

Rutland Adult Learning & Skills Service

EXAMS POLICY

The purpose of this policy is to:

- document Rutland Adult Learning & Skills Service's (RALSS) examinations procedure, ensuring the system remains efficient and centre staff remain aware of their roles and responsibilities
- ensure the planning, management and delivery of exams is conducted efficiently, in the best interests of candidates and within the regulations governed by the Joint Council for Qualifications (JCQ) and awarding bodies.
- Ensure that candidates understand the examinations process and what is expected of them

This policy will be disseminated to all centre staff. It is their responsibility to read, understand and implement the steps set out in it. This policy will also be reviewed annually, or more frequently if required, by the head of centre and Exams Administrators.

Where JCQ publications are referenced, these can be found at www.jcq.org.uk.

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Key centre staff:

Name	Role
Head of Centre & MIS Officer	A Bradberry
Exams Officer	S Hayes
Lead Internal Quality Assurer	J Edwards
Lead Community Learning Tutor & QA Co-Ordinator	R Pusch

1. Roles and Responsibilities

Head of Centre

The head of centre has overall responsibility for RALSS as an exams centre. Their duties include:

- Understanding, implementing, and ensuring centre staff understand and implement the contents of key JCQ publications
- Ensuring that RALSS complies with awarding body and JCQ requirements whilst delivering examinations or assessments
- Ensuring that a workforce of appropriate size and competence is retained, including ensuring that suitably qualified members of staff are available to provide cover in the absence of key centre staff
- Appointing a separate examinations officer to act on behalf of, and be the main point of contact for, the centre in the conduct of examinations
- Ensuring that the examinations officer is line managed and actively supported by a member of the senior leadership team who has a good working knowledge of the examination system
- Appointing an ALS lead/SENCo (or equivalent) who will determine appropriate arrangements for candidates with learning difficulties and disabilities, and ensuring they have sufficient time to both manage the access arrangements process within the centre and familiarise themselves with the relevant regulations and guidance
- Updating the National Centre Number Register annually, confirming that the centre remains in compliance of JCQ regulations

Exams Officer

The Exams Officer **is a keyholder**. It is their job to plan and manage the delivery of examinations. Their duties include:

- Liaising with centre staff to ensure everyone remains informed of key updates to timetables, legislation and guidance from JCQ or awarding bodies
- Ensuring tutors, in conjunction with the Lead Tutor, fulfil their examination requirements, including submitting candidate registration forms and examination requests within appropriate timescales
- Acting as RALSS' SENCo equivalent by determining and processing access arrangements and special consideration in line with relevant regulations and timescales
- Receiving, processing and storing examination materials in line with JCQ and awarding body regulations
- Maintaining the security of the secure storage facility by not allowing unauthorised members of staff to accompany them, keeping the key on their person when in the room, keeping the room locked when not in use, and returning the key to the key safe immediately after use
- Arranging for exams to be conducted under the supervision of trained invigilators in a room or venue that meets JCQ's and candidates' requirements
- Swiftly and securely returning completed scripts and, where appropriate, unused examination materials to awarding bodies
- Establishing and disseminating candidate results and certificates
- Efficiently monitoring and recording candidates' achievements

Lead Internal Quality Assurer

The Lead Internal Quality Assurer **is a keyholder**. Their duties include:

- Maintaining the security of the secure storage facility by not allowing unauthorised members of staff to accompany them, keeping the key on their person when in the room, keeping the room locked when not in use, and returning the key to the key safe immediately after use
- Acting as RALSS' main invigilator
- Ensuring that assessments are invigilated according to regulations set out by the relevant awarding body and JCQ
- Ensuring candidates' work is appropriately quality assured where applicable
- Assisting the exams officer where applicable
- In the event of the exams officer being absent at a key point during the exams cycle, assisting the Lead Community Learning Tutor and QA Coordinator with processes as required

Lead Community Learning Tutor and QA Coordinator

The Lead Community Learning Tutor and QA Coordinator **is a keyholder**. Their duties include:

- In the event of the exams officer being absent at a key point during the exams cycle, assisting the Lead Internal Quality Assurer with the processes outlined above
- Acting as an invigilator if necessary, and maintaining an appropriate level of knowledge/training
- Maintaining the security of the secure storage facility by not allowing unauthorised members of staff to accompany them, keeping the key on their person when in the room, keeping the room locked when not in use, and returning the key to the key safe immediately after use
- Ensuring that tutors fulfil exam-related requirements, such as submitting timely requests and informing the exams officer of access arrangements or special consideration that their learners may require

Invigilators

Invigilators are responsible for:

- Understanding and implementing the JCQ's Instructions for Conducting Examinations regulations
- Complying with access arrangements for candidates that require them in line with JCQ's Access Arrangements and Reasonable Adjustments regulations
- Dealing with any issues, including emergency situations, which may occur before, during or immediately after an exam
- Liaising with the exams administrator, or appointed person in their absence, in the event of issues arising

2. Candidates and identification

Candidates must:

- Work with their course tutor and centre staff to identify and request any necessary access arrangements within appropriate timelines and complete the relevant paperwork
- Read, understand and follow the JCQ regulations regarding examination conduct, supplied to them as part of their 'Information for Candidates' pack
- Promptly inform the exams officer or other centre staff of any problem which may affect their examination or disturb other candidates by calling **01572 758122**
- Bring identification along to each exam and present this to the invigilator upon request

Once their exam has been booked, candidates will be informed of the date, time, venue and duration of their exam, along with any additional items they need to bring (e.g., identification). They will also be sent the JCQ's *Information for Candidates – Privacy Notice*, *Information for Candidates – coursework/non examination assessments/on-screen tests/written exams* (as appropriate) and *Information for Candidates – Social Media*

Candidates' identification is initially checked during enrolment or at the start of their course. If the candidate's identity is unable to be ascertained, they will not be entered for their exam until the issue is resolved. Invigilators will also check each candidate's identification before commencing an exam, if they do not already know the candidate.

Where centre staff are unable to identify a candidate due to religious clothing, the candidate will be taken to a private room by a member of staff of the same sex and asked to remove their religious clothing for identification purposes. Once identification has been established, candidates will be permitted to replace their clothing and sit their examination as normal.

3. Access Arrangements, Reasonable Adjustments & Special Consideration

RALSS' *Access Arrangements, Reasonable Adjustments and Special Consideration* policy sets out the procedures the centre will follow and its responsibilities when applying for or providing access arrangements, reasonable adjustments, or special consideration. This policy is uploaded to RALSS' website or can be requested by contacting a member of staff.

The Head of Centre will ensure that all assessors are appropriately qualified and conduct procedures in accordance with the regulations set by JCQ.

4. Absent or Late Candidates

A candidate will be considered absent if they are not present when the attendance register is completed. In the event of an absent candidate, they will be contacted immediately to ascertain their whereabouts and, where possible, arrangements made to ensure their immediate arrival. Absences will be clearly marked on the attendance register and seating plan.

A candidate will be considered 'late' if they arrive within one hour of the awarding body's published start time for an exam which lasts an hour or more.

A candidate will be considered 'very late' if they arrive more than one hour after the awarding body's published start time for an exam lasting one hour or more, or if they arrive after the awarding body's published finish time for an exam lasting less than one hour.

Candidates who arrive after the start of the exam may be allowed to enter the room and sit their exam, but this will be at RALSS' discretion. If they are permitted to enter, they will be given the full time for the exam.

In the event of a very late candidate, the exams officer will notify the relevant awarding body and/or authority.

5. Food and Drink during exams

Food and drink are permitted into the exam room at the discretion of the Head of Centre. If food or drink is permitted, it must be free from labels and in a transparent container. Invigilators should remain aware of incidents or situations that may constitute malpractice through the inclusion of food or drink.

6. Candidate Misbehaviour

Inappropriate behaviour by candidates whilst in the exam room constitutes candidate malpractice. This could include the preparation or authentication of coursework or non-examination assessments, the presentation of any practical work, the compilations of portfolios of evidence and the writing of any exam paper.

If a candidate is being disruptive during an exam, the invigilator must warn them that they may be removed from the exam room, and that the awarding body will be informed of their behaviour. They must also be made aware of the penalties that could follow the disclosure.

Incidences of disruptive behaviour or malpractice must be recorded on the exam room incident log, along with actions taken. Actual or suspected malpractice will be reported to the relevant awarding body by the Head of Centre.

7. Leaving the Exam Room

If an exam lasts one hour or more, candidates must stay under centre supervision until one hour after the awarding body's published start time. If an exam lasts less than one hour, candidates must be supervised, and their papers placed into secure storage until the published finishing time of the examination.

If a candidate needs to leave the exam room temporarily, they must be accompanied by a member of centre staff. This must not be the candidate's subject teacher or a subject expert for the exam in question. Candidates who temporarily leave the room may be allowed extra time, at the discretion of the centre, for their temporary absence.

Once a candidate has finished their exam, they must hand all exam materials to the invigilator and leave without disturbing other candidates. If a candidate has finished early, they will not be allowed back into the room once they have left.

8. Overnight Supervision Arrangements

Overnight supervision arrangements will only apply as a last resort.

The head of centre must:

- be satisfied with any arrangement for overnight supervision where necessary
- accept full responsibility for the security of the examination throughout
- ensure that, where a candidate takes an examination the following morning, a member of staff or invigilator supervises the candidate at all times whilst on the premises
- notify the relevant awarding body immediately should a member of staff become aware of any known or suspected contravention of the arrangements

The exams officer must:

- exhaust every opportunity to resolve the candidate's clash of examinations before applying overnight supervision arrangements
- ensure the appropriate documentation is completed and signed before the arrangement begins
- inform involved parties that any contravention of arrangements may lead to sanctions or penalties
- retain documentation for inspection until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed

9. Using Word Processors

RALSS will provide a word processor to candidates if it is deemed a necessary access arrangement and will not compromise the integrity of an examination.

Word processors will not be granted simply because it is the candidate's preference. Candidates must have legitimate reasons for using a word processor, such as a learning difficulty, physical disability or medical condition significantly impacting the legibility of their writing, a sensory impairment, or if writing by hand would cause the candidate to struggle with their planning and organisation. Using a word processor must also be a candidate's normal way of working within the centre.

When providing a word processor, RALSS will:

- Ensure candidates have the opportunity to practice using a word processor before their examination
- Consider the word processor when creating seating arrangements. It may be necessary for the candidate to be seated close to a power point, and other candidates should not be able to read the screen
- Ensure that the word processor is in good working order at the time of the exam and does not give the candidates access to prohibited applications e.g., a calculator, dictionary, spreadsheets, intranet or any other means of communication
- Ensure that the word processor does not contain graphic packages or computer aided design software unless permission has been granted to use these
- Ensure that the word processor is not used on the candidate's behalf by a third party unless the candidate has permission to use a scribe
- Ensure that spellcheck, grammar check and predictive text features are disabled, unless the candidate has been permitted a scribe, is using speech recognition technology or using these features have been permitted by the awarding body.
- Ensure the invigilator reminds the candidate:
 - to either enter their centre number, candidate number and unit/component code in the header or footer of the page **or** write the information, under supervision, by hand once the exam has finished
 - that each page must be numbered
 - that work must be saved at regular intervals
 - to use a minimum of 12pt font and double spacing to assist examiners when marking

If a portable storage device is used, this must be provided by the centre and be cleared of any previously stored data.

RALSS will ensure that the word processor is either connected to a printer or the work can be printed from a portable storage device, and that the candidate will be present at the time of printing to verify the work as their own. A word processor sheet will also be completed and included in line with the awarding body's instructions.

RALSS may retain electronic copies of word-processed scripts until results are received. In the event of a printed script being lost, the awarding body may accept the electronic copy. Copies will be stored securely in accordance with exam regulations.

10. Registration and Certification

RALSS will register each student in an accurate and timely manner. Registration will be made using the details provided by the learner at enrolment. Should the student withdraw, transfer or change their details during their registration period, RALSS will update the relevant awarding body's database.

Certificate claims will be made following the verification of assessment materials and publication of results. Registrations and certification claims are recorded on RALSS' candidate tracking systems.

RALSS will distribute certificates to candidates promptly and regardless of disputes, only withholding certificates with prior permission from the relevant awarding body. RALSS acknowledges that certificates remain the property of the issuing awarding body and will return certificates to awarding bodies if requested.

Candidates are offered the opportunity to collect their certificate in person or receive it through the post. If a candidate requests someone else to collect their certificate on their behalf, they must notify and give permission to the exams officer beforehand.

11. Whistleblowing

Rutland Adult Learning and Skills Service aims to create and maintain an approach to examinations that reflects an ethical culture and encourages staff and students to be aware of and report practices that could compromise the integrity and security of examinations.

In compliance with section 5.11 of the JCQ's General Regulations for Approved Centres, Rutland Adult Learning and Skills Service will:

- take all reasonable steps to prevent the occurrence of any malpractice (which includes maladministration) before, during and after assessments have taken place
- inform the awarding body immediately of any alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, by completing the appropriate documentation
- as required by an awarding body, gather evidence of any instances of alleged or suspected malpractice (which includes maladministration) in accordance with the JCQ publication Suspected Malpractice: Policies and Procedures and provide such information and advice as the awarding body may reasonably require

If a member of centre staff involved in the management, administration and/or conducting of examinations, a student or a member of the public has a concern or reason to believe that malpractice has or will occur in an examination or assessment, concerns should normally be raised initially with members of the senior leadership team or the head of centre, unless the concern is regarding a senior leadership team member or the head of centre. In this

instance, the concern should be referred to the Head of Learning and Skills at Rutland County Council.

Examples of malpractice or maladministration include:

- Failure to comply with exam regulations as set out by the Joint Council for Qualifications (JCQ) and its awarding bodies
- A security breach of the examination paper
- Conduct of centre staff which undermines the integrity of the examination
- Unfair treatment of candidates by either giving an advantage to a candidate/group of candidates (e.g., by permitting a candidate an access arrangement which is not supported by appropriate evidence), or disadvantaging candidates by not providing access to the appropriate conditions (providing a 'level playing field')
- Possible fraud and corruption (e.g., accessing the exam paper prior to the exam to aid teaching and learning)
- Abuse of authority (e.g., the head of centre/members of the senior leadership team overriding JCQ and awarding body regulations)

If the individual does not feel safe raising the issue/reporting malpractice within the centre, or they have done so and are concerned that no action has been taken, that individual could consider making their disclosure to a malpractice expert at the awarding body for the qualification where malpractice is suspected.

In order to investigate concerns effectively, the awarding body should be provided with as much information as possible/is relevant, which may include:

- The qualifications and subjects involved
- The names of staff/candidates involved
- The regulations breached/specific nature of suspected malpractice
- When and where the suspected malpractice occurred
- Whether multiple examination series are affected
- If the issue has been reported to the centre and what the outcome was
- How the issue became apparent

In some circumstances, the whistle-blower might find it difficult to raise concerns with the nominated member of the senior leadership team. A whistle-blower can give their name but may also request confidentiality; the person receiving the information should make every effort to protect the identity of the whistle-blower. Alternatively, whistle-blowers or others with concerns about potential malpractice can report the matter direct to Ofqual, who is identified as a 'prescribed body'. Awarding organisations are not prescribed bodies under whistleblowing legislation; however, awarding organisation investigation teams do give those reporting concerns the opportunity for anonymity.

12. Evacuation procedure

If an emergency arose during an exam, such as a fire alarm, bomb alert, or another incident that may significantly disadvantage or distress candidates, the invigilator will guide candidates through evacuation.

If a disabled candidate is taking an exam, arrangements must be put in place that are appropriate to their needs, and the candidate should be informed of these arrangements before their exam.

Invigilators must:

- Instruct the candidates to stop writing, close their answer booklet and leave their question papers and scripts in the room
- Collect the attendance register and evacuate the room in line with the instructions of RALSS' staff or other authority
- Note the time of the interruption and how long it lasts
- Closely supervise candidates whilst out of the exam room to prevent discussions
- Providing the venue is safe to enter, allow the candidates the remainder of their time once the examination resumes. If the cohort is small, centre staff may consider the possibility of using another venue to complete the exam.

If the venue is unsafe to enter, or if the security of the examination may have been compromised, centre staff should contact the awarding body immediately. If the decision is made that the exam cannot be resumed, RALSS' Exam Contingency Plan will be invoked.

Following an incident, invigilators must write a report or complete an incident log detailing the incident and the action taken. This report or log will be sent to the awarding body.

Review History

Date	Reason for Review	Next Scheduled Review
Oct 11	Full review and reissue (v1.0)	Oct 12
Oct 12	New 2-year cycle	Oct 14
Oct 14	2-year update	Oct 16
June 15	Update following JCQ inspection	Oct 16
August 2017	New procedures and staffing changes	August 2018
September 2017	Update meeting	August 2018
February 2019	Logo change	August 2019
October 2020	Update	August 2021
August 2021	Update	August 2022
April 2022	Update	August 2022
October 2022	Update	September 2023
September 2023	Update	September 2024

Policy Owner: Exams Officer

ACCESS ARRANGEMENTS POLICY

2023/24

This policy is reviewed annually to ensure compliance with current regulations

Approved/reviewed by	
RALSS Leadership team	
Date of next review	September 2024

Key staff involved in the policy

Role	Name(s)
ALS lead/SENCo	Sophie Hayes (exams officer)
ALS lead/SENCo line manager (Senior leader)	Rose Pusch
Head of centre	Atessa Bradberry
Assessor(s)	Martin Walker
Access arrangement facilitator(s)	Various

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Purpose of the policy

The purpose of this policy is to confirm that Rutland Adult Learning and Skills Service (RALSS) has a written record which clearly shows the centre is leading on the access arrangements process and is complying with its ...obligation to identify the need for, request and implement access arrangements. (JCQ's **General Regulations for Approved Centres**, section 5.4)

This publication is further referred to in this policy as GR

This policy is maintained and held by the ALS lead/SENCo alongside the individual files/e-folders of each access arrangements candidate. Each file/e-folder contains detailed records of all the essential information that is required to be held according to the regulations.

Where the ALS lead/SENCo is storing documentation electronically they **must** create an e-folder for each individual candidate. The candidate's e-folder **must** hold each of the required documents for inspection. (¹AA, section 4.2)

The policy is annually reviewed to ensure that processes 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**'.

¹This publication is further referred to in this policy as AA

What are access arrangements and reasonable adjustments?

Access arrangements are agreed **before** an assessment. They allow candidates with **specific needs**, such as 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 needs of an individual candidate without affecting the integrity of the assessment. Access arrangements are the principal way in which awarding bodies comply with the duty under the Equality Act 2010* to make 'reasonable adjustments'. (¹AA, Definitions)

The Equality Act 2010* requires an awarding body to make reasonable adjustments where a candidate, who is disabled within the meaning of the Equality Act 2010, would be at a **substantial disadvantage** in comparison to someone who is not disabled. The awarding body is required to take reasonable steps to overcome that disadvantage. An example would be a Braille paper which would be a reasonable adjustment for a vision impaired candidate who could read Braille. A reasonable adjustment may be unique to that individual and may not be included in the list of available access arrangements. Whether an adjustment will be considered reasonable will depend on several factors which will include, but are not limited to:

- the needs of the disabled candidate;
- the effectiveness of the adjustment;
- the cost of the adjustment; **and**
- the likely impact of the adjustment upon the candidate and other candidates.

An adjustment will not be approved if it:

- involves unreasonable costs to the awarding body;
- involves unreasonable timeframes; **or**
- affects the security and integrity of the assessment.

This is because the adjustment is not 'reasonable'. (¹AA, Definitions)

*References to legislation are to the Equality Act 2010. Separate legislation is in place for Northern Ireland (see [AA 1.8](#)). The definitions and procedures in [AA](#) relating to access arrangements and reasonable adjustments will also apply in Northern Ireland

General principles

The principles for the centre to consider are detailed in AA (section 4.2). These include:

The purpose of an access arrangement/reasonable adjustment is to ensure, where possible, that barriers to assessment are removed for a disabled candidate preventing him/her from being placed at a substantial disadvantage due to persistent and significant difficulties. The integrity of the assessment is maintained, whilst at the same time providing access to assessments for disabled candidate.

The SENCo, or an equivalent member of staff within a FE college, **must** ensure that the proposed access arrangement/reasonable adjustment does not unfairly disadvantage or advantage the candidate.

Access arrangements/reasonable adjustments should be processed at the **start** of the course.

Arrangements **must** always be approved **before** an examination or assessment.

The arrangement(s) put in place **must** reflect the support given to the candidate in the centre.

The candidate **must** have had appropriate opportunities to practise using the access arrangement(s)/reasonable adjustment(s) before his/her first examination.

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, section 7.3.

The qualification(s) of the current assessor(s)

- Certificate of Psychometric Testing, Assessment & Access Arrangements (**CPT3A**)
- Test User: Educational, Ability/Attainment

Appointment of assessors of candidates with learning difficulties

At the point an assessor is engaged/employed in the centre, evidence of the assessor's qualification is obtained and checked against the current requirements in AA. This process is carried out prior to the assessor undertaking any assessment of a candidate.

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

The assessor's certificate(s) will be copied and stored on file. Where these link to membership – e.g. the Register of Qualifications in Test Use – the assessor's membership number will also be cross-referenced to ensure it is still valid.

Process for the assessment of a candidate's learning difficulties by an assessor

Candidates are asked to declare difficulties or disabilities when enrolling onto their qualification. This information is then relayed to the tutor to inform their planning and delivery prior the course starting.

Where candidates have not declared difficulties or disabilities but these are identified by the tutor during class, the tutor will notify the Lead Tutor or exams officer.

Once difficulties or disabilities have been identified, the SENCo/exams officer will contact the candidate directly and explain the access arrangements process. The SENCo/exams officer will gather information to complete their section of Form 8 or 9 and will share the 'Evidence of Need' template with the tutor.

Following the completion of Form 8 or 9 and the tutor's information on the student's normal way of working, RALSS' assessor will carry out their assessment. The relevant access arrangements will then be applied for.

Picture of need/normal way of working

Before the candidate is assessed, they will have a discussion with the SENCo/exams officer to paint a picture of need. This will include any prior testing and its results, the candidate's previous experience in education and any other relevant information (e.g. other conditions, EAL etc).

The tutor will also be asked to provide the SENCo/exams officer with information on the candidate's normal way of working in the classroom. This involves confirmation that the candidate is, and has been, using the access arrangements that are awaiting approval.

Processing access arrangements and adjustments

Arrangements/adjustments requiring awarding body approval

Access arrangements online (AAO) is a tool provided by JCQ member awarding bodies for centres to apply for required access arrangement approval for the qualifications covered by the tool. This tool also provides the facility to order modified papers for those qualifications included. (Refer to AA, chapter 8 (Processing applications for access arrangements and adjustments) and chapter 6 (Modified papers)).

AAO is accessed within the JCQ Centre Admin Portal (CAP) by logging in to one of the awarding body secure extranet sites. A single application for approval is required for each candidate regardless of the awarding body used.

The exams officer is responsible for using AAO and applying for approval. Applications will be made as soon as the required evidence has been collated, taking awarding body deadlines into account. The exams officer will also ensure that they and the candidate complete the relevant data protection forms.

Evidence will be saved electronically. Each candidate will have their own folder containing their evidence.

Centre-delegated arrangements/adjustments

If a candidate's access arrangements/adjustments are centre-delegated, the evidence requirements differ. However, tutors will still be required to provide information on the candidate's normal way of working as a minimum.

Centre-specific criteria for particular arrangements/adjustments

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 the candidate now wants to type rather than write in exams or can work faster on a keyboard, or because they use a laptop at home. The use of a word processor must reflect the candidate's normal way of working within the centre.

RALSS' Word Processor policy and criteria can be found in RALSS' Exams Policy.

Alternative Rooming Arrangements Policy

A decision where an exam candidate may be approved alternative rooming arrangements, e.g. a room for a smaller group of candidates with similar needs (formerly known as separate invigilation) will be made by the ALS lead/SENCo.

The decision will be based on:

- 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, section 5.16)



Conflicts of Interest Policy (Exams)

Policy/Procedure creator: Sophie Hayes

Policy/Procedure created/reviewed: 25/08/2023

Centre Name	Rutland Adult Learning and Skills Service
Centre Number	25338
Date policy first created	Not Applicable
Current policy reviewed by	Not Applicable
Current policy approved by	Not Applicable
Date of next review	August 2024

Key staff involved in the policy

Head of centre	Atessa Bradberry
Senior leader(s)	Rose Pusch
Exams officer	Sophie Hayes
Other staff (if applicable)	Joanna Edwards, Lead Internal Quality Assurer

This policy is reviewed and updated annually to ensure that conflicts of interest at Rutland Adult Learning and Skills Service are managed in accordance with current requirements and regulations.

Reference in the policy to **GR** relates to relevant sections of the current JCQ publication **General Regulations for Approved Centres**.

Introduction

It is the responsibility of the head of centre to ensure that Rutland Adult Learning and Skills Service:

- Manages conflicts of interest by informing the awarding bodies, before the published deadline for entries for each examination series, of:
 - any members of centre staff who are taking qualifications at their own centre which include internally assessed components/units
 - any members of centre staff who are teaching and preparing members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) for qualifications which include internally assessed components/units **and**

maintains clear records of **all instances** where:

- exams office staff have members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) being entered for examinations and assessments either at the centre itself or other centres
- centre staff are taking qualifications at their own centre which do not include internally assessed components/units
- centre staff are taking qualifications at other centres (GR 5.3)

Purpose of the policy

The purpose of this policy is to confirm how Rutland Adult Learning and Skills Service manages conflicts of interest under normal delivery arrangements in accordance with the regulations.

General principles

A process is in place to record all declarations of interest from all centre staff to prevent the integrity of examinations and assessments being compromised. .

Declaration process

As soon as a conflict of interest has been identified, the affected person must complete the Declaration of Interest form found in the course folder or stored in the electronic filing system and return it to the exams officer.

Managing conflicts of interest

Any conflicts of interest or declarations will be recorded on the central Conflict of Interest log. The relevant awarding body will then be informed of the conflict of interest/centre staff declaration before the published deadline for entries for each examination series, following the awarding body's administrative process.

The actions taken to mitigate any potential risk to the integrity of the qualifications affected are recorded on the log, and the affected member of staff will be informed of these measures.

Additional information:

Not Applicable

Roles and responsibilities

The role of the head of centre

- Ensure conflicts of interest are managed according to the requirements (GR 5.3)
- Ensure clear records are maintained and that the records include details of the measures taken to mitigate any potential risk to the integrity of the qualifications affected (GR 5.3)
- Ensure the records are available where they may be requested by a JCQ Centre Inspector and/or awarding body staff (GR 5.3)
- Ensure the records are retained until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later (GR 5.3)
- Ensure that entering members of centre staff for qualifications at this centre is as a last resort in cases where the member of centre staff is unable to find another centre

Ensure that proper protocols are in place to prevent the member of centre staff having access to examination materials prior to the examination and that other centre staff are briefed on maintaining the integrity and confidentiality of the examination materials

Ensure that during the examination series the member of centre staff is treated in the same way as any other candidate entered for that examination, does not have access to examination materials and does not receive any preferential treatment (GR 5.3)

Additional responsibilities:

Not Applicable

The role of the exams office/officer

- Ensure the process for collecting declarations of interest is undertaken
- Identify and follow the awarding body's administrative process for submitting details of members of staff who are:
 - Taking qualifications which include internally assessed components/units at their own centre
 - Teaching and preparing members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) for qualifications which include internally assessed components/units (GR 5.3)
- Retain the records of the measures taken to mitigate any potential risk to the integrity of the qualifications affected until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later (GR 5.3)

Additional responsibilities:

Not Applicable

CHANGES 2022/2023

No changes applicable

CENTRE-SPECIFIC CHANGES

Not Applicable

EXAM CONTINGENCY PLAN

2023/24

This plan is reviewed annually to ensure compliance with current regulations

Approved/reviewed by	
RALSS Leadership	
Date of next review	September 2024

Key staff involved in the plan

Role	Name(s)
Head of centre	Atessa Bradberry
Exams officer line manager (Senior leader)	Rose Pusch
Exams officer	Sophie Hayes
ALS lead/SENCo	Sophie Hayes
Senior leader(s)	Elizabeth Papworth
Other	Joanna Edwards – Lead Internal Quality Assurer

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Purpose of the plan

This plan examines potential risks and issues that could cause disruption to the exams process at Rutland Adult Learning and Skills Centre (RALSS). 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 Ofqual (and Northern Ireland Council for the Curriculum, Examinations and Assessment) **Exam system contingency plan: England, Wales and Northern Ireland** which provides guidance in the publication *What schools and colleges and other centres should do if exams or other assessments are seriously disrupted* and the **JCQ Joint Contingency Plan** for the Examination System in England, Wales and Northern Ireland and the JCQ document **Preparing for disruption to examinations** (Effective from 1 September 2023).

This plan also confirms RALSS' compliance with JCQ's **General Regulations for Approved Centres** (section 5.3) 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 SENCo is absent at a critical stage of the examination 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 information requirements

The head of centre will also ensure that RALSS, as a contingency to enable 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 (which might include a personal mobile number and/or email address). This will ensure that any urgent matters which might adversely affect candidates which arise outside of term time, and which potentially put qualification awards at risk, can be addressed by awarding bodies with the support of that member of staff. Heads of 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.

Head of centre absence at a critical stage of the exam cycle

Where the head of centre may absent at a critical stage of the examination cycle, main duties and responsibilities will be escalated in accordance with the centre's written escalation process.

Possible causes of disruption to the exam process

1. 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*
- 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*
- confidential 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

RALSS' Head of Centre, the exams officer's line manager and RALSS' Lead Internal Quality Assurer will work together to ensure the correct procedures are followed in the exams officer's absence.

Planning will be carried out by the Head of Centre, the exams officer's line manager and senior leaders.

The exams officer's line manager and/or RALSS' Lead Internal Quality Assurer will take responsibility for the day-to-day activities of entries, pre-exams, exam time and results and post results. The Head of Centre will

have overall responsibility for ensuring these procedures are followed correctly.
Assistance will be sought from awarding bodies and/or JCQ if required.

2. ALS lead/SENCo (RALSS' exams 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 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 (facilitators) 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

RALSS' Head of Centre, the exams officer's line manager and RALSS' Lead Internal Quality Assurer will work together to ensure the correct procedures are followed in the exams officer's absence.

The exams officer's line manager and/or RALSS' Lead Internal Quality Assurer will take responsibility for arranging testing, collating evidence, submitting requests and ensuring arrangements are put in place and adhere to awarding body and/or JCQ regulations.

The Head of Centre will have overall responsibility for ensuring these procedures are followed correctly.
Assistance will be sought from awarding bodies and/or JCQ if required.

3. 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 exams officer on time; resulting in pre-release information not being received

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

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

RALSS' Head of Centre, the exams officer, the exams officer's line manager and RALSS' Lead Internal Quality Assurer will work together to ensure the correct procedures are followed in the absence of teaching staff.

The exams officer's line manager, as Lead Tutor, will provide the exams officer with the required information

to make timely entries. They will have knowledge of upcoming non-examination assessments and will work with the exams officer to reschedule these as required. They will also have access to candidates' work and will provide this to the exams officer for submission.

The exams officer will inform candidates of their centre assessed marks and options for review or appeal before their work is submitted. The exams officer will also submit the work to the awarding body.

4. 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

RALSS' Head of Centre, the exams officer, the exams officer's line manager and RALSS' Lead Internal Quality Assurer will work together to ensure the correct procedures are followed in the absence of invigilators.

The Head of Centre will work with the exams officer to ensure that RALSS has an adequate number of trained invigilators during the exams cycle. In the event of invigilator shortage, they will contact other available invigilators.

5. Exam rooms - lack of appropriate rooms or main venues unavailable at short notice

Criteria for implementation of the plan

Exams officer unable to identify sufficient/appropriate rooms during exams timetable planning

Insufficient rooms available on peak exam days

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

Centre actions to mitigate the impact of the disruption

Where insufficient rooms or the main exam venue is unavailable at exam time, RALSS will, where possible, make use of other available rooms within the centre. Priority will be given to candidates whose progression will be severely delayed if they do not take their exam or timetabled assessment when planned.

Should an alternative venue be required, RALSS will seek support from Rutland County Council, other venues within the Oakham Enterprise Park or local schools or colleges. JCQ and awarding bodies will also be informed as appropriate.

Candidates will be informed of changes to their exam or assessment timetable or venue as soon as possible.

6. Cyber-attack

Criteria for implementation of the plan

Where a cyber-attack may compromise any aspect of delivery

Centre actions to mitigate the impact of the disruption

RALSS' Head of Centre or senior leaders will notify candidates as soon as issues are identified.

Support will be sought from Rutland County Council's IT Support team, JCQ and/or awarding bodies, and the National Cyber Security Centre as required.

7. Failure of IT systems

Criteria for implementation of the plan

MIS system failure at final entry deadline

MIS system failure during exams preparation

Power outage immediately prior to or during an on-screen test

MIS system failure at results release time

Centre actions to mitigate the impact of the disruption

In the event of awarding body system failure, the exams officer would immediately contact the relevant awarding body. If they were unable to make contact from site, they would work from another premises and make contact.

For site-wide IT network failure, the relevant IT team (Rutland County Council) would be contacted immediately. If the problem is unable to be solved, the exams officer and head of centre would look at rescheduling the exam with permission from the awarding body.

8. Emergency evacuation of the exam room (or centre lockdown)

Criteria for implementation of the plan

Whole centre evacuation (or lockdown) 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

In the event of an emergency evacuation of the exam room or centre lockdown, RALSS will refer to and invoke its emergency evacuation policy/procedure in line with JCQ's 'Centre emergency evacuation procedure' and its own exams policy. RALSS will also contact the relevant awarding body as soon as possible and follow its instructions.

Where accommodation is limited, RALSS will prioritise candidates whose progression will be severely delayed if they do not take their exam or timetabled assessment when planned.

RALSS will also consider, after the exam, whether any candidate's ability to take the assessment or demonstrate their level of attainment has been materially affected and, if so, whether to apply for special consideration.

9. Disruption of teaching time in the weeks before an exam – 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 actions to mitigate the impact of the disruption

RALSS recognises its responsibility to, in the event of disruption leading up to an exam, prepare students for their examinations as usual.

Candidates will be contacted as soon as possible following the disruption. They will be made aware of the alternative method(s) of learning that will be put in place whilst RALSS is closed and given support to access this if required. Alternative methods may include online learning, distance (paper-based) learning or learning at another venue until RALSS reopens.

Awarding bodies will also be consulted as required.

10. Candidates may not be able to take examinations - centre remains open

Criteria for implementation of the plan

Candidates may not be able to attend the examination centre to take examinations as normal

Centre actions to mitigate the impact of the disruption

RALSS will take advice offered by awarding bodies on the options for candidates who have not been able to take scheduled examinations. RALSS will also discuss alternative arrangements with the awarding body if a candidate misses an exam or loses their assessment due to an emergency, or other event, outside of the candidate's control.

RALSS will identify whether the exam or timetabled assessment can be sat at an alternative venue, in agreement with the relevant awarding body, ensuring the secure transportation of questions papers or assessment materials to the alternative venue. JCQ will also be informed as appropriate.

Candidates will be informed of any changes to the exam or assessment timetable or to the venue as soon as possible.

11. Centre may not be able to open as normal during the examination period

(Including in the event of the centre being unavailable for examinations owing to an unforeseen emergency)

Criteria for implementation of the plan

Centre may not be able to open as normal for scheduled examinations

Centre actions to mitigate the impact of the disruption

RALSS will take advice, or follow instructions, from relevant local or national agencies in deciding whether the centre is able to open.

Following RALSS' decision, awarding bodies (and JCQ if required) will be contacted as soon as possible and alternative arrangements will be discussed. Guidance provided by the awarding body on the conduct of examinations in such circumstances will be followed by RALSS.

Where accommodation is limited, candidates whose progression will be severely delayed if they do not take their exam or timetabled assessment when planned will be prioritised.

Candidates will be informed of any changes to the exam or assessment timetable or to the venue.

12. 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

Centre actions to mitigate the impact of the disruption

RALSS will liaise with awarding bodies regarding the provision of electronic access to examination papers via a secure external network and will ensure that copies received/made are stored under secure conditions. Guidance provided by the awarding body on the conduct of examinations in such circumstances will be followed.

As a last resort, and in close collaboration with regulators and awarding organisations, RALSS would consider scheduling the examination on an alternative date.

RALSS will communicate any changes to the exam or assessment timetable or to the venue with candidates.

13. Disruption to transporting completed examination scripts

Criteria for implementation of the plan

Delay in normal collection arrangements for completed examination scripts/assessment evidence

Centre actions to mitigate the impact of the disruption

Where examinations are part of the national 'yellow label' service or where awarding organisations arrange collections, RALSS will seek advice from awarding organisations and not make their own arrangements for

transportation unless told to do so by the awarding body.

For any examinations where centres make their own arrangements, RALSS will investigate alternative dispatch options that comply with the requirements detailed in the JCQ's *Instructions for conducting examinations*.

Completed examination scripts will be stored securely until collection.

14. 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

Completed examination scripts/assessment evidence does not reach awarding organisations

Centre actions to mitigate the impact of the disruption

RALSS will liaise with awarding organisations to generate candidate marks for affected assessments based on other appropriate evidence of candidate achievement as defined by the awarding organisations.

Where marks cannot be generated by awarding organisations, candidates may need to retake affected assessment in a subsequent assessment series.

15. Centre unable to distribute results as normal or facilitate post results services

(Including in the event of the centre being unavailable on results day owing to an unforeseen emergency)

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

Centre actions to mitigate the impact of the disruption

RALSS will arrange to distribute results and coordinate access to post results services at an alternative site, in agreement with the relevant awarding organisation. This may involve sharing facilities with other centres if this is possible, in agreement with the relevant awarding organisation.

RALSS will also arrange to make post results requests at an alternative location, and will contact the relevant awarding organisation if electronic post results requests are not possible.

COMPLAINTS POLICY (Exams)

2023/24

This policy is reviewed annually to ensure compliance with current regulations

Approved/reviewed by	
RALSS Leadership team	
Date of next review	September 2024

Key staff involved in the policy

Role	Name(s)
Head of centre	Atessa Bradberry
Exams officer	Sophie Hayes
Senior leader(s)	Rose Pusch, Elizabeth Papworth

Purpose of the policy

This policy confirms Rutland Adult Learning and Skills Service's (RALSS) compliance with JCQ's **General Regulations for Approved Centres** (sections 5.3, 5.8) in drawing to the attention of candidates and their parents/carers its written complaints policy which will cover general complaints regarding the centre's delivery or administration of a qualification.

Grounds for complaint

Candidates may make a complaint on the grounds below (this is not an exhaustive list).

Teaching and learning

- The tutor doesn't have adequate training or subject matter expertise
- The tutor lacks knowledge of updated subject content
- The core content is incorrectly taught or inadequately covered
- The tutor provided candidates with inadequate feedback following assessment(s)
- Candidates were not provided with pre-release/advance material/set tasks issued by the awarding body

Access arrangements and special consideration

- Candidates weren't assessed by RALSS' appointed assessor
- Candidates weren't involved in decisions made regarding their access arrangements, informed of the arrangements put in place, or made aware of where they would/wouldn't apply
- Candidates didn't consent to record their personal data online (by the non-acquisition of a completed candidate personal data consent form)
- Candidates' exam information was not appropriately adapted for them to access it
- Candidates' adapted equipment/assistive technology put in place failed during their exam/assessment
- Candidates' approved access arrangement(s) were not put in place at the time of their exam/assessment
- Candidates are unhappy with RALSS' decision relating to access arrangements or special consideration, or feel that RALSS did not adhere to its *internal appeals procedure*

Entries

- Candidates were not entered or were entered late for their exam/assessment
- Candidates were entered for the wrong exam/assessment or the wrong level/tier of entry

Conducting examinations

- Candidates were not informed of exam regulations prior to exam/assessment taking place
- The room in which candidates' exam was held did not provide appropriate conditions, including disruption or inadequate invigilation
- Candidates' exam was not conducted according to the regulations
- The online system failed during candidates' on-screen exam/assessment
- An alleged, suspected or actual malpractice incident was not investigated or reported
- Candidates' application for special consideration was not submitted or not submitted to timescale, or was submitted but candidates were not informed of the outcome

Results and Post-results

- Candidates were not made aware of arrangements for post-results services prior to their exams
- Candidates could not access a member of senior staff after the publication of results to discuss submitting a review or enquiry
- Candidates are unhappy with their result
- Candidates are unhappy with RALSS' decision not to support a clerical re-check, a review of marking, a review of moderation or an appeal
- RALSS did not adhere to its *internal appeals procedure*
- RALSS applied for the wrong post-results service/for the wrong script for candidates
- RALSS missed an awarding body's deadline to apply for a post-results service
- RALSS applied for a post-results service for candidates without gaining their consent/permission

Raising a concern/complaint

If candidates have a general concern or complaint about RALSS' delivery or administration of a qualification they are following, RALSS encourages them to try to resolve this informally in the first instance by speaking to the exams officer, senior leaders or Head of Centre. If a complaint fails to be resolved informally, candidates are then at liberty to make a formal complaint.

A formal complaint should be submitted by completing the *Exams Complaints Form* (Appendix A) and returning it to RALSS' Complaints Coordinator.

Complaints will be logged by RALSS and acknowledged within five working days of receipt. A formal response will then be sent to the complainant within ten working days of receipt.

The Complaints Coordinator will work with the Head of Centre to investigate the complaint and report on the findings and conclusion. These will be provided to the complainant within four working weeks.

Appealing the outcome of a complaint

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

A formal appeal should be submitted by completing the Examinations and Assessments Complaints and Appeals form and returning it to Rutland County Council's Learning and Skills Service Manager via RALSS within ten working days of receiving the complaint findings and conclusion.

Appeals will be logged by Rutland Adult Learning and Skills Service and referred on to the Learning and Skills Service Manager for consideration. The Learning and Skills Service Manager will inform the appellant of the final conclusion within three working weeks of receipt.

Appendix A

Exams Complaints Form

- ☐ Complaint against RALSS' delivery of a qualification
- ☐ Complaint against RALSS' administration of a qualification

Name of complainant	
Candidate name (if different to complainant)	
Please state the grounds for your complaint below:	
If your grounds are 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. If necessary, continue on an additional page	
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 signature:	Date of signature:

This form must be completed in full - an incomplete form will be returned to the complainant

INTERNAL APPEALS PROCEDURE

2023/24

This procedure is reviewed annually to ensure compliance with current regulations

Approved/reviewed by	
RALSS Leadership	
Date of next review	September 2024

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Key staff involved in the procedure

Role	Name(s)
Head of centre	Atessa Bradberry
Senior leader(s)	Rose Pusch – Lead Tutor and QA Coordinator
Exams officer	Sophie Hayes
Other	Joanna Edwards – Lead Internal Quality Assurer

Purpose of the procedure

This procedure confirms Rutland Adult Learning and Skills Service's (RALSS) compliance with JCQ's **General Regulations for Approved Centres** (sections 5.3z, 5.8) that the centre will:

- have in place and available for inspection a written internal appeals procedure which must cover at least appeals regarding internal assessment decisions, post-result services and appeals, and centre decisions relating to access arrangements and special consideration
- draw to the attention of candidates and their parents/carers its written internal appeals procedure

This procedure covers appeals relating to:

- Internal assessment decisions (centre assessed marks)
- Centre decisions not to support an application for clerical re-check, a review of marking, a review of moderation or an appeal
- Centre decisions relating to access arrangements and special consideration
- Centre decisions relating to other administrative issues

Appeals relating to internal assessment decisions

Some qualifications contain components which are internally assessed, marked and reviewed or standardised by Rutland Adult Learning and Skills Service (RALSS).

The marks awarded which contribute to the final grade of the qualification are then submitted by the deadline set by the awarding body for external moderation. An awarding body's external moderation may result in a mark change.

This procedure confirms RALSS' arrangements for dealing with candidate appeals relating to internal assessment decisions and ensures compliance with JCQ regulations, which state that centres must:

- have in place and be available for inspection purposes, 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
- before submitting marks to the awarding body inform candidates of their centre assessed marks and allow a candidate to request a review of the centre's marking

RALSS' Head of Centre (HoC) and Senior Leadership Team (SLT) will ensure that:

- staff mark candidates' work fairly, consistently and in accordance with the awarding body's specification
- staff follow a robust Non-examination Assessment Policy detailing procedures relating to non-examination assessments for qualifications delivered by RALSS, including the marking and quality assurance/internal standardisation processes
- Candidates' work will be marked by staff who have appropriate knowledge, understanding and skill, and have been trained in this activity
- work produced by candidates is authenticated in line with the requirements of the awarding body. Where more than one subject teacher/tutor is involved in marking candidates' work, internal moderation and standardisation will ensure consistency of marking
- If candidates believes that the above procedures were not followed in relation to the marking of their work, or that the assessor has not properly applied the marking standards to their marking, then they may make use of the internal appeals procedure below to consider whether to request a review of the centre's marking

Procedure for appealing internal assessment decisions (centre assessed marks)

Candidates will be informed of their centre assessed marks before they are submitted to the awarding body.

If a candidate is considering a review, they may request copies of materials (e.g. a copy of their marked work and the accompanying mark scheme or assessment criteria) to help them consider whether to request a review of RALSS' marking of the assessment. This request must be made within two working days of receiving their mark.

Copies of materials will be made available to the candidate (some materials may require sharing in supervised conditions) within three working days of receiving the request.

If the candidate wants to proceed with a review, they must make a formal written request using the *Request for Review of Marking* form within five working days of receiving their materials. Requests will not be accepted after this deadline has passed.

RALSS' Head of Centre/Senior Leaders will carry out a review within ten working days of a request being received. They will then make any necessary changes to marks and inform the candidate of the outcome in writing, before the awarding body's deadline for the submission of marks.

The review of marking will be conducted by an assessor who:

- has an appropriate level of competence
- has not been previously involved in the candidate's assessment for that component
- has no personal interest in the outcome of the review

RALSS' Head of Centre will also be informed of the outcome and has the final decision if there is a disagreement on the mark to be submitted to the awarding body.

A written record of the review will be kept and made available to the awarding body if requested. If RALSS does not accept the outcome of a review, the awarding body will also be informed.

The moderation process carried out by the awarding body 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 in line with national standards. The mark submitted to the awarding body is subject to change and should therefore be considered provisional.

Appeals relating to centre decisions not to support an application for a clerical re-check, a review of marking, a review of moderation or an appeal

This procedure confirms RALSS' compliance with JCQ's **General Regulations for Approved Centres** (section 5.13) that the centre will:

- have available for inspection purposes and draw to the attention of candidates and their parents/carers, a written internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support an application for a clerical re-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 RALSS' exams officer.

Candidates are made aware of the arrangements for post-results services prior to the issue of results. Candidates are also informed of the periods during which senior members of centre staff will be available/accessible immediately after the publication of results so that results may be discussed, and decisions made on the submission of reviews of marking.

If RALSS or a candidate has a concern and believes a result may not be accurate, post-results services may be considered.

The JCQ post-results services currently available are detailed below.

Reviews of Results (RoRs):

- Service 1 (Clerical re-check)
This is the only service that can be requested for objective tests (multiple choice tests)
- Service 2 (Review of marking)
- Priority Service 2 (Review of marking)
This service is available for externally assessed components of both unitised and linear GCE A-level specifications (an individual awarding body may also offer this priority service for other qualifications)
- Service 3 (Review of moderation)
This service is not available to an individual candidate

Access to Scripts (ATS):

- Copies of scripts to support reviews of marking
- Copies of scripts to support teaching and learning

Where a concern is expressed that a particular result may not be accurate, the centre will look at the marks awarded for each component part of the qualification alongside any mark schemes, relevant result reports, grade boundary information, etc. when made available by the awarding body to determine if the centre supports any concerns.

For written components that contributed to the final result, RALSS will:

1. Where a place a university or college is at risk, consider supporting a request for a Priority Service 2 review of marking
2. In all other instances, consider accessing the script by:
 - a) (where the service is made available by the awarding body) requesting a priority copy of the candidate's script to support a review of marking by the awarding body deadline or
 - b) (where the option is made available by the awarding body) viewing the candidate's marked script online to consider if requesting a review of marking is appropriate
3. Collect informed written consent/permission from the candidate to access his/her script

4. On access to the script, consider if it is felt that the agreed mark scheme has been applied correctly in the original marking and if the centre considers there are any errors in the marking
5. Support a request for the appropriate RoR service (clerical re-check or review of marking) if any error is identified
6. Collect informed written consent from the candidate to request the RoR service before the request is submitted
7. Where relevant, advise an affected candidate to inform any third party (such as a university or college) that a review of marking has been submitted to an awarding body

Written candidate consent (informed consent via candidate email is acceptable) is required before a request for a RoR service 1 or 2 (including priority service 2) is submitted to the awarding body. Consent is required to confirm the candidate understands that the final subject grade and/or mark awarded following a clerical re-check or a review of marking, and any subsequent appeal, may be lower than, higher than, or the same as the result which was originally awarded. Candidate consent must only be collected after the publication of results.

For any moderated components that contributed to the final result, RALSS will:

- Confirm that a review of moderation cannot be undertaken on the work of an individual candidate or the work of candidates not in the original sample submitted for moderation
- Consult the moderator's report/feedback to identify any issues raised
- Determine if RALSS' internally assessed marks have been accepted without change by the awarding body – if this is the case, a RoR service 3 will not be available
- Determine if there are any grounds to submit a request for a review of moderation for the work of all candidates in the original sample

Where a candidate disagrees with RALSS' decision not to support a clerical re-check, a review of marking or a review of moderation, RALSS will:

- For RoR priority service 2, advise the candidate they may request the review by providing informed written consent (and the required fee) for this service to RALSS by the deadline set by RALSS
- For RoR service 1 or 2, first advise the candidate to access a copy of their script to support a review of marking by providing written permission for RALSS to access the script (and the required fee) for RALSS to submit this request
- After accessing the script to consider the marking, inform the candidate that if a request for RoR service 1 or 2 is required, this must be submitted by the deadline set by the centre by providing informed written consent (and the required fee) for RALSS to submit this request
- Inform the candidate that RoR service 3 cannot be requested for the work of an individual candidate or the work of a candidate not in the original sample

If the candidate believes there are grounds to appeal against RALSS' decision not to support a review of results, an appeal can be submitted to RALSS by completing the **internal appeals form** at least ten working days prior to the internal deadline for submitting a request for a review of results.

The appellant will be informed of the outcome of his/her appeal in writing before the internal deadline for submitting a RoR.

Following the RoR outcome, an external appeals process is available if RALSS' 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 RALSS' head of centre is satisfied after receiving the RoR outcome, but the candidate 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 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 working days of the notification of the outcome of the RoR. 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 the awarding body issuing the outcome of the review of 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 exams officer). 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.

Appeals regarding centre decisions relating to access arrangements and special consideration

This procedure confirms RALSS' compliance with JCQ's **General Regulations for Approved Centres** (section 5.3z) that the centre will have in place and available for inspection a written internal appeals procedure which must cover at least appeals regarding... centre decisions relating to access arrangements and special consideration.

RALSS will comply with the principles and regulations governing access arrangements and special consideration as set out in the JCQ publications **Access Arrangements and Reasonable Adjustments** and **A guide to the special consideration process**. RALSS will also ensure that all staff who manage and implement access arrangements and special consideration are aware of the requirements and are appropriately supported and resourced.

Access arrangements and reasonable adjustments

In accordance with the regulations, RALSS recognises its duty to explore and provide access to suitable courses. RALSS, through the access arrangements process, will submit applications for reasonable adjustments and make reasonable adjustments to the service RALSS provides to disabled candidates. RALSS also complies with its responsibilities in identifying, determining and implementing appropriate access arrangements and reasonable adjustments.

Failure to comply with the regulations may constitute malpractice and impact on a candidate's result. Examples of failure to comply include:

- putting in place unapproved arrangements or adjustments, or not considering putting these in place
- permitting access arrangements/adjustments which are not supported by appropriate evidence
- charging a fee for providing reasonable adjustments to disabled candidates

Special consideration

Where RALSS has appropriate evidence to support an application, it will apply for special consideration at the time of the assessment for a candidate who has temporarily experienced illness, injury or some other event outside of their control when the issue or event has had, or is reasonably likely to have had, a material effect on the candidate's ability to take an assessment or demonstrate their normal level of attainment in an assessment.

Centre decisions relating to access arrangements, reasonable adjustments and special consideration

This may include RALSS' decision not to make/apply for a specific reasonable adjustment or to apply for special consideration, in circumstances where a candidate does not meet the criteria for, or there is no evidence/insufficient evidence to support the implementation of an access arrangement/reasonable adjustment or the application of special consideration.

Where RALSS makes a decision in relation to the access arrangement, reasonable adjustment or special consideration for a candidate and the candidate disagrees, an **internal appeals form, detailing the grounds for appeal**, should be completed and submitted within five working days of the decision being made known to the appellant.

To determine the outcome of the appeal, the head of centre will consult the respective JCQ publication to confirm the centre has complied with the principles and regulations governing access arrangements and/or special consideration and followed due procedures. The appellant will be informed of the outcome within ten working days of RALSS receiving the appeal. If the appeal is upheld, RALSS will implement the necessary arrangements or submit the necessary application as required.

This procedure is informed by the JCQ publications [A guide to the awarding bodies' appeals processes](#) (chapter 3), [Suspected Malpractice: Policies and Procedures](#) (section 3.3), [General Regulations for Approved Centres](#) (section 5.4), [Access Arrangements and Reasonable Adjustments](#) (Importance of these regulations) and [A guide to the special consideration process](#) (sections 1, 2, 6)

Appeals regarding centre decisions relating to other administrative issues

Circumstances may arise that cause RALSS to make decisions on administrative issues that may affect a candidate's examinations/assessments.

Where RALSS makes a decision that affects a candidate, and the candidate disagrees with the decision, an **internal appeals form** should be completed and submitted within five working days of the decision being made known to the appellant.

The appellant will be informed of the outcome of the appeal within ten working days of the appeal being received.

This procedure is informed by the JCQ publication [A guide to the awarding bodies' appeals processes](#) (chapter 7)

Internal Appeals Form

Please tick the relevant box to indicate the nature of your appeal, then complete the form below

- ☐ Appeal against RALSS' decision not to support a clerical re-check, a review of marking, a review of moderation or an appeal
- ☐ Appeal against RALSS' decision relating to access arrangements or special consideration
- ☐ Appeal against RALSS' decision relating to an administrative issue

Name of appellant:			
Qualification type:		Subject:	

Please state your grounds for appeal in as much detail as possible

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

Appellant signature:		Date form completed:	
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This form must be signed, dated and returned to the exams officer on behalf of the head of centre to the timescale indicated in the relevant appeals procedure

Request for Review of Marking

Appellant name:			
Qualification:			
Subject:			
<i>Please state your grounds for appeal in as much detail as possible</i>			
(If necessary, continue on an additional page if this form is being completed electronically or overleaf if hard copy being completed)			
Appellant signature:		Date form completed:	

Further guidance to inform and implement appeals

JCQ publications

- 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 (A guide to the awarding bodies' appeals processes) <https://www.jcq.org.uk/exams-office/appeals>
- Notice to Centres – Informing candidates of their centre assessed marks <https://www.jcq.org.uk/exams-office/non-examination-assessments>
- Suspected Malpractice: Policies and Procedures <https://www.jcq.org.uk/exams-office/malpractice/>
- Access Arrangements and Reasonable Adjustments <https://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance/>
- A guide to the special consideration process <https://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance/>

Ofqual publications

- GCSE (9 to 1) qualification-level conditions and requirements <https://www.gov.uk/government/publications/gcse-9-to-1-qualification-level-conditions>
- GCE qualification-level conditions and requirements <https://www.gov.uk/government/publications/gce-qualification-level-conditions-and-requirements>

Malpractice Policy

Rutland Adult Learning and Skills Service (Rutland
County Council)

Malpractice Policy

Centre Name	Rutland Adult Learning and Skills Service (Rutland County Council)
Centre Number	25338
Date policy first created	29/09/2023
Current policy approved by	RALSS Leadership
Current policy reviewed by	Sophie Hayes
Date of next review	01/09/2024

Key staff involved in the policy

Role	Name
Head of Centre	Atessa Bradberry
Senior leader(s)	Elizabeth Papworth, Rose Pusch
Exams officer	Sophie Hayes
Other staff (if applicable)	Joanna Edwards - Lead IQA

This policy is reviewed and updated annually to ensure that any malpractice at Rutland Adult Learning and Skills Service (Rutland County Council) is managed in accordance with current requirements and regulations.

Reference in the policy to **GR** and **SMPP** relate to relevant sections of the current JCQ publications **General Regulations for Approved Centres** and **Suspected Malpractice: Policies and Procedures**.

Introduction

What is malpractice and maladministration?

'Malpractice' and 'maladministration' are related concepts, the common theme of which is that they involve a failure to follow the rules of an examination or assessment. This policy and procedure uses the word 'malpractice' to cover both 'malpractice' and 'maladministration' and it means any act, default or practice which is:

- a breach of the Regulations
- a breach of awarding body requirements regarding how a qualification should be delivered
- a failure to follow established procedures in relation to a qualification

which:

- gives rise to prejudice to candidates
- compromises public confidence in qualifications
- compromises, attempts to compromise or may compromise the process of assessment, the integrity of any qualification or the validity of a result or certificate
- damages the authority, reputation or credibility of any awarding body or centre or any officer, employee or agent of any awarding body or centre (SMPP 1)

Candidate malpractice

'Candidate malpractice' means malpractice by a candidate in connection with any examination or assessment, including the preparation and authentication of any controlled assessments, coursework or non-examination assessments, the presentation of any practical work, the compilation of portfolios of assessment evidence and the writing of any examination paper. (SMPP 2)

Centre staff malpractice

'Centre staff malpractice' means malpractice committed by:

- a member of staff, contractor (whether employed under a contract of employment or a contract for services) or a volunteer at a centre; or
- an individual appointed in another capacity by a centre such as an invigilator, a Communication Professional, a Language Modifier, a practical assistant, a prompter, a reader or a scribe (SMPP 2)

Suspected malpractice

For the purposes of this document, suspected malpractice means all alleged or suspected incidents of malpractice. (SMPP 2)

Purpose of the policy

To confirm Rutland Adult Learning and Skills Service (Rutland County Council):

- has in place a written malpractice policy which covers all qualifications delivered by the centre and details how candidates are informed and advised to avoid committing malpractice in examinations/assessments, how suspected malpractice issues should be escalated within the centre and reported to the relevant awarding body (GR 5.3)

General principles

In accordance with the regulations Rutland Adult Learning and Skills Service (Rutland County Council) will:

- Take all reasonable steps to prevent the occurrence of any malpractice (which includes maladministration) before, during and after examinations have taken place (GR 5.11)
- Inform the awarding body immediately of any alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, by completing the appropriate documentation (GR 5.11)
- As required by an awarding body, gather evidence of any instances of alleged or suspected malpractice (which includes maladministration) in accordance with the JCQ publication **Suspected Malpractice - Policies and Procedures** and provide such information and advice as the awarding body may reasonably require (GR 5.11)

Preventing malpractice

Rutland Adult Learning and Skills Service (Rutland County Council) has in place:

- Robust processes to prevent and identify malpractice, as outlined in section 3 of the JCQ publication **Suspected Malpractice: Policies and Procedures**. (SMPP 4.3)
- This includes ensuring that all staff involved in the delivery of assessments and examinations understand the requirements for conducting these as specified in the following JCQ documents and any further awarding body guidance: *General Regulations for Approved Centres 2023-2024; Instructions for conducting examinations (ICE) 2023-2024; Instructions for conducting coursework 2023-2024; Instructions for conducting non-examination assessments 2023-2024; Access Arrangements and Reasonable Adjustments 2023-2024; A guide to the special consideration process 2023-2024; Suspected Malpractice: Policies and Procedures 2023-2024; Plagiarism in Assessments; AI Use in Assessments: Protecting the Integrity of Qualifications; A guide to the awarding bodies' appeals processes 2023-2024* (SMPP 3.3.1)

Additional information:

not applicable

Informing and advising candidates

Candidates are made aware of their responsibilities and how to avoid malpractice by being made aware of the dos and don'ts by their tutor(s), practising mock assessments in exam conditions (if relevant), being issued with the appropriate JCQ Instructions for Candidates and/or awarding body instructions, and being reminded of exam conduct and regulations by the invigilator prior to assessments commencing (if relevant). Candidates are also made aware of the potential consequences of malpractice and the sanctions that may be imposed on those who commit malpractice.

Identification and reporting of malpractice

Escalating suspected malpractice issues

- Once suspected malpractice is identified, any member of staff at the centre can report it using the appropriate channels (SMPP 4.3)

Suspected malpractice issues must be reported to the Exams Officer or a member of the leadership team immediately following identification. The member of staff who receives the report will then escalate the report to the head of centre.

Reporting suspected malpractice to the awarding body

- The head of centre will notify the appropriate awarding body immediately of all alleged, suspected or actual incidents of malpractice, using the appropriate forms, and will conduct any investigation and gathering of information in accordance with the requirements of the JCQ publication **Suspected Malpractice: Policies and Procedures** (SMPP 4.1.3)
- The head of centre will ensure that where a candidate who is a child/vulnerable adult is the subject of a malpractice investigation, the candidate's parent/carer/ appropriate adult is kept informed of the progress of the investigation (SMPP 4.1.3)
- Form JCQ/M1 will be used to notify an awarding body of an incident of candidate malpractice. Form JCQ/M2 will be used to notify an awarding body of an incident of suspected staff malpractice/maladministration (SMPP 4.4, 4.6)
- Malpractice by a candidate discovered in a controlled assessment, coursework or non- examination assessment component prior to the candidate signing the declaration of authentication need not be reported to the awarding body but will be dealt with in accordance with the centre's internal procedures. The only exception to this is where the awarding body's confidential assessment material has potentially been breached. The breach will be reported to the awarding body immediately (SMPP 4.5)
- If, in the view of the investigator, there is sufficient evidence to implicate an individual in malpractice, that individual (a candidate or a member of staff) will be informed of the rights of accused individuals (SMPP 5.33)
- Once the information gathering has concluded, the head of centre (or other appointed information-gatherer) will submit a written report summarising the information obtained and actions taken to the relevant awarding body, accompanied by the information obtained during the course of their enquiries (5.35)
- Form JCQ/M1 will be used when reporting candidate cases; for centre staff, form JCQ/M3 will be used (SMPP 5.37)
- The awarding body will decide on the basis of the report, and any supporting documentation, whether there is evidence of malpractice and if any further investigation is required. The head of centre will be informed accordingly (SMPP 5.40)

Additional information:

Communicating malpractice decisions

Once a decision has been made, it will be communicated in writing to the head of centre as soon as possible. The head of centre will communicate the decision to the individuals concerned and pass on details of any sanctions and action in cases where this is indicated. The head of centre will also inform the individuals if they have the right to appeal. (SMPP 11.1)

Additional information:

Appeals against decisions made in cases of malpractice

Rutland Adult Learning and Skills Service (Rutland County Council) will:

- Provide the individual with information on the process and timeframe for submitting an appeal, where relevant
- Refer to further information and follow the process provided in the JCQ publication **A guide to the awarding bodies' appeals processes**

Additional information:

Changes 2023/2024

Under heading **Purpose of the policy**: (Changed) The purpose of this policy is to confirm how [Centre name] manages malpractice under normal delivery arrangements in accordance with the regulations (To) To confirm [Centre name] has in place a written malpractice policy which covers all qualifications delivered by the centre and details how candidates are informed and advised to avoid committing malpractice in examinations/assessments, how suspected malpractice issues should be escalated within the centre and reported to the relevant awarding body (GR 5.3)

Under heading **General Principles**: Moved subsections **Candidate malpractice** and **Centre staff malpractice** from this section and added under **Introduction** section

Under heading **Preventing Malpractice**: (Added) A new bullet point: This includes ensuring that all staff involved in the delivery of assessments and examinations understand the requirements for conducting these as specified in the following JCQ documents and any further awarding body guidance:

- General Regulations for Approved Centres 2023-2024
- Instructions for conducting examinations (ICE) 2023-2024
- Instructions for conducting coursework 2023-2024
- Instructions for conducting non-examination assessments 2023-2024
- Access Arrangements and Reasonable Adjustments 2023-2024
- A guide to the special consideration process 2023-2024
- Suspected Malpractice: Policies and Procedures 2023-2024
- Plagiarism in Assessments
- AI Use in Assessments: Protecting the Integrity of Qualifications
- A guide to the awarding bodies' appeals processes 2023-2024 (SMPP 3.3.1)

(Added) New subheading **Informing and advising candidates** and an insert field to be populated according to the centre's process

Under heading **Identification and reporting of malpractice**: (Added) New subheading **Escalating suspected malpractice issues** and

- new bullet point: Once suspected malpractice is identified, any member of staff at the centre can report it using the appropriate channels (SMPP 4.3)
- an insert field to be populated according to the centre's process

(Added) New subheading **Reporting suspected malpractice to the awarding body**

(Added) New bullet point: The head of centre will ensure that where a candidate who is a child/vulnerable adult is the subject of a malpractice investigation, the candidate's parent/carer/ appropriate adult is kept informed of the progress of the investigation (SMPP 4.1.3)

(Changed) SMPP reference: If, in the view of the investigator, there is sufficient evidence to implicate an individual in malpractice, that individual (a candidate or a member of staff) will be informed of the rights of accused individuals (SMPP 5.32) (To) If, in the view of the investigator, there is sufficient evidence to implicate an individual in malpractice, that individual (a candidate or a member of staff) will be informed of the rights of accused individuals (SMPP 5.33)

(Changed) Once the information gathering has concluded, the head of centre (or other appointed information-gatherer) will submit a written report summarising the case to the relevant awarding body, accompanied by the information obtained during the course of their enquiries (SMPP 5.34) (To) Once the

information gathering has concluded, the head of centre (or other appointed information-gatherer) will submit a written report summarising the information obtained and actions taken to the relevant awarding body, accompanied by the information obtained during the course of their enquiries (SMPP 5.35)

(Changed) SMPP reference: Form JCQ/M1 will be used when reporting candidate cases; for centre staff, form JCQ/M3 will be used (SMPP 5.36) (To) Form JCQ/M1 will be used when reporting candidate cases; for centre staff, form JCQ/M3 will be used (SMPP 5.37)

(Changed) SMPP reference: The awarding body will decide on the basis of the report, and any supporting documentation, whether there is evidence of malpractice and if any further investigation is required. The head of centre will be informed accordingly (SMPP 5.39) (To) The awarding body will decide on the basis of the report, and any supporting documentation, whether there is evidence of malpractice and if any further investigation is required. The head of centre will be informed accordingly (SMPP 5.40)

Under heading **Appeals against decisions made in cases of malpractice**:(Changed) Provide the individual with information on the process for submitting an appeal, where relevant (To) Provide the individual with information on the process and timeframe for submitting an appeal, where relevant

Under each relevant section added **Additional information** fields to be populated by the user if applicable

Centre-specific changes

Upon review in September 2023, no centre-specific updates or changes were applicable to this document.

NON-EXAMINATION ASSESSMENT POLICY

2023/24

This policy is reviewed annually to ensure compliance with current regulations

Approved/reviewed by	
RALSS leadership	
Date of next review	September 2024

Key staff involved in the policy

Role	Name(s)
Head of centre	Atessa Bradberry
Quality assurance lead/Lead internal verifier	Rose Pusch (IQA Coordinator) Joanna Edwards (Lead IQA)
Lead Tutor	Rose Pusch
Senior leader(s)	Elizabeth Papworth
ALS lead/SENCo	Sophie Hayes
Exams officer	Sophie Hayes

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What does this policy affect?

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

The regulators' definition of an examination is very narrow. In effect, any type of assessment that is not:

- set by an awarding body
- designed to be taken simultaneously by all relevant candidates at a time determined by the awarding body, and
- taken under conditions specified by the awarding body (including conditions relating to the supervision of candidates during the assessment and the duration of the assessment)

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'. (JCQ's **Instructions for conducting non-examination assessments**, Foreword)

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 for non-examination assessments
- manage risks associated with non-examination assessments

The policy will need to cover all types of non-examination assessment. ([NEA](#), section 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](#), section 1)

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

The basic principles

Head of centre

- Returns a declaration (managed 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](#)
- Ensures the centre's Non-examination Assessment Policy is fit for purpose and covers all types of non-examination assessment
- Ensures the centre's Internal Appeals Procedure clearly details the procedure to be followed by candidates appealing against centre assessed marks and requesting a review of the centre's marking

Quality assurance (QA) lead/Lead internal verifier

- 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.

Lead Tutor

- 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)
- Works with the Lead internal verifier to ensure appropriate procedures are followed to internally standardise/verify the marks awarded by subject teachers

Subject teacher

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

Exams officer

- Signposts the annually updated JCQ [NEA](#) publication to relevant centre staff
- Carries out tasks where these may be applicable to the role in supporting the administration/management of non-examination assessment

Task setting

Subject teacher

- Selects tasks to be undertaken where a number of comparable tasks are 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 the correct task is issued to candidates

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
- Is confident where work may be completed outside of the centre without direct supervision, that the work produced is the candidate's own
- Where candidates may work in groups, keeps a record of each candidate's contribution and it must be possible to attribute assessable outcomes to individual candidates
- Ensures candidates are aware of the current 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 *Information for candidates' documents*
- Ensures candidates:
 - understand that information from all sources must be referenced
 - receive guidance on setting out references
 - are aware that they must not plagiarise other material

Advice and feedback

Subject teacher

- As relevant to the subject/component, advises candidates on relevant aspects before candidates begin working on a task
- Will not provide candidates with model answers or writing frames specific to the task
- When reviewing candidates' work, unless prohibited by the specification, provides oral and written advice at a general level to candidates
- Allows 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 including the internet and AI when planning and researching their tasks
- Refers to the JCQ document *AI Use in Assessments: Protecting the Integrity of Qualifications* (<http://www.jcq.org.uk/exams-office/malpractice>) as well as the awarding body's specification and/or associated documentation published by the awarding bodies and the regulator
 - By referencing this document, makes candidates aware of the appropriate and inappropriate use of AI, the risks of using AI, and the possible consequences of using AI inappropriately in a qualification assessment
- Ensures conditions for any formally supervised sessions are known and put in place
- Ensures appropriate arrangements are in place to keep the work to be assessed, and any preparatory work, secure between any formally supervised sessions, including work that is stored electronically
- Ensures conditions for any formally supervised sessions are understood and followed by candidates
- Ensures candidates understand that they are not allowed to introduce augmented 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 requesting reviews of 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 (Electronic signatures are acceptable)
- 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 a member of the senior leadership team
- Understands that if, during the external moderation process, it is found that the work has not been properly authenticated, the awarding body will set the mark(s) awarded by the centre to zero

Presentation of work

Subject teacher

- Obtains informed consent at the beginning of the course 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
- Ensures if candidates' work is to be submitted electronically, that it meets the awarding body's specified requirements

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 all possible post-results services have been exhausted

- If post-results services have not been requested, returns internally assessed work to candidates (if requested by a candidate) after the deadline for requesting a review of results for the relevant series
- If post-results services have been requested, returns internally assessed work to candidates (if requested by a candidate) once the review of results and any subsequent appeal has been completed
- 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 (Reminds candidates of the contents of the JCQ document *Information for candidates – Social Media*)
- Where work is stored electronically, liaises with IT Support to ensure the protection and back-up of candidates' work and that appropriate arrangements are in place to restrict access to it between sessions
- Understands that during the period from the submission of work for formal assessment until the deadline for requesting a review of results, copies of work may be used for other purposes, provided that the originals are stored securely as required

IT Support

- Ensures appropriate arrangements are in place to restrict access between sessions to candidates' work where work is stored electronically
- Restricts access to this material and utilises appropriate security safeguards such as firewall protection and virus scanning software
- Employs an effective back-up strategy so that an up to date archive of candidates' evidence is maintained
- Considers encrypting any sensitive digital media to ensure the security of the data stored within it and refers to awarding body guidance to ensure that the method of encryption is suitable

Task marking – externally assessed components

Conduct of externally assessed work

Subject teacher

- Liaises with the exams officer regarding the arrangements for any externally assessed components of a specification which must be conducted within a window of dates specified by the awarding body and where applicable, according to JCQ *Instructions for conducting examinations*
- Liaises with the Visiting Examiner where this may be applicable to any externally assessed component

Exams officer

- Arranges timetabling, rooming and invigilation where and if 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 and where applicable, according to JCQ *Instructions for conducting examinations*

Submission of work

Subject teacher

- Pays close attention to the completion of the attendance register, if applicable

Exams officer

- Provides the attendance register to the subject teacher where applicable
- Ensures the awarding body's attendance register for any externally assessed component is completed correctly
- Where candidates' work must be despatched to an awarding body's examiner or uploaded electronically, ensures this is completed by the date specified by the awarding body

- Keeps a copy of the attendance register until after the deadline for reviews of results for the exam series
- Packages the work as required by the awarding body and attaches the examiner address label
- Ensures that the package in which the work is despatched is robust and securely fastened
- Despatches the work to the awarding body's instructions by the required deadline

Task marking – internally assessed components

Marking and annotation

Head of centre

- Makes every effort to avoid situations where a candidate is assessed by a person who has a close personal relationship with the candidate, for example, members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g son/daughter)
- Where this cannot be avoided, ensures the possible conflict of interest is declared to the relevant awarding body and the marked work is submitted for moderation whether or not it is part of the moderation sample

Subject head/lead

- Sets timescales for teachers to inform candidates of their centre-assessed marks that will allow sufficient time for a candidate to appeal an internal assessment decision/request a review of the centre's marking prior to the marks being submitted to the awarding body external deadline

Subject teacher

- Accesses awarding body training/updates as required to ensure familiarity with the mark scheme/marketing 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 process
- Ensures candidates are informed of the timescale set by the Lead Tutor or as 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

Quality assurance (QA) lead/Lead internal verifier

- Ensures that internal standardisation of marks across assessors and teaching groups takes place as required and to sequence
- Supports staff not familiar with the mark scheme (e.g. ECTs, 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
- Retains evidence that internal standardisation has been carried out

Subject teacher

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

- Keeps candidates work secure until after the closing date for review of results for the series concerned or until any appeal, malpractice or other results enquiry has been completed, whichever is later

Consortium arrangements

Lead Tutor

- Ensures a consortium co-ordinator is nominated (where this may be required as the consortium lead)
- If the consortium lead, liaises with the exams officer to ensure the relevant awarding body is informed that the centre is part of a consortium by submitting Form JCQ/CCA *Centre consortium arrangements for centre-assessed work* for each exam series affected
- Ensures procedures for internal standardisation as a consortium are followed

Subject teacher

- Provides marks to the exams officer to the internal deadline
- Provides the moderation sample to the exams officer to the internal deadline
- Retains all candidates' work in the consortium until after the deadline for reviews of results for the exam series concerned or until any appeal, malpractice or other results enquiry has been completed, whichever is later

Exams officer

- Where the centre is the consortium lead:
 - submits an online notification of *Centre consortium arrangements for centre-assessed work* to the relevant awarding body through the Centre Admin Portal (CAP) by no later than the published deadline for each exam series affected
 - submits marks for home centre candidates to the awarding body deadline
 - where relevant, liaises with the other exams officers in the consortium to arrange despatch of a single moderation sample to the awarding body deadline

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 exams officer 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 exams officer to the internal deadline
- Ensures that where a candidate'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
- 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
- Submits any supporting documentation required by the awarding body/Provides the exams officer with any supporting documentation required by the awarding body

Exams officer

- Inputs and submits marks online, via the awarding body secure extranet site, keeping a record of the marks submitted, to the external deadline/Confirms with subject 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
- Through the subject teacher, submits any supporting documentation required by the awarding body

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 for the required retention period
- In liaison with the IT Manager, takes steps to protect any work stored electronically from corruption and has a back-up procedure in place
- If retention is a problem because of the nature of the work, retains some form of evidence such as photos, audio or media recordings

Exams officer

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

External moderation – the process

Subject teacher

- Ensures that awarding body or its moderator receive the correct samples of candidates' work
- Where relevant, liaises with the awarding body/moderator where the moderator visits the centre to mark the sample of work
- Complies with any request from the moderator for remaining work or further evidence of the centre's marking

External moderation – feedback

Subject head/lead

- Checks the final moderated marks when issued to the centre when the results are published
- Checks moderator reports and ensures that any remedial action, if necessary, is undertaken before the next exam series

Exams officer

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

Access arrangements and reasonable adjustments

Subject teacher

- Works with the ALS lead/SENCo to ensure any access arrangements for eligible candidates are applied to assessments

Additional Learning Support (ALS lead)/Special educational needs coordinator (SENCo)

- Follows the regulations and guidance in the JCQ publication [Access Arrangements and Reasonable Adjustments](#) in relation to non-examination assessments including [Reasonable Adjustments for GCE A-level sciences – Endorsement of practical skills](#)
- 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 and loss of work

Subject teacher

- Understands that a candidate may be eligible for special consideration in assessments in certain situations where a candidate is absent and/or produces a reduced quantity of work
- Liaises with the exams officer when special consideration may need to be applied for a candidate taking assessments
- Liaises with the exams officer to report loss of work to the awarding body

Exams officer

- 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
- Refers to/directs relevant staff where applicable to [Form 15 – JCQ/LCW](#) and where applicable submits to the relevant awarding body

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 or centre staff
- Ensures any irregularity identified by the centre before the candidate has signed the authentication statement (where required) are dealt with under its own internal procedures, with no requirement to report the irregularity to the awarding body (The only exception being where the awarding body's confidential assessment materials has been breached, the breach must be reported to the awarding body)
- Is familiar with the JCQ publication [Suspected Malpractice: 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 - Sharing NEA material and candidates' work](#) to mitigate against candidate and centre malpractice
- Ensures candidates understand what constitutes malpractice in non-examination assessments
- 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

Exams officer

- Signposts the JCQ publication [Suspected Malpractice: Policies and Procedures](#) to the head of centre
- Signposts the JCQ [Notice to Centres - Sharing NEA 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

Post-results services

Head of centre

- Is familiar with the JCQ publication [Post-Results Services](#)
- Ensures the centre's *internal appeals procedure* clearly details the procedure to be followed by candidates (or their parents/carers) appealing against a centre decision not to support an application for a review of results or an appeal

Lead Tutor

- Provides relevant support to subject teachers making decisions about reviews of results

Subject teacher

- Provides advice and guidance to candidates on their results and the post-results services available
- Provides the exams officer with the original sample or relevant sample of candidates' work that may be required for a review of moderation to the internal deadline

Exams officer

- Is aware of the individual post-results services available for externally assessed and internally assessed components of non-examination assessments as detailed in the JCQ publication [Post-Results Services](#) (Information and guidance 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

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

Head of centre

- Returns an online 'Head of Centre declaration' at the time of the National Centre Number Register annual update, confirming that all reasonable steps have been or will be taken to ensure that all candidates at the centre have had, or will have, the opportunity to undertake the Spoken Language endorsement

Quality assurance (QA) lead/Lead internal verifier

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

Lead Tutor

- Confirms understanding of the *Spoken Language Endorsement for GCSE English Language specifications designed for use in England* and ensures any relevant JCQ/awarding body instructions are followed

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

Subject teacher

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

Exams officer

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

SPECIAL CONSIDERATION POLICY

2023/24

This policy is reviewed annually to ensure compliance with current regulations

Approved/reviewed by	
RALSS Leadership team	
Date of next review	September 2024

Key staff involved in the policy

Role	Name(s)
Head of centre	Atessa Bradberry
Senior leader(s)	Elizabeth Papworth, Rose Pusch
ALS lead/SENCo	Sophie Hayes
Exams officer	Sophie Hayes

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What is special consideration?

Special consideration is given to a candidate who has temporarily experienced illness, injury or some other event outside of their control **at the time of the assessment**. It is applied when the issue or event 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 go some way to assist a candidate affected by a potentially wide range of difficulties, emotional or physical, which may influence performance in their assessments. It cannot remove the difficulty faced by the candidate. This means that there will be some situations where candidates should not be entered for a qualification or a unitised examination. This is because only minor adjustments can be made to the mark awarded. To make larger adjustments would jeopardize the standard of the qualification. (JCQ's **A guide to the special consideration process**, section 1)

This publication 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 Rutland Adult Learning and Skills Service (RALSS) will... submit any applications for special consideration where candidates meet the published criteria. (JCQ's [General Regulations for Approved Centres](#), section 5.9)

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 exams officer

Exams officer

- Understands the criteria as detailed in [SC](#) to 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

Teaching staff and/or ALS lead/SENCo

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

Candidates

- 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 at the time of the assessment where candidates... have been fully prepared and have covered the whole course but performance in the examination, or in the production of coursework or non-examination assessment, is materially affected by adverse circumstances beyond their control. ([SC](#), section 2)

For candidates who are present for the assessment but disadvantaged, RALSS must be satisfied that there has been a material detrimental effect on candidate examination performance or in the production of coursework or non-examination assessment. ([SC](#), section 3)

1. 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 centre supervision from the required time while appropriate arrangements are put in place for the candidate 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
2. Where candidates may be affected by a major disturbance in the exam room (emergency evacuation, etc.), an application for special consideration will be submitted to the relevant awarding body where candidates have been disadvantaged.
3. Where a candidate may be affected 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 from a timetabled component/unit for acceptable reasons, and RALSS is prepared to support an application for special consideration, special consideration will be 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. For unitised examinations taken in an examination series prior to certification, candidates must be re-entered for any missed units at the next assessment opportunity. Unless there are difficulties arising, e.g. group performances which cannot be repeated, special consideration will not be awarded. (([SC](#), section 4)

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

- other certification
- coursework/non-examination assessment extensions
- shortfall in work (coursework/non-examination assessment)
- lost or damaged work (non-examination assessment components)
- candidates taking an incorrect or defective question paper
- candidates taking the wrong controlled assessment or non-examination 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 that all eligible applications will be supported by appropriate evidence signed by a member of the senior leadership team

Senior leadership team

- Sign appropriate evidence to support all eligible applications

Exams officer

- Understands that special consideration must be applied for at the time of the assessment
- Understands that special consideration cannot be applied in a cumulative fashion and that where a candidate may be affected by different indispositions, special consideration should only be applied for the most serious indisposition
- Ensures applications will be processed as required by the awarding bodies
- Keeps evidence to support all applications on file until after the publication of results and provides the appropriate evidence signed by a member of the senior leadership team to support an application where this may be requested by an awarding body

- Meets the required deadline(s) for submitting applications

Teaching staff and/or ALS lead/SENCo

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

Candidates

- Will be asked to provide any medical or other evidence that may be required to support an application for special consideration
- Will be informed that all cases must be dealt with by the centre

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](#).

In cases of online applications for special consideration, the candidate/candidates will be informed when an application for special consideration is submitted to the awarding body (to ensure compliance with the UK GDPR/Data Protection Act 2018).

Evidence to support all 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 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 affected where a candidate is present but disadvantaged and a separate application for each day on which exams are missed where a candidate is absent from an examination for an acceptable reason, detailed in [SC 6](#) will be followed
- For other qualifications, applications will be submitted online where the awarding body's secure system accepts these
- [Form 10 Application for special consideration](#) will only be completed and submitted to the awarding body where a paper application is specifically required by the awarding body
- For cases involving groups of candidates, applications will be made online where the awarding body's secure system accepts group applications or form 10 will be completed
- [Form 14 Self certification form](#) (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 work submission deadline for an individual candidate is being requested, the awarding body will be contacted directly
- Where an application relates to a shortfall in work for an individual candidate, this will be submitted online or by completing form 10, dependent on the awarding body

Late applications

If, after the publication of results for a particular exam series, a claim is made that special consideration was not applied for at the time of an assessment where a candidate was eligible, the claimant will be informed that late applications will only be accepted by an awarding body in the most exceptional circumstances and where a member of the senior leadership team is able to produce compelling evidence to support a late application.

If a claim is made after the completion of a review of results, the claimant will be informed that an application for special consideration cannot be submitted.