scripts guide: Ensuring the service runs smoothly; Contingency planning https://www.gov.uk/government/publications/dispatch-of-exam-scripts-yellow-label-service Statutory guidance on school closures
https://www.gov.uk/government/publications/school-organisation-maintained-schools

APPENDIX 6

# EXAMS ARCHIVING POLICY

| | |
|---|---|
| Updated | October 2023 |
| Next Review Date | Sept 2024 |
| Approved by Principal | Yes |
| Key Staff | VP, Deputy Head Teacher(Academic),<br>Deputy Head Teacher(Admission and Administration)<br>Exam Manager |
| Lead Staff for Review | Deputy Head Teacher(Academic) |

## Purpose of the Policy

The purpose of this policy is to:

- Identify exams-related information/records held by the exams office
- Identify the retention period
- Determine the action required at the end of the retention period and method of disposal
- Inform/supplement the centre-wide records management policy

The policy is annually reviewed to ensure that records are archived/retained in accordance with current requirements.

## Exams Archiving Action

| Record type | Record(s) description (where required) | Retention information/period | Action at end of retention period (method of dispoal) |
|---|---|---|---|
| Access arrangements information | Any hard copy information kept by the EO relating to an access arrangement candidate. | To be returned to ALS Coordinator as records owner at end of the candidate's final exam series. | **n/a** |
| Attendance register copies | | To be retained until the deadline for EARs or the resolution of any outstanding enquiries/appeals for the relevant exams series.<br>[Reference ICE 6,15] | Confidential waste/shredding |
| Awarding body administrative guides/manuals | Any hard copy publications provided by awarding bodies. | To be retained until the current academic year update is provided. | Confidential waste |
| Candidates' work | Non-examination assessment work (inc. controlled assessment/coursework) returned to the centre after awarding body moderation. | To be immediately returned to subject staff as records owner.<br>To be stored safely and securely along with work that did not form part of the moderation sample (including materials stored electronically) until after the deadline for EARs or the resolution of any outstanding enquiries/appeals or malpractice investigations for the exam series. | Returned to candidates or safe disposal |

| Record type | Record(s) description (where required) | Retention information/period | Action at end of retention period (method of dispoal) |
|---|---|---|---|
| | | [Reference GR 3, 5] | |
| Certificates | Hard copies kept in secure storage and digital copies stored on Exams drive | Unclaimed/uncollected certificates to be retained securely for a minimum of 12 months from date of issue.<br>[Reference GR 5] | |
| Certificate destruction information | A record of unclaimed certificates that have been destroyed. | To be retained for 4 years from the date of certificate destruction.<br>[Reference GR 5] | Confidential destruction with a record of what has been destroyed |
| Certificate issue information | A record of certificates that have been issued to candidates. | Indefinite | |
| Confidential materials delivery logs | A log recording confidential materials delivered by awarding bodies to the centre and issued to authorised staff. | To be kept until after the EAR period | Confidential waste/shredding |
| Confidential materials tracking logs | A log to track materials taken from or returned to secure storage throughout the time the material is confidential. | To be kept until after the EAR period | Confidential waste/shredding |

| | | | |
|---|---|---|---|
| Dispatch logs | Proof of dispatch of exam script packages to awarding body examiners covered by the DfE (Standards & Testing Agency) yellow label service | To be kept until after the EAR period | Confidential waste/shredding |

| Record type | Record(s) description (where required) | Retention information/period | Action at end of retention period (method of dispoal) |
|---|---|---|---|
| Entry information | Any hard copy information relating to candidates' entries. | To be kept until after the EAR period | Confidential waste/shredding |
| Exam question papers | Question papers for timetabled written exams. | Issued to teaching staff after the published finishing time of the exam and only when all candidates in the centre have completed the exam.<br>Instructions issued by an individual awarding body relating to the use of question papers for vocational qualifications after the examination has taken place are followed.<br>[Reference ICE 16 and GR 6,5] | |
| Exam room checklists | Checklists confirming room conditions and invigilation arrangements for each exam room. | To be retained until the deadline for EARs or the resolution of any outstanding enquiries/appeals for the relevant exams series.<br>[Reference ICE 6] | |
| Exam room incident logs | Logs recording any incidents or irregularities in exam rooms. | To be retained until the deadline for EARs or the resolution of any outstanding enquiries/appeals for the relevant exams series.<br>[Reference ICE 6] | |

| | | | |
|---|---|---|---|
| Exam stationery | | When awarding body or JCQ common stationery is considered surplus or is out-of-date it will be disposed of.<br>[Reference ICE page 4 and ICE 23] | Confidential disposal |

| Record type | Record(s) description (where required) | Retention information/period | Action at end of retention period (method of dispoal) |
|---|---|---|---|
| Examiner reports | | To be immediately provided to Heads of Department as records owner. | |
| Finance information | Copy invoices for exams-related fees. | To be returned to Finance department as records owner at the end of the academic year. | |
| Invigilation arrangements | See *Exam room checklists* | | |
| JCQ publications | Any hard copy publications provided by JCQ. | To be retained until the current academic year update is provided. | |
| Moderator reports | | To be immediately provided to Heads of Department as records owner. | |
| Overnight supervision information | Copy of JCQ form *Timetable variation and confidentiality declaration for overnight supervision* for any candidate eligible for these arrangements. | To be retained for JCQ inspection purposes. | |
| Post-results services: confirmation of candidate consent information | Hard copy or email record of candidate consent for an EAR or ATS request to be submitted to an awarding body | EAR consent to be retained for at least six months following the outcome of the enquiry or any subsequent appeal.<br>ATS consent to be retained for at least six months from the date consent given. | |

| | | | |
|---|---|---|---|
| | | [Reference PRS 6, appendix A and B] | |

| Record type | Record(s) description (where required) | Retention information/period | Action at end of retention period (method of dispoal) |
|---|---|---|---|
| Post-results services: requests/outcome information | Any hard copy information relating to a post- results service request (EARs, appeals, ATS) submitted to an awarding body for a candidate and outcome information from the awarding body. | | |
| Post-results services: scripts returned from ATS service | Copy or original exam scripts returned to the centre by the awarding body. | Where scripts are retained by the centre, they must be securely stored (including any electronic versions) and not edited in any way or disposed of until after the awarding body deadline.<br>[Reference PRS 8] | Confidential disposal |
| Post-results services: tracking logs | A log tracking to resolution all post-results service requests submitted to awarding bodies. | | |
| Private candidate information | Any hard copy information relating to private candidates' entries. | | |
| Proof of postage – candidate work | Proof of postage of sample of candidates' work to awarding body moderators. | | |

| | | | |
|---|---|---|---|
| Resolving clashes information | Any hard copy information relating to the resolution of a candidate's clash of exam papers or a timetable variation. | | |

| Record type | Record(s) description (where required) | Retention information/period | Action at end of retention period (method of dispoal) |
|---|---|---|---|
| Results information | Broadsheets of results summarising candidate final grades by subject by exam series. | Records for current year plus previous 6 years to be retained as a minimum.<br>[Reference Information Management Toolkit for Schools page 52] | |
| Seating plans | Plans showing the seating arrangements of all candidates for every exam taken. | To be kept until the deadline for EARs and the resolution of any outstanding enquiries/appeals for the relevant exams series.<br>[Reference ICE 6] | |
| Special consideration information | Any hard copy information relating to a special consideration request and supporting evidence submitted to an awarding body for a candidate. | Evidence supporting an on-line special consideration application and evidence supporting a candidate's absence from an exam must be kept until after the publication of results.<br>[Reference SC 6] | |
| Suspected malpractice reports/outcomes | Any hard copy information relating to a suspected malpractice investigation/report submitted to an awarding body and outcome information from the awarding body. | | |

| | | | |
|---|---|---|---|
| Transfer of credit information | Any hard copy information relating to a GCE AS transfer of credit arrangement (for a legacy unitised GCE AS specification) application submitted to an awarding body for a candidate. | To be retained until the issue of the GCE A level result for the candidate. | |

| Record type | Record(s) description (where required) | Retention information/period | Action at end of retention period (method of dispoal) |
|---|---|---|---|
| Transferred candidate information | Any hard copy information relating to an application for a transferred candidate arrangement submitted to an awarding body for a candidate. | To be retained until the transfer arrangements are confirmed by the awarding body. | |
| Very late arrival reports/outcomes | Any hard copy information relating to a very late arrival report submitted to an awarding body for a candidate and outcome information from the awarding body. | | |

APPENDIX 7

# INTERNAL APPEALS PROCEDURE & FORM

| | |
|---|---|
| Updated | October 2023 |
| Next Review Date | September 2024 |
| Approved by Principal | Yes |
| Key Staff | VP, Deputy Head Teacher(Academic),<br>Deputy Head Teacher(Admission and Administration)<br>Exam Manager |
| Lead Staff for Review | Deputy Head Teacher(Academic) |

## Appeals against Internal Assessment Decisions (Centre Assessed Marks)

This procedure confirms CATS Cambridge's compliance with JCQ's *General Regulations for Approved Centres 2020-21, section 5.7* that the centre has in place "*a written internal appeals procedure relating to internal assessment decisions and to ensure that details of this procedure are communicated, made widely available and accessible to all candidates*" and that 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*."

Certain components of GCSE and A Level (GCSE controlled assessments, A Level coursework, A Level and GCSE non-examination assessments) and other qualifications that contribute to the final grade of the qualification are internally assessed (marked) by the centre. The marks awarded (the internal assessment decisions) are then submitted by the deadline set by the awarding body for external moderation.

## Deadlines for the submission of marks (Summer 2021 exam series)

| Date | Qualification | Details |
|---|---|---|
| TBC | A Level | Final date for submission of coursework marks (AQA, OCR and Pearson) |
| TBC | A Level Fine Art & Photography only | Final date for submission of coursework marks (AQA only) |
| TBC | (I)GCSE | Final date for submission of coursework/controlled assessment marks (AQA, OCR and Pearson) |

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

CATS Cambridge ensures that all centre staff follow a robust Non-examination assessment policy (for the management of A Level and GCSE non-examination assessments). This policy details all procedures relating to non-examination assessments for A Level and (I)GCSE qualifications, including the marking and quality assurance processes which relevant teaching staff are required to follow.

Candidates' work will be marked by staff who have appropriate knowledge, understanding and skill, and who have been trained in this activity. CATS Cambridge is committed to ensuring that work produced by candidates is authenticated in line with the requirements of the awarding body. Where a number of subject teachers are involved in marking candidates' work, internal moderation and standardisation will ensure consistency of marking.

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

- CATS Cambridge will ensure that candidates are informed of their centre assessed marks so that they may request a review of the centre's marking before marks are submitted to the awarding body.
- CATS Cambridge will inform candidates that they may request copies of materials (for example, a copy of their marked work, the relevant specification, the mark scheme and any other associated subject-specific documents) to assist them in considering whether to request a
  review of the centre's marking of the assessment.
- CATS Cambridge will, having received a request for copies of materials, promptly make them available to the candidate within 2 calendar days.
- CATS Cambridge will provide candidates with sufficient time in order to allow them to review copies of materials and reach a decision.
- CATS Cambridge will provide a clear deadline for candidates to submit a request for a review of the centre's marking. Requests will not be accepted after this deadline. Requests must be made in writing within 7 calendar days of receiving copies of the requested materials completing the internal appeals form.
- The time allowed by CATS Cambridge 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, is contained in the internal appeals calendar.
- CATS Cambridge will ensure that the review of marking is 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.
- CATS Cambridge will instruct the reviewer to ensure that the candidate's mark is consistent with the standard set by the centre.
- CATS Cambridge will inform the candidate in writing of the outcome of the review of the centre's marking.
- The outcome of the review of the centre's marking will be made known to the head of centre. A written record of the review will be kept and made available to the awarding body upon request.

The moderation process carried out by the awarding bodies may result in a mark change, either upwards or downwards, even after an internal review. The internal review process is

in place to ensure consistency of marking within the centre, whereas moderation by the awarding body ensures that centre marking is line with national standards. The mark submitted to the awarding body is subject to change and should therefore be considered provisional.

## Appeals against the centre's decision not to support a clerical check, a review of marking, a review of moderation or an appeal

This procedure confirms CATS Cambridge's compliance with JCQ's *General Regulations for Approved Centres 2020-21, section 5.13* that the centre has in place "*a written internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support a clerical check, a review of marking, a review of moderation or an appeal…*"

Following the issue of results, awarding bodies make post-results services available. Full details of these services, internal deadlines for requesting a service and fees charged are provided by the Exam Manager by email to candidates on the last week of the summer term.

Candidates are also informed of the arrangements for post-results services before they sit any exams and the accessibility of senior members of centre staff immediately after the publication of results by email.

If the centre or a candidate (or his/her parent/carer) has a concern and believes a result may not be accurate, an enquiry about the result may be requested.

Enquiries about results (EARs) offers three

services Service 1 – clerical re-check

Service 2 – review of marking

Service 3 – review of moderation (this service is not available to an individual candidate)

Written candidate consent (informed consent via candidate email is acceptable) is required in all cases before a request for an EAR service 1 or 2 is submitted to the awarding body as with these services candidates' marks and subject grades may be lowered. Candidate consent can only be collected after the publication of results.

If a concern is raised about a particular examination result, the Exam Manager, teaching staff and head of centre will investigate the feasibility of requesting an enquiry supported by the centre.

Where the centre does not uphold a request from a candidate, the candidate may pay the appropriate EAR fee to the centre, and a request will be made to the awarding body on the candidate's behalf.

If the candidate (or his/her parent/carer) believes there are grounds to appeal against the

centre's decision not to support an enquiry, an internal appeal can be submitted to the centre by completing the internal appeals form at least five calendar days prior to the internal deadline for submitting an EAR.

The appellant will be informed of the outcome of his/her appeal before the internal deadline for submitting an EAR.

Following the EAR outcome, an external appeals process is available if the head of centre remains dissatisfied with the outcome and believes there are grounds for appeal. The JCQ publications *Post- Results Services* and *JCQ Appeals Booklet (A guide to the awarding bodies' appeals processes)* will be consulted to determine the acceptable grounds for a preliminary appeal.

Where the head of centre is satisfied after receiving the EAR outcome, but the candidate (or his/her parent/carer) believes there are grounds for a preliminary appeal to the awarding body, a further
internal appeal may be made to the head of centre. Following this, the head of centre's decision as to whether to proceed with a preliminary appeal will be based upon the acceptable grounds as detailed in the *JCQ Appeals Booklet*. Candidates or parents/carers are not permitted to make direct representations to an awarding body. The internal appeals form should be completed and submitted to the centre within five calendar days of the notification of the outcome of the EAR. Subject to the head of centre's decision, this will allow the centre to process the preliminary appeal and submit to the awarding body within the required 30 calendar days of receiving the outcome of the enquiry about results process. Awarding body fees which may be charged for the preliminary appeal must be paid to the centre by the appellant before the preliminary appeal is submitted to the awarding body (fees are available from the Exam Manager). If the appeal is upheld by the awarding body, this fee will be refunded by the awarding body and repaid to the appellant by the centre.

## Internal appeals Calendar

| Level | Name | Awarding Organisation | | Heads of | Date by which | Date by which | Date by which | Date by which teacher | Date by which |
|---|---|---|---|---|---|---|---|---|---|
| GCSE | Fine Art | OCR | J171 | Jo Whitehouse | TBC | TBC | TBC | TBC | TBC |
| A Level | Geography | Edexcel | 9GE0 | Eric Boston | TBC | TBC | TBC | TBC | TBC |
| A Level | History | OCR | H505 | Eric Boston | TBC | TBC | TBC | TBC | TBC |
| GCSE | Photography | OCR | J173 | Jo Whitehouse | TBC | TBC | TBC | TBC | TBC |
| A Level | Biology | OCR | H420 | Neelam Debata | TBC | TBC | TBC | TBC | TBC |
| A Level | Chemistry A | OCR | H432 | Neelam Debata | TBC | TBC | TBC | TBC | TBC |
| A Level | Physics A | OCR | H556 | Neelam Debata | TBC | TBC | TBC | TBC | TBC |
| A Level | Fine Art | AQA | 7202 | Jo Whitehouse | TBC | TBC | TBC | TBC | TBC |
| A Level | Photography | AQ | 7206 | Jo Whitehouse | TBC | TBC | TBC | TBC | TBC |

## Internal Appeals Form

| FOR CENTRE USE ONLY | |
|---|---|
| Date received | |
| Reference No. | |

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

☐ Appeal against an internal assessment decision and/or request for a review of marking

☐ Appeal against the centre's decision not to support a clerical check, a review of marking, a review of moderation or an appeal

| | | | |
|---|---|---|---|
| Name of appellant | | Candidate name if different to appellant | |
| **Awarding body** | | **Exam paper code** | |
| **Subject** | | **Exam paper title** | |

**Please state the grounds for your appeal below**

*(If applicable, tick below)*

☐ Where my appeal is against an internal assessment decision I wish to request a review of the centre's marking

*If necessary, continue on an additional page if this form is being completed electronically or overleaf if hard copy being completed*

Appellant signature: Date of signature:

**This form must be signed, dated and returned to the Exam Manager on behalf of the head of centre to the timescale indicated in the relevant appeals procedure**

Complaints and Appeals Log

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

The outcome of any review of the centre's marking will be made known to the head of centre. A written record of the review will be kept and logged as an appeal, so information can be easily made available to an awarding body upon request

| Ref No. | Date received | Complaint or Appeal | Outcome | Outcome date |
|---|---|---|---|---|
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

## Further guidance to Inform and Implement Appeals Procedures

**JCQ**

- General Regulations for Approved Centres
- https://www.jcq.org.uk/exams-office/general-regulations
- Post-Results Services
- https://www.jcq.org.uk/exams-office/post-results-services
- JCQ Appeals Booklet
- https://www.jcq.org.uk/exams-office/appeals
- Notice to Centres - Reviews of marking (centre assessed marks)
- https://www.jcq.org.uk/exams-office/controlled-assessments
- https://www.jcq.org.uk/exams-office/coursework
- https://www.jcq.org.uk/exams-office/non-examination-assessments
- Notice to Centres – informing candidates of their centre assessed marks https://www.jcq.org.uk/exams-office/non-examination-assessments

**Ofqual**

- GCSE (9 to 1) qualification-level conditions and requirements https://www.gov.uk/government/publications/gcse-9-to-1-qualification-level-conditions
- GCSE (A* to G) qualification-level conditions and requirements
- https://www.gov.uk/government/publications/gcse-a-to-g-qualification-level-conditions-and- requirements
- A LEVEL qualification-level conditions and requirements https://www.gov.uk/government/publications/A Level-qualification-level-conditions-and- requirements
- Pre-reform A LEVEL qualification-level conditions and requirements https://www.gov.uk/government/publications/A Level-qualification-level-conditions-for-pre- reform-qualifications

## APPENDIX 8

## NON-EXAMINATION ASSESSMENT POLICY

| | |
|---|---|
| Updated | October 2023 |
| Next Review Date | September 2024 |
| Approved by Principal | Yes |
| Key Staff | VP, Deputy Head Teacher(Academic),<br>Deputy Head Teacher(Admission and Administration)<br>Exam Manager |
| Lead Staff for Review | Deputy Head Teacher(Academic) |

## What does this policy affect?

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

> *"The regulator's definition of an examination is very narrow and in effect any type of assessment that is not 'externally set and taken by candidates at the same time under controlled conditions' is classified as non-examination assessment (NEA). 'NEA' therefore includes, but is not limited to, internal assessment. Externally marked and/or externally set practical examinations taken at different times across centres are classified as 'NEA'."*
>
> [Definition taken directly from the JCQ publication *Instructions for conducting non-examination assessments– Foreword, page 3*]

This publication is further referred to in this policy as NEA

## Purpose of the Policy

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

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

[NEA 1]

## What are non-examination assessments**?**

*"Non-examination assessments measure subject-specific knowledge and skills that cannot be tested by timed written papers.*

*There are three assessment stages and rules which apply to each stage. These rules often vary across subjects. The stages are:*

- Task setting;
- Task taking;
- Task marking."

*[NEA 1]*

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

**The basic**

**principles Head**

**of Centre**

- Ensures that the centre's non-examination assessment policy is fit for purpose
- Ensures the centre's internal appeals procedures clearly detail the procedure to be followed by candidates (or their parents/carers) appealing against internal assessment decisions (centre assessed marks) and requesting a review of the centre's marking

**Senior Leaders**

- Ensure the correct conduct of non-examination assessments (including endorsements) which comply with NEA and awarding body subject-specific instructions
- Ensure the centre-wide calendar records assessment schedules by the start of the academic year
- Where applicable, liaise with all relevant parties in relation to arrangements for and conduct of the monitoring visit for GCSE (9-1) Computer Science

**Exam Manager**

- Confirms with subject heads that appropriate awarding body forms and templates for non- examination assessments (including endorsements) are used by teachers and candidates
- Ensures appropriate procedures are in place to internally standardise/verify the marks awarded by subject teachers in line with awarding body criteria
- Ensures appropriate centre-devised templates are provided to capture/record relevant information given to candidates by subject teachers
- Ensures appropriate centre-devised templates are provided to capture/record relevant information is received and understood by candidates
- Where not provided by the awarding body, ensures a centre-devised template is provided for candidates to keep a detailed record of their own research, planning, resources etc.
- Signposts the annually updated JCQ publication Instructions for conducting non-examination assessments to relevant centre staff
- Carries out tasks where these may be applicable to the role in supporting the administration/management of non-examination assessment

**Heads of Department**

- Ensures subject teachers understand their role and responsibilities within the non-

examination assessment process

- Ensures NEA and relevant awarding body subject specific instructions are followed in relation to the conduct of non-examination assessments (including endorsements)
- Ensures appropriate procedures are followed to internally standardise/verify the marks awarded by subject teachers
- Understands the arrangements that the centre needs to put in place where the centre might accept private candidates (including distance learners and home educated students) for components of non-examination assessment

**Subject Teacher**

- Understands and complies with the general instructions as detailed in NEA
- Where these may also be provided by the awarding body, understands and complies with the awarding body's specification for conducting non-examination assessments, including any subject-specific instructions, teachers' notes or additional information on the awarding body's website
- Marks internally assessed work to the criteria provided by the awarding body
- Ensures the Exam Manager is provided with relevant entry codes for subjects (whether the entry for the internally assessed component forms part of the overall entry code or is made as a separate unit entry code) to the internal deadline for entries

**Task setting**

**Subject**

**Teacher**

- Selects tasks from a choice provided by the awarding body OR designs tasks where this is permitted by criteria set out within the subject specification
- Makes candidates aware of the criteria used to assess their work

**Issuing of**

**tasks Subject**

**Teacher**

- Determines when set tasks are issued by the awarding body
- Identifies date(s) when tasks should be taken by candidates
- Accesses set tasks in sufficient time to allow planning, resourcing and teaching and ensures that materials are stored securely at all times
- Ensures requirements for legacy specification tasks and new specification tasks are distinguished between

**Task taking**

**Supervision**

**Subject**

**Teacher**

- Checks the awarding body's subject-specific requirements ensuring candidates take tasks under the required conditions and supervision arrangements
- Ensures there is sufficient supervision to enable the work of a candidate to be authenticated
- Ensures there is sufficient supervision to ensure the work a candidate submits is their own
- Where candidates may work in groups, keeps a record of each candidate's contribution
- Ensures candidates are aware of the JCQ documents Information for candidates - non- examination assessments and Information for candidates - Social Media
- Ensures candidates understand and comply with the regulations in relevant JCQ documents Information for candidates

**Advice and Feedback Subject teacher**

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

**Resources Subject Teacher**

- Refers to the awarding body's specification and/or associated documentation to determine if candidates have restricted/unrestricted access to resources when planning and researching their tasks
- Ensures conditions for any formally supervised sessions are known and put in place
- Ensures conditions for any formally supervised sessions are understood and followed by candidates
- Ensures candidates understand that they are not allowed to introduce improved notes or new resources between formally supervised sessions
- Ensures that where appropriate to include references, candidates keep a detailed record of their own research, planning, resources etc.

**Word and time limits Subject Teacher**

- Refers to the awarding body's specification to determine where word and time limits apply/are mandatory

**Collaboration and group work Subject Teacher**

- Unless stated otherwise in the awarding body's specification, and where appropriate, allows candidates to collaborate when carrying out research and preparatory work

- Ensures that it is possible to attribute assessable outcomes to individual candidates
- Ensures that where an assignment requires written work to be produced, each candidate writes up their own account of the assignment
- Assesses the work of each candidate individually

**Authentication procedures Subject Teacher**

- Where required by the awarding body's specification
- Ensures candidates sign a declaration confirming the work they submit for final assessment is their own unaided work
- Signs the teacher declaration of authentication confirming the requirements have been met
- Keeps signed candidate declarations on file until the deadline for enquiries about results has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later
- Provides signed candidate declarations where these may be requested by a JCQ Centre Inspector
- Where there may be doubt about the authenticity of the work of a candidate or if malpractice is suspected, follows the authentication procedures and malpractice information in NEA and informs the Exam Manager

**Presentation of work Subject Teacher**

- Obtains informed consent at the beginning of the course from parents/carers if videos or photographs/images of candidates will be included as evidence of participation or contribution
- Instructs candidates to present work as detailed in NEA unless the awarding body's specification gives different subject-specific instructions
- Instructs candidates to add their candidate number, centre number and the component code of the assessment as a header/footer on each page of their work

**Keeping materials secure Subject Teacher**

- When work is being undertaken by candidates under formal supervision, ensures work is securely stored between sessions (if more than one session)
- When work is submitted by candidates for final assessment, ensures work is securely stored
- Follows secure storage instructions as defined in NEA 4.8
- Takes sensible precautions when work is taken home for marking
- Stores internally assessed work, including the sample returned after awarding body moderation, securely until the closing date for enquiries about results or until the outcome of an enquiry or any subsequent appeal has been conveyed to the centre
- Reminds candidates of the need to keep their own work secure at all times and not share completed or partially completed work on-line, on social media or through any other means
- Liaises with the IT Manager to ensure that appropriate arrangements are in place to restrict access between sessions to candidates' work where work is stored electronically

**IT Manager**

- Ensures appropriate arrangements are in place to restrict access between sessions to candidates' work where work is stored electronically

**Task marking – externally assessed components Conduct of externally assessed work**

**Subject Teacher**

- Liaises with the Exam Manager regarding arrangements for the conduct of any externally assessed non-examination component of a specification
- Liaises with the Visiting Examiner where this may be applicable to any externally assessed component

**Exam Manager**

- Arranges timetabling, rooming and invigilation where this is applicable to any externally assessed non-examination component of a specification
- Conducts the externally assessed component within the window specified by the awarding body
- Conducts the externally assessed component according to the JCQ publication Instructions for conducting examinations

**Submission of work Subject Teacher**

- Provides the attendance register to a Visiting Examiner

**Exam Manager**

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

**Task marking – internally assessed components Marking and annotation**

**Subject Teacher**

- Attends awarding body training as required to ensure familiarity with the mark scheme/marking process
- Marks candidates' work in accordance with the marking criteria provided by the awarding body
- Annotates candidates' work as required to facilitate internal standardisation of marking and enable external moderation to check that marking is in line with the assessment criteria
- Informs candidates of their marks which could be subject to change by the awarding body moderation proces

- Ensures candidates are informed to the timescale indicated in the centre's internal appeals procedure to enable an internal appeal/request for a review of marking to be submitted by a candidate and the outcome known before final marks are submitted to the awarding body

**Internal standardisation Exam Manager**

- Ensures that internal standardisation of marks across assessors and teaching groups takes place as required and to sequence
- Supports staff not familiar with the mark scheme (e.g. NQTs, supply staff etc.)
- Ensures accurate internal standardisation - for example by
- Obtaining reference materials at an early stage in the course
- Holding a preliminary trial marking session prior to marking
- Carrying out further trial marking at appropriate points during the marking period
- After most marking has been completed, holds a further meeting to make final adjustments
- Making final adjustments to marks prior to submission
- Retaining work and evidence of standardisation

**Subject teacher**

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

**Submission of marks and work for moderation Subject Teacher**

- Inputs and submits marks online via the awarding body secure extranet site, keeping a record of the marks awarded to the external deadline/Provides marks to the Exam Manager to the internal deadline
- Where responsible for marks input, ensures checks are made that marks for any additional candidates are submitted and ensures mark input is checked before submission to avoid transcription errors
- Submits the requested samples of candidates' work to the awarding body moderator by the external deadline, keeping a record of the work submitted/Provides the moderation sample to the Exam Manager to the internal deadline
- Ensures the moderator is provided with authentication of candidates' work, confirmation that internal standardisation has been undertaken and any other subject-specific information where this may be required

**Exam Manager**

- Inputs and submits marks online via the awarding body secure extranet site, keeping a record of the marks submitted to the external deadline/Confirms with subject teachers that marks have been submitted to the awarding body deadline
- Where responsible for marks input, ensures checks are made that marks for any additional candidates are submitted and ensures mark input is checked before submission to avoid transcription errors

- Submits the requested samples of candidates' work to the moderator by the awarding body deadline, keeping a record of the work submitted/Confirms with Subject teacher that the moderation sample has been submitted to the awarding body deadline
- Ensures that for postal moderation
- work is dispatched in packaging provided by the awarding body
- moderator label(s) provided by the awarding body are affixed to the packaging
- proof of dispatch is obtained and kept on file until the successful issue of final results
- Through the subject teacher, ensures the moderator is provided with authentication of candidates' work, confirmation that internal standardisation has been undertaken and any other subject-specific information where this may be required

**Storage and retention of work after submission of marks Subject Teacher**

- Keeps a record of names and candidate numbers for candidates whose work was included in the moderation sample
- Retains all marked candidates' work (including any sample returned after moderation) under secure conditions until after the deadline for enquiries about results
- Takes steps to protect any work stored electronically from corruption and has a back-up procedure in place
- Retains evidence of work where retention may be a problem (for example, photos of artefacts etc.)

**Exam Manager**

- Ensures any sample returned after moderation is logged and returned to the subject teacher for secure storage and required retention

**External moderation - feedback Heads of Department**

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

**Exam Manager**

- Accesses or signposts moderator reports to relevant staff
- Takes remedial action, if necessary, where feedback may relate to centre administration

**Access arrangements Subject teacher**

- Works with the ALS Co-ordinator to ensure any access arrangements for eligible candidates are applied to assessments

**ALS Co-ordinator**

- Follows the regulations and guidance in the JCQ publication Access Arrangements and Reasonable Adjustments
- Where arrangements do not undermine the integrity of the qualification and is the candidate's normal way of working, will ensure access arrangements are in place and awarding body approval, where required, has been obtained prior to assessments taking place
- Makes subject teachers aware of any access arrangements for eligible candidates which need to be applied to assessments
- Works with subject teachers to ensure requirements for access arrangement candidates requiring the support of a facilitator in assessments are met
- Ensures that staff acting as an access arrangement facilitator are fully trained in their role

**Special consideration Subject Teacher**

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

**Exam Manager**

- Refers to/directs relevant staff to the JCQ publication A guide to the special consideration process
- Where a candidate is eligible, submits an application for special consideration via the awarding body's secure extranet site to the prescribed timescale
- Where application for special consideration via the awarding body's secure extranet site is not applicable, submits the required form to the awarding body to the prescribed timescale
- Keeps required evidence on file to support the application

**Malpractice Head of centre**

- Understands the responsibility to immediately report to the relevant awarding body any alleged, suspected or actual incidents of malpractice involving candidates, teachers, invigilators or other administrative staff
- Is familiar with the JCQ publication Suspected Malpractice in Examinations and Assessments: Policies and Procedures
- Ensures that those members of teaching staff involved in the direct supervision of candidates producing non-examination assessment are aware of the potential for malpractice and ensures that teaching staff are reminded that failure to report allegations of malpractice or suspected malpractice constitutes malpractice in itself

**Subject Teacher**

- Is aware of the JCQ Notice to Centres - Teachers sharing assessment material and candidates' work
- Ensures candidates understand the JCQ document Information for candidates - non-examination assessments
- Ensures candidates understand the JCQ document Information for candidates - Social Media
- Escalates and reports any alleged, suspected or actual incidents of malpractice involving candidates to the head of centre

**Exam Manager**

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

**Enquiries about results Head of Centre**

- Ensures the centre's internal appeals procedures clearly detail the procedure to be followed by candidates (or their parents/carers) appealing against a centre decision not to support a clerical check, a review of marking, a review of moderation or an appeal

**Heads of Department**

- Provides relevant support to subject teachers making decisions about enquiries about results

**Subject Teacher**

- Provides advice and guidance to candidates on their results and the post-results services available
- Provides the Exam Manager with the original sample or relevant sample of candidates' work that may be required for an enquiry about results to the internal deadline
- Supports the Exam Manager in collecting candidate consent where required

**Exam Manager**

- Is aware of the individual post-results services available for externally assessed and internally assessed components of non-examination assessments as detailed in the JCQ publication Post Results Services (Information and guidance to centres...)
- Provides/signposts relevant centre staff and candidates to post-results services information
- Ensures any requests for post-results services that are available to non-examination

assessments are submitted online via the awarding body secure extranet site to deadline

- Collects candidate consent where required

**Practical Skills Endorsement for the A Level Sciences designed for use**

**in England Head of Centre**

- Provides a signed declaration as part of the National Centre Number Register Annual Update, that all reasonable steps have been or will be taken to ensure that all candidates at the centre have had, or will have, the opportunity to undertake the prescribed practical activities
- Ensures new lead teachers undertake the required training provided by the awarding body on the implementation of the practical endorsement
- Ensures relevant centre staff liaise with all relevant parties in relation to arrangements for and conduct of the monitoring visit

**Heads of Department**

- Confirms understanding of the Practical Skills Endorsement for the A Level Sciences designed for use in England
- Ensures a response is provided to JCQ indicating which awarding body the centre intends to use for its entries in A level Biology, Chemistry and Physics (in Autumn 2016)
- Ensures where the centre intends to enter candidates for the first time for one or more of the A level subjects, the relevant awarding body will be contacted at the beginning of the course
- Undertakes training provided by the awarding body on the implementation of the practical endorsement
- Disseminates information to subject teachers ensuring the standards can be applied appropriately
- Liaises with all relevant parties in relation to arrangements for and conduct of the monitoring visit

**Subject Teacher**

- Ensures all the requirements in relation to the endorsement are known and understood
- Ensures the required arrangements for practical activities are in place
- Provides all the required centre records
- Ensures candidates provide the required records
- Provides any required information to the subject lead regarding the monitoring visit
- Assesses candidates using Common Practical Assessment Criteria (CPAC)
- Applies for an exemption where a candidate cannot access the practical endorsement due to a substantial impairment
- Follows the awarding body's instructions for the submission of candidates Pass or Not Classified assessment outcome

**Exam Manager**

- Follows the awarding body's instructions for the submission of candidates Pass or Not Classified assessment

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

**Head of centre**

- Provides a signed declaration as part of the National Centre Number Register Annual Update, that all reasonable steps have been or will be taken to ensure that all candidates at the centre have had, or will have, the opportunity to undertake the Spoken Language endorsement

**Exam Officer**

- Ensures the appropriate arrangements are in place for internal standardisation of assessments

**Heads of Department**

**Confirms understanding of the Spoken Language Endorsement for GCSE English Language specifications designed for use in England**

- Ensures the required task setting and task taking instructions are followed by Subject Teachers
- Ensures Subject Teachers assess candidates, either live or from recordings, using the common assessment criteria
- Ensures for monitoring purposes, audio-visual recordings of the presentations of a sample of candidates are provided

**Subject Teacher**

- Ensures all the requirements in relation to the endorsement are known and understood
- Follows the required task setting and task taking instructions
- Assesses candidates, either live or from recordings, using the common assessment criteria
- Provides audio-visual recordings of the presentations of a sample of candidates for monitoring purposes
- Follows the awarding body's instructions for the submission of grades (Pass, Merit, Distinction or Not Classified) and the storage and submission of recordings

**Exam Manager**

- Follows the awarding body's instructions for the submission of grades and the storage and submission of recordings

## Management of Issues and Potential Risks Associated with Non- Examination Assessments

| Issue/Risk | Centre actions to manage issue/mitigate risk | Action by |
|---|---|---|
| **Task setting** | | |
| Awarding body set task: IT failure/corruption of task details where set task details accessed from the awarding body online | *Awarding body key date for accessing/downloading set task noted prior to start of course*<br>*IT systems checked prior to key date*<br>*Alternative IT system used to gain access*<br>*Awarding body contacted to request direct email of task details* | HOD, Teaching staff, IT manager, EO |
| Centre set task: Subject Teacher fails to meet the assessment criteria as detailed in the specification | *Ensures that Subject Teachers access awarding body training information, practice materials etc.*<br>*Records confirmation that Subject Teachers understand the task setting arrangements as defined in the awarding body's specification*<br>*Samples assessment criteria in the centre set task* | HOD |
| Candidates do not understand the marking criteria and what they need to do to gain credit | *A simplified version of the awarding body's marking criteria described in the specification that is not specific to the work of an individual candidate or group of candidates is produced for candidates*<br>*Records confirm all candidates understand the marking criteria*<br>*Candidates confirm/record they understand the marking criteria* | Teaching staff, HOD |
| Subject Teacher long term absence during the task setting stage | *See centre's exam contingency plan - Teaching staff extended absence at key points in the exam cycle* | Curriculum Manager, HOD, EO |
| **Issuing of tasks** | | |
| Task for legacy specification given to candidates undertaking new specification | *Ensures Subject Teachers take care to distinguish between requirements/tasks for legacy specifications and requirements/tasks for new specifications*<br>*Awarding body guidance sought where this issue remains unresolved* | HOD, EO |
| Awarding body set task not issued to candidates on time | *Awarding body key date for accessing set task as detailed in the specification noted prior to start of course*<br>*Course information issued to candidates contains details when set task will be issued and needs to be completed by Set task accessed well in advance to allow time for planning, resourcing and teaching* | HOD, Teaching staff |
| The wrong task is given to candidates | *Ensures course planning and information taken from the awarding body's specification confirms the correct task will be issued to candidates*<br>*Awarding body guidance sought where this issue remains unresolved* | HOD, EO |

| | | |
|---|---|---|
| Subject Teacher long term absence during the issuing of tasks stage | *See centre's exam contingency plan - Teaching staff extended absence at key points in the exam cycle* | School Office Manager, EO, HOD |
| Task taking | | |
| **Supervision** | | |
| Planned assessments clash with other centre or candidate activities | *Assessment plan identified for the start of the course*<br>*Assessment dates/periods included in centre wide calendar* | APA, HOD, EO |
| Rooms or facilities inadequate for candidates to take tasks under appropriate supervision | *Timetabling organised to allocate appropriate rooms and IT facilities for the start of the course*<br>*Staggered sessions arranged where IT facilities insufficient for number of candidates*<br>*Whole cohort to undertake written task in large exam venue at the same time (exam conditions do not apply)* | Deputy Head Teacher(Admission and Administration), EO, HOD |
| Insufficient supervision of candidates to enable work to be authenticated | *Confirm Subject Teachers are aware of and follow the current JCQ publication Instructions for conducting non-examination assessments and any other specific instructions detailed in the awarding body's specification in relation to the supervision of candidates*<br>*Confirm Subject Teachers understand their role and responsibilities as detailed in the centre's non-examination assessment policy* | HOD, EO, APA |
| A candidate is suspected of malpractice prior to submitting their work for assessment | *Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (chapter 9 Malpractice) are followed*<br>*An internal investigation and where appropriate internal disciplinary procedures are followed* | APA, HOD, EO |
| Access arrangements were not put in place for an assessment where a candidate is approved for arrangements | *Relevant staff are signposted to the JCQ publication A guide to the special consideration process (chapter 2), to determine the process to be followed to apply for special consideration for the candidate* | APA, HOD, EO |

| Advice and feedback | | |
|---|---|---|
| Candidate claims appropriate advice and feedback not given by Subject Teacher prior to starting on their work | *Ensures a centre-wide process is in place for Subject Teachers to record all information provided to candidates before work begins as part of the centre's quality assurance procedures*<br>*Regular monitoring of Subject Teacher completed records and sign-off to confirm monitoring activity*<br>*Full records kept detailing all information and advice given to candidates prior to starting on their work as appropriate to the subject and component*<br>*Candidate confirms/records advice and feedback given prior to starting on their work* | Teaching staff, EO, HOD, APA |

| | | |
|---|---|---|
| Candidate claims no advice and feedback given by Subject Teacher during the task-taking stage | *Ensures a centre-wide process is in place for Subject Teachers to record all advice and feedback provided to candidates during the task-taking stage as part of the centre's quality assurance procedures*<br>*Regular monitoring of Subject Teacher completed records and sign-off to confirm monitoring activity*<br>*Full records kept detailing all advice and feedback given to candidates during the task-taking stage as appropriate to the subject and component*<br>*Candidate confirms/records advice and feedback given during the task-taking stage* | Teaching staff, EO, HOD, APA |
| A third party claims that assistance was given to candidates by the Subject Teacher over and above that allowed in the regulations and specification | *An investigation is conducted; candidates and Subject Teacher are interviewed and statements recorded where relevant*<br>*Records as detailed above are provided to confirm all assistance given*<br>*Where appropriate, a suspected malpractice report is submitted to the awarding body* | Teaching staff, EO, HOD, APA |
| Candidate does not reference information from published source | *Candidate is advised at a general level to reference information before work is submitted for formal assessment*<br>*Candidate is again referred to the JCQ document Information for candidates: non-examination assessments*<br>*Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion* | Teaching staff, EO, HOD, APA |
| Candidate does not set out references as required | *Candidate is advised at a general level to review and re-draft the set out of references before work is submitted for formal assessment*<br>*Candidate is again referred to the JCQ document Information for candidates: non-examination assessments*<br>*Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion* | Teaching staff, EO, HOD, APA |
| Candidate joins the course late after formally supervised task taking has started | *A separate supervised session(s) is arranged for the candidate to catch up* | HOD, Teaching staff |
| Candidate moves to another centre during the course | *Awarding body guidance is sought to determine what can be done depending on the stage at which the move takes place* | HOD, Teaching staff, EO |
| An excluded pupil wants to complete his/her non-examination assessment(s) | *The awarding body specification is checked to determine if the specification is available to a candidate outside mainstream education*<br>*If so, arrangements for supervision, authentication and marking are made separately for the candidate* | HOD, Teaching staff |
| Resources | | |

| | | |
|---|---|---|
| A candidate augments notes and resources between formally supervised sessions | *Preparatory notes and the work to be assessed are collected in and kept secure between formally supervised sessions*<br>*Where memory sticks are used by candidates, these are collected in and kept secure between formally supervised sessions*<br>*Where work is stored on the centre's network, access for candidates is restricted between formally supervised sessions* | HOD, Teaching staff, EO |
| A candidate fails to acknowledge sources on work that is submitted for assessment | *Candidate's detailed record of his/her own research, planning, resources etc. is checked to confirm all the sources used, including books, websites and audio/visual resources*<br>*Awarding body guidance is sought on whether the work of the candidate should be marked where candidate's detailed records acknowledges sources appropriately*<br>*Where confirmation is unavailable from candidate's records, awarding body guidance is sought and/or a mark of zero is submitted to the awarding body for the candidate* | HOD, Teaching staff |
| Word and time limits | | |
| A candidate is penalised by the awarding body for exceeding word or time limits | *Records confirm the awarding body specification has been checked to determine if word or time limits are mandatory*<br>*Where limits are for guidance only, candidates are discouraged from exceeding them*<br>*Candidates confirm/record any information provided to them on word or time limits is known and understood* | HOD, Teaching staff |
| Collaboration and group work | | |
| Candidates have worked in groups where the awarding body specification states this is not permitted | *Records confirm the awarding body specification has been checked to determine if group work is permitted Awarding body guidance sought where this issue remains unresolved* | Teaching staff, HOD |
| Authentication procedures | | |
| A teacher has doubts about the authenticity of the work submitted by a candidate for internal assessment<br><br>Candidate plagiarises other material | *Records confirm subject staff have been made aware of the JCQ document Teachers sharing assessment material and candidates' work*<br>*Records confirm that candidates have been issued with the current JCQ document Information for candidates: non-examination assessments*<br>*Candidates confirm/record that they understand what they need to do to comply with the regulations for non-examination assessments as outlined in the JCQ document Information for candidates: non-examination assessments*<br>*The candidate's work is not accepted for assessment*<br>*A mark of zero is recorded and submitted to the awarding body* | Teaching staff, HOD, EO |

| | | |
|---|---|---|
| Candidate does not sign their authentication statement/declaration | *Records confirm that candidates have been issued with the current JCQ document Information for candidates: non-examination assessments*<br>*Candidates confirm/record they understand what they need to do to comply with the regulations as outlined in the JCQ document Information for candidates: non-examination assessments*<br>*Declaration is checked for signature before accepting the work of a candidate for formal assessment* | Teaching staff, HOD, EO |
| Subject Teacher not available to sign authentication forms | *Ensures a centre-wide process is in place for Subject Teachers to sign authentication forms at the point of marking candidates work as part of the centre's quality assurance procedures* | HOD, EO |
| Presentation of work | | |
| Candidate does not fully complete the awarding body's cover sheet that is attached to their worked submitted for formal assessment | *Cover sheet is checked to ensure it is fully completed before accepting the work of a candidate for formal assessment* | Teaching staff, EO |
| **Keeping materials secure** | | |
| Candidates work between formal supervised sessions is not securely stored | *Records confirm Subject Teachers are aware of and follow current JCQ publication Instructions for conducting non-examination assessments*<br>*Regular monitoring ensures Subject Teacher use of appropriate secure storage* | Teaching staff, EO |
| Adequate secure storage not available to Subject Teacher | *Records confirm adequate/sufficient secure storage is available to Subject Teacher prior to the start of the course*<br>*Alternative secure storage sourced where required* | Teaching staff, HOD, EO |
| Task marking – externally assessed components | | |
| A candidate is absent on the day of the examiner visit for an acceptable reason | *Awarding body guidance is sought to determine if alternative assessment arrangements can be made for the candidate*<br>*If not, eligibility for special consideration is explored and a request submitted to the awarding body where appropriate* | EO, HOD, Teaching staff, ALS COORDINATOR |
| A candidate is absent on the day of the examiner visit for an unacceptable reason | *The candidate is marked absent on the attendance register* | Teaching staff, EO |
| Task marking – internally assessed components | | |
| A candidate submits little or no work | *Where a candidate submits no work, the candidate is recorded as absent when marks are submitted to the awarding body*<br>*Where a candidate submits little work, the work produced is assessed against the assessment criteria and a mark allocated appropriately; where the work does not meet* | Teaching staff |

| | | |
|---|---|---|
| | *any of the assessment criteria a mark of zero is submitted to the awarding body* | |
| A candidate is unable to finish their work for unforeseen reason | *Relevant staff are signposted to the JCQ publication A guide to the special consideration process (chapter 5), to determine eligibility and the process to be followed for shortfall in work* | Teaching staff, EO |
| The work of a candidate is lost or damaged | *Relevant staff are signposted to the JCQ publication A guide to the special consideration process (chapter 5), to determine eligibility and the process to be followed for lost or damaged work* | Teaching staff, EO |
| Candidate malpractice is discovered | *Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (chapter 9 Malpractice) are followed*<br>*Investigation and reporting procedures in the current JCQ publication Suspected Malpractice in Examinations and Assessments are followed*<br>*Appropriate internal disciplinary procedures are also followed* | Teaching staff, EO, HOD, APA |
| A teacher marks the work of his/her own child | *A conflict of interest is declared by informing the awarding body that a teacher is teaching his/her own child at the start of the course*<br>*Marked work of said child is submitted for moderation whether part of the sample requested or not* | Teaching staff, EO, HOD, APA |
| An extension to the deadline for submission of marks is required for a legitimate reason | *Awarding body is contacted to determine if an extension can be granted*<br>*Relevant staff are signposted to the JCQ publication A guide to the special consideration process (chapter 5), to determine eligibility and the process to be followed for non-examination assessment extension* | Teaching staff, EO, APA, ALS COORDINATOR |
| After submission of marks, it is discovered that the wrong task was given to candidates | *Awarding body is contacted for guidance*<br>*Relevant staff are signposted to the JCQ publication A guide to the special consideration process (chapter 2), to determine eligibility and the process to be followed to apply for special consideration for candidates* | Teaching staff, HOD, APA, EO |
| A candidate wishes to appeal/request a review of the marks awarded for their work by their teacher | *Candidates are informed of the marks they have been awarded for their work prior to the marks being submitted to the awarding body*<br>*Records confirm candidates have been informed of their marks*<br>*Candidates are informed that these marks are subject to change through the awarding body's moderation process*<br>*Candidates are informed of their marks to the timescale identified in the centre's internal appeals procedure and prior to the internal deadline set by the Exam Manager for the submission of marks*<br>*Through email from EO and verbally from teachers, candidates are made aware of the centre's internal appeals procedures and timescale for submitting an* | Teaching staff, HOD, APA, EO |

| | | |
|---|---|---|
| | *appeal/request for a review of the centre's marking prior to the submission of marks to the awarding body* | |
| Deadline for submitting work for formal assessment not met by candidate | *Records confirm deadlines given and understood by candidates at the start of the course*<br>*Candidates confirm/record deadlines known and understood*<br>*Depending on the circumstances, awarding body guidance sought to determine if the work can be accepted late for marking providing the awarding body's deadline for submitting marks can be met*<br>*Decision made (depending on the circumstances) if the work will be accepted late for marking or a mark of zero submitted to the awarding body for the candidate* | HOD, Teaching staff |
| Deadline for submitting marks and samples of candidates work ignored by Subject Teacher | *Internal/external deadlines are published at the start of each academic year*<br>*Reminders are issued through senior leaders/subject heads as deadlines approach*<br>*Records confirm deadlines known and understood by Subject Teachers*<br>*Where appropriate, internal disciplinary procedures are followed* | HOD, Teaching staff |
| Subject Teacher long term absence during the marking period | *See centre's exam contingency plan (Teaching staff extended absence at key points in the exam cycle)* | HOD, EO, School Office Manager |

## APPENDIX 9

## SPECIAL CONSIDERATION POLICY

| | |
|---|---|
| Updated | October 2023 |
| Next Review Date | September 2024 |
| Approved by Principal | Yes |
| Key Staff | VP, Deputy Head Teacher(Academic), School Office Manager, Curriculum, Attendance & Exams Manager, Exam Manager |
| Lead Staff for Review | Deputy Head Teacher(Academic) |

## What is Special Consideration?

"Special consideration is a post-examination adjustment to a candidate's mark or grade to reflect temporary illness, temporary injury or some other event outside of the candidate's control at the time of the assessment, which has had, or is reasonably likely to have had, a material effect on a
candidate's ability to take an assessment or demonstrate his or her normal level of attainment in an assessment.
Special consideration can only seek to go some way to assist a candidate affected by a potentially wide range of difficulties, emotional or physical, which may influence performance in examinations. It cannot remove the difficulty faced by the candidate. There will be situations where candidates should not be entered for an examination. Only minor adjustments can be made to the mark awarded because to do more than this would jeopardize the standard of the examination."

[JCQ *A guide to the special consideration process* Chapter 1] This document is further referred to in this policy as SC

## Purpose of the Policy

The purpose of this policy is to identify roles and responsibilities in the special consideration process and confirms that [insert centre name] agrees to "submit any applications for special consideration where candidates meet the published criteria."

[JCQ *General regulations for approved centres* Chapter 5]

## Eligibility for Special Consideration

**Roles and responsibilities Head of Centre**

- Is familiar with the contents, refers to and directs relevant centre staff to the annually updated JCQ publication SC
- Ensures that, where relevant and in eligible situations, applications for special consideration will be submitted to awarding bodies by the Exam Manager

**Exam Manager**

- Understands the criteria as detailed in SCto determine where candidates will/will not be eligible for special consideration

Ensures that, where relevant and in eligible situations, applications for special consideration will be submitted to awarding bodies

Provide any appropriate evidence or information that may be required to determine a candidate's eligibility for special consideration

**Candidates (or parents/carers)**

- Provide any medical or other evidence that may be required to determine eligibility for special consideration

## Applying for Special Consideration

Where eligible, special consideration will be applied for in a specific exam series where candidates *"have been fully prepared and have covered the whole course but performance in the examination, or in the production of controlled assessment, coursework or non-examination assessment, is materially affected by adverse circumstances beyond their control."*
[SC 2]

Where a candidate may arrive for an exam and is clearly unwell, extremely distressed and/or may have sustained an injury that requires emergency access arrangements to be put in place:

- The candidate will be kept comfortable and under supervision from the required time while appropriate arrangements are put in place for them to take the exam in the best possible conditions
- A judgement will be made on how the candidate's situation or disposition affected performance in the exam
- Where appropriate and where eligible, special consideration will be applied for

Where candidates may be affected by a major disturbance in the exam room (emergency evacuation etc.), special consideration is applied for on behalf of all candidates.

Where a candidate takes multiple exams (three or more exams) timetabled for the same day and the total duration for those papers is more than 6 hours for GCE exams (AS, A2, A-level) or more than 5 hours 30 minutes for GCSE exams including any approved extra time but not any time taken for supervised rest breaks, special consideration for an allowance on last paper taken will be applied for.

Where a candidate may be affected by a minor disturbance in the exam room caused by another candidate (momentary bad behaviour, mobile phone ringing etc.), special consideration cannot be applied for.

If a candidate is absent for acceptable reasons, and the centre can verify this, special consideration is applied for if the exam missed is in the terminal series and the *minimum requirements for enhanced grading in cases of acceptable absence* can be met. If there is an opportunity to re-enter the candidate in the next available exam series, the centre will make the entry and special consideration is not applied for.

Where other issues or problems affect a candidate or a group of candidates, special consideration will be explored (SC 5) and applied for where eligible. This might include, for example:

- Requesting an honorary certificate
- A short extension to controlled assessment/coursework/non-examination assessment deadlines
- Submitting a reduced quantity of controlled assessment/coursework/non-examination assessment (shortfall in work)
- Lost or damaged work
- Candidates taking an incorrect or defective question paper
- Candidates undertaking the wrong controlled assessment assignment

Where a candidate may be eligible for special consideration (a post assessment adjustment) in a vocational qualification, the centre will follow SC 7 and awarding body guidance to determine if, when and how an adjustment can be applied for.

## Processing Applications for Special Consideration

**Roles and**

**responsibilities Head**

**of centre**

- Ensures where a candidate may be a relative of the Exam Manager, the application will be authorised by an alternative member of centre staff

**Exam Manager**

- Ensures applications will be processed as required by the awarding bodies
- Keeps evidence to support applications on file until after the publication of results
- Meets the required deadline(s) for submitting applications

**Teaching staff and/or ALS Coordinator**

- Provide any appropriate evidence or information that may be required to support a candidate's application for special consideration

**Candidates (or parents/carers) will**

- Will be asked to provide any required medical or other evidence that may be required to support an application for special consideration

## Submitting Applications for Special Consideration

Where a candidate or group of candidates is/are eligible for special consideration applications will be submitted to the relevant awarding body following the published processes in SC.

Evidence to support applications will be kept on file until after the publication of results.

**Timetabled written exams**

- For GCE and GCSE qualifications, applications for individual candidates will be are submitted online by logging into the relevant awarding body secure extranet site and following the links to special consideration
- The processes for submitting a single application to cover all exams where a candidate is present but disadvantaged and a separate application for each day where a candidate is absent from an examination for an acceptable reason detailed in SC 6 will be followed
- For other qualifications, applications are submitted online where the awarding body's secure system accepts these
- The paper form 10 JCQ/SC Application for special consideration will only be completed and submitted to the awarding body where the online system does not accept applications for a particular qualification
- For groups of candidates, applications will be made online where the awarding body's secure system accepts group applications or form 10 will be completed
- The paper form 14JCQ/ME Self certification for candidates who have missed an examination will only be completed by a candidate where circumstances warrant this and will not be used where the centre knows the candidate was ill.

**Internally assessed work**

- Where appropriate, applications will be made online where the awarding body's secure system accepts them or form 10 will be completed and submitted to the awarding body
- Where a short extension to a deadline is being requested an application will be submitted online or by direct email, dependent on the awarding body
- Where an application relates to a shortfall in work, this will be submitted online or by completing form 10, dependent on the awarding body
- Where an application relates to lost or damaged work, this will be submitted online or by completing form 15JCQ/LCW Notification of lost centre assessed work, dependent on the awarding body

**Post assessment adjustments – vocational qualifications**

- Where relevant and eligible, form VQ/SCApplication for special consideration Vocational qualifications will be completed and submitted to the awarding body
- Private candidates
- Any private candidate entered by the centre must liaise with the Exam Manager (not the awarding body) regarding any application for special consideration

APPENDIX 10

# WORD PROCESSOR POLICY (EXAMS)

| | |
|---|---|
| Updated | October 2023 |
| Next Review Date | September 2024 |
| Approved by Principal | Yes |
| Key Staff | VP, Deputy Head Teacher(Academic), School Office Manager, Curriculum, Attendance & Exams Manager, Exam Manager |
| Lead Staff for Review | Deputy Head Teacher(Academic) |

## Purpose of the Policy

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

References to 'AA' relate to JCQ Access Arrangements and Reasonable Adjustments 2020/21and ICE to JCQ Instructions for conducting examinations 2020/21.

This policy details how the centre manages and administers the use of word processors (including laptops and tablets) in examinations and assessments.

## Principles for using a Word Processor

CATS Cambridge complies with AA chapter 4 Adjustments for candidates with disabilities and learning difficulties regulations and guidance as follows:

(AA 4.2.1)

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

(AA 4.2.2)

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

(AA 4.2.3)

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

(AA 4.2.4)

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

- Candidates are made aware that they will have the use of a word processor for examinations and non-examination assessments (including controlled assessments/coursework)

(AA 4.2.5)

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

The only exception to this is where an arrangement may need to be put in place as a consequence of a temporary injury or impairment at the time of an exam or assessment.

## The use of a Word Processor

CATS Cambridge complies with AA chapter 5 *Access arrangements available* as follows:

(AA 5.8.1)

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

(The above also extends to the use of electronic braillers and tablets) (AA 5.8.2)

- Provides access to word processors to candidates in non-examination assessments (including controlled assessments or coursework) components as standard practice unless prohibited by the specification

(AA 5.8.3)

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

handwrite within the answer booklet. The candidate avoids the difficulty of visually tracking between the question paper and screen

(AA 5.8.4)

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

## Word Processors and their Programmes

CATS Cambridge complies with ICE 8.8 Word processors instructions by ensuring:

- Word processors are used as a type-writer, not as a database, although standard formatting software is acceptable
- Word processors have been cleared of any previously stored data, as must any portable storage medium used
- An unauthorised memory stick is not permitted for use by a candidate
- Where required, candidates are provided with a memory stick, which has been cleared of any previously stored data, by a nominated member of centre staff
- Word processors are in good working order at the time of the examination
- Word processors are accommodated in such a way that other candidates are not disturbed and cannot read the screen
- Where a candidate using a word processor is accommodated separately, a separate invigilator is used
- Word processors are either connected to a printer so that a script can be printed off, or have the facility to print from a portable storage medium
- Documents are printed after the examination is over
- Candidates are present to verify that the work printed is their own
- Word processed scripts are inserted in any answer booklet which contains some of the answers
- Word processors are used to produce scripts under secure conditions, and if they are not then the centre is aware that they may be refused by the awarding body
- Word processors are not used to perform skills which are being assessed
- Word processors are not connected to an intranet or any other means of communication.
- Candidates are not given access to other applications such as a calculator (where prohibited in the examination), spreadsheets etc when using a word processor
- Graphic packages or computer aided design software is not included on a word processor unless permission has been given to use these
- Predictive text software or an automatic spelling and grammar check is disabled

unless the candidate has been permitted a scribe or is using voice recognition technology (the script must have a completed scribe cover sheet included), or the awarding body's specification permits the use of automatic spell checking

- Voice recognition technology is not included on word processors unless the candidate has permission to use a scribe or relevant software
- Word processors are not used on the candidate's behalf by a third party unless the candidate has permission to use a scribe

## Laptops and Tablets

CATS Cambridge further complies with ICE 8.8 instructions by ensuring:

- Tablets used during examinations/assessments are designed to run for a long period of time once fully charged and are 'free-standing'
- The battery capacity of all laptops and/or tablets is checked before the candidate's examination(s) with the battery sufficiently charged for the entire duration of the examination
- Candidates with fully charged laptops or tablets are given the opportunity to be seated within the main examination hall without the need for separate invigilation and power points
- Candidates are reminded that their centre number, candidate number and the unit/component code must appear on each page as a header or footer
- Candidates using Notepad or Wordpad software (which do not allow for the insertion of a header or footer) are instructed to handwrite their details as a header or footer once they have finished the examination and printed off their typed script; candidates are also supervised to ensure that they are solely performing this task and not re-reading their answers or amending their work in any way
- Candidates are instructed to appropriately number each page
- Candidates are instructed to use a minimum 12pt font and double spacing
- Invigilators remind candidates to save their work at regular intervals
- Where it is possible 'autosave' is set up on each laptop/tablet
- Candidates are present at the end of the examination when their script is printed off so they can verify that the work printed is their own

## Accommodating Word Processors in Examinations

Candidates using word processors (including laptops or tablets) are internally accommodated in the following manner:

- ALS COORDINATOR lets EO know which students require laptops and in which specifications
- Candidates sit in the main exam hall, sat away from other students so they a) don't disturb other students and b) so other students can't see the work being produced on the word processor
- Candidates are encouraged to save their work regularly
- Candidates are escorted to the EO with the memory stick, where it will be printed and footer/page numbers added by candidate

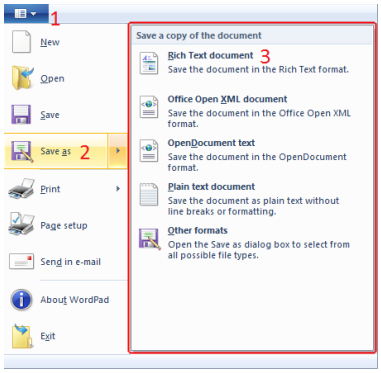
Invigilation arrangements relating to the use of word processors include the following:

- Head invigilator briefed by EO of any students requiring WP
- EO indicates the use of WP on the seating plan
- Invigilators set-up WP using instructions and user guide, provided by EO
- Invigilators escort WP candidate to EO office to print paper

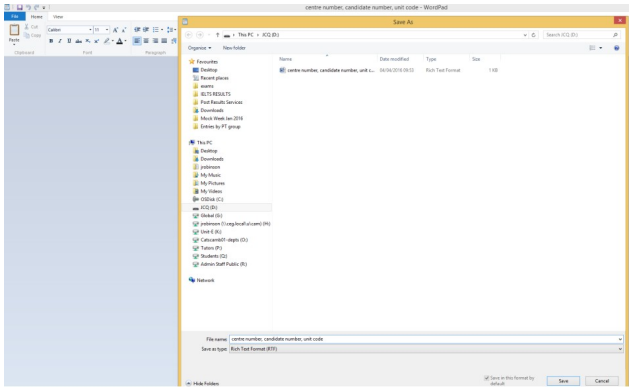
## Procedure for Facilitating Exams taken on a Laptop:

**Before the exam:**

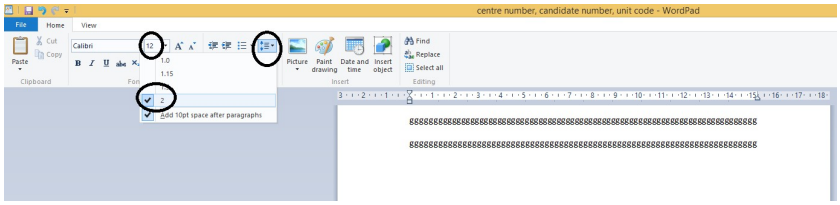
- Arrange laptop as per seating plan, plug power adapter into wall.
- Attach keyboard and mouse.
- Turn on laptop.
- Click on 'exam' profile
- Profile will load and WordPad will launch automatically
- Insert USB stick into USB port. The port will have this symbol next to it.
- Autoplay will show up, make a note of the name of the device; cancel this message.
- In WordPad, click on steps 1, 2, 3:




- Save the file to the USB drive and name the file as follows: centre number, candidate number, unit code


centre number, candidate number, unit code – WordPad
Save As
File name: centre number, candidate number, unit code
Save as type: Rich Text Format (RTF)
Save
Cancel

- Set the font size to 12 and line spacing to 2.




- Ask the candidate to write their centre number, candidate number and unit/component code at the top of the first page.
- Remind the candidate to keep saving their work.

**During the exam:**

- Remind the candidate to keep saving their work at appropriate intervals.

**End of exam:**

- Ask the candidate to hit save once more and then close down the document.
- Go to the start button, click Computer and then click on the USB drive.
- Check the correct file has saved in there.
- Right click on the drive and select 'Eject' from the menu.
- The computer will then tell you it is safe to remove the hardware (USB).
- Remove the USB stick from the laptop.
- Candidate must be escorted to the exams office by an invigilator (with the USB stick)
- The Exam Manager will print off the candidate's work.
- The candidate will write page numbers on each page.
- The candidate will write the centre number, candidate number and unit/component code on each page.
- The Exam Manager will complete JCQ Form 4 – Word Processor cover sheet.
- The Exam Manager and invigilator will sign the cover sheet.
- The Exam Manager will securely attach this sheet to the candidate's work and process as usual with the other scripts.

APPENDIX 11

# COMPLAINTS AND APPEALS PROCEDURE (EXAMS)

| | |
|---|---|
| Updated | October 2023 |
| Next Review Date | September 2024 |
| Approved by Principal | Yes |
| Key Staff | VP, Deputy Head Teacher(Academic), School Office Manager, Curriculum, Attendance & Exams Manager, Exam Manager |
| Lead Staff for Review | Deputy Head Teacher(Academic) |

## Purpose of the Procedure

This procedure confirms CATS Cambridge's compliance with JCQ's General Regulations for Approved Centres 2020-21, section 5.8 that the centre has in place "*...a written complaints and appeals procedure which will cover general complaints regarding the centre's delivery or administration of a qualification*."

## Grounds for Complaint

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

**Teaching and learning**

Quality of teaching and learning, for example:

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

**Access arrangements**

- Candidate not assessed by the centre's appointed assessor
- Candidate not involved in decisions made regarding his/her access arrangements
- Candidate did not consent to personal data being shared electronically (by the non-acquisition of a signed Data Protection Notice)

- Candidate not informed/adequately informed of the arrangements in place and the subjects or components of subjects where the arrangements would not apply
- Exam information not appropriately adapted for a disabled candidate to access it
- Adapted equipment put in place failed during exam/assessment
- Approved access arrangement(s) not put in place at the time of an exam/assessment
- Appropriate arrangements not put in place at the time of an exam/assessment as a consequence of a temporary injury or impairment

**Entries**

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

**Conducting examinations**

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

**Results and Post-results**

- Before exams, candidate not made aware of the arrangements for post-results services and the accessibility of senior members of centre staff after the publication of results
- Candidate not having access to a member of senior staff after the publication of results to discuss/make decision on the submission of an enquiry
- Candidate request for return of work after moderation and work not available/disposed of earlier than allowed in the regulations
- Candidate (or parent/carer) unhappy with a result (complainant to refer via Exam Manager to awarding body post-results services)
- Candidate (or parent/carer) unhappy with a centre decision not to support a clerical check, a review of marking, a review of moderation or an appeal (complainant to refer via [insert who] to the centre's internal appeals procedure)

- Centre applied for the wrong post-results service/for the wrong exam paper for a candidate
- Centre missed awarding body deadline to apply for a post-results service
- Centre applied for a post-results service for candidate without gaining required candidate consent/permission

**Complaints and appeals procedure**

If a candidate (or his/her parent/carer) has a general concern or complaint about the centre's delivery or administration of a qualification he/she is following, CATS Cambridge encourages him/her to try to resolve this informally in the first instance. A concern or complaint should be made in person or in writing to the head of centre, Dominic Tomalin.

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

**How to make a formal complaint**

- A complaint should be submitted in writing by completing a complaints and appeals form
- Forms are available from the Exam Manager
- Completed forms should be returned to the Exam Manager
- Forms received will be logged by the centre and acknowledged within three calendar days

**How a formal complaint is investigated**

The head of centre will further investigate or appoint a member of the middle leadership team, under supervision of the Deputy Head Teacher(Academic) (who is not involved in the grounds for complaint and has no personal interest in the outcome) to investigate the complaint and report on the findings and conclusion. The findings and conclusion will be provided to the complainant within four working weeks.

**Appeals**

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

- Any appeal must be submitted in writing by again completing a complaints and appeals form
- Forms received will be logged by the centre and acknowledged within 3 calendar days
- The appeal will be referred to Stuart White for consideration
- Stuart White will inform the appellant of the final conclusion in due course

## Complaints and Appeals Form

| FOR CENTRE USE ONLY | |
|---|---|
| **Date received** | |
| **Reference No.** | |

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

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

| | |
|---|---|
| Name of complainant/appellant | |
| Candidate name *if different to complainant/appellant* | |

Please state the grounds for your complaint/appeal below

If your complaint is lengthy please write as bullet points; please keep to the point and include relevant detail such as dates, names etc. and provide any evidence you may have to support what you say

Your appeal should identify the centre's failure to follow procedures as set out in the relevant policy, and/or issues in teaching and learning which have impacted the candidate

*If necessary, continue on an additional page if this form is being completed electronically or overleaf if hard copy being completed*

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

Complainant/appellant signature: Date of signature:

## Complaints and Appeals Log

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

| Ref No. | Date received | Complaint or Appeal | Outcome | Outcome date |
|---|---|---|---|---|
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APPENDIX 12

# VERIFYING CANDIDATE IDENTITY PROCEDURE

| | |
|---|---|
| Updated | October 2023 |
| Next Review Date | September 2024 |
| Approved by Principal | Yes |
| Key Staff | VP, Deputy Head Teacher(Academic), School Office Manager, Curriculum, Attendance & Exams Manager, Exam Manager |
| Lead Staff for Review | Deputy Head Teacher(Academic) |

## Verifying Candidate Identity Procedure

The identity of candidates sitting a written examination with CATS Cambridge will be checked before the start of each written examination.
Placed on each desk will be a desk label, which contains a photograph of the candidate to sit the written paper at that particular session

- Candidates will be expected to wear their student ID card, which also contains the same photo as the desk label
- Candidates will be instructed to place their student ID card on the desk, so that the invigilators can make sure this matches the desk label
- The Exam Manager will be there to verify candidate identity, along with a senior member of staff present to also check the identity of students
- Candidates who wear a veil for religious purposes, which obscures the face will be taken to a private room by the Exam Manager plus a female invigilator. They will be asked to remove the veil so that their identity can be verified. Once this has been ascertained, the candidate can put their veil back in place, proceeding to the exam room as normal
- Private candidates will be expected to bring photographic documentary evidence (passport or photographic driving licence) to each and every written examination, reporting to the Head Invigilator, so that their identity can be verified. Private candidates will not be allowed to sit the examination without photographic evidence under any circumstances

APPENDIX 13

# GENERAL DATA PROTECTION REGULATION POLICY (EXAMS)

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| Updated | October 2023 |
| Next Review Date | September 2024 |
| Approved by Principal | Yes |
| Key Staff | VP, Deputy Head Teacher(Academic), School Office Manager, Curriculum, Attendance & Exams Manager, Exam Manager |
| Lead Staff for Review | Deputy Head Teacher(Academic) |

## Key staff involved in the General Data Protection Regulation policy

| Role | Name(s) |
|---|---|
| Head of centre | Dominic Tomalin |
| Exam Manager | Olga Sobiesiak |
| Exam Manager line manager (Vice Principal) | Dominic Tomalin Philip Harwood |
| Data Protection Officer | **Laura McDowell** |
| IT manager | Wayne Ledger |
| Assistant Principal/Data manager | Qadeer Afzal |

## Purpose of the Policy

This policy details how CATS Cambridge (as part of "CATS SCHOOLS"), in relation to exams management and administration, ensures compliance with the regulations as set out in The Data Protection Act 2018 as it pertains to the GDPR.

Students are given the right to find out what information (including personal data as defined in the GDPR)1 the centre holds about them, how this is protected, how this can be accessed and how data breaches are dealt with.

All exams office staff responsible for collecting and sharing candidates' data (including personal data) are required to follow strict rules called 'data protection principles' ensuring the information is:

- Processed fairly, lawfully and in a transparent manner
- Collected for specified, explicit and legitimate purposes
- Adequate, relevant and not excessive in relation to the purposes for which it is processed
- Accurate and where necessary kept up to date
- Kept (in a format which identifies candidates) for no longer than is absolutely necessary
- Kept safe and secure, including protecting against unauthorised or unlawful processing and against accidental loss, destruction or damage

In addition, a candidate's personal data will not be transferred outside the European Economic Area without adequate protection being put in place.

[1] any information relating to an identified or identifiable natural person ("data subject"); an identifiable natural person is one

who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person (Article 4 (1) GDPR)

## Exams-Related Information

There is a requirement for the Exams Office(r) to hold exams-related information on candidates taking external examinations. For further details on the type of information held please refer to Section 5 – Candidate information, audit and protection measures.

Candidates' exams-related data may be shared with the following external bodies.

- Awarding bodies
- Joint Council for Qualifications (JCQ)
- Centre for Evaluation & Monitoring (CEM), Independent Schools Council (ISC), Independent Schools Inspectorate (ISI), British Council, Cambridge English Language Assessment, Department for Education, universities

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

- Hard copy
- Email
- Secure extranet site(s) – eAQA; OCR Interchange; Pearson Edexcel Online; CIE Direct.
- Management Information System (MIS) provided by Capita Unit-e, sending/receiving information via electronic data interchange (EDI) using A2C (https://www.jcq.org.uk/about- a2c) to/from awarding body processing systems; etc.

This data may relate to exam entries, access arrangements, the conduct of exams and non- examination assessments, special consideration requests and exam results/post-results/certificate information.

## Informing Candidates of the Information Held

CATS Cambridge ensures that candidates are fully aware of the information and personal data held by the centre.

All candidates are:

- Informed via information pack given once entries made
- Given access to this policy via written request

Candidates are made aware of the above once they have been entered for external examinations.

[1] Personal data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs, or trade union

membership, and the processing of genetic data, biometric data for the purpose of uniquely identifying a natural person, data concerning health or data concerning a natural person's sex life or sexual orientation (Article 9(1) GDPR).

## Hardware and Software

The table below confirms how IT hardware, software and access to online systems is protected in line with GDPR requirements.

| Hardware | Protection measures | Warranty expiry |
|---|---|---|
| PC – Dell | Encrypted disks; administrator access restricted to IT Staff; PC protected by real time Sophos antivirus; monthly security updates automatically deployed via MDT; users access profiles created for role specific requirements; user password policy rigorously enforced.<br><br>Data transfer via Internal/External networks pass through successive levels of filtering and content/email checking to block Malware/Suspicious attachments and files | N/A<br><br>Majority of equipment is out of warranty – security and protection is carried out by system/security/process not warranty which is for repair |
| Laptop – Dell | As above | N/A |
| Laptop – Microsoft | As above | N/A |
| Server Systems – Dell | Systems host key business software applications that support the academic operation.<br><br>These servers are hosted in secure, dedicated Datacentres located in two principle CATS SCHOOLS sites.<br><br>These systems have restricted administrator access, full back-up regime, and user access to data is controlled by full AD authentication. Full event logging is in place.<br><br>External access to networks and by detault all IT equipment is protected by a combination of layers of security.<br><br>Every network perimeter point has a firewall (either a Cisco and Fortinet). All Ciscos conduct URL filtering using<br>Cisco Firepower, Fortigate utilise | Full support and maintenance agreement for all critical business systems |

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| | Fortigard for content restriction and alerting.<br><br>Data centres run a sourcefire module between the LAN and DC network.<br><br>Egress filtering is all done via the Firepower rating system, destinations limited via DNS entries being locked down and restricting access. All secure configs are backed up using Solarwinds network config manager, and config backups compared against daily backups to highlight and alert against changes.<br><br>Live changes are captured in Solarwinds and alerting set up. SSH and HTTPS secure authentication,and running SNMP V3, access to management infrastructure is via its own locked down subnet with limited user access.<br><br>Admin interfaces are accessible via the internet ,and limited to specfic external IPs. | |
| User system security | Regularly reviewed and monitored.<br><br>Inactive or no longer required accounts are disabled and held in a graveyard account. Archive and deletion is depending on users role and need for making data available for ex- students.<br><br>Passwords are valid for 90 days then are compulsory changed, they must be a minimum of 12 mixed characters and cannot re-use the 5 previously used password. | |

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| Data Transfer – WIFI | All systems transferring data via corporate WIFI are encrypted to WPA2 | |

| | | |
|---|---|---|
| | Enterprise level. Guest WIFI access is via a PSK key | |

| **Software/online system** | **Protection measure(s)** |
|---|---|
| Capita UNIT-e MIS | We are aware of what data we store, and the level of sensitivity. All databases are reliant on network security and perimeter control. Access controls are in place and monitoring of the server event logs.<br><br>Administrator accounts regularly reviewed and monitored. Restricted access to admin level privileges. Access requests go through an approval process. Local admin rights restricted to reduce client's ability to run executables.<br><br>Inactive or no longer required user accounts are disabled and held in a graveyard account. Archive and deletion is depending on user's role and need for making data available for ex- students.<br><br>Applications are monitored and logged using Solarwinds. Live changes are captured in Solarwinds.<br><br>Anti-malware detection and eradication using Sophos AV which is installed on all Client machines.<br><br>All server systems are patched in monthly maintenance windows to ensure that all appropriate system updates and security patches are applied.<br><br>Every perimeter has a firewall and URL filtering.<br><br>Configs are backed up using Solarwinds network config manager, and config backups compared against daily backups to highlight and alert against changes.<br><br>Admin interfaces are accessible via the internet and limited to specific external IPs.<br><br>We engage an external security firm to conduct penetration testing on CATS SCHOOLS systems and conduct regular internal testing using proprietary tools. |

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| CATS SCHOOLS Shackleton Staff Portal | As Above.<br><br>Access control via AD authentication<br><br>Password Policy in place - Passwords are valid for 90 days then are compulsorily changed, they must be a minimum of 12 |

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| | mixed characters and cannot re-use the 5 previously used passwords. |
| CATS SCHOOLS Ernest Student Portal | As Above. |
| Internet browser(s) | Currently we do not operate restrictions to a single browser due to limitations within 3rd Party applications targeting specific browsers.<br><br>Browsers used within CATS SCHOOLS are Chrome, Firefox, Safari and IE. Automatic updates are applied and certain administrative functions are locked down.<br><br>URL Filtering is employed across CATS SCHOOLS to restrict content access.<br><br>Firewalls restrict access to the ports made available. Hosts are locked down, and networks are segmented. |
| Awarding body secure extranet site(s); A2C, eAQA; OCR Interchange; Pearson Edexcel Online; CIE Direct | |

## Dealing with Personal Data Breaches

Although personal data is handled in line with the GDPR, sometimes a personal data breach may still occur for any of the following reasons:

- Loss or theft of data or equipment on which personal data is stored
- Inappropriate access controls allowing unauthorised use
- Equipment failure
- Human error
- Unforeseen circumstances such as a fire or flood
- Hacking attack
- 'Blagging' offences where personal data is obtained by deceiving the organisation who holds it

If a personal data breach is identified, the centre must immediately notify CATS SCHOOLS's Data Protection Officer ("DPO"). The DPO will take the lead with the following steps:

## Assessment of whether a Personal Data Breach needs to be notified

The DPO will assess whether the personal data breach needs to be notified to the Information Commissioner's Office (ICO) and to individual candidates.

In both cases, the DPO will make a recommendation to the CATS SCHOOLS executive team regarding notification in line with the GDPR and official guidance on personal data breach notification. The executive team will decide whether to notify and their decision will be final. Both the DPO's recommendation and the CATS SCHOOLS executive team's decision will be recorded as part of CATS SCHOOLS's accountability obligations under the GDPR.

## Containment and Recovery

It will be established:

- Who needs to be made aware of the breach internally and inform them of what they are expected to do to assist in the containment exercise. This may include isolating or closing a compromised section of the network, finding a lost piece of equipment and/or changing the access codes
- Whether there is anything that can be done to recover any losses and limit the damage the breach can cause. As well as the physical recovery of equipment, this could involve the use of back-up hardware to restore lost or damaged personal data or ensuring that staff recognise when someone tries to use stolen data to access accounts

## Assessment of Ongoing Risk

The following points will be considered in assessing the ongoing risk of the personal data breach:

- What type of personal data is involved?
- It is it special category personal data?
- If personal data has been lost or stolen, are there any protections in place such as encryption?
- What has happened to the personal data? If personal data has been stolen, it could be used for purposes which are harmful to the individuals to whom the personal data relates; if it has been damaged, this poses a different type and level of risk
- Regardless of what has happened to the personal data, what could the personal data tell a third party about the individual?
- How many individuals' personal data are affected by the breach?
- Who are the individuals whose personal data has been breached?
- What harm can come to those individuals?
- Are there wider consequences to consider such as a loss of public confidence in an important service the centre provides?

## Evaluation and Response

Once a personal data breach has been resolved, a full investigation of the incident will take place. This will include:

- Reviewing what personal data is held and where and how it is stored
- Identifying where risks and weak points in security measures lie (for example, use of portable storage devices or access to public networks)
- Reviewing methods of sharing of personal data and transmission
- Increasing staff awareness of security when handling personal data and filling gaps through training or tailored advice
- Reviewing contingency plans
- Documenting the facts relating to the personal data breach, its effects and remedial action taken to ensure CATS SCHOOLS's compliance with the accountability requirements of the GDPR.

## Candidate Information, Audit and Protection Measures

For the purposes of this policy, all candidates' exam-related information – even that not considered personal or special category under the GDPR – will be handled in line with GDPR guidelines.

An information audit is conducted annually.

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

Protection measures include:

- Secure drive accessible only to selected staff
- Secure destruction of data once deadline for retention has passed
- Password policies
- Anti-malware software

## Data Retention Periods

Details of retention periods, the actions taken at the end of the retention period and method of disposal are contained in the centre's Exams archiving policy which is accessible via the Exams Policy on Shackleton or by requesting a copy from the Exam Manager.

## Access to Information

Current and former candidates can request access to the personal data held on them by making a subject access request to the Data Protection Officer in writing/email. The email address from which the request comes from will be cross-checked against the student record on Shackleton. If the email address does not appear on the student record, then the

candidate will need to confirm their identity by scanning and emailing a colour copy of their passport and a recent utility bill. Requests will be dealt with within 1 month.

## Third Party Access

Permission should be obtained before requesting personal data on another individual from a third- party organisation.

Candidates' personal data will not be shared with a third party unless a request is accompanied with permission from the candidate. Permission must be provided in the form of an email from a verified email address on the student's record.

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

## Table Recording Candidate Exams-Related Information Held

For details of how to request access to information held, refer to section 7 of this policy (Access to information) For further details of how long information is held, refer to section 6 of this policy (Data retention periods)

| Information type | Information description (where required) | What personal/ special category data is/may be contained in the information | Where information is stored | How information is protected | Retention period |
|---|---|---|---|---|---|
| Access arrangements information | Information collected by ALS coordinator to process access arrangements | Candidate name<br>Candidate DOB Gender<br>Data protection notice (candidate signature)<br>Diagnostic testing outcome(s)<br>Specialist report(s) (may also include candidate address)<br>Evidence of normal way of working | Access arrangements online<br>Shackleton<br>Lockable metal filing cabinet<br>SharePoint ALS folder | Secure user name and password<br>In secure area solely assigned to members of staff<br>Only accessible to Exams staff<br>Only accessible to Exams staff | Retained as long as pupil records are as defined in the CATS SCHOOLS Retention Policy |
| Attendance registers copies | Registers record attendance at each written exam, are | Candidate name | Lockable filing cabinet | Only accessible by EO staff | To be retained until the deadline |

| Information type | Information description (where required) | What personal/ special category data is/may be contained in the information | Where information is stored | How information is protected | Retention period |
|---|---|---|---|---|---|
| | kept with seating plan and exam room incident log | Candidate number<br>Presence at exam | | | for EARs or the resolution of any outstanding enquiries/appeals for the relevant exams series. |
| Candidates' work | Controlled assessments, coursework and non-examination assessments | Candidate name<br>Candidate number<br>Candidate marks and grades | Secure storage | Only accessible by EO staff | Retained until the post-results period has been completed for that exam series |
| Certificates | Record of achievement | Candidate name<br>Candidate number UCI number<br>Candidate ODB<br>Candidate marks and grades | Lockable filing cabinet | Only accessible by EO staff | Retained securely for a minimum of 12 months from date of issue. |

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| Certificate destruction information | A record of unclaimed certificates that have been destroyed. | Candidate name<br>Candidate number<br>UCI number | In Examinations SharePoint > Archive | Only accessible by EO staff | To be retained for 4 years from the date of |

| Information type | Information description (where required) | What personal/ special category data is/may be contained in the information | Where information is stored | How information is protected | Retention period |
|---|---|---|---|---|---|
| | | Candidate ODB<br>Candidate marks and grades | | | certificate destructio n. |
| Certificate issue information | A record of certificates that have been issued to candidates. | Candidate name<br>Candidate number<br>Candidate<br>qualifications | Certificate collection file. Copies of post receipts or students sign-out in person, scanned and saved in file. | Only accessible by EO staff | Indefinite |
| Entry information | A record of which qualifications candidates have been entered for. | Candidate name, number, CATS SCHOOLS number, preferred name, personal tutor, programme of study, qualification information | In Examinations SharePoint > Entries folder in each academic year | Only accessible by EO staff and emailed to Head of Centre and APA | Retained until the post-results period has been completed for that exam series |
| Exam room incident logs | Logs detailing the chronological activity happening in exam rooms from start to finish | Candidate name<br>Candidate number<br>Candidate toilet<br>breaks | With the corresponding attendance register and seating plan in lockable filing cabinet | Only accessible by EO staff | To be retained until the deadline for EARs or the resolution of any outstanding enquiries/appea ls for the |

| | | | | | |
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| | | | | | relevant exams series. |

| Information type | Information description (where required) | What personal/ special category data is/may be contained in the information | Where information is stored | How information is protected | Retention period |
|---|---|---|---|---|---|
| Overnight supervision information | Copy of JCQ form Timetable variation and confidentiality declaration for overnight supervision for any candidate eligible for these arrangements. | Candidate name<br>Candidate<br>number<br>Candidate<br>address | In Exams SharePoint | Only accessible by EO staff | To be retained indefinitely for JCQ inspection purposes. |
| Post-results services: confirmation of candidate consent information | Hard copy or email record of candidate consent for an EAR or ATS request to be submitted to an awarding body | Candidate name<br>Candidate<br>number<br>Candidate results information | Post-results services file for relevant academic year | Only accessible by EO staff. Only shared with HOD and APA/Head of Centre. | EAR consent to be retained for at least six months following the outcome of the enquiry or any subsequent appeal.<br>ATS consent to be retained for at least six months from the date consent given. |

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| Post-results services: requests/outcome information | Any hard or digital copies of information relating to a post-results service request | Candidate name<br>Candidate number | Post-results services file for relevant academic year | Only accessible by EO staff. Only shared with HOD | Retained for at least six months following the |

| Information type | Information description (where required) | What personal/ special category data is/may be contained in the information | Where information is stored | How information is protected | Retention period |
|---|---|---|---|---|---|
| | (EARs, appeals, ATS) submitted to an awarding body for a candidate and outcome information from the awarding body. | Candidate results information | | and APA/Head of Centre. | outcome of the enquiry or any subsequent appeal. |
| Post-results services: scripts provided by ATS service | Copy, digital or original exam scripts returned to the centre by the awarding body. | Candidate name<br>Candidate<br>number<br>Candidate results information | Where scripts are retained by the centre, they are securely stored (including any electronic versions) and not edited in any way or disposed of until after the awarding body deadline. | Only accessible by EO staff. | n/a returned to the requester after the post-results period is complete |
| Post-results services: tracking logs | A log tracking to resolution all post-results service requests submitted to awarding bodies. | Candidate name<br>Candidate<br>number<br>Candidate results information | Post-results services file for relevant academic year | Only accessible by EO staff. | Retained for at least six months following the outcome of the enquiry or any subsequent |

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| | | | | | appeal. |

| Information type | Information description (where required) | What personal/ special category data is/may be contained in the information | Where information is stored | How information is protected | Retention period |
|---|---|---|---|---|---|
| | | | | | |
| Private candidate information | Any hard or digital copy information relating to private candidates' entries. | Candidate name, address, candidate number, email, phone number, date of birth and gender | In Exams SharePoint > Entries | Only accessible by EO staff. | To be retained until the deadline for EARs or the resolution of any outstanding enquiries/appeals for the relevant exams series. |
| Resolving clashes information | Any information relating to the resolution of a candidate's clash of exam papers or a timetable variation. | Candidate name, candidate number | In Exams SharePoint > Entries | Only accessible by EO staff. | To be retained until the deadline for EARs or the resolution of any outstanding enquiries/appeals for the relevant exams series. |

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|---|---|---|---|---|---|
| Results information | Broadsheets of results summarising candidate final grades by subject by exam series. | Candidate name, candidate number, DOB, gender, result information | In Exams SharePoint > Results for the relevant academic year | Only accessible by EO staff. | Records for current year plus previous 6 years |

| Information type | Information description (where required) | What personal/ special category data is/may be contained in the information | Where information is stored | How information is protected | Retention period |
|---|---|---|---|---|---|
| | | | | | to be retained as a minimum. |
| Seating plans | Plans showing the seating arrangements of all candidates for every exam taken. | Candidate name<br>Candidate number<br>Candidate toilet<br>breaks | With the corresponding attendance register and incident log in lockable filing cabinet | Only accessible by EO staff | To be kept until the deadline for EARs and the resolution of any outstanding enquiries/appeals for the relevant exams series. |
| Special consideration information | Any hard or digital copies of information relating to a special consideration request and supporting evidence submitted to an awarding body for a candidate. | Candidate name<br>Candidate number<br>Candidate date of<br>birth<br>Candidate medical information | Lockable filing cabinet | Only accessible by EO staff | To be kept until the deadline for EARs and the resolution of any outstanding enquiries/appeals for the relevant exams series. |
| Suspected malpractice reports/outcomes | Any hard or digital copies of information relating to a suspected malpractice investigation/report | Candidate name<br>Candidate<br>number | On Exams SharePoint, filed by Academic Year > Malpractice | Only accessible by EO staff, APA and Head of Centre | To be kept until the deadline for EARs and the resolution of |

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| | | | | | any |

| Information type | Information description (where required) | What personal/ special category data is/may be contained in the information | Where information is stored | How information is protected | Retention period |
|---|---|---|---|---|---|
| | submitted to an awarding body and outcome information from the awarding body. | | | | outstanding enquiries/appeals for the relevant exams series. |
| Transfer of credit information | Any hard or digital copies of information relating to a GCE AS transfer of credit arrangement (for a legacy unitised GCE AS specification) application submitted to an awarding body for a candidate. | Candidate name<br>Candidate number<br>Candidate UCI | In Exams SharePoint > Transfer of credit | Only accessible by EO staff, APA and Head of Centre | To be retained until the issue of the GCE A level result for the candidate. |
| Transferred candidate information | Any hard or digital copies of information relating to an application for a transferred candidate arrangement submitted to an awarding body for a candidate. | Candidate name<br>Candidate number<br>Candidate UCI | In Exams SharePoint > Transfer of credit | Only accessible by EO staff, APA and Head of Centre | To be retained until the transfer arrangements are confirmed by the awarding body. |
| Very late arrival reports/outcomes | Any hard or digital copies of information relating to a very late arrival report submitted to an awarding | Candidate name<br>Candidate | In Exams SharePoint > Academic Year > Very late arrivals | Only accessible by EO staff, APA and Head of Centre | To be kept until the deadline for EARs and the |

| | | | | | |
|---|---|---|---|---|---|
| | | number | | | resolution of any |

| Information type | Information description (where required) | What personal/ special category data is/may be contained in the information | Where information is stored | How information is protected | Retention period |
|---|---|---|---|---|---|
| | body for a candidate and outcome information from the awarding body. | | | | outstanding enquiries/appeals for the relevant exams series. |