

Policy Reference Number	<b>T04</b>
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### **A Purpose**

A.1 The purpose of this policy is:

A.1.1 to ensure the planning and management of exams is conducted efficiently and in the best interests of candidates;

A.1.2 to ensure the operation of an efficient exam system;

A.1.3 to provide clear guidelines for all relevant staff.

A.2 It is the responsibility of everyone involved in the College's exam processes to read, understand and implement this policy. Further details of the responsibilities are set out in the attached Guidelines for Implementing the Examinations Policy (T041).

A.3 This policy will be reviewed annually by the *Senior Leadership Team (SLT)* and the Examinations Manager.

A.4 If there is any conflict between this policy and the JCQ guidelines, then the JCQ guidelines take precedence.

### **B Exam Seasons**

B.1 External examinations are scheduled in May and June.

B.2 An internal Year 13 mock exam week is scheduled during Term 2 of the academic year.

B.3 Year 12 examinations take place during weeks prior to the external examinations.

### **C Entries and Re-takes**

C.1 Candidates are selected for their exam entries or qualification registration by the Curriculum Leaders and subject teachers. A candidate cannot request a subject entry, change of level, or withdrawal without written approval from his/her Curriculum Leader or Assistant Principal.

C.2 The College does not accept entries from external candidates.

C.3 The College does not act as an exam centre for other organisations.

C.4 Approval for ex-students to re-sit subjects will be granted by the Exams Manager, following consultation with the relevant Curriculum Leader and Assistant Principal. The criteria for accepting ex-students is set out in the attached Guidelines for Implementing the Examinations Policy (T041).

C.5 Approval for students wishing to sit the AS exams of a reformed A level will be granted after consultation with, and agreement by the students Assistant Principal. Some students may sit a reformed AS level as part of a Year 13 mixed study programme.

C.6 Late entries/registrations can only be authorised by the Principal and Vice-Principals.

C.7 Re-take decisions should be made in consultation with the candidate and appropriate members of staff.

## **D Exam Fees**

D.1 Normal entry/registration fees are paid by the College.

D.2 Reimbursement of fees can be sought from candidates who fail to sit an exam or fail to meet the necessary coursework requirements without medical evidence or evidence of other mitigating circumstances.

D.3 Late entry or amendment fees are paid by whoever is responsible for the need to make the change.

D.4 All resit fees are paid by the candidates.

## **E The Equality Legislation, Special Needs & Access Arrangements**

E.1 The College will comply with the legislation, including making reasonable adjustments to the service that they provide candidates, in accordance with requirements defined by the legislation, awarding bodies and JCQ. This is the responsibility of the Assistant Principal with responsibility for examinations.

## **F Estimated Grades**

F.1 Estimated grade forms are to be completed and returned by Curriculum Leaders to the Exams Office by the specified deadlines.

## **G Candidates' Behaviour during Exams including Clash Candidates**

G.1 JCQ rules on candidates' use of mobile phones, smart watches and other electronic devices apply at all times.

G.2 Normal College rules on dress and behaviour apply.

G.3 Candidates' personal belongings remain their own responsibility and the College accepts no liability for their loss or damage.

G.4 Disruptive candidates and candidates suspected of malpractice will be dealt with in accordance with JCQ guidelines.

G.5 For external exams longer than one hour, candidates will not be allowed to leave the exam room until at least one hour after the published starting time or in the last 20 minutes.

G.6 Candidates who leave the exam room will not be allowed to return unless they have been accompanied at all times by an appropriate member of staff.

G.7 The Exams Manager will attempt, if practicable, to contact any candidate who is not present at the start of an exam and deal with them in accordance with JCQ guidelines.

G.8 The arrangement for the supervision of clash candidates, identifying a secure venue and arranging overnight supervision, is the responsibility of the Exams Manager.

## **H Special Consideration**

H.1 Should a candidate be too ill to sit an exam, suffer bereavement or other trauma, or be taken ill during the exam itself, it is the candidate's responsibility to alert the College or the exam invigilator to that effect.

H.2 The candidate must support any special consideration claim with appropriate evidence within seven days of the exam, for example, a letter from the candidate's doctor.

H.3 The Exams Manager will forward a completed special consideration form to the relevant awarding body within 14 days of the examination.

## **J Results**

J.1 All individual candidate results received during the course will be distributed via the candidate's Tyber record.

J.2 Where such distribution is not possible, candidates can collect their results from the Exams Office as appropriate.

J.3 The provision of the necessary staff being available on results day is the responsibility of the Principal.

## **K Enquiries after Results (EARs)**

K.1 EARs for general qualifications may be requested by College staff or candidates if there are reasonable grounds for believing there has been an error in marking. A request for a review or clerical check requires the written consent of the candidate.

K.2 Candidates who have an exam board enquiry should apply and pay the appropriate fee through the Exams office or on ParentPay.

K.3 All decisions on whether to make a College application for an EAR will be made by Curriculum Leaders after consultation with their Assistant Principal or Vice-Principal as appropriate.

K.4 Processing of EARs is the responsibility of the Exams Manager, following JCQ guidelines.

## **L Access to Scripts (applicable to general qualifications only)**

- L.1 After the release of results of general qualifications, candidates may request the return of papers within the deadline published by JCQ and the awarding bodies.
- L.2 All applications and fees should be made through the Exams Office or on ParentPay.
- L.3 College staff may also request scripts for investigation or for teaching purposes. For the latter, the consent of candidates must be obtained.
- L.4 Processing of ATS is the responsibility of the Exams Manager.

## **M Certificates**

- M.1 Certificates are collected and signed for by candidates from the Exams Office.
- M.2 Certificates may be collected by a third party on behalf of a candidate provided he/she has been authorised to do so and providing written or email consent is received by the college and a record of such is retained.
- M.3 The College retains certificates for five years.

## **N Coursework and Appeals against Internal Assessments**

See full Coursework Policy attached (T042).

- N.1 Candidates who have to prepare coursework should do so by the required date set by the College.
- N.2 It is the duty of Curriculum Leaders to ensure that all internal assessment is ready for dispatch at the correct time. The Exams Manager will assist by keeping a record of each dispatch, including the recipient details and the date and time sent.
- N.3 Curriculum Leaders provide the Exams Office with marks for all internally assessed work by the deadlines and in the appropriate format. See full Coursework Policy attached (T042).
- N.4 BTEC unit marks are recorded on Tyber by each BTEC programme's Lead Verifier by the agreed date. These marks will then be recorded on BTEC's secure online service by Exams Office staff.
- N.5 The College is obliged to publish separate guidelines on appeals against internal assessments – see attached T043. This is available on the exams page of Moodle.
- N.6 The Exams Manager will inform staff of the date by which appeals against internal assessments must be made.
- N.7 There is no requirement to keep students coursework for a set time but it is recommended by:
  - i. Pearson – that BTEC coursework be kept for 6 months after issue of certificates
  - ii. General qualifications – coursework should be retained securely until after the deadline for post result services.

## **A Key Responsibilities of Staff**

### **A.1 Principal:**

- overall responsibility for the College as an exams centre and adviser on appeals and re-marks;
- for reporting all suspected or actual incidents of malpractice – refer to the JCQ document *Suspected malpractice in examinations and assessments*.

### **A.2 Vice-Principal with responsibility for Quality**

- for applying the internal coursework appeals procedure.

### **A.3 Assistant Principal with responsibility for Examinations**

- for contingency planning in consultation with the Senior Leadership Team (SLT) and Exams Manager;
- reviewing and updating College policies relating to exams in consultation with the Exams Manager;
- ensuring that the College complies with the legislation including making reasonable adjustments to the service that is provided to candidates in accordance with requirements defined by the legislation, awarding bodies and JCQ.

### **A.4 Exams Manager**

- management of the administration of external and internal mock exams;
- advising SLT, Curriculum Leaders, subject staff and relevant support staff on annual exam timetables and application procedures as set by the various awarding bodies;
- liaison with the Vice-Principal's PA on production of the annual College Calendar showing exams in which candidates will be involved and communicate regularly with staff concerning imminent deadlines and events;
- ensuring that candidates are informed of and understand those aspects of the exam timetable that will affect them;
- providing and confirming detailed data on estimated entries;
- receiving, checking and storing securely all exam papers and completed scripts, and ensuring that scripts are dispatched as per guidelines;
- administration of access arrangements and making applications for special consideration using the JCQ's Access arrangements and special considerations regulations, and guidelines relating to candidates who are eligible for adjustments in examinations;
- identification and management of exam timetable clashes;
- accounting for income and expenditure relating to all exam costs/charges;
- line management of exam assistants including the recruitment, training and monitoring of a team of exam invigilators responsible for the conduct of exams;
- consultation with teaching staff to ensure that necessary coursework is completed on time and in accordance with JCQ guidelines;

- submission of candidates' coursework marks to the awarding bodies after receipt from Curriculum Leaders, receipt of coursework samples from Curriculum Leaders and despatching to awarding bodies, storage and eventual distribution of returned coursework to Curriculum Leaders;
- arrangement for dissemination of exam results and certificates to candidates;
- processing any post-results service requests made by candidates in consultation with SLT, and processing any post-results service requests made on behalf of the College by Curriculum Leaders;
- maintenance of systems and processes to support the timely entry of candidates for their exams.

#### A.5 MIS Manager

- analysis of exam results – preparation and presentation of reports to SLT and College staff showing results achieved in relation to expected grades and comparable data for previous years, indicating where future procedural improvements might be made.

#### A.6 Vice-Principals

- organisation of teaching and learning.

#### A.7 Assistant Principals and Curriculum Leaders

- checking and signing off CLX specification check forms before passing to the Exams Manager for final checking;
- guidance and pastoral oversight of candidates who are unsure about exam entries or amendments to entries;
- involvement in post-results procedures;
- accurate completion/input of coursework/portfolio marks and centre declaration sheets;
- accurate completion of entry sheets and adherence to deadlines;
- accurate completion of registration and approval documents and adherence to deadlines;
- additions or removals from candidate lists;
- changes of course/entry/levels.

#### A.8 Curriculum Leaders

- guidance and pastoral oversight of candidates who are unsure about exam entries or amendments to entries;
- decisions on post-results procedures;
- accurate completion/input of coursework/portfolio marks and centre declaration sheets;
- accurate completion of registration and approval documents and adherence to deadlines;
- additions or removals from candidate lists.

#### A.9 Finance Office Staff

- receiving payment for re-sits and post-results services on ParentPay;
- forwarding of information to Exams Office of student requests paid for on ParentPay before the deadline for applications;
- management of ParentPay system.

#### A.10 Curriculum Leader for Additional Learning Support

- identification and testing of candidates' requirements for access arrangements and notifying the Exams Office staff in good time so that they are able to process any necessary applications in order to gain approval (if required);
- administration and monitoring of candidates requiring access arrangements;
- provision of additional support – with spelling, reading, mathematics, SPLD, disabilities, medical conditions, hearing impairment, English for speakers of other languages, IT equipment – to enable candidates to achieve their course aims;
- working with the Exams Office to provide the access arrangements required by candidates in exams rooms.
- provide evidence of additional access arrangements for ex-students returning to sit exams if appropriate, in date and within the JCQ guidelines for access arrangements and reasonable adjustments.

#### A.11 IT Support Team

- providing set up and technical support for those exams requiring use of IT, eg Word processors, MFL listening exams, music practicals, Criminology etc.

#### A.12 Careers Coordinator

- guidance and careers information.

#### A.13 Central Admin Office

- management of attendance data;
- receiving re-sit fees and forms from candidates if appropriate.

#### A.14 Invigilators

- collection of exam papers and other materials from the exams office before the start of the exam;
- collection of all exam scripts in the correct order and any other exam material at the end of the exam and their return to the exams office;
- running of exams in accordance with JCQ regulations.

#### A.15 Candidates

- confirmation and signing of entries;
- application for re-sits done correctly and by deadlines;
- understanding coursework regulations and signing a declaration that authenticates the coursework as their own;
- behaving in an appropriate manner and in accordance with exam regulations when taking external exams.

### **B Qualifications offered**

B.1 The qualifications offered at the College are decided by the Principal, Vice-Principals, Assistant Principals and Curriculum Leaders.

B.2 The subjects offered for the qualifications in any academic year may be found in the College's published prospectus for that year.

B.3 If there has been a change of specification or introduction of a new subject from the previous year, the exams office must be informed by 1st July.

B.4 Where there are academic or pastoral concerns, decisions on whether a candidate should be entered for a particular subject will be taken by the student's subject teacher in consultation with the relevant Curriculum Leader and/or Assistant Principal.

B.5 University admissions tests are offered and take place in November each year.

## **C Exam Timetables**

C.1 The exams office will schedule each year and circulate a timetable of all external exams with dates and room details and allocate invigilators.

C.2 Internal mock exams and assessments are scheduled each year as appropriate and are held under external exam conditions.

C.3 Once confirmed, the Exams Manager will circulate the exam timetables for internal mock and external exams electronically by a specified date before each series begins.

## **D Entries and Re-sits**

D.1 Approval for ex-students to re-sit subjects will be granted by the Exams Manager following consultation with the relevant Curriculum Leader and Assistant Principal. This will only be considered if the student requires the qualification in order to take up a place in higher education/employment, if there were extenuating circumstances that prevented the student from sitting the exam(s) in the previous year, and if there are no commitment/attendance issues recorded against the student's record on Tyber.

D.2 Candidates are selected for their exam entries or qualification registration by Curriculum Leaders and subject teachers.

D.3 A candidate cannot request a subject entry, change of level or withdrawal without written approval from the Curriculum Leader, Assistant Principal or Vice-Principal.

D.4 Individual candidate timetables will be listed on Tyber.

D.5 Individual candidate statements of entry will be issued on Tyber for students to check before the entry deadlines.

D.6 The exams office will accept withdrawals (using the appropriate withdrawal forms), amendments and changes of tier up to the date set by the awarding body.

D.7 Late entries/registrations are authorised by the Principal, Vice-Principals, Assistant Principals and Exams Manager.

D.8 Entries and amendments made after the awarding body's deadline, ie late, require the authorisation in writing from the Curriculum Leader.

D.9 All re-sit fees including those levied because of any amendments are the responsibility of the student.

D.10 Deadlines for late entries are circulated via email.



D.11 Re-sit decisions are made in consultation with candidates, subject teachers and academic coaches and Assistant Principals.

D.12 Application and payment for re-sits is the responsibility of the candidate.

D.13 If an ex-student is given permission to resit exams at college it is their responsibility to provide evidence of any additional access arrangements they may require. The college will work within JCQ regulations and guidance for Access Arrangements and Reasonable Adjustments in order to meet this request but it will be the awarding body's decision as to whether to accept the application based on the evidence supplied.

## **E Exam Fees**

E.1 Normal entry or registration fees are paid by the College.

E.2 Reimbursement of fees can be sought from candidates who fail to sit an exam or fail to meet the necessary coursework requirements without medical evidence or evidence of other mitigating circumstances.

E.3 Late entry or amendment fees are paid by whoever is responsible for the need to make the change.

E.4 Re-sit fees are paid by the candidate.

## **F Estimated Grades**

F.1 Estimated grade forms are to be completed and returned by Curriculum Leaders to the exams office by the deadlines.

## **G Access Arrangements**

G.1 Candidates who may require access arrangements are identified during the admissions/enrolment process. The Curriculum Leader for Additional Learning Support will enter information for such candidates onto Tyber and the exams office will be informed, wherever possible, of evidence of need so that application can be made to the awarding bodies.

G.2 Subject teachers may refer students to Additional Learning Support after the start of the course if they feel there is a need. This will enable tests etc to be carried out and any decisions made regarding access arrangements in exams will be forwarded to the exams office.

G.3 The Curriculum Leader for Additional Learning Support will inform subject teachers of candidates with special educational needs and any special arrangements that individual candidates will need during the course and in any assessments/exams.

G.4 It is the responsibility of the Curriculum Leader for Additional Learning Support to ensure there is appropriate evidence for a candidate's access arrangements.

G.5 Submission of completed access arrangement applications to the awarding body is the responsibility of the exams assistant with reference to the Exams Manager if required.

G.6 Rooming for candidates with access arrangements will be arranged by the exams assistant in consultation with the Curriculum Leader for Additional Learning Support and Exams Manager.

G.7 Invigilation and support for candidates with access arrangements, as defined in the JCQ access arrangements regulations, will be organised by the exams assistant, in consultation with the Curriculum Leader for Additional Learning Support and Exams Manager if necessary.

## **H Contingency Planning**

H.1 Contingency planning for exams administration is the responsibility of the Assistant Principal in consultation with SLT and the Exams Manager.

H.2 Contingency plans will be communicated via email, noticeboard, briefing meetings, internal post/pigeon-hole, the College website and will be in line with the guidance provided by Ofqual, JCQ and awarding bodies.

## **J Managing Invigilators**

J.1 External invigilators will normally be used for all exams.

J.2 The recruitment of invigilators is the responsibility of the exams office. Invigilators' rates of pay are set by the Vice-Principal with responsibility for HR.

J.3 Securing the necessary Disclosure & Barring Service (DBS) clearance for invigilators is the responsibility of the HR team. DBS fees for security such clearance are paid by the College.

J.4 Invigilators are timetabled and briefed by the exams office.

## **K Exam Days**

K.1 The Exams Manager will book all exam rooms after liaison with Vice-Principals, Estates Manager, MIS Manager. The Estates Manager is responsible for ensuring the setting up of allocated rooms in accordance with instructions issued by the Exams Manager.

K.2 The Exams Manager will make available to invigilators the question papers, other exam stationery and materials.

K.3 Invigilators should report to the exams office half an hour before the scheduled start time for each exam where they will be given instructions, question papers, stationery and any other equipment required.

K.4 Subject staff may only be present at the start of an exam at the request of the Exams Manager to assist with identification of candidates or to deal with queries but must not advise on which questions are to be attempted. In practical exams, subject staff must be on hand in case of any technical difficulties.

K.5 In exams involving the use of IT equipment, the Exams Manager will inform the IT Support team of the times and dates, and the IT Support team will arrange for equipment to be checked and for IT Support to be available at the time of the exams.

K.6 Exam papers must not be read by subject staff or removed from the exam room before the end of a session. Papers will be distributed to Curriculum Leaders when all scripts have been accounted for and despatched to examiners.

## **L Candidates and Clash Candidates**

L.1 The Exams Manager will make available electronic copies of the JCQ notices *Information to candidates* concerning written exams, coursework and social media. A document showing the College exam arrangements will also be available electronically. A reminder of when and where to find information will be advertised on various College social media areas and through academic coaches and teaching staff.

L.2 JCQ rules on candidates' use of mobile phones, smart watches and other electronic devices apply at all times.

L.3 Normal College rules on dress and behaviour apply.

L.4 Candidates' personal belongings remain their own responsibility and the College accepts no liability for their loss or damage.

L.5 Disruptive candidates and candidates suspected of malpractice will be dealt with in accordance with JCQ guidelines.

L.6 For external exams longer than one hour, candidates will not be allowed to leave the exam room until at least one hour after the published starting time or in the last 20 minutes.

L.7 Candidates who leave the exam room will not be allowed to return unless they have been accompanied by an appropriate member of staff at all times.

L.8 The Exams Manager will attempt, if practicable, to contact any candidate who is not present at the start of an exam and deal with them in accordance with JCQ guidelines.

## **A Introduction**

A.1 The College is committed to ensuring that internal assessments are marked and administered fairly, consistently and in accordance with the awarding body specifications and subject-specific associated documents. This is ensured by:

A.1.1 subject staff having the necessary and appropriate knowledge, understanding, skills and training in this activity;

A.1.2 subject staff authenticating candidates' work according to the requirements of the relevant awarding body;

A.1.3 a process of internal moderation and standardisation led by nominated staff.

A.2 An appeal against internal assessment decisions can be made based on the above not being fulfilled.

A.3 An appeal may only be made against the marking/assessment process, not against the mark submitted by the College for moderation by the awarding body.

A.4 Appeals must follow the procedure as detailed below.

A.5 After candidates' work has been internally assessed, it is moderated by the awarding body to ensure consistency in marking between centres. The moderation may lead to mark changes. This process is outside the control of the College and is not covered by this procedure.

## **B Appeals Procedure**

B.1 An appeal should be made as early as possible and at least two weeks before the end of the last externally assessed paper in the examination series, eg the last GCE written paper in the summer exam series.

B.2 An appeal should be made using the internal appeals form completed by the candidate (or parent/carer).

B.3 The Principal will appoint a member of the College Senior Leadership Team, who has no involvement in the assessment process for that subject, to conduct the investigation.

B.4 The purpose of the appeal will be to decide whether the process used for the internal assessment conformed to the published requirements as detailed in the awarding body specification and/or subject-specific associated documents.

B.5 The outcome of the appeal will be made known to the Principal and will be logged as a complaint. A written record will be kept and made available to the awarding body upon request. Should the appeal bring any significant irregularity in procedures to light, the awarding body will be informed.

## **C Appeal procedure against centre decision not to support an enquiry about results**

C.1 Following the issue of results, the general qualification awarding bodies offer post-results services. Full details of these services, internal deadlines for requesting a service, and fees charged, will be provided by the Exams Manager.

C.2 The Enquiries about Results service (EARs) may be requested by College staff or by candidates (or their parents/carers) if there are reasonable grounds for believing there has been an error in marking. If a query is raised about a particular examination result the Exams Manager, teaching staff and Principal will investigate the feasibility of requesting an enquiry at the College's expense.

C.3 When the College does not uphold a request from a candidate, the candidate may pay the appropriate fee and a request will be made to the awarding body on the candidate's behalf.

C.4 If the candidate (or parent/carer) believes there are grounds to appeal against the College's decision not to support an enquiry, an appeal can be submitted to the College using the internal appeals form at least one week prior to the internal deadline for submitting an EAR.

## **D Appeal procedure following the outcome of an enquiry about results**

D.1 Where the Principal remains dissatisfied after receiving the outcome of an EAR, an appeal will be made to the awarding body following the guidance in the JCQ publication *Post-results services* <http://www.jcq.org.uk/exams-office/post-results-services> and *A guide to the awarding bodies' appeals processes* <http://www.jcq.org.uk/exams-office/appeals>.

D.2 Where the Principal is satisfied after receiving the outcome of an EAR but the internal candidate and the parent/carer are not satisfied, they may make a further representation to the Principal. Following this, the Principal's decision as to whether to proceed with an appeal will be based upon the College's internal appeals arrangements. Candidates and parents/carers are not permitted to make direct representations to an awarding body.

D.3 The internal appeals form should be completed and submitted to the College within ten calendar days of the notification of the outcome of the enquiry. Subject to the Principal's decision, this will allow the College to process the appeal and submit to the awarding body within the required 14 calendar days. Awarding body fees which may be charged for the appeal must be paid by the appellant on submission of the internal appeals form. 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 College.

## TO43 Internal Appeals Form

This form should be completed in all cases to lodge an appeal.

Please tick to indicate what the appeal is against:

- an internal assessment decision**
- the centre decision not to support an enquiry about results**
- the outcome of an enquiry about results**

<b>Name of appellant</b>		<b>Candidate name</b> <i>if different to appellant</i>	
Awarding body		Unit/module/exam paper code	
Subject		Unit/module/exam paper title	

Please state the grounds for your appeal below:

*Continue overleaf if necessary*

### **Appeal against an internal assessment decision**

#### **Appellant declaration**

By signing here, I am confirming I understand the purpose of the appeal will be to decide whether the process used for the internal assessment conformed to the published requirements of the awarding body's specification and subject-specific associated documents. I also understand the appeal may only be made against the marking/assessment process not against the mark submitted by the centre for moderation by the awarding body.

**Signature:**

**Date of signature:**

### **Appeal against the centre decision not to support an enquiry about results**

#### **Appellant declaration**

By signing here, I am confirming I feel there are grounds to appeal against the centre's decision.

**Signature:**

**Date of signature:**

### **Appeal against the outcome of an enquiry about results**

#### **Appellant declaration**

By signing here, I am confirming I understand that the grounds for my appeal must relate to the awarding body's procedures or the application of the post-result service procedures. I also understand that appeals do not generally involve further reviews of marking candidates' work. I also confirm that I will pay in advance any fees which may be charged by the awarding body for the appeal. I understand this fee will be refunded if the appeal is upheld.

**Signature:**

**Date of signature:**

**The appellant declaration against the relevant appeal must be signed, dated and returned to the member of SLT on behalf of the head of centre, to the timescale indicated in the internal appeals procedure.**

The internal appeals procedures for Solihull Sixth Form College have been produced to demonstrate compliance with the following:

**JCQ General Regulations for approved centres** <http://www.jcq.org.uk/exams-office/general-regulations>

## **Controlled Assessments, Coursework and Portfolios of Evidence**

### **5.8 The centre agrees to**

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 made widely available and accessible to all candidates; (A centre may place its internal appeals procedure on the school/college website or alternatively, the document may be made available to candidates upon request.)

## **Post-Results Services and Appeals**

### **5.14 The centre agrees to**

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 enquiry about results or an appeal; (A centre may place its internal appeals procedure on the school/college website or alternatively the document may be made available to candidates upon request.)

**JCQ Post-results services** <http://www.jcq.org.uk/exams-office/post-results-services>

## **6.4 Submission of requests**

Centres **must** have in place a published formal appeals procedure for use in cases where centres and candidates, or their parents/carers, cannot agree as to whether an enquiry about results should be submitted. The formal appeals procedure **must** be made widely available. Centres **must** therefore draw the appeals procedure to the attention of candidates and their parents/carers. In deciding whether to support an enquiry about results, centres should take account of all relevant factors and afford candidates or their parents/carers a reasonable opportunity to express their views. **Awarding bodies can only enter into discussions over enquiries about results with centres and private candidates.**

### **1. Appeals**

Centres **must** have in place a published formal appeals procedure for use in cases where centres and candidates, or their parents/carers, cannot agree as to whether an appeal should be submitted to the relevant awarding body. The formal appeals procedure **must** be made widely available. Centres **must** therefore draw the appeals procedure to the attention of candidates and their parents/carers. In deciding whether to support an appeal, centres should take account of all relevant factors and afford candidates or their parents/carers a reasonable opportunity to express their views. **Awarding bodies can only enter into discussions over appeals with centres and private candidates.**

**JCQ A guide to the awarding bodies' appeals processes** <http://www.jcq.org.uk/exams-office/appeals>

Please note that internal candidates and/or their parents/carers are not entitled to appeal directly to the awarding body. Representations must be made to the head of centre where the candidate was entered or registered. The head of centre's decision as to whether to proceed with an appeal is subject to the centre's internal appeals arrangements.

The awarding organisation require centres offering its examinations to ensure that they have in place:

- I. A formal, codified procedure for handling disputes when a candidate or carer disagrees with a decision by the centre not to support an enquiry.
- II. Centres are required to ensure that the procedures are published and made widely available and accessible to all candidates and their carers.

In deciding whether to support an enquiry or appeal, centres should take account of all relevant factors and afford candidates or their carers a reasonable opportunity to express their views.

**Appellants should consult the full information in the above publications to be fully informed when stating their grounds for appeal.**

Further information can be obtained from:

<http://www.jcq.org.uk/exams-office/coursework>

<https://www.gov.uk/appeal-exam-result>

<https://www.jcq.org.uk/exams-office/appeals>



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### **A Purpose**

A.1 The purpose of this policy is:

- cover procedures for planning and managing non-examination assessments
- define staff roles and responsibilities with respect to non-examination assessments (NEA)
- manage risks associated with non-examination assessments

A.2 It is the responsibility of everyone involved in the College's exam processes to read, understand and implement this policy.

A.3 This policy will be reviewed annually by the College Senior Leadership Team and the Exams Manager.

A.4 If there is any conflict between this policy and the JCQ guidelines, then the JCQ guidelines take precedence.

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

B.1 Non-examination assessments measure subject-specific knowledge and skills that cannot be tested by timed written papers.

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

The stages are:

- task setting
- task taking
- task marking

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

#### **C.1 Staff roles and responsibilities**

##### **Head of centre**

- Ensures that the centre's non-examination assessment policy is fit for purpose

- Ensures the centre's internal appeals procedures clearly detail the procedure to be followed by candidates (or their parents/carers) appealing against internally assessed marks

### **Vice and Assistant Principals**

- Ensure the correct conduct of non-examination assessments which comply with NEA and awarding body subject-specific instructions
- Ensure the centre-wide calendar records assessment schedules by the start of the academic year

### **Quality assurance (QA) lead/Lead internal verifier**

- Confirms with curriculum leaders that appropriate awarding body forms and templates for non-examination assessments 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.

### **Curriculum/Assistant Curriculum Leader**

- 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
- Works with the QA lead/Lead internal verifier to ensure appropriate procedures are followed to internally standardise/verify the marks awarded by subject teachers
- Ensures the exams manager is provided with relevant entry codes for subjects (whether the entry for the internally assessed component forms part of the overall entry code or is made as a separate unit entry code) to the internal deadline for entries

### **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

### **Exams manager**

- Carries out tasks where these may be applicable to the role in supporting the administration/management of non-examination assessment

## **C.2 Task setting**

### **Subject teacher**

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

## **C.3 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

## **C.4 Task taking**

### **Supervision**

### **Subject teacher**

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

## **C.5 Advice and feedback**

### **Subject teacher**

- As relevant to the subject/component, advises candidates on relevant aspects before candidates begin working on a task
- When reviewing candidates' work, unless prohibited by the specification, provides oral and written advice at a general level to candidates
- Unless prohibited by the specification, 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 when planning and researching their tasks
- Ensures conditions for any formally supervised sessions are known and put in place
- Ensures conditions for any formally supervised sessions are understood and followed by candidates
- Ensures candidates understand that they are not allowed to introduce improved notes or new resources between formally supervised sessions
- Ensures that where appropriate to include references, candidates keep a detailed record of their own research, planning, resources etc.

## **Word and time limits**

### **Subject teacher**

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

## **Collaboration and group work**

### **Subject teacher**

- Unless stated otherwise in the awarding body's specification, and where appropriate, allows candidates to collaborate when carrying out research and preparatory work
- Ensures that it is possible to attribute assessable outcomes to individual candidates
- Ensures that where an assignment requires written work to be produced, each candidate writes up their own account of the assignment
- Assesses the work of each candidate individually

## **Authentication procedures**

### **Subject teacher**

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

## **Presentation of work**

### **Subject teacher**

- Instructs candidates to present work as detailed in NEA unless the awarding body's specification gives different subject-specific instructions
- Instructs candidates to add their candidate number, centre number and the component code of the assessment as a header/footer on each page of their work

## **Keeping materials secure**

### **Subject teacher**

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

### **IT Manager**

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

C.6 Re-take decisions should be made in consultation with the candidate and appropriate members of staff.

## **D Task marking – externally assessed components**

### **Conduct of externally assessed work**

#### **Subject teacher**

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

#### **Exams manager**

- Arranges timetabling, rooming and invigilation where this is applicable to any externally assessed non-examination component of a specification

- Conducts the externally assessed component within the window specified by the awarding body
- Conducts the externally assessed component according to the JCQ publication Instructions for conducting examinations

### **Submission of work**

#### **Subject teacher**

- Provides the attendance register to a Visiting Examiner

#### **Exams manager**

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

### **Task marking – internally assessed components**

#### **Marking and annotation**

##### **Subject teacher**

- 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
- In the case of BTEC/CACHE courses, informs candidates of their grade/mark which could be subject to change by the awarding body moderation process
- Ensures candidates are informed in a timely manner to enable an internal appeal 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

##### **Subject teacher**

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

## **Submission of marks and work for moderation**

### **Curriculum/Assistant Curriculum Leader**

- Inputs 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 manager to the internal deadline
- Where responsible for marks input, ensures checks are made that marks for any additional candidates are submitted and ensures mark input is checked before submission to avoid transcription errors
- Submits the requested samples of candidates' work to the exams manager for dispatch by the external deadline, keeping a record of the work submitted. Provides the moderation sample to the exams manager to the internal deadline
- Ensures the moderator is provided with authentication of candidates' work, confirmation that internal standardisation has been undertaken and any other subject-specific information where this may be required

### **Exams manager**

- Submits marks online via the awarding body secure extranet site, keeping a record of the marks submitted to the external deadline. Confirms with curriculum /assistant curriculum leader/subject teachers that marks have been submitted to the awarding body deadline
- Submits the requested samples of candidates' work to the moderator by the awarding body deadline, keeping a record of the work submitted. Confirms with curriculum /assistant curriculum leader/subject teachers 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 curriculum /assistant curriculum leader/subject teachers, ensures the moderator is provided with authentication of candidates' work, confirmation that internal standardisation has been undertaken and any other subject-specific information where this may be required

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

### **Curriculum/Assistant Curriculum Leader**

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

### **Exams manager**

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

### **External moderation – feedback**

#### **Curriculum/Assistant Curriculum Leader**

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

#### **Exams manager**

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

### **Access arrangements**

#### **Subject teacher**

- Works with the Curriculum Leader for Additional Learning Support to ensure any access arrangements for eligible candidates are applied to assessments

#### **Curriculum Leader for Additional Learning Support**

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

### **Special consideration**

#### **Subject teacher**

- Understands that a candidate may be eligible for special consideration in assessments in certain situations where a candidate
  - is absent
  - produces a reduced quantity of work
  - work has been lost



- Liaises with the exams manager when special consideration may need to be applied for a candidate taking assessments

### **Exams manager**

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

### **Malpractice**

#### **Principal**

- Understands the responsibility to report to the relevant awarding body any suspected cases of malpractice involving candidates, teachers, invigilators or other administrative staff
- Is familiar with the JCQ publication *Suspected Malpractice: Policies and Procedures*

#### **Subject teacher**

- Is aware of the JCQ *Notice to Centres - Teachers sharing assessment material and candidates' work*
- Ensures candidates understand the JCQ document *Information for candidates - non-examination assessments*
- Ensures candidates understand the JCQ document *Information for candidates - Social Media*

#### **Exams manager**

- Brings the JCQ publication *Suspected Malpractice: Policies and Procedures* to the attention of head of centre.
- Brings the JCQ *Notice to Centres - Teachers sharing assessment material and candidates' work* to the attention of curriculum leaders.
- Makes available to candidates the relevant JCQ information for candidates documents
- Where required, supports the head of centre in investigating and reporting incidents of suspected malpractice

### **Enquiries about results**

#### **Principal**

- Ensures the centre's *internal appeals procedures* clearly detail the procedure to be followed by candidates (or their parents/carers) appealing against a centre decision not to support an enquiry about results request or not supporting an appeal following the outcome of an enquiry about results

### **Curriculum Leader**

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

### **Subject teacher**

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

### **Exams manager**

- Is aware of the individual post-results services available for externally assessed and internally assessed components of non-examination assessments as detailed in the JCQ publication *Post Results Services, Information and guidance for centres*
- Provides relevant centre staff and candidates to post-results services information
- Ensures any requests for post-results services that are available to non-examination assessments are submitted online via the awarding body secure extranet site to deadline
- Collects candidate consent where required

## **Practical Skills Endorsement for the A Level Sciences designed for use in England**

### **Principal**

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

### **Curriculum Leader**

- Confirms understanding of the *Practical Skills Endorsement for the A Level Sciences designed for use in England*
- Ensures a response is provided to JCQ indicating which awarding body the centre intends to use for its entries in A level Biology, Chemistry and Physics
- Undertakes training provided by the awarding body on the implementation of the practical endorsement
- Disseminates information to subject teachers ensuring the standards can be applied appropriately
- Liaises with all relevant parties in relation to arrangements for and conduct of the monitoring visit

## **Subject teacher**

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

## **Exams manager**

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

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

### **Principal**

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

### **Quality assurance (QA) lead/Lead internal verifier**

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

### **Curriculum Leader**

- Confirms understanding of the *Spoken Language Endorsement for GCSE English Language specifications designed for use in England*
- Ensures the required task setting and task taking instructions are followed by subject teachers
- Ensures subject teachers assess candidates, either live or from recordings, using the common assessment criteria
- Ensures for monitoring purposes, audio-visual recordings of the presentations of a sample of candidates are provided

### **Subject teacher**

- Ensures all the requirements in relation to the endorsement are known and understood
- Follows the required task setting and task taking instructions
- Assesses candidates, either live or from recordings, using the common assessment criteria
- Provides audio-visual recordings of the presentations of a sample of candidates for monitoring purposes

- Follows the awarding body's instructions for the submission of grades (*Pass, Merit, Distinction* or *Not Classified*) and the storage and submission of recordings

### **Exams manager**

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

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### **The Sixth Form College, Solihull – Formal Internal Marking Review Policy**

This Policy applies to A, AS, EPQ and GCSE subjects. It does not apply to BTEC or other Applied General subjects.

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

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

### **Administration of Non-Examined Assessment Units Protocol**

1. All Non-Examined Unit (NEA) schemes of work will be conducted within the JCQ and exam board regulations. This is the responsibility of the Curriculum Leader for each subject, overseen by the relevant Assistant Principal.
2. The Curriculum Leader will also promote good practice in the teaching, assessment and administration of the NEA unit. This will include many of the following, where appropriate:
  - a. Ensuring that students have easy access to all relevant materials. (see 4)
  - b. Internal Moderation/Standardisation process
  - c. Regular attendance at exam board INSET where offered
  - d. Departmental sessions to share good practice and training
  - e. INSET materials shared within the department and discussed
  - f. External Moderator's report shared and discussed
  - g. Random allocation of marking, whereby subject teachers do not necessarily mark their own students' work
  - h. Sampling by Curriculum Leader following the marking process

3. Teaching staff must ensure that candidates have been clearly informed of their final centre-assessed mark.
  - a. Students must be made aware of marks in sufficient time that they may request a review of the centre's marking before marks are submitted to the awarding body. Since sample material as requested by the External Moderator is generally requested once marks have been formally submitted to the exam board and both of these must be completed by the 15<sup>th</sup> May at the latest, the deadline for informing students of their NEA unit marks for 2019/20 is **Friday 1<sup>st</sup> May**.
    - i. Departments can, of course, inform students of their marks earlier than this deadline. Indeed, subjects with early entry such as accelerated EPQ will, by definition, need to complete this process much earlier. (see 9)
  - b. Departments will need to make a decision regarding how to ensure that they have "clearly" informed the candidates of their final mark. This could be done by the Curriculum Leader or Assistant Curriculum Leader, via email or verbally, but needs to be done clearly and unambiguously.
  - c. Students should be informed of the raw mark only which is deliberately not linked to a potential grade.
  - d. If a student enquires regarding the likely grade that the raw mark equates to, the subject teacher is permitted to tell the student what grade the mark would have achieved in a recent series. However, students must be warned strongly that the grade boundaries are set annually by the exam boards and are subject to significant fluctuations from year to year. In addition, External Moderation by the exam boards mean that the marks awarded by College could be altered.
  - e. In the first instance, subject teachers are not required to explain in detail how a mark was awarded.
    - i. However, it is reasonable that a student who wishes to enquire informally about how a mark was awarded should be given a more detailed verbal explanation by either their subject teacher, Curriculum Leader or Assistant Curriculum Leader.
  - f. Departments are advised to consider how, during the drafting process, they can make students aware of the likely level of achievement, in order that the final mark is within reasonable expectations of the student.
4. Materials to assist candidates in ensuring their work meets the requirements of the assessment objectives will be made available (usually via the subject's Moodle page or in a handbook). It is a requirement that students undertaking an NEA unit read all materials provided by the department in preparation for completing the task. These might include:
  - a. Exemplar completed coursework (of a variety of marks) – or excerpts, where there is concern regarding plagiarism.
  - b. Explanation of how mark scheme has been applied to the above exemplar coursework
  - c. Excerpts from Moderator's reports (confidential material should not be published)
  - d. Materials gathered from exam board INSET

- e. The Assessment Objectives/Mark Scheme
- f. External moderation
- g. Other materials in order to explain to students how to meet the requirements of Assessment Objectives.

### **Formal Internal Marking Review Protocol**

5. Students are aware that they have the right to formally challenge marks awarded to them in centre assessed units. The Formal Internal Marking Review policy is available on the Exams area of Moodle, which all students are automatically enrolled on to and are encouraged to read. A message informing students of the Formal Internal Marking Review will be put in the student handbook.
6. A request for a Formal Internal Marking Review must be made in writing to the Exams Officer. On receipt of this, a standard form will be issued.
  - a. Before completing the form, students must ensure that they have had a discussion with their subject teacher to see if the issue can be resolved.
  - b. Student must be clearly advised that their marks can go down as well as up.
  - c. A signature will be required on the form to indicate awareness from:
    - Subject teacher
    - Curriculum Leader
    - Student
    - Exams
7. On submission of the Formal Internal Marking Review form, payment of £50 is required before the mark review is initiated:
  - a. This charge is in line with the cost of a priority mark review from Exam boards and reflects the time required from an independent person to formally review the mark awarded. In the case of smaller subject areas where all coursework is marked by one subject teacher, College may need to employ an external reviewer.
  - b. The Formal Internal Marking Review is not initiated until the payment is made and the form submitted. Both must take place before the deadline.
8. Students who fall into the following categories are not entitled to a Formal Internal Marking Review:
  - a. A candidate whose work has already been internally moderated (i.e. was one of the actual pieces which were marked by one member of staff and then moderated by another member of staff). In this case, the Marking Review has already taken place.
  - b. Students who did not meet the Department's formal published final deadline for submission (but who are still requesting that they are entered for the unit).
9. College will allow sufficient time for the review to be carried out, to make any necessary changes to marks and to inform the candidate of the outcome, before the awarding body's deadline. The timeline for 2020 is therefore as follows:
  - Candidates must be informed of their marks by **Friday 1<sup>st</sup> May 2020** at the latest (see 3ai re. earlier deadlines).
  - Once formally notified of their marks, students have **5 full working days** to open a Formal Internal Marking Review.

- This 5 day deadline gives students who feel their mark is inappropriate time to reflect, discuss and initiate an appeal. On the other hand, it avoids a situation where a student is initially happy with their mark but then, having received an offer from a university later in the year, for example, deciding that they now require a higher mark in a subject.
  - For a department meeting the final deadline for informing the students of their marks (1<sup>st</sup> May), the deadline for requesting a Formal Internal Marking Review is **Friday 8<sup>th</sup> May 2020** at 4pm.
- Formal Internal Marking Review to be completed **within 7 days**.
  - Marks to reach exam board in time for **Tuesday 15<sup>th</sup> May deadline**. (Departments should check with their External Moderator regarding the administration of coursework samples).

### **Formal Internal Marking Review – Protocol for Conducting Review of Marks:**

10. College will ensure that the review of marking is carried out by an assessor who has appropriate competence, has had no previous involvement in the assessment of that candidate and has no personal interest in the review. This is likely to be the Curriculum Leader or Assistant Curriculum Leader.
11. College will instruct the reviewer to ensure that the candidate's mark is consistent with the standard set by the centre, meaning that the mark awarded to piece of work in question is in line with the marks award to other candidates' work of that standard at this centre.
12. The candidate will be informed in writing of the outcome of the review of the centre's marking within 10 days of the completion of the Formal Internal Marking Review.
  - a. The Formal Internal Marking Review represents a formal appeal against the mark initially awarded by the centre. The mark awarded by the Formal Internal Marking Review is final and there is no further right of appeal.
13. Once the student has been clearly told their final mark, there is no additional opportunity to further develop the piece of work in order to attempt to improve the mark. This remains the case during and after the Formal Internal Mark Review.
14. The outcome of the review of the centre's marking will be made known to the Principal and the Exams Officer. A written record will be kept and made available to the awarding body upon request. Should the review of the centre's marking bring any irregularity in procedures to light, the awarding body will be informed immediately.
15. After candidates' work has been internally assessed, it is moderated by the awarding body to ensure consistency in marking between centres. The moderation process may lead to mark changes. This process is outside the control of College and is not covered by this procedure.



## **EXAMINATIONS POLICY T044 Exam Room Emergency Evacuation Procedure**

**A** In the event of an emergency evacuation of an exams room for events such as fire/fire alarm, bomb alert or any other emergency which requires an evacuation of an exams room, invigilators have been informed that they must take the following action (in accordance with JCQ Centre Emergency Evacuation Procedure).

**B** Action to be taken by invigilators

- B.1 Stop the candidates from writing.
- B.2 Collect seating plan (in order to ensure all candidates are present).
- B.3 Evacuate the exam room in line with instructions given by the College.
- B.4 Advise candidates to leave all question papers and scripts in the exam room. Candidates must be advised to close their answer booklets. If there are only a few candidates, consider the possibility of taking the candidates (with question papers and scripts) to another place to finish the exam).
- B.5 Inform candidates they must leave the room in silence.
- B.6 Supervise candidates as closely as possible while they are out of the exam room to ensure there is no discussion about the exam.
- B.7 When instructed, supervise the return of candidates to the exam room.
- B.8 Make a note of the time of the interruption and how long it lasted.
- B.9 Allow the candidates the full working time set for the exam.
- B.10 Make notes of the incident on the Exam Room Incident Log to enable the exams manager to produce a full report of the incident and action taken to forward to the relevant awarding body.
- B.11 In addition to the above actions required by the Regulation, invigilators are also to follow the College's evacuation procedures, and take the exam candidates to the designated evacuation point marked in green on the Fire Evacuation Procedures map provided in the invigilator pack.

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## **Purpose of the plan**

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

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

This plan also confirms Solihull Sixth Form College is compliant with the JCQ regulation (section 5.3, *General Regulations for Approved Centres 2019-2020*) 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 staff absence.*

## Possible causes of disruption to the exam process

### 1. Exam officer extended absence at key points in the exam process (cycle)

#### Criteria for implementation of the plan

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

#### *Planning*

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

#### *Entries*

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

#### *Pre-exams*

- ▶ *invigilators not trained or updated on changes to instructions for conducting exams*
- ▶ *exam timetabling, rooming allocation; and invigilation schedules not prepared*
- ▶ *candidates not briefed on exam timetables and awarding body information for candidates*
- ▶ *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

The exams team is structured with the Exams Manager and two Exams Assistants. The team is overseen by an Assistant Principal.

In a period of extended absence, the Examinations Assistants would take responsibility for carrying out the duties of the Examinations Manager and would work in consultation with the Assistant Principal responsible for examinations. Appropriate allocation of responsibilities would then be decided upon by the Assistant Principal in conjunction with the College SLT.

All members of the team regularly receive training from Awarding Bodies and colleagues involved in the administration of key processes and are trained on how to carry out processes and who to contact if unsure.

## 2. SENCo extended absence at key points in 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

This role is carried out by the college's specialist assessor, the Curriculum Leader for Additional Learning Support. In the event of their extended absence their line manager, the Assistant Principal responsible for additional learning support, would assign responsibilities temporarily as required. A suitably qualified external specialist assessor with an established relationship with the college may also be required to carry out access arrangement assessments and this would be decided upon by the Principal.

## 3. Teaching staff extended absence at key points in 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

In the event of a period of extended absence of a member of the teaching staff, the Curriculum Leader for that subject would arrange teaching cover from within the staff team, the wider staffing establishment at the College or through an agency. New staff providing cover would be briefed as part of their induction process on arrangements for assessment and examinations. Their practice in terms of assessments would be monitored by an experienced member of the teaching team.

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

New invigilators undergo a period of training and shadowing, following appointment. They are only allowed to work independently once they and the Examinations Manager is confident that processes and procedures are understood and that invigilators are competent. The College retains a pool of invigilators that can be used throughout the year as required.

Within the wider College staff, colleagues are required to assist during main exam sessions as required, if numbers are such that the pool of external invigilators is exhausted.

Minor absence issues (such as an invigilator calling in sick) are covered by a member of the Examinations team or attempts are made to contact another invigilator from the pool.

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

The college has a large sports hall (capacity 293) and a large number of standard size classrooms (capacity 20) and IT suites for on-line assessment.

The majority of exams are accommodated within the sports hall and standard size classrooms/IT suites and the Exams team works closely with the College's timetabling team in order to utilise rooms effectively and at short notice.

6. Failure of IT systems

Criteria for implementation of the plan

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

Centre actions to mitigate the impact of the disruption

The college endeavours to minimise any IT disruption via resilient design and preventative maintenance. In the event of an issue, this would be dealt with in accordance to the college's IT Services Disaster Recovery and Business Continuity Plan, which are reviewed regularly.

In the event of the college Tyber system not producing reports and timetables, an alternative will be used utilising common IT programmes such as Access, Excel and email.

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

Criteria for implementation of the plan

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

Centre actions to mitigate the impact of the disruption

Examinations Officer to follow centre 'Exam Room Emergency Evacuation Procedure' (Policy T044)

8. Disruption of teaching time – centre closed for an extended period

Criteria for implementation of the plan

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

Centre actions to mitigate the impact of the disruption

In the event of the centre not being able to open, as normal, alternative options would be explored such as moving provision to an external location (such as leisure centres, hotels, local schools, etc.).

In such instances, details will be communicated to learners via the College's website, Social Media, Tyber and email.

In cases of mass infection or pandemic, the College will follow guidelines provided by Ofqual and JCQ eg. *Exam System Contingency Plan: England, Wales and Northern Ireland*.

#### 9. Candidates unable to take examinations because of a crisis – centre remains open

##### Criteria for implementation of the plan

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

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

Response is dependent on the type of issue. If a candidate is able to sit the exam but cannot attend the centre due to a crisis, appropriate communication with the relevant Awarding Bodies would be undertaken by the Examinations Manager, or Examinations Assistants, and alternative options would be explored (home, hospital, alternative centre, etc.).

#### 10. Centre unable to open as normal during the exams period (including in the event of the centre being unavailable for examinations owing to an unforeseen emergency)

##### Criteria for implementation of the plan

- ▶ *Centre unable to open as normal for scheduled examinations*

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

SLT to arrange alternative accommodation. Examinations Officer to advise examination boards of alternative site use.

#### 11. 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

Examinations Officer to contact the exam boards and request electronic receipt of exam scripts.

#### 12. Disruption to the transportation of completed examination scripts

##### Criteria for implementation of the plan

- ▶ *Delay in normal collection arrangements for completed examination scripts*

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

Examinations Officer to keep exam scripts securely stored until collection can be arranged.

13. 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*

Centre actions to mitigate the impact of the disruption

Examinations Officer to seek advice from relevant exam board.

14. Centre unable to distribute results as normal (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

SLT to provide alternative location for student advice. Paper distribution of results if Tyber unavailable.



Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
<b>Task setting</b>		
Awarding body set task: IT failure/corruption of task details where set task details accessed from the awarding body online	<p><i>Awarding body key date for accessing/downloading set task noted prior to start of course</i></p> <p><i>IT systems checked prior to key date</i></p> <p><i>Alternative IT system used to gain access</i></p> <p><i>Awarding body contacted to request direct email of task details</i></p>	
Centre set task: Subject teacher fails to meet the assessment criteria as detailed in the specification	<p><i>Ensures that subject teachers access awarding body training information, practice materials etc.</i></p> <p><i>Records confirmation that subject teachers understand the task setting arrangements as defined in the awarding body's specification</i></p> <p><i>Samples assessment criteria in the centre set task</i></p>	
Candidates do not understand the marking criteria and what they need to do to gain credit	<p><i>A simplified version of the awarding body's marking criteria described in the specification that is not specific to the work of an individual candidate or group of candidates is produced for candidates</i></p> <p><i>Records confirm all candidates understand the marking criteria</i></p> <p><i>Candidates confirm/record they understand the marking criteria</i></p>	
Subject teacher long term absence during the task setting stage	<p><i>See centre's exam contingency plan - Teaching staff extended absence at key points in the exam cycle</i></p>	
<b>Issuing of tasks</b>		
Awarding body set task not issued to candidates on time	<p><i>Awarding body key date for accessing set task as detailed in the specification noted prior to start of course</i></p> <p><i>Course information issued to candidates contains details when set task will be issued and needs to be completed by</i></p> <p><i>Set task accessed well in advance to allow time for planning, resourcing and teaching</i></p>	
The wrong task is given to candidates	<p><i>Ensures course planning and information taken from the awarding body's specification confirms the correct task will be issued to candidates</i></p> <p><i>Awarding body guidance sought where this issue remains unresolved</i></p>	
Subject teacher long term absence during the issuing of tasks stage	<p><i>See centre's exam contingency plan - Teaching staff extended absence at key points in the exam cycle</i></p>	
<b>Task taking</b>		
<b>Supervision</b>		
Planned assessments clash with other centre or candidate activities	<p><i>Assessment plan identified for the start of the course</i></p> <p><i>Assessment dates/periods included in centre wide calendar</i></p>	
Rooms or facilities inadequate for candidates to take tasks under appropriate supervision	<p><i>Timetabling organised to allocate appropriate rooms and IT facilities for the start of the course</i></p> <p><i>Staggered sessions arranged where IT facilities insufficient for number of candidates</i></p> <p><i>Whole cohort to undertake written task in large exam venue at the same time (exam conditions do not apply)</i></p>	
Insufficient supervision of candidates to enable work to be authenticated	<p><i>Confirm subject teachers are aware of and follow the current JCQ publication Instructions for conducting non-examination assessments and any other specific instructions detailed in the awarding body's specification in relation to the supervision of candidates</i></p> <p><i>Confirm subject teachers understand their role and responsibilities as detailed in the centre's non-examination assessment policy</i></p>	

A candidate is suspected of malpractice prior to submitting their work for assessment	<i>Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (chapter 9 Malpractice) are followed An internal investigation and where appropriate internal disciplinary procedures are followed</i>	
Access arrangements were not put in place for an assessment where a candidate is approved for arrangements	<i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (chapter 2), to determine the process to be followed to apply for special consideration for the candidate</i>	
<b>Advice and feedback</b>		
Candidate claims appropriate advice and feedback not given by subject teacher prior to starting on their work	<i>Ensures a centre-wide process is in place for subject teachers to record all information provided to candidates before work begins as part of the centre's quality assurance procedures Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity Full records kept detailing all information and advice given to candidates prior to starting on their work as appropriate to the subject and component Candidate confirms/records advice and feedback given prior to starting on their work</i>	
Candidate claims no advice and feedback given by subject teacher during the task-taking stage	<i>Ensures a centre-wide process is in place for subject teachers to record all advice and feedback provided to candidates during the task-taking stage as part of the centre's quality assurance procedures Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity Full records kept detailing all advice and feedback given to candidates during the task-taking stage as appropriate to the subject and component Candidate confirms/records advice and feedback given during the task-taking stage</i>	
A third party claims that assistance was given to candidates by the subject teacher over and above that allowed in the regulations and specification	<i>An investigation is conducted; candidates and subject teacher are interviewed and statements recorded where relevant Records as detailed above are provided to confirm all assistance given Where appropriate, a suspected malpractice report is submitted to the awarding body</i>	
Candidate does not reference information from published source	<i>Candidate is advised at a general level to reference information before work is submitted for formal assessment Candidate is again referred to the JCQ document Information for candidates: non-examination assessments Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion</i>	
Candidate does not set out references as required	<i>Candidate is advised at a general level to review and re-draft the set out of references before work is submitted for formal assessment Candidate is again referred to the JCQ document Information for candidates: non-examination assessments Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion</i>	
Candidate joins the course late after formally supervised task taking has started	<i>A separate supervised session(s) is arranged for the candidate to catch up</i>	

Candidate moves to another centre during the course	<i>Awarding body guidance is sought to determine what can be done depending on the stage at which the move takes place</i>	
An excluded pupil wants to complete his/her non-examination assessment(s)	<i>The awarding body specification is checked to determine if the specification is available to a candidate outside mainstream education If so, arrangements for supervision, authentication and marking are made separately for the candidate</i>	
<b>Resources</b>		
A candidate augments notes and resources between formally supervised sessions	<i>Preparatory notes and the work to be assessed are collected in and kept secure between formally supervised sessions Where memory sticks are used by candidates, these are collected in and kept secure between formally supervised sessions Where work is stored on the centre's network, access for candidates is restricted between formally supervised sessions</i>	
A candidate fails to acknowledge sources on work that is submitted for assessment	<i>Candidate's detailed record of his/her own research, planning, resources etc. is checked to confirm all the sources used, including books, websites and audio/visual resources Awarding body guidance is sought on whether the work of the candidate should be marked where candidate's detailed records acknowledges sources appropriately Where confirmation is unavailable from candidate's records, awarding body guidance is sought and/or a mark of zero is submitted to the awarding body for the candidate</i>	
<b>Word and time limits</b>		
A candidate is penalised by the awarding body for exceeding word or time limits	<i>Records confirm the awarding body specification has been checked to determine if word or time limits are mandatory Where limits are for guidance only, candidates are discouraged from exceeding them Candidates confirm/record any information provided to them on word or time limits is known and understood</i>	
<b>Collaboration and group work</b>		
Candidates have worked in groups where the awarding body specification states this is not permitted	<i>Records confirm the awarding body specification has been checked to determine if group work is permitted Awarding body guidance sought where this issue remains unresolved</i>	
<b>Authentication procedures</b>		
A teacher has doubts about the authenticity of the work submitted by a candidate for internal assessment  Candidate plagiarises other material	<i>Records confirm subject staff have been made aware of the JCQ document Teachers sharing assessment material and candidates' work Records confirm that candidates have been issued with the current JCQ document Information for candidates: non-examination assessments Candidates confirm/record that they understand what they need to do to comply with the regulations for non-examination assessments as outlined in the JCQ document Information for candidates: non-examination assessments The candidate's work is not accepted for assessment A mark of zero is recorded and submitted to the awarding body</i>	
Candidate does not sign their authentication statement/declaration	<i>Records confirm that candidates have been issued with the current JCQ document Information for candidates: non-examination assessments Candidates confirm/record they understand what they need to do to comply with the regulations as outlined in the JCQ document Information for candidates: non-examination assessments</i>	

	<i>Declaration is checked for signature before accepting the work of a candidate for formal assessment</i>	
Subject teacher not available to sign authentication forms	<i>Ensures a centre-wide process is in place for subject teachers to sign authentication forms at the point of marking candidates work as part of the centre's quality assurance procedures</i>	
<b>Presentation of work</b>		
Candidate does not fully complete the awarding body's cover sheet that is attached to their worked submitted for formal assessment	<i>Cover sheet is checked to ensure it is fully completed before accepting the work of a candidate for formal assessment</i>	
<b>Keeping materials secure</b>		
Candidates work between formal supervised sessions is not securely stored	<i>Records confirm subject teachers are aware of and follow current JCQ publication Instructions for conducting non-examination assessments Regular monitoring ensures subject teacher use of appropriate secure storage</i>	
Adequate secure storage not available to subject teacher	<i>Records confirm adequate/sufficient secure storage is available to subject teacher prior to the start of the course Alternative secure storage sourced where required</i>	
<b>Task marking – externally assessed components</b>		
A candidate is absent on the day of the examiner visit for an acceptable reason	<i>Awarding body guidance is sought to determine if alternative assessment arrangements can be made for the candidate If not, eligibility for special consideration is explored and a request submitted to the awarding body where appropriate</i>	
A candidate is absent on the day of the examiner visit for an unacceptable reason	<i>The candidate is marked absent on the attendance register</i>	
<b>Task marking – internally assessed components</b>		
A candidate submits little or no work	<i>Where a candidate submits no work, the candidate is recorded as absent when marks are submitted to the awarding body Where a candidate submits little work, the work produced is assessed against the assessment criteria and a mark allocated appropriately; where the work does not meet any of the assessment criteria a mark of zero is submitted to the awarding body</i>	
A candidate is unable to finish their work for unforeseen reason	<i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (chapter 5), to determine eligibility and the process to be followed for shortfall in work</i>	
The work of a candidate is lost or damaged	<i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (chapter 5), to determine eligibility and the process to be followed for lost or damaged work</i>	
Candidate malpractice is discovered	<i>Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (chapter 9 Malpractice) are followed Investigation and reporting procedures in the current JCQ publication Suspected Malpractice in Examinations and Assessments are followed Appropriate internal disciplinary procedures are also followed</i>	
A teacher marks the work of his/her own child	<i>A conflict of interest is declared by informing the awarding body that a teacher is teaching his/her own child at the start of the course Marked work of said child is submitted for moderation whether part of the sample requested or not</i>	

<p>An extension to the deadline for submission of marks is required for a legitimate reason</p>	<p><i>Awarding body is contacted to determine if an extension can be granted</i>  <i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (chapter 5), to determine eligibility and the process to be followed for non-examination assessment extension</i></p>	
<p>After submission of marks, it is discovered that the wrong task was given to candidates</p>	<p><i>Awarding body is contacted for guidance</i>  <i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (chapter 2), to determine eligibility and the process to be followed to apply for special consideration for candidates</i></p>	
<p>A candidate wishes to appeal the marks awarded for their work by their teacher</p>	<p><i>Candidates are informed of the marks they have been awarded for their work prior to the marks being submitted to the awarding body</i>  <i>Records confirm candidates have been informed of their marks</i>  <i>Candidates are informed that these marks are subject to change through the awarding body's moderation process</i>  <i>Candidates are informed of their marks at least two weeks prior to the internal deadline set by the exams officer for the submission of marks</i>  <i>Through the candidate exam handbook, candidates are made aware of the centre's internal appeals procedures and timescale for submitting an appeal prior to the submission of marks to the awarding body</i></p>	
<p>Deadline for submitting work for formal assessment not met by candidate</p>	<p><i>Records confirm deadlines given and understood by candidates at the start of the course</i>  <i>Candidates confirm/record deadlines known and understood</i>  <i>Depending on the circumstances, awarding body guidance sought to determine if the work can be accepted late for marking providing the awarding body's deadline for submitting marks can be met</i>  <i>Decision made (depending on the circumstances) if the work will be accepted late for marking or a mark of zero submitted to the awarding body for the candidate</i></p>	
<p>Deadline for submitting marks and samples of candidates work ignored by subject teacher</p>	<p><i>Internal/external deadlines are published at the start of each academic year</i>  <i>Reminders are issued through senior leaders/subject heads as deadlines approach</i>  <i>Records confirm deadlines known and understood by subject teachers</i>  <i>Where appropriate, internal disciplinary procedures are followed</i></p>	
<p>Subject teacher long term absence during the marking period</p>	<p><i>See centre's exam contingency plan (Teaching staff extended absence at key points in the exam cycle)</i></p>	

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## **Definition**

The Exams Office will register learners with Pearson/Edexcel at the beginning of a BTEC programme of study. Certification claims will be submitted to inform Pearson/Edexcel of learner achievement. Learners who have not earned the sufficient number of credits to receive the full qualification can be certificated for the units that they have achieved.

Deadlines for registration and certification appear in the annual BTEC Quality Assurance Handbook and the Information Manual.

## **Purpose**

- To ensure that individual learners are registered to the correct programme within agreed timescales
- to claim valid learner certificates within agreed timescales
- to construct a secure, accurate and accessible audit trail to ensure that individual learner registration and certification claims can be tracked to the certificate which is issued for each learner
- to ensure that accurate, up to date and auditable centre BTEC registration, achievement and certification records are maintained with Edexcel/Pearson
- to ensure that these records are kept for 3 years after certification, in line with Pearson/Edexcel requirements.

## **Principles**

The Registration and Certification (BTEC) Policy meets the requirements of the Pearson/Edexcel (BTEC) Quality Assurance process.

## **Detail**

Registration initiates the BTEC Quality Assurance processes. Learners following a standard academic year are registered by 1st November. Solihull Sixth Form College provide a list of registrations to Lead IVs to check accurate Learner registration to meet this deadline.

Details of students leaving programmes should be communicated to Pearson/Edexcel; withdrawals should be made via EDI by 31 January and the registration fee will be refunded. Full qualification certification or credit certification is claimed via Edexcel online.

Claims for August certification should be submitted to Edexcel by 5<sup>th</sup> July.

## **Roles and Responsibilities**

**The Assistant Principal** should:

- assume the role of Quality Nominee at Solihull Sixth Form College, oversee the registration, transfer, withdrawal and certificate claims for learners to ensure that awarding body deadlines are met
- co-ordinate and monitor The Sixth Form College, Solihull student details held with Edexcel.

**The Exam Officer** should:

- to work with the Quality Nominee at Solihull Sixth Form college
- take responsibility for timely, accurate and valid registration, entries for external examinations, the issue of timetables to candidates, transfer, withdrawal and certificate claims for learners, according to the awarding body requirements
- liaise with programme teams to check the accuracy of learner registrations
- ensure that certificate claims are timely and based solely on internally verified assessment records
- inform the awarding body of withdrawals, transfers or changes to learner details
- audit certificate claims made to the awarding body
- audit the certificates received from the awarding body to ensure accuracy and completeness
- for students transferring to another centre, ensure that adequate information about the transferee's position and progress is communicated to the new centre
- Students who transfer from another centre, must provide a BTEC registration number to continue with their study.
- keep all records safely and securely for three years post certification.

**Lead Internal Verifiers** should:

- liaise with the Exams Officer to check the accuracy of learner registrations
- ensure that all Schemes of Work and Programmes of Study are drawn up and implemented in accordance with this policy and related documents.

**Quality Nominee** should:

- ensure that programmes are delivered in accordance with BTEC guidelines, and following the agreed IV schedule and assessment plan
- make each learner aware of his/her registration status.

### **The Curriculum Leader should:**

- ensure that the policy is implemented and report to the trust
- carry out the statutory duties of the **Principal** with regard to the curriculum as defined by the DfE.
- Inform the Exams Office of any late enrolment, especially after the 1<sup>st</sup> November registration deadline.
- Liaise with MIS to inform Exams Office of any early leavers to claim a refund of the registration fee by 31<sup>st</sup> January deadline.
- To inform the Exams Office of any transfer candidates who are continuing their programme of study with Solihull Sixth Form College.