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- 1.1 The purpose of this exam policy is
- a) to ensure the planning and management of exams is conducted efficiently, effectively, and in the best interest of learners. always Maintaining the integrity and security of the exam/assessment system, according to JCQ and awarding body regulations, guidance, and instructions.
  - b) all aspects of the exam process are documented, supporting the exams contingency plan and other relevant policies, procedures, and plans are signposted.
  - c) all exams and assessments are conducted in accordance with JCQ and Awarding Body regulations, guidance, and instructions.
  - d) to ensure the operation of an efficient exam system with clear guidelines for all relevant staff.
- 1.2 It is the responsibility of everyone involved in the Academy's exam processes to read, understand, and implement this policy.
- 1.3 This exam policy will be reviewed regularly and at least once per year by the EO and approved by the Academy Executive Team. A hard copy will be kept in the EO, electronic copies will be available on the Academy's internal intranet and the public website.
- 1.4 For the purpose of this policy, the term:
- Head of Centre* is accountable to the awarding bodies for ensuring the Academy is compliant with published JCQ regulations and awarding body requirements. Ensuring the integrity and security of examinations/assessments at all times. This is usually the Principal/Head of School.
- learner* denotes all exam candidates or learners, regardless of year group.
- EO* refers to the Academy's examination officer.
- Internally assessed work* refers to coursework, non-examination assessments.

**KEY:**

- ATS – Access to Scripts  
EAR – Enquiry About Results  
Exam Links – Usually either the Head of Department or the Curriculum Lead  
GCSE – General Certificate of Secondary Education (KS4)  
HLTA – Higher Level Teaching Assistant  
CL – Curriculum Lead  
HRT – Human Resources Team  
IV – Internal Verification  
JCQ – Joint Council for Qualifications  
SEND – Special Education Needs and Disabilities  
RBA – Richard Barnes Academy  
TDET – Thomas Deacon Educational Trust



## EXAM RESPONSIBILITIES

- 2.1 Overall responsibility for the Academy as an exam centre is held by the Principal. The Assistant Principal has operational day to day responsibilities which include:
- Organisation of teaching and learning.
  - External validation of courses followed at Key Stage 4.
  - Advice on appeals and review of marking.

A summary of staff responsibilities is listed below.

### **Head of Centre (HOC)**

- 2.2 The HOC is responsible to the awarding bodies for ensuring the centre is compliant with the published JCQ regulations and awarding body requirements. To ensure, the security and integrity of examinations/assessments, at all times. They may not appoint themselves as the examinations officer, these are two distinct and separate roles. The HOC:
- Ensures the Academy has appropriate accommodation to support the size of the cohorts being taught for all examinations and assessments, including accommodation for learners requiring access arrangements.
  - Ensures venues for conducting exams meet the requirements of JCQ and the awarding bodies.
  - Takes responsibility for ensuring the National Centre Number Register annual update (administered on behalf of JCQ by OCR) is responded to each year.
  - Ensures staff attend appropriate training events to enable the exam process to be effectively managed and administered.
  - Ensures a named member of staff acts as the Special Educations Needs and Disability Co-ordinator. That there is also a written process in place to not only check the qualifications of the centre appointed assessor, but the correct procedures are followed as per JCQ publication *Access Arrangements and Reasonable Adjustments*.
  - Ensures the EO receives appropriate support from relevant centre staff and enables the EO to attend appropriate training and other events, in order to facilitate the effective delivery of exams and assessments within the centre (for example, EO networking events and relevant events offered by awarding bodies, MIS providers, and other external providers).
  - Ensures a teacher who teaches the subject being examined, or a member of staff who has had overall responsibility for the learner's preparation for exams, is not an invigilator during the timetabled written examinations, or on-screen tests.
  - Ensures confidentiality and security within the examination process is compliant with and managed according to JCQ and awarding bodies regulations.



- i) The location of the centre's secure storage facility in a secure room is solely assigned to examinations for the purpose of administering secure exam materials. Access to the secure room and secure facility is restricted to the authorised 2-4 key holders.
- j) Appropriate arrangements are in place to ensure that confidential materials are only delivered to authorised members of centre staff.
- k) Ensure appropriate steps are taken where a learner being entered for exams is related to a member of centre staff.
- l) Ensure members of centre staff do not forward e-mails and letters from awarding bodies or JCQ to third parties without prior consent or upload such correspondence onto social media sites.
- m) Ensure members of staff do not advise learners/parents/carers to contact awarding bodies/JCQ directly.
- n) Takes all reasonable steps to prevent the occurrence of any malpractice before, during, and after examinations have taken place.
- o) Ensures all suspicions or actual incidents of malpractice in line with the JCQ publication *Suspected Malpractice in Examinations and Assessments* are investigated and reported to the appropriate awarding body. Copies can be found on the Staff Portal in the 'Exams' section.
- p) Ensures all policies and risk management processes/contingency plans and procedures relating to examinations are in place and adhered to; see section 24 "Other Relevant Policies".
- q) Ensures the Academy has a Data Protection Policy in place that complies with General Data Protection Regulation and Data Protection Act 2018 regulations.
- r) Ensures the centre's Disability Policy demonstrating compliance with relevant legislation is in place. Detailing the processes followed in respect of identifying the need for requesting and implementing access arrangements.
- s) Ensures irregularities are investigated and informs the awarding bodies of any cases of alleged, suspected, or actual incidents of malpractice or maladministration, involving a learner or a member of staff, are reported to the awarding body immediately.

### **Exams Officer (EO)**

- 2.3 The EO is the person appointed by the HOC to act on behalf of, and be the main point of contact for, the centre in matters relating to the general administration of awarding body examinations and assessments. The EO also manages the administration of formal internal exams and is familiar with, understands, and implements the annually updated JCQ publications ensuring all key tasks are undertaken and key dates and deadlines met.
- a) Supports the HOC in ensuring that awarding bodies are informed of any declaration/conflict of interest involving learners and relevant members of centre staff before the published deadline for entries.



- b) Advise CLs, teachers, class tutors, and other relevant support staff on external exam timetables and application procedures as set by the various awarding bodies.
- c) Oversee the production and distribution to staff and learners of an annual calendar for all exams in which learners will be involved and communicates regularly with staff concerning imminent deadlines and events.
- d) Ensure that learners and their parents are informed of and understand those aspects of the exam timetable that will affect them.
- e) Consult with CLs to ensure that necessary internal assessments are completed on time and in accordance with JCQ guidelines.
- f) Provide and confirm detailed data on estimated entries.
- g) Receive, check, and store all exam papers and completed scripts securely.
- h) Dispatches scripts/internal assessments as instructed by JCQ and the awarding bodies.
- i) Administer access arrangement and special consideration applications in line the JCQ Access arrangements and special considerations regulations and guidance relating to learners who are eligible for adjustments in examinations.
- j) Identify and manage exam timetable clashes.
- k) Account for income and expenditure relating to all exam costs/charges.
- l) Manage the training and monitoring of a team of exam invigilators responsible for the invigilation of exams and maintaining accurate records of training given.
- m) Liaise with the SEND Co-ordinator to ensure invigilators are made aware of the Equality Act 2010 and are trained in disability issues.
- n) Provide documentation for each exam venue for invigilators, ensuring learners with access arrangements are identified on the seat plans.
- o) Prepare and present exam reports, as and when required, to the Academy Executive Team.
- p) Use exam results data for statistical data reporting.
- q) Submit learners' internal assessment marks, track dispatch and store materials required by the awarding bodies correctly and on schedule.
- r) Arrange for dissemination of exam results and certificates to learners and process, in consultation with SLT, any appeals/enquiries about result requests.
- s) Maintain systems and processes to support the timely entry of learners for their exams.
- t) Evaluate effectiveness of exams and invigilation service.
- u) Approves relevant access rights for teaching staff to awarding bodies secure extranet sites.
- v) Supports the HOC in ensuring that awarding bodies are informed of any declaration/conflict of interest involving learners and relevant members of centre staff before the published deadline for entries.



## **Assistant Principal (AP)**

- 2.4 The APs are familiar with the content, refer to and direct relevant centre staff to annually updated JCQ publications.
- a) Hold subject teachers to account for adherence to examination procedure and policy.
  - b) Liaise with subject teachers in the guidance and pastoral oversight of learners who are unsure about exam entries or amendments to entries.
  - c) Ensure appropriate internal moderation, standardisation and verification processes are in place.
  - d) Ensure an internal appeals procedure relating to internal assessment decisions is in place, for a learner/parent/carer to appeal against and request a review of the centre's marking.
  - e) Ensure a policy for the management of controlled assessment is in place for new GCSE qualifications which include components of non-examination assessments.
  - f) Ensure irregularities are investigated and any cases of suspected malpractice reported to the awarding body as required.
  - g) Are involved in post-results procedures.
  - h) Ensure relevant support is provided to the EO in training and deploying a team of invigilators. If contracting supply staff as invigilators or to facilitate an access arrangement, they are competent, fully trained, and understand what is and what is not permissible.

## **Quality Nominee (Pearson Edexcel BTEC Programmes only)**

- 2.5 The role of the Quality Nominee is to oversee the operation of Pearson Edexcel BTEC courses across the Academy.
- a) Liaise with the EO on learner registrations and certification.
  - b) Work with programme area leaders on internal verification, National Standards Sampling, and Centre Risk Assessments.
  - c) Ensure quality and consistency across programme areas.
  - d) Review of policy and practice in line with Edexcel's requirements and guidelines.
  - e) Ensure all documents are in the CLs subject folder.

## **Curriculum Leads (CL)**

- 2.6 CLs have a responsibility to:
- a) Ensure teaching staff undertake key tasks, as detailed in this policy, with the exams process and meet internal deadlines set by the EO and SEND Co-ordinator.
  - b) Ensure teaching staff:
    - keep themselves updated with awarding body subject and teacher-specific information to confirm effective delivery of qualifications.
    - attend relevant training courses and events to ensure they have the necessary skills and knowledge to conduct set tasks, assess, mark, and authenticate learners' work.
  - c) Ensure achievement of coursework deadlines and data submission deadlines.



- d) Hold overall responsibility for ensuring that the requirements of examination specification are met within subjects in their department area.
- e) Act as liaison for all exam matters such as entries, forecast grades, internal assessments, and results between the EO and their designated subject area.
- a) At the start of every academic year, notify the EO of all external qualifications being taught in their department/subject area.
- b) Adhere to deadlines as set by the EO.
- c) Accurate completion of exams entry, forecast grade, and internal assessment documents as required by the EO and the awarding bodies.
- d) Ensure that Internal Assessment/Controlled Assessments are with the EO for despatch to the awarding body/moderator within the designated time frame.
- e) Communicate expectations around assessment and examination to team and ensure subject staff adhere to these.

## **Teachers**

2.8 Teachers are responsible for:

- a) Referral of learners with possible access arrangement requirements to the SEND Co-ordinator. This should be undertaken as soon as possible after the start of the course.
- b) Ensuring appropriate instructions for conducting internal assessment are followed.
- c) Ensuring learners are aware of JCQ and awarding body information on producing work that is internally assessed.
- d) Declaring any conflict of interest involving themselves or family members to the HOC/EO.

## **SEND Co-ordinator**

2.9 The SEND Co-ordinator is responsible for:

- a) Identification and testing of learners' requirements for access arrangements in conjunction with HLTA overseeing exam concessions.
- b) Liaising with teaching staff to gather evidence of normal way of working of an affected learner to determine their eligibility for arrangements or adjustments for access arrangements.
- c) Completion of JCQ application forms, data protection notices, and evidence for access arrangements to be passed to the EO for processing.
- d) Provision of additional support to help learners achieve their course aims.
- e) Ensuring staff appointed to facilitate access arrangements are appropriately trained and understand the rules of the arrangements. Keep detailed records of content of training provided and attendance. If contracting supply staff to facilitate an access arrangement, they are competent, fully trained, and understand what is and what is not permissible.
- f) Reviewing and contributing to relevant sections of examinations policies to ensure they are kept up to date and in line with changes to regulations relating to their job responsibilities.





- g) Ensuring invigilators are made aware of the Equality Act 2010 and are trained in disability issues.
- h) Meeting with the JCQ Inspector when requested to provide documentary evidence regarding access arrangement learners and address any questions the inspector may raise.

### **Lead Invigilator / Invigilators**

2.10 They are required to:

- a) Attend training, updates, briefing and review sessions as required.
- b) Provide information as requested on their availability to invigilate.
- c) Sign a confidentiality and security agreement and confirm whether they have any current maladministration/malpractice sanctions applied to them.
- d) Ensure all requirements in the JCQ *Instructions for the Conduct of Examinations* booklet are always met.
- e) Report any suspected malpractice to the EO immediately.
- f) Declare any conflict of interest regarding family members taking exams.
- g) Collection of all exam papers/scripts, in the correct order, at the end of the exam and their return to the EO.

### **Learners**

2.11 Learners, when undertaking examinations courses:

- a) Understand internal assessment regulations, complete and authenticate their work according to staff instructions and JCQ regulations.
- b) Are responsible for knowing their exam timetables and attending exams promptly.
- c) Must have photographic ID for every exam.
- d) Are required to remain in the exam room for the full duration of the published exam time; any additional time allowances are taken at the discretion of the learner.
- e) Behave in a responsible and appropriate manner throughout the duration of the exam, in line with the instructions for the conduct of examinations.  
Will have the opportunity to produce a written statement involving any reported cases of suspected malpractice

### **Reception/Facilities Staff**

2.12 Reception/Facilities staff roles are to:

- a) Support the EO in the receipt and dispatch of confidential exam materials and follow the requirements for maintaining the integrity and confidentiality of the exam materials i.e., completing log of all confidential information received from receipt to signature upon delivery to the EO. Refuse delivery of exam papers if no exam keyholders on site.
- b) Support the EO in relevant matters relating to exam rooms and resources.



## EXAM SESSIONS AND TIMETABLES

### Exam Sessions

- 3.1 Internal Exams are the responsibility of the Assistant Principals. These will be:
- Scheduled throughout the year as determined by an AP.
  - Held during normal taught lesson time and will not impact on other lessons unless otherwise specified by an AP.
- 3.2 Each subject area is responsible for:
- Producing and marking suitable exam papers/scripts.
  - Organising internal exams within the classroom during normal timetabled lessons where necessary.
  - Notifying learners of the date/times of the internal exam when held within timetabled lessons.
- 3.3 For internal exams that are being held outside of timetabled lessons, the subject area is still responsible for producing and marking suitable exam papers. The EO is responsible for:
- Organising the timetable for internal exams.
  - Booking suitable venues for the exams to take place.
  - Notifying learners of the date/times of these exams.
  - Organising invigilators to administer the exams.
- 3.4 All internal exams will be held under external exam conditions. Access Arrangements will be provided for learners as per the external exam provisions.
- 3.5 External written exams are scheduled primarily in November (GCSE Maths and English re-sit exam only), January, May, June; dates and times are set by the awarding bodies and cannot be changed.
- 3.6 On-Screen external exams are scheduled throughout the year as determined by the teacher and specification requirements and in agreement with the EO.
- 3.7 Key dates for exams are published on the internal staff/learner portal and public RBA website at the start of each year.

### Timetables

- 3.8 The EO will circulate the exam timetables to learners and staff. The AP and EO will inform learners/parents of any contingency day awarding bodies may identify in the event of national or local disruption to exams.



- a) The master timetable will be published on the internal staff/learner portal and the RBA public website.
- b) Individual learner written examination timetables will be published directly to learners.

## **ENTRIES, ENTRY DETAILS, LATE ENTRIES, REGISTRATIONS AND RETAKES**

### **Registrations**

- 4.1 For those programmes of study that require learner registration (for example, BTECs, Edexcel Applied courses and Cambridge National/Technical), it is the responsibility of the CLs to:
  - a) Provide the EO with a list of learner registrations within the agreed deadlines and conforming to the awarding body requirements.
  - b) Make each learner aware of their registration status.
  - c) Inform the EO of any withdrawals, transfers or changes to learner details.
  - d) Ensure certificate/unit claims are submitted to the EO timely and based solely on internal verified assessment records
- 4.2 The EO is responsible for notifying the awarding bodies of:
  - a) Initial registrations and notifying the awarding body of any subsequent changes.
  - b) Certification/unit award claims.
- 4.3 The Post 16 Team is responsible for providing details and results of learners transferring to college at the start of each academic year.

### **Entries**

- 4.4 Learners are selected for their exam entries by the CLs, verified by SLTs. Learners are generally entered for exams at the end of the course, i.e., Year 11. Some vocational courses will require individual unit entries throughout the course. Early GCSE entries will only be made at the discretion of the Assistant Principal.
- 4.5 If a learner or parent has an issue with exam entries, they must raise this with the appropriate SLT. Subject entries and change of tier will only be accepted from the appropriate SLT. Learners may not be withdrawn from a subject without prior permission from the Assistant Principals.
- 4.6 Entry deadlines are circulated to SLTs via email within the first term.
- 4.7 If learners currently on roll wish to be entered for exams outside of the curriculum taught at the Academy, these will only be accepted with the approval of the relevant SLT and AP.



4.8 Members of staff wishing to be entered for examinations should find another centre to accept them as a private learner. As per JCQ regulations, they can only be entered at the Academy as a very last resort if they cannot find another centre.

### **Late Entries**

4.9 Late entries must be authorised by AP and any additional fees incurred will be debited from the appropriate departmental budget.

### **Retakes**

4.10 Retake decisions will be made in consultation with SLTs and EO and are subject to the awarding bodies regulations.

### **Private Candidates**

4.11 The Academy will only accept private retake entries from former RBA learners.

- a) The former learner must have been off roll for no more than 12 months from the date of the examination series.
- b) Private entries will only be accepted for written exams previously undertaken at the Academy. In all instances, private entries will not be accepted for coursework, practical or oral components.
- c) Entries are available by the awarding bodies and entry is made before the first entry deadline date; late entries will not be accepted.

(Also see Section 5: Exam Fees)



## EXAM FEES

- 5.1 Initial GCSE and On-Screen testing registration and entry fees are paid for by the Academy.
- 5.2 Learners or departments will not be charged for changes of tier or withdrawals made by the proper procedures, or alterations arising from administrative processes, provided these are made within the deadline dates. Any fees incurred after the published deadline dates may be charged directly, either to the learner or the departmental budget, dependant on circumstances.
- 5.3 Reimbursement may be sought from learners, or their parents, if they fail to sit an exam or meet the necessary internal assessment requirements.
  - a) Private candidates will be subject to a session administration fee in addition to subject entry fees. Any costs in relation to access arrangement provision will also be payable e.g., re-testing to determine need for an arrangement, fee for the approved assessor or cost of invigilator if an individual room is required.
- 5.4 Learners pay for an enquiry about a result, should the Academy not uphold the enquiry and the learner insists on pursuing the enquiry (also see Section 11: Enquiries About Results).
- 5.5 Learners must pay for the return of exam scripts. In the event that SLTs subject teachers request a learner's script for teaching purposes, this will be paid for by the Academy. (See Section 13: Access to Scripts).



## THE DISABILITY DISCRIMINATION ACT, SPECIAL NEEDS AND REASONABLE ADJUSTMENTS

- 6.1 RBA is committed to enabling all learners to fulfil their potential. To support any learner during any assessment, the Academy recognises it is vital to possess accurate and current data. In terms of identifying which learners are entitled to support, information is collated from several sources, examples are:
- Primary feeder school and Key Stage 2 assessments.
  - EP reports.
  - Information as contained in the SEND file.
  - Current test data, including RA scores and interpretation by the SEND Co-ordinator.
  - Information contained within their statement of need/Educational Health Care Plan.
  - GP, Occupational Therapy and Neuro-Developmental advice.
- 6.2 From this data and from any subsequent referrals, the SEND Co-ordinator will facilitate a series of other assessments in relation to eligibility for examination Access Arrangements. These include:
- WRAT and PATOSS testing.
  - Dyslexia Screener.

### **Equality Act 2010**

- 6.3 All RBA exam staff will meet the requirements of the Equality Act 2010 as defined in the JCQ publication *Access Arrangements and Reasonable Adjustments* and the Disability Equality Duty (DED) introduced in 2006.

### **Additional Educational Needs**

- 6.4 A learner's SEND requirements are determined by the SEND Co-ordinator who will keep subject staff informed of key information.

### **Reasonable Adjustments (Access Arrangements)**

- 6.5 Making special arrangements for learners to take exams is the responsibility of the SEND Co-ordinator and the EO.
- The SEND Co-ordinator and their team will be responsible for determining if a learner is eligible for reasonable adjustment/access arrangements as laid down by the JCQ *Access Arrangements, Reasonable Adjustment and Special Consideration* manual.
  - Where learners meet the requirements, a completed application form and supporting evidence must be forwarded to the EO.
  - The EO is responsible for processing applications to the awarding bodies and notifying the SEND Co-ordinator of the outcomes.



- d) The SEND Co-ordinator will inform learners and parents of the outcomes.
  - e) Records of successful applications are kept within the EO for centre inspections and a report will be available for staff on SIMS.
  - f) Rooming and invigilation of examinations for access arrangement learners is the responsibility of the EO. The JCQ *Access Arrangements, Reasonable Adjustment and Special Consideration* and *Instructions for Conduct of Exams* manuals will be adhered to.
  - g) Ordering modified/enlarged papers from the awarding bodies for external exams is the responsibility of the EO.
  - h) Arranging adult support for access arrangement learners is the responsibility of the SEND Co-ordinator and HLTA overseeing exam access arrangements.
- 6.6 The SEND Co-ordinator is responsible for allocating appropriately trained centre staff to facilitate access arrangements for learners in exams and assessment, ensuring they meet JCQ requirements and fully understand the rules of the access arrangement. A full training record will be kept of all training, briefings and update meetings held by the SEND Co-ordinator.
- 6.7 The SEND Co-ordinator ensures appropriate arrangement, adjustments and adaptations are in place to facilitate access to exams/assessments for learners where they are disabled within the meaning of the Equality Act, unless a temporary emergency arrangement is required at the time of the exam.
- 6.7 Please also refer to the Access Arrangements Policy.



## MANAGING INVIGILATORS AND EXAM DAYS

### Managing Invigilators

- 7.1 Internal staff are used to invigilate all examinations. If supply staff are to act as invigilators, or to facilitate an access arrangement, they must be competent and fully trained, understanding what is and what is not permissible.
- 7.2 Invigilators are timetabled, and training is organised by the EO to ensure compliance with JCQ regulations. Training records and attendance are logged and kept on file. Training on whole school issues, such as Child Protection, is organised in conjunction with the SLT/AP.
- 7.4 The EO, in conjunction with the AP, is responsible for investigating any suspected invigilator malpractice.

### Exam Days

- 7.5 The EO will book all exam rooms after liaison with other users and make the question papers, other exam stationery, and materials available for the invigilators.
- 7.6 The facilities staff is responsible for setting up the allocated rooms in accordance with the EO instructions.
- 7.7 To avoid potential breaches of security, prior to removing exam papers from the secure facility two members of the exam team will check the day, date, time, and unit/component information. The EO will check these details with an invigilator before papers are taken to the exam venue. As an additional check, before any exam packets are opened in the exam room, the invigilator must check they have the correct papers.
- 7.8 Invigilators are responsible for ensuring all learners have photographic ID before being allowed entry to the exam room. SLT/EO/Invigilators will start all exams in accordance with JCQ guidelines.
- 7.9 Subject staff may be present in the exam room only in accordance with the JCQ '*Notice to Centres – the people present in the examination room*' regulations.
- 7.10 Exam papers must not be read by invigilators, subject staff or removed from the exam room before the end of the session. The invigilator must return all materials to the EO. Despatch of exam scripts is the responsibility of the EO.





7.11 Where a difficult/unplanned situation arises during an exam, the EO must be notified at the earliest opportunity.

7.12 The attendance and a further ID check will be taken by invigilators in the exam room to ensure learners are seated in the correct seat/receive the correct paper.

### **Late/Absent learners**

7.13 Confirmation of attendees, learners arriving late, and learners absent from each exam venue will be reported to the EO as soon as possible after the start of the exam.

7.14 All absent learners will be reported as follows:

a) KS3/4 learner

- ♦ Central admin for internal exams and for external exams

7.15 All late learners will be dealt with in accordance with the JCQ guidelines. Learners arriving less than 1 hour after the published start time will be allowed entry to the exam venue. For external exams, if resources, facilities and staffing permit, the full-time allowance will be given.

7.16 Learners arriving more than 1 hour after the published start time or after learners have been dismissed from the exam for less than one hour, will not be permitted to take the exam.

### **Food/Drink**

7.17 Learners are only permitted to bring in a small bottle of water to the exam room, this must be in a clear transparent bottle with all labels removed. Food is not permitted.

7.18 Learners who have a known medical problem can bring any necessary equipment into the exam room i.e., epi-pens, inhalers, diabetic testing strips/glucose tablets etc. The EO must be notified beforehand so invigilators can be notified.



## **LEARNERS, EXAM CLASHES AND SPECIAL CONSIDERATION**

### **Learners**

- 8.1 The Academy's published rules on acceptable dress and behaviour always apply.
- 8.2 Learners' personal belongings must remain in reception. The Academy accepts no liability for their loss or damage.
- 8.3 Learners will only be admitted to the exam room if they have photographic ID to prove their identity.
- 8.4 Disruptive learners are dealt with in accordance with the JCQ guidelines and the Academy's own policies; they may only stay for the full exam time at the discretion of the EO or member of Senior staff providing they are not causing a disturbance to other learners. The decision to remove a learner from the exam room lies with the EO/SLT.
- 8.5 Learners may leave the room for genuine purposes and are required to return immediately to the exam room; they must be accompanied by an invigilator, or nominated member of staff at all times.
- 8.6 Learners must stay for the first hour of the scheduled exam time; they are not permitted to leave the exam until one hour has passed. Where there is an alteration to published start times, the centre will ensure that candidates remain under centre supervision until the appropriate time after the published start time.
- 8.7 The responsibility to be at the correct exam venue and on time, lies with the individual learner at all times. The invigilator will report any absentees to the EO as soon as possible after the start of the exam session. This information will be forwarded by the EO to the appropriate member of staff to attempt to contact the learner.

### **Clash Learners**

- 8.8 The EO will be responsible for:
  - a) Notifying individual learners of exam clash arrangements.
  - b) Organising the supervising escorts.
  - c) Identifying a secure venue and arranging overnight stays.



### **Special Consideration**

- 8.9 Should a learner be ill before an exam, suffer bereavement or other trauma, be taken ill during the exam itself, or otherwise be disadvantaged or disturbed during the exam, then it is the learner's responsibility to alert the EO to that effect as soon as possible.
- 8.10 Applications for special consideration must meet the requirements of the awarding body, as laid down in the JCQ *Access Arrangements, Reasonable Adjustments and Special Consideration* manual. The learner must support any special consideration claim with appropriate evidence within three days of the exam, for example by providing a doctor's letter.
- 8.11 The EO will make the application for special consideration to the relevant awarding body within seven days of the last subject exam.
- 8.12 The outcome of the application lies with the awarding bodies.

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## NON-EXAMINATION ASSESSMENT (NEA)

- 9.1 Non-Examination Assessments are examination assessments, taken under exam conditions but marked by teaching staff and sent to the awarding body for moderation. Previously known as controlled assessments/coursework.
- 9.2 Learners who must prepare portfolios should do so by the individual subject deadline dates as given by subject teachers. The Academy will ensure that learners are provided with assignments fit for purpose, enabling them to produce appropriate evidence for assessment. Resources will be provided to ensure that assessments can be performed accurately and appropriately.
- 9.3 Learners' work will be assessed using only the published assessment and grading criteria. The internal moderation process will ensure that assessment decisions are impartial, valid, and reliable. It is the duty of curriculum leaders to ensure that all internal assessment sampling is with the EO ready for dispatch at the correct time and within agreed deadline dates as required by the awarding body. The EO is responsible for the despatch to the moderator, keeping records including recipient details and the date sent.
- 9.4 Accurate and detailed records of assessment procedures, decisions and internal verification decisions will be maintained and kept by each subject area to minimise the opportunity for malpractice and appeals. All moderator/verification reports will be monitored by the Curriculum leads and Assistant Principals who will ensure any remedial action is undertaken as required.
- 9.5 **Head of Centre**
- Provides a signed declaration as part of the National Centre Number Register Annual Update to confirm awareness of and that relevant centre staff are adhering to the latest version of NEA regulations.
  - Provides fully qualified teachers to mark non-examination assessments.
  - Ensures 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 learners (or their parents/carers) appealing against internal assessment decisions (centre assessed marks) and requesting a review of the centre's marking.
  - Ensures where a teacher teaches his/her own child, a conflict of interest is declared to the awarding body and the marked work of the child submitted for moderation, whether it is part of the moderation sample or not.
  - Ensures any irregularities relating to the production of work by learners are investigated and dealt with immediately, either internally, or reported to the awarding body if the authentication statement has been signed by the learner.



## 9.6 **Assistant Principals**

- g) Are accountable for the safe and secure conduct of NEA's, including endorsements, ensuring they comply with JCQ guidelines and awarding bodies' subject-specific instructions.
- h) At the start of the academic year, begin co-ordinating with CLs to schedule assessments.
- i) Ensure teaching staff have the necessary and appropriate knowledge, understanding, skills and training to set tasks, conduct task taking and to assess, mark and authenticate learners' work.
- j) Map overall resource management requirements for the year. As part of this, resolve:
  - ♦ Clashes/problems over timing or operation of assessments.
  - ♦ Issues arising from the need for particular facilities (rooms/IT networks/time out of school etc).
  - ♦ Ensure all staff involved have a calendar of events.
  - ♦ Create, publish, and update an internal appeals policy for controlled assessments.

## 9.7 **Curriculum Leads**

- a) In agreement with the Assistant Principal, decide on the awarding body and specification for their subject area.
- b) Ensure teaching staff have the necessary and appropriate knowledge, understanding, skills, and training to set tasks, conduct task taking, and to assess, mark, and authenticate learners' work.
- c) Ensure appropriate internal moderation, standardisation and verification processes are in place and adhered to.
- d) Ensure individual teachers fully understand their responsibilities regarding NEAs, awarding body specifications and are familiar with relevant teachers' notes and any other subject specific instructions.
- e) Hold subject teachers to account for compliance with JCQ guidelines and awarding bodies' subject-specific instructions.
- f) Where appropriate, develop new assessment tasks or adapt sample awarding body assessment tasks to meet local circumstances, in line with the awarding body's specification and control requirements.
- g) Ensure assessments comply with JCQ guidelines and awarding bodies' subject-specific instructions.
- h) Ensure internal standardisation of marking of all teachers involved in assessing NEAs.
- i) Have a clear policy regarding all aspects of conducting/teaching, marking, verifying, and appealing NEA's.
- j) Ensure that individual teachers understand their responsibilities regarding assessments.
- k) 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.
- l) 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.
- m) Ensure that learners and supervising teachers sign authentication forms on completion of every assessment.



- i. Post-completion, retain learners' work securely until the closing date for enquiries about results. In case an enquiry is submitted, retain learners work securely until the outcome of the enquiry and any subsequent appeal has been conveyed to the Head of Centre.
- ii. Liaise with the SEND representatives on the administration and management of access arrangements for learners for internal assessments.

## 9.8 **Teaching Staff**

- a) Understand and comply with the awarding body regulations i.e., JCQ publications.
- b) Understand and comply with the awarding body specification for conducting assessments/endorsement, including any subject-specific instructions, teachers' notes, or additional information on the awarding body's website.
- c) Supervise assessments/endorsements at the specified level of control.
- d) Undertake the tasks required under the regulations, only permitting assistance to learners as the specification allows.
- e) Will not provide learners with model answers or outlines/heading specific to the task.
- f) Ensure learners are aware of JCQ and awarding body information for learners on producing work that is internally assessed and the consequences of malpractice.
- g) Ensure learner's sign authentication forms on completion of an assessment.
- h) Mark and assess internally assessed components/endorsed components using the mark schemes provided by the awarding body.
- i) Inform learners of their marks before submission to the EO and notify them of their right to appeal/request a review of marking if the assessment, grading, and internal moderation process has not been adhered to.
- j) To provide copies of materials to learners, when requested, to assist them in considering whether to request a review of the marking of their assessment.
- k) Submit marks through the CL/EO to the awarding body when required, keeping a record of the marks awarded.
- l) Keeps signed learner declarations on file until the deadline for requesting reviews of results has passed or until any appeal, malpractice, or other results enquiry has been completed, whichever is later.
- m) Keep abreast of the learners eligible for access arrangements in their class and implement the access strategies throughout the course. Where a learner's work has been facilitated by a scribe or practical assistant, the relevant completed cover sheet is securely attached to the front of the work and sent to the moderator in addition to the sample requested.
- n) On the exceptional occasions where assessment cannot be conducted in the classroom, arrange suitable accommodation where assessment can be carried out.
  - ♦ Where work may be completed outside of the centre without direct supervision, that the work produced is the learner's own.
- o) Ensure appropriate arrangements are in place to keep the work to be assessed and any preparatory work, secure between formally supervised sessions, including work that is stored electronically.
- p) Where there may be doubt about the authenticity of the work of a learner or if malpractice is suspected, follow the awarding body/JCQ authentication procedures and malpractice information, and informs their CL immediately.



- q) Post completion, retain learners work securely until the closing date for enquiries about results. In case an enquiry is submitted, retain learners' work securely until the outcome of the enquiry and any subsequent appeal has been conveyed to the centre.
- r) Ask the appropriate SEND representative for any assistance required for the administration and management of access arrangements.

### 9.9 **EO**

- a) Ensure learners are entered for assessment units before the deadline for final entries, as supplied by the Curriculum Lead.
- b) Where confidential materials are directly received by the EO; to be responsible for receipt, safe storage, and safe transmission, whether in CD or hard copy format.
- c) Download and distribute mark sheets for teaching staff to use, collect and return mark sheets to awarding bodies before published deadlines.
- d) Submit marks, endorsement grades, and samples to the awarding bodies/ moderators within the set deadline dates; keeping records to track what has been sent/received back.
- e) Where a learner is eligible, submit application for special consideration to the awarding body in the prescribed timescale.

### 9.10 **SEND Co-ordinator**

- a) Ensure all access arrangements have been applied for.
- b) Work with SEND representatives to ensure support for access arrangement learners are met.
- c) Work with teaching staff to ensure requirements for support staff are met.
- d) Manage support in line with published IA timetable.

See Appendix 2: GCSE Controlled Assessment Risk Management, for further details



## APPEALS

### Internal Assessments/Non-Examination Assessments

- 10.1 RBA is committed to ensuring that whenever its staff mark learners' work this is done fairly, consistently, and in accordance with the regulations and awarding body's specification and subject-specific associated documents.
- 10.2 Work will be marked by staff who have appropriate knowledge, understanding, and skill, and who have been trained in this activity. Work is authenticated in line with the requirements of the awarding body and will be internally moderated and standardised to ensure consistency of marking. Raw marks will be reported to learners one month before the awarding body's submission deadline date.
- 10.3 If a learner does not believe that this may have happened in relation to their work, he/she may appeal. An Appeal can only be made against the assessment process and not against the mark to be submitted to the awarding body.
- Appeals should be made as early as possible to ensure that the internal appeals process is completed prior to the submission of centre marks to the awarding body.*
  - Appeals must be made in writing.*
- 10.4 This applies to all exam work that is assessed internally within the Academy. e.g., Non-Examined Assessments, coursework and controlled assessments for GCSE, A Level, BTEC and Cambridge National/Technical courses.
- The learner/parent/guardian should initially approach the subject teacher to discuss the issue. They can request copies of materials to assist them in considering whether to make a request for a review of the centre's marking.
  - If there is still a concern the learner/parent/guardian should submit a request for a review of marking in writing to the CL; this should be within 5 working days of the marks having been given by the teacher.
  - The CL should give an initial reply within 48 hours. All the evidence will be reviewed to ensure that the work has been marked and internally moderated as per awarding body regulations. If deemed necessary, the CL can request a remark/re-moderation of the learner's work. A full response should be given to the complainant within 5 working days from the day the request for a review was received.
  - If the learner/parent/guardian is not satisfied with the reply, they should refer the appeal to the AP. This must be made, in writing, within 2 working days of receiving the reply from the CL, giving detailed and specific reasons why they disagree with the marking outcome.
  - The AP should normally meet the learner/parent/guardian to discuss the appeal. The AP





will review all the evidence and reply within 10 working days from receiving the appeal.

- f) If the learner/parent/guardian is still not satisfied with the reply, the learner/parent/guardian should refer the appeal to the HOC, this must be done within 1 working day of the outcome from the AP.
- g) The HOC should review all the evidence and inform the learner/parent/guardian of the outcome within 5 working days.

10.5 The above timings do not include designated school holidays. The decision of the HOC is final.

10.6 A written record will be kept at each stage and made available to the awarding body upon request. Should the appeal bring any irregularity in procedures to light, the awarding body will be informed.

### **External Assessments**

10.7 This applies to all exam work that is assessed externally. In general, it relates to written papers and to pieces of coursework/controlled assessment that are wholly assessed externally.

10.8 It is possible to appeal against the procedures of an Awarding Body in the conduct of an examination. This is not to be confused with an Exam Result Enquiry. It is not possible to appeal against the outcome of a Result Enquiry unless there is evidence that the awarding body was not adhering to the Code of Practice; guidance can be found in the JCQ publications *Post-results services* <http://www.jcq.org.uk/exams-office/post-results-services> and *A guide to the awarding bodies' appeals processes* <http://www.jcq.org.uk/exams-office/appeals>

10.9 An appeal might be in relation to the inappropriate application of a mark scheme or a change in specification without it being properly made known to Centres. In each case the HOC and the EO will look at the Code of Practice to determine if there has been a procedural error.

10.10 Any appeal must be made through the AP on behalf of learners; submissions will not be accepted from individual learners.

10.11 If a procedural error is identified the EO will initiate the Appeals Procedure with the relevant Awarding Body. This may take up to six months after the results are published before an outcome is known.

10.12 The arbiter is the Examinations Appeals Board (EAB) and their decision is final.



### **Enquiries About Results (EARs)**

10.13 In the event that a CL refuses to allow a learner to submit an Enquiry about Results (see Section 13), the learner has the right to appeal, in writing, to the AP. If they still do not agree with the decision, a final appeal can be made to the HOC: their decision is final.

10.14 In all instances, the awarding body's deadline date must be adhered to\*. Requests past this date will not be accepted by the awarding body, it is therefore the learner's responsibility to ensure they request an EAR and allow time for any necessary appeals.

*\*the deadline dates for EARs is communicated to learners prior to and on the day exam results are published along with the relevant fees by the EO.*

10.15 If an EAR is made and the learner wishes to appeal the decision given by the awarding body, they must contact the EO within 24 hours of the outcome being provided to the learner. The EO will provide details of the criteria and evidence needed to appeal the decision.

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## INTERNAL VERIFICATION (IV)

11.1 The IV process should be valid, reliable, and cover all assessors, regardless of the programme of study. The IV procedure is open, fair, free from bias, and detailed and accurate IV decisions are kept within each department.

11.2 RBA will:

- a) Ensure that all centre assessment instruments are verified as fit for purpose.
- b) Verify an appropriate structured sample of assessor work from all programmes and teams, to ensure centre programmes conform to awarding body standards and requirements.
- c) Plan an annual IV schedule, linked to assignment plans.
- d) Define, maintain, and support effective IV roles.
- e) Ensure that identified staff will maintain secure records of all IV activity.
- f) Brief and train staff of the requirements for current IV procedures.
- g) Promote IV as a developmental process between staff.
- h) Provide standardised IV documentation.
- i) Use the outcomes of IV to enhance future assessment practice.

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## **MALPRACTICE**

12.1 RBA will seek to minimise the risk of malpractice by informing staff and learners of the awarding bodies' policies and penalties. Learners will be informed by classroom teachers, exam assemblies, notices in bulletins, and emails throughout the academic year.

12.2 RBA has a 'Whistle Blowing' policy for reporting malpractice.

### **Staff Malpractice**

12.3 All investigations and sanctions will be conducted in line with the RBA disciplinary procedures and the JCQ *Suspected Malpractice in Examinations and Assessment* procedures.

### **Learner Malpractice**

12.4 In the case of assessment, learners will:

- a) Be shown the appropriate formats to record cited texts, other materials, and information sources.
- b) Be asked to declare that the work is their own and sign the appropriate authentication forms.
- c) Be asked to provide evidence that they have interpreted and synthesised appropriate information and acknowledged any sources used.

12.5 In the case of written examinations:

- a) Appropriate posters and notices will be clearly displayed inside and outside the exam venue.
- b) A verbal warning will be issued before the start of examinations and learners given the opportunity to hand in any unauthorised materials.

12.6 Any incident of alleged malpractice will be dealt with promptly and objectively. Investigations will be conducted in a form commensurate with the nature of the malpractice allegation.

12.7 The learner will be made aware of the allegation, the possible consequences, and be given an opportunity to respond. All stages of the investigation will be documented, and the learner advised on the right of appeal.

12.8 The JCQ *Suspected Malpractice in Examinations and Assessment* procedures will be adhered to at all times.

12.9 Any penalties and/or sanctions by the Academy, where incidents are proven, will be appropriate to the offence committed. See Appendix 1 for examples of malpractice by learners and staff.



## RESULTS, ENQUIRIES ABOUT RESULTS AND ACCESS TO SCRIPTS

### Results

- 13.1 The HOC is responsible for ensuring results are kept entirely confidential and restricted to key members of staff until the official date and time of release of results to learners.
- 13.2 The EO will publish the dates of results for each exam series. They will inform learners in advance of when and how results will be released to them.
- 13.3 Learners will receive individual result slips; these can only be collected in person on results day at the Academy or by providing the EO with a stamped addressed envelope for results to be posted. Results will not be emailed, given out over the telephone or to a third party. If a learner is unhappy about a result, they can request the Academy to submit an Enquiry About Results, i.e., a clerical check or a review of results, or an Access to Script (marked written paper returned).
- 13.4 Arrangements for the school to be open on results days are made by the HOC and the EO.
- 13.5 The provision of staff on results day is the responsibility of the HOC.
- 13.6 Dates for EAR and ATS will be published before results day to staff and learners.

### Special Consideration

Special consideration is a post-examination adjustment to a learner's mark or grade to reflect temporary illness, temporary injury, or some other event outside of the learner's control at the time of the assessment, which has had, or is reasonably likely to have had, a material effect on a learner's ability to take an assessment or demonstrate his or her normal level of attainment in an assessment. It cannot remove the difficulty faced by the learner and the awarding bodies can only make minor adjustments to the marks awarded.

- 13.7 There are two types of special consideration:
- A learner is present but disadvantaged. The awarding body can apply an enhancement of the learner's mark of between 0% - 5%.
  - A learner is absent for acceptable reasons. The exam is in the terminal series (e.g., final exam session before final qualification grades are awarded) and the minimum requirements for enhanced grading in cases of acceptable absence can be met. If there is



an opportunity for the learners to be re-entered in the next available exam series before certification, special consideration will not be applied for.

- 13.8 It is the learner's responsibility to inform the EO of any circumstances affecting their exams.
- 13.9 The EO will require appropriate evidence or information, either from the learner or where appropriate, from centre staff before any application will be submitted to the awarding body.
- 13.10 Where eligible, special consideration will be applied for per JCQ's publication *A guide to the Special Consideration Process*. This may be for one individual exam or a whole series of exams depending on the circumstances.
- 13.11 There may be situations where candidates should not be entered for an examination; this decision will be taken by the Assistant Principal in liaison with parents/the candidate.

### **Enquiry About Results (EARs)**

- 13.11 Learners can request an EAR for their own exam results: the fees for this are payable by the learner. A signed consent form and fee must be provided before an EAR application will be processed.
- 13.12 A Service 2 EAR (Review of Results) request can be made by a HOD or SLT only with signed consent of the learner(s); emails are not permissible forms of written consent. All requests made at the Academy's expense must be agreed by the relevant HOD before processing by the EO.
- 13.13 Requests for a Service 3 EAR (Review of moderation of coursework) must be approved at Assistant Principal level or higher before processing by the EO.
- 13.14 The awarding body deadline date for requests is final and requests will not be accepted after this date.
- 13.15 In the event that a member of staff refuses to accept an EAR made by a learner, the learner has the right to appeal (Page 15).

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

- 13.16 After the release of results, learners may request the return of their exam scripts at their own expense.



13.17 Exam Links or Assistant Principals may request scripts for investigation for teaching purposes at the Academy's expense. The learners' written permission must be obtained before the application is made to the exam office; these will be processed via the non-priority service offered by the awarding bodies.

13.18 There are two services available for ATS requests: Priority and Non-Priority.

- a) Priority applications: a copy of the exam script will be received before the deadline date for EARs.
- b) Non-Priority requests: an electronic copy or the original script will not be received until after the deadline date for EARs.

13.19 The awarding bodies determine

- a) the availability of units available for ATS
- b) the service availability for each component

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## CERTIFICATES

- 14.1 Certificates received from the awarding bodies will be monitored to ensure accuracy of details and qualifications awarded.
- 14.2 Learners should collect and sign for their certificates in person. When this is not possible, certificates may be collected by a third party, provided they have written authorisation by the learner to do so. In all instances, photographic ID must be shown and a receipt signed before certificates are released.
- 14.3 Certificates will be posted on receipt of a letter from the learner confirming the address and payment of a fee for a traceable postal service.
- 14.4 Certificates are kept for a minimum of one year from receipt into the centre; after which time they are destroyed in accordance with awarding body guidelines. The learner is liable for any fees charged by the awarding bodies for certificates requested after this period or for replacement certificates in the event of loss/damage.
- a) For those learners who have left the Academy and not collected their certificates within 12 months, the EO will post at least one letter addressed to the parents at the last known home address as reminder before the certificates are destroyed.
  - b) For those learners still at the Academy, email reminders will be sent either directly to individual learners or via their tutor.
- 14.5 A certificate log will be kept by the EO, see Exams Archiving Policy.





## EMERGENCY PROCEDURES

- 15.1 In the event that the Academy is closed due to bad weather all efforts will be made so that external exams will proceed as normal.
- 15.2 In the case of an early warning of bad weather a member of the Facilities Team will visit the Academy at 06:15. They will assess the situation and phone the Principal to discuss the conditions.
- 15.3 The Principal will make a decision regarding possible closure. In certain circumstances the Academy may need to stay open for a specific reason such as external exams. Therefore, staff living within walking distance of the Academy, should make every effort to attend, in order to support in caring for any learners who turn up.
- 15.4 In the event that external exams are scheduled:
- a) The EO will be advised of the situation at the earliest opportunity. The designated SLT staff member will deputise as the on-site EO if needed.
  - b) The EO is responsible for contacting those invigilators that live within walking distance of the school to request their attendance.
- 15.5 Also see the Examinations Contingency Plan Policy.

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## EMERGENCY EVACUATION PROCEDURE

- 16.1 In the event of an emergency evacuation of an exam venue, the safety of the learners and staff is paramount. This may be due to the school fire alarm sounding, or, in exceptional circumstances, where learners are severely disadvantaged or distressed by remaining in the room, for example serious illness of a learner or invigilator.
- 16.2 **Exam security must be maintained at all times; any breaches should be reported immediately to the EO.**
- 16.3 For exams in the main Academy building:
- The learners must leave all materials on their desks.  
If there is a small cohort of learners, the invigilator can collect exam scripts/materials and take these with them. In the event returning to the exam room is not permissible, the exam can then take place at another venue.
  - The Invigilator will note the time, collect the attendance list and evacuate the learners from the exam room to the designated assembly point.
  - A roll call/head count must be taken to ensure all learners/staff are out of the building.
  - Absences must be reported immediately to the Evacuation Officer in charge and the EO.
  - The EO will make their way to the assembly point to assist.
- 16.5 The EO will contact the necessary awarding body to advise them of the situation and for guidance.
- 16.6 If notified it is safe to return by the Evacuation Co-ordinator, the learners should be escorted back to the exam venue. If possible, the Invigilator will restart the exam, giving learners the full remaining time allowance.

### **Roles and Responsibilities:**

- 16.7 **Head of Centre** ensures emergency evacuation policy is fit for purpose and complies with relevant health and safety regulations.
- Ensures any instructions from relevant local or national agencies are followed where applicable e.g., emergency services, National Counter Terrorism Security Office
  - Where safe to do so, ensures learners are given the opportunity to sit exams for their published duration
- 16.8 **Assistant Principal/Senior Leaders** responsible for centre-wide emergency evacuation procedures
- 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



- b) Ensures appropriate arrangements are in place for the emergency evacuation of a disabled learner from an exam room where different procedures or assistance may need to be provided for the learner, and that the learner is informed of what will happen in the event of an emergency evacuation.

#### 16.9 **EO**

- a) Ensures invigilators are trained in emergency evacuation procedures and how an incident and actions taken must be recorded.
- b) Ensures learners are briefed prior to exams taking place, on what will happen in the event of an emergency in the exam room, via emails and assemblies.
- c) Provide invigilators with a copy of the emergency evacuation procedure for every exam room.
- d) Provides a standard invigilator announcement for each exam room which includes appropriate instructions for learners about emergency procedures and what will happen if the fire alarm sounds.
- e) Provides an exam room incident log in each exam room.
- f) 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 where applicable for individual or groups of learners.

#### 16.10 **Invigilators**

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

#### 16.11 **Other relevant centre staff**

Support the senior leader, SEND Co-ordinator, EO and invigilators in ensuring the safe emergency evacuation of exam rooms.

#### 16.12 **Recording details**

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

- a) Actual time of the start of the interruption.
- b) Actions taken.
- c) Actual time the exam(s) resumed.
- d) Actual finishing time(s) of the resumed exam(s).



- e) Further details could include report on learner behaviour throughout the interruption/evacuation, a judgement on the impact on learners after the interruption/evacuation.

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## General Data Protection Regulation Policy (GDPR)

- 17.1 The Academy complies with the regulations as set out by the Data Protection Act 2018 (DPA 2018) and the General Data Protection Regulation (GDPR).
- 17.2 There is a requirement for the EO to hold exams-related information on learners taking external examinations. Exam related data may be shared with:
- Awarding bodies
  - Joint Council for Qualifications
  - Department for Education
  - Local Authority
  - The Media
  - Companies such as SISRA, ALPS, Pixl, Fisher Family Trust for data analysis purposes.
- 17.3 Data can be shared electronically or by hard copy. Where possible secure extranet sites are used e.g., e-AQA, OCR Interchange, Pearson Edexcel Online.
- 17.4 Data may relate to exam entries, access arrangements, the conduct of exams and non-examination assessments, special consideration requests, malpractice applications, exam results, and post result information.
- 17.5 In the unlikely event of a data breach, the EO will immediately report this to the AP in the first instance. A full investigation will be carried out in line with the TDET GDPR Policy.
- 17.6 Notification will take place to enable individuals who may have been affected to take steps to protect themselves or to allow the appropriate regulatory bodies to perform their functions, provide advice and deal with complaints.
- 17.7 All learners' exam-related information – even that not considered personal or sensitive under the DPA/GDPR – will be handled in line with DPA/GDPR guidelines.
- 17.8 Where personal exams data is required by a third party e.g., for a job reference, data will only be shared with a third party if the request is accompanied with permission from the learner to release the information.
- 17.9 In the case of looked after children, or those in care, individual learner data may be required by the local authority or other relevant authorities. Prior to any data being shared, the EO will confirm with the GDPR Lead that an agreement is in place to share the information with the authority.



## OTHER RELEVANT POLICIES

18.1 The Academy's policies on the above can be found in the Staff Handbook, on the Staff Portal and where applicable on the public Academy website. Other useful policies/documents are:

- a) Examinations Access Arrangements Policy
- b) Examinations Archiving Policy
- c) Examinations Complaints and Appeals Policy
- d) Examinations Contingency Plan

18.2 Whole School policies

- a) Disability and Equality Scheme
- b) Equal Opportunities
- c) Health & Safety
- d) Data Protection Policy

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*This policy will be reviewed on an annual basis:*



## APPENDIX 1

The following examples of malpractice are not exhaustive and other instances may be considered at the Richard Barnes Academy's or Awarding Body's discretion:

### **Malpractice by a Learner:**

- Plagiarism of any nature.
- Collusion by working collaboratively with other learners to produce work that is submitted as their own individual work.
- Copying (including the use of ICT to aid copying).
- Allowing work to be copied including posting written coursework on the Internet.
- Deliberate destruction or theft of another's work.
- Fabrication of results or alteration of any results documentation, including certificates.
- False declaration of authenticity in relation to the contents of a portfolio or coursework.
- Impersonation by pretending to be someone else in order to produce work or take an assessment/examination/test in another's name.
- Breach of instructions or advice of an invigilator, teacher, or awarding body in relation to examinations or assessment rules and regulations.
- Failing to abide by conditions of supervision to maintain security of the examinations or assessment.
- Disruptive behaviour in the examination room or during assessment sessions (including the use of offensive language).
- Exchanging, obtaining, receiving, passing on information (or the attempt to) which could be examinations related by means of talking, electronic, written, or non-verbal communications.
- The misuse, or attempted misuse, of examination and assessment materials and resources.
- Being in possession of confidential materials in advance of the exam or assessment.
- Bringing into the examination room notes/books in the wrong format or inappropriately annotated texts (where notes or texts are permitted).
- The inclusion of inappropriate, offensive, or obscene materials in scripts, coursework, or assessments.
- Being in possession of unauthorised materials in the examination room or assessment situation for example: mobile phone, notes, study guides, own blank papers, calculators, and dictionaries (where prohibited), personal organisers, translators, iPods, MP3 players, pagers, reading pens, smart watches etc.
- Behaving in a manner to undermine the integrity of the examination or assessment.

**Malpractice by Staff:**

- Improper assistance to learners, including prompting in language speaking examinations by means of signs, verbal, or written prompts.
- Inventing or changing marks for internally assessed work where there is insufficient evidence of the learners' achievement to justify the marks or assessment decision.
- Failure to keep learner coursework/portfolios/examination materials secure, including computer files on which assessment material is stored.
- Discussing or otherwise revealing secure information in public e.g., internet forum/social networking sites.
- Fraudulent claims for certificates.
- Assisting learners in the production of work for assessment, where the support has potential to influence the outcomes.
- Producing falsified witness statements.
- Allowing evidence, which is known by the staff member, not to be the learner's own.
- Facilitating and allowing impersonation.
- Misusing the conditions for access arrangements.
- Falsifying records/certificate by alterations, substitution or fraud.
- Fraudulent certificate claims; claiming for a certificate prior to the learner completing all the requirements of assessment.
- Moving the time or date of a fixed examination (beyond the arrangements permitted by the JCQ regulations).
- Failing to supervise adequately, learners who are affected by a timetable variation.
- Permitting, facilitating, or obtaining unauthorised access to examinations material prior to an examination.
- Tampering with examination scripts or coursework after collection and before dispatch to the awarding body/examiner/moderator/verifier.
- Failing to report an instance of suspected malpractice in examinations or assessments as soon as possible after such an instance occurs or is discovered.
- Failing to conduct a thorough investigation into suspected malpractice.
- The inappropriate retention or destruction of certificates.




**APPENDIX 2: NEA Risk Management**

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
<b>Timetabling</b>			
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.	AP, 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 learners sometime between them	AP, CLs
<b>Accommodation</b>			
Insufficient space in classrooms for learners	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	CLs, EO
Insufficient facilities for all learners	Careful planning ahead and booking of rooms/centre facilities		CLs
<b>Downloading awarding body set tasks</b>			
IT system unavailable on day of assessment	Download tasks well ahead of scheduled assessment date in all cases	Book IT equipment well ahead and download tasks before scheduled date of assessment	IT Services, CLs



	<b>Forward Planning</b>	<b>Action</b>	<b>Staff</b>
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	IT Services
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Contact awarding body and ask for replacement task; download again	CLs, EO
<b>Absent Learners</b>			
Learners absent for all or part of assessment (various reasons)	Plan alternative session(s) for learners as long as within awarding body dates		CLs
<b>Control levels for task taking</b>			
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	CLs, EO
<b>Supervision</b>			
Learner 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 learners start, continue and complete study diary/plans that are signed after every session	CLs



	<b>Forward Planning</b>	<b>Action</b>	<b>Staff</b>
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		CLs
A suitable supervisor has not been arranged for an assessment where teaching staff are <b>not</b> supervising	A suitable supervisor must be arranged for any controlled assessment session where a teacher is not supervising, in line with the awarding body's specification		EO
<b>Task setting</b>			
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	CLs
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	AP, CLs

\* Not all Non Examination Assessments will require the completion of a study diary or study plans

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



	<b>Forward Planning</b>	<b>Action</b>	<b>Staff</b>
<b>Security of materials</b>			
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	CLs/EO
Learners' 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	CLs/EO
Insufficient or insecure storage space	Look at provision for suitable storage at the start of the GCSE course	Find alternative storage within the centre	CLs/SLT
<b>Deadlines</b>			
Deadlines not met by learners	Ensure all learners are briefed on deadlines and the penalties for not meeting them	Mark what learners have produced by the deadline  Seek guidance from awarding body on further action	CLs
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	CLs/AP



	Forward Planning	Action	Staff
<b>Authentication</b>			
Learner fails to sign authentication form	<p>Ensure all learners have authentication forms to sign</p> <p>Ensure that the authentication form is securely attached to their work when it is completed and handed in for marking</p>	Find learner and ensure authentication form is signed	CLs
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	<p>Return the authentication form to the teacher for signature</p> <p>Ensure authentication forms are signed as work is marked</p>	CLs, HR Office
<b>Marking</b>			
Teaching staff interpret marking descriptions incorrectly	<p>Ensure appropriate training and practicing of marking</p> <p>Plan for sampling of marking during the practice phase</p>	<p>Arrange for re-marking</p> <p>Consult the awarding body's specification for appropriate procedures</p>	CLs
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	CLs



KEY: AP –Assistant Principal, SLT – Senior Leadership Team, CL – Curriculum Leads

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