



The Federation of Aylestone Business and Enterprise College, Broadlands Primary School and Withington Primary School

Exam
policy

2016/17

Approved by	
Name: Senior Leadership team	
Title:	
Date of next review	October 2017

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Purpose of the policy

Aylestone Business and Enterprise College is committed to ensuring that the exams management and administration process is run effectively and efficiently. This exam policy will ensure that:

- all aspects of the centre exam process is documented and other relevant exams-related policies, procedures and plans are signposted, thus

“...minimising risk to examination administration and any adverse impact on students, should the examinations officer be absent at a critical stage of the examination cycle.”

[JCQ [Notice to Centres – examination contingency plan/examinations policy](#)]

- the workforce is well informed and supported
- all centre staff involved in the exams process clearly understand their roles and responsibilities
- all exams and assessments are conducted in accordance with JCQ and awarding body regulations, guidance and instructions, thus ensuring that

“... the integrity and security of the examination/assessment system is maintained at all times and is not brought into disrepute”

[JCQ [General regulations for approved centres](#). (GR) 1]

- exam candidates understand the exams process and what is expected of them.

This policy will be reviewed annually to ensure ways of working in the centre are accurately reflected and that exams and assessments are conducted to current JCQ (and awarding body) regulations, instructions and guidance.

The Exams Officer is responsible for the annual review and any required update of this policy.

The Assistant Head Teacher (Teaching, Learning and Assessment) is responsible for the approval and sign-off of this policy, via the SLT.

This policy will be communicated to all relevant centre staff and is available on the school website.

Roles and responsibilities overview

Head of centre

“The head of centre is responsible to the awarding bodies for making sure all examinations/assessments are conducted according to the instructions, and the qualification specifications issued by the awarding bodies.

The head of centre may not appoint themselves as the examinations officer. [JCQ [GR](#) 1]

The head of centre will:

- be familiar with the contents, refer to and direct relevant centre staff to annually updated JCQ publications including:
 - <http://www.jcq.org.uk/exams-office/general-regulations> (GR)
 - <http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations> (ICE)
 - <http://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration>
 - <http://www.jcq.org.uk/exams-office/malpractice>

The head of centre will ensure:

- the National Centre Number Register (NCNR) annual update (administered on behalf of the JCQ member awarding bodies by OCR) is responded to
- the exams officer (EO) attends appropriate training events offered by awarding bodies, MIS providers and other external providers to enable the exam process to be effectively managed and administered
- centre staff are supported and appropriately trained to undertake key tasks within the exams process
- centre staff undertake key tasks within the exams process and meet internal deadlines set by the EO

- “that a teacher who teaches the subject being examined, or a senior member of teaching staff who has had overall responsibility for the candidates preparation for the examination, **is not an invigilator during the examination or on-screen test;**” [JCQ [ICE](#) 6]
- security within the examination process is managed as per JCQ and awarding body regulations, guidance and instructions
- risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place

Exam contingency plan

The Exams Contingency Plan can be found in Appendix 1 at the end of this document.

“For the academic year 2015/16, and with effect from the June 2016 examination series onwards, all centres must have an examination contingency plan/examinations policy on file for inspection”

[JCQ [Notice to Centres – examination contingency plan/examinations policy](#)]

- required internal appeals procedures are in place.

Internal appeals procedure

The Internal Appeals Policy can be found in Appendix 2 at the end of this document

“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.)”

[JCQ [GR](#) 5]

- a disability policy showing the centre’s compliance with relevant legislation is in place

Disability policy

Information on our disability policy can be found within our Equality Policy on the staff shared drive and the school website.

“A written disability policy setting out how the centre seeks to comply with the Equality Act 2010† and fully supporting disabled candidates must be available for inspection purposes.

†or any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect”

[JCQ [GR](#) 5]

Exams officer

*“The **examinations officer or quality assurance co-ordinator** is the person appointed by a head of centre to act on behalf of the centre in matters relating to the administration of awarding body examinations and assessments.”*

[JCQ [GR](#) 1]

The EO will:

- be familiar with the contents of annually updated JCQ publications including:
 - <http://www.jcq.org.uk/exams-office/general-regulations>
 - <http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations>
 - <http://www.jcq.org.uk/exams-office/malpractice>
 - <http://www.jcq.org.uk/exams-office/post-results-services>
- be familiar with the contents of annually updated information from awarding bodies on administrative procedures, key tasks, key dates and deadlines
- ensure key tasks are undertaken and key dates and deadlines met
- assist in the recruitment, training and deployment of a team of internal/external invigilators; appoint lead invigilators, as required.

Senior leadership team (SLT)

- will be familiar with the contents, refer to and direct relevant centre staff to annually updated JCQ publications including:
 - <http://www.jcq.org.uk/exams-office/general-regulations>
 - <http://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration>
 - <http://www.jcq.org.uk/exams-office/malpractice>

Special educational needs co-ordinator (SENCo)/specialist teacher

- will be familiar with the contents, refer to and direct relevant centre staff to annually updated JCQ publications including:
 - <http://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration>
- will lead on the access arrangements and reasonable adjustments process (referred to in this policy as 'access arrangements')
- if not the qualified specialist assessor, will work with the person appointed, on all matters relating to assessing candidates and the administration of the assessment process
- will present when requested by a JCQ inspector, evidence of the specialist assessor's qualification

"Evidence of the specialist assessor's qualification(s) must be held on file for inspection purposes. The documentation must be presented to the JCQ Centre Inspector by the SENCo." [JCQ [Criteria for a specialist assessor](#)]

Heads of Faculties (HoFs)

- will ensure teaching staff undertake key tasks, as detailed in this policy, within the exams process (exam cycle) and meet internal deadlines set by the EO and SENCo
- will ensure teaching staff keep themselves updated with awarding body teaching-specific information to confirm effective delivery of qualifications
- will ensure teaching staff attend relevant awarding body training and update events

Teaching staff

- will undertake key tasks, as detailed in this policy, within the exams process and meet internal deadlines set by the EO and SENCo
- will keep themselves updated with awarding body teaching-specific information to confirm effective delivery of qualifications
- will attend relevant awarding body training and update events

Invigilators

- will attend training, update, briefing and review sessions as required
- will provide information as requested on their availability to invigilate
- will sign a confidentiality and security agreement

General Office staff

- will support the EO in dealing with exam-related deliveries and dispatches with due regard to security at all times

Site staff

- will support the EO in relevant matters relating to exam rooms and resources

Candidates

Where applicable in this policy, the term 'Candidates' refers to candidates and/or their parents/carers.

The exam cycle

The exams management and administration process that needs to be undertaken for each **exam series** is often referred to as the **exam cycle** and relevant tasks required within this grouped into the following stages:

- Planning
- Entries
- Pre-exams
- Exam time
- Results and post-results

This exam policy identifies the roles and responsibilities of centre staff within this cycle.

Planning

Information sharing

The Head of Centre will:

- direct relevant centre staff to annually updated JCQ publications including:
 - <http://www.jcq.org.uk/exams-office/general-regulations>
 - <http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations>
 - <http://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration>
 - <http://www.jcq.org.uk/exams-office/malpractice>

The EO will:

- inform relevant centre staff of JCQ and awarding body documentation relating to the exam process that has been updated
- signpost relevant centre staff to information that should be provided to candidates
- as the centre administrator, approve relevant access rights for centre staff using awarding body secure extranet sites

Information gathering

The EO will:

- undertake an annual information gathering exercise in preparation for each new academic year to ensure data about all qualifications being delivered is up to date and correct
- collate all data into one central point of reference
- research awarding body guidance to identify administrative processes, key tasks, key dates and deadlines for all qualifications
- produce an annual exams plan of key tasks and key dates to ensure all external deadlines can be effectively met; inform key centre staff of internal deadlines

HoFs will:

- respond (or ensure teaching staff respond) to requests from the EO on information gathering
- meet the internal deadline for the return of information
- inform the EO of any changes to information in a timely manner minimising the risk of late or other penalty fees being incurred by an awarding body
- familiarise themselves and their staff with the annual exams plan of internal deadlines

Access arrangements

The SENCo will:

- assess affected candidates (or work with the appointed specialist assessor) to identify access arrangements requirements thereby ensuring that

*“where a candidate with a learning difficulty requires an assessment of his/her needs, he/she is assessed by an appropriately qualified specialist assessor **as appointed by the head of centre;**” [JCQ [GR 5](#)]*

- gather **evidence of need** to support access arrangements
- liaise with teaching staff to gather evidence of **normal way of working**
- gather signed **data protection notices** from candidates where required

- with the EO, apply for **approval** through Access arrangements online (AAO), where required or through the awarding body where qualifications sit outside the scope of AAO
- keep relevant evidence on file for JCQ inspection purposes
- liaise with the EO regarding exam time arrangements for access arrangement candidates
- ensure staff appointed to facilitate access arrangements for candidates are appropriately trained and understand the rules of the particular access arrangement(s)
- ensure criteria for candidates allowed **separate invigilation within the centre** is clear, meets the requirements of JCQ access arrangements and best meets the needs of individual candidates and remaining candidates in main exam rooms

SLT, HoFs, Teaching staff will:

- support the SENCo in determining and implementing appropriate access arrangements

Internal assessment

The Head of Centre will ensure:

- an **internal appeals procedure** is in place for a candidate (or parent/carer) to appeal against an internal assessment decision
- a policy for the **management of controlled assessment** is in place, identifying staff responsibilities and examining potential risks

Controlled assessment policy

The Controlled Assessment Policy can be found on the school website.

“The centre agrees to...have in place, and be available for inspection purposes, a written policy with regard to the management of controlled assessments”

[JCQ [GR 5](#)]

- irregularities are investigated and any cases of suspected malpractice reported to the awarding body, as required

SLT will ensure:

- teaching staff have the necessary and appropriate knowledge, understanding, skills, and training to set, conduct, mark and authenticate candidates' work
- a process of internal moderation and standardisation is in place

HoFs will ensure:

- teaching staff delivering GCSE qualifications follow instructions for conducting controlled assessment <http://www.jcq.org.uk/exams-office/controlled-assessments/> and subject-specific information where provided by the awarding body
- teaching staff delivering GCE, Entry Level or Project qualifications follow instructions for conducting coursework <http://www.jcq.org.uk/exams-office/coursework> and subject-specific information where provided by the awarding body
- for other qualifications, teaching staff follow appropriate instructions issued by the awarding body

Teaching staff will ensure:

- appropriate instructions for conducting internal assessment are followed
- candidates are aware of JCQ or awarding body information for candidates on producing work that is internally assessed

Invigilation

The EO will:

- provide an annual training event for new invigilators and an update event for invigilators in the conduct of exams
- ensure invigilators supervising access arrangement candidates understand their role (and the role of a facilitator who may be supporting a candidate) and the rules and regulations of the access arrangement(s)

Entries

The term 'entries' is used to describe entry/registration information for internally and externally assessed components, and certification of qualifications against which a result will be reported.

Estimated entries

The EO will:

- request estimated or early entry information, where this may be required by awarding bodies, from HoFs in a timely manner to ensure awarding body external deadlines for submission can be met

Estimated entries collection and submission procedure

The EO collects information on estimated entries via email from all HoFs, and submits them online to each Awarding Body, early in the Autumn term.

HoFs will:

- provide information requested by the EO to the internal deadline
- inform the EO immediately of any subsequent changes to information

Final entries

The EO will:

- request final entry information from HoFs in a timely manner to ensure awarding body external deadlines for submission can be met
- inform HoFs of subsequent deadlines for making changes to final entry information without charge
- confirm with HoFs final entry information that has been submitted to awarding bodies
- ensure as far as possible that entry processes minimise the risk of entries or registrations being missed and reduce the potential for late or other penalty fees being charged by awarding bodies

Final entries collection and submission procedure

The EO will send out marksheets from SIMS for HoFs to complete very early in the Spring term. A print out will then be checked and signed by the HoFs before entries are made by the EO through an EDI file.

HoFs will:

- provide information requested by the EO to the internal deadline
- inform the EO immediately, or at the very least prior to the deadlines, of any subsequent changes to final entry information, which includes:
 - changes to candidate personal details
 - amendments to existing entries
 - withdrawals of existing entries
- check final entry submission information provided by the EO and confirm information is correct

Entry fees

The Exam Budget is held by the Assistant Head Teacher (Teaching, Learning and Assessment), and late/withdrawal fees will be covered by the school at the discretion of the SLT. In some circumstances the candidate may be charged (if they fail to sit an exam or if they do not meet the necessary coursework requirements).

Late entries

The EO will:

- have clear entry procedures in place to minimise the risk of late entries
- charge any late or other penalty fees to Faculty budgets

HOFs will:

- minimise the risk of late entries by

- following procedures identified by the EO in relation to making final entries on time
- meeting internal deadlines identified by the EO for making final entries

Private candidates

Aylestone Business and Enterprise College does not accept Private Candidates

Candidate statements of entry

The EO will:

- provide candidates with statements of entry for checking

Teaching staff will:

- ensure candidates check statements of entry and return any relevant confirmation required to the EO

Candidates (or parents/carers) will:

- confirm entry information is correct or notify the EO of any discrepancies

Pre-exams

Access arrangements

The SENCo and the Academic Learning Coach Team Leader will:

- allocate centre staff to facilitate access arrangements for candidates in exams and assessments
- ensure candidates are informed of the access arrangements that are in place for their exams and assessments

Briefing candidates

Before exams the Achievement Coordinator Y11 will, with the support of the EO:

- issue individual exam timetable information to candidates
- issue relevant JCQ information for candidates (within the Candidate Exam Handbook)
- where relevant, issue awarding body information to candidates
- issue centre exam information to candidates which will include information on:
 - exam clashes
 - arriving late for an exam
 - absence or illness during exams
 - what equipment is/is not provided by the centre
 - when results and certificates will be issued

Dispatch of exam scripts

The EO will

- identify and confirm arrangements for the dispatch of candidate exam scripts with the DfE 'yellow label service' or the awarding body where qualifications sit outside the scope of the service

Estimated grades

HoFs will:

- ensure teaching staff provide estimated grade information to the EO to the internal deadline (where this still may be required by the awarding body)

The EO will:

- submit estimated grade information to awarding bodies to meet the external deadline (where this may still be required by the awarding body)
- keep a record to track what has been sent

Internal assessment

HoFs will ensure:

- teaching staff provide marks for internally assessed components of qualifications to the EO to the internal deadline

- teaching staff authenticate candidates' work as per awarding body requirements
- teaching staff provide required samples of work for moderation to the EO to the internal deadline

The EO will:

- submit marks and samples to awarding bodies/moderators to meet the external deadline
- keep a record to track what has been sent
- log moderated work returned to the centre
- teaching staff are aware of the guidelines in terms of retention and subsequent disposal of candidates' work

Candidates will:

- authenticate their work as required by the awarding body

Invigilation

The EO will:

- provide an invigilation handbook or brief invigilators accordingly
- deploy invigilators effectively to exam rooms throughout an exam series
- allocate invigilators to exam rooms as per the required ratios
- liaise with the SENCo and Academic Learning Coach Team Leader regarding the facilitation and invigilation of access arrangement candidates

The SENCo will:

- liaise with the EO regarding facilitation and invigilation of access arrangement candidates

Invigilators will:

- provide information as requested on their availability to invigilate throughout an exam series

JCQ inspection visit

A member of SLT or the EO will

- be prepared *“to accompany the Inspector **throughout** the course of his or her centre visit, including inspection of the centre’s secure storage facility.”* [JCQ [ICE](#) Introduction]

Seating and identifying candidates in exam rooms

The EO will:

- ensure a procedure is in place to verify candidate identity

Verifying candidate identity procedure

Members of the teaching staff and/or the SLT will be present as candidates enter the exam rooms and will be able to identify them.

Seating plans will be available to invigilators, and all students will be issued with photo ID cards.

“The centre agrees to... have in place written procedures to verify the identity of all candidates at the time of the examination or assessment;”

[JCQ [GR](#) 5]

- ensure that invigilators are aware of the procedure
- provide seating plans for exam rooms as per JCQ and awarding body requirements

Invigilators will:

- follow the procedure for verifying candidate identity provided by the EO
- seat candidates in exam rooms as instructed by the EO/in the seating plan

Security of exam materials

The EO will:

- have a process in place to record confidential materials delivered to the centre and issued to authorised staff
- have in place a recording system to track confidential materials taken from or returned to secure storage throughout the time the material is confidential

- receive, check and securely store question papers and other exam materials as per JCQ and awarding body requirements

General Office staff will:

- follow the process to record confidential materials delivered to the centre and issued to authorised staff

Timetabling and rooming

The EO will:

- produce a master centre exam timetable for each exam series
- identify and resolve candidate exam clashes
- identify exam rooms and specialist equipment requirements
- allocate invigilators to exam rooms as per the required ratios
- liaise with site staff to ensure exam rooms are set up as per JCQ and awarding body requirements
- liaise with the SENCo regarding rooming of access arrangement candidates

The SENCo will:

- liaise with the EO regarding rooming of access arrangement candidates

Site staff will:

- liaise with the EO to ensure exam rooms are set up as per JCQ and awarding body requirements

Internal exams

The EO will:

- prepare for the conduct of internal exams under external conditions
- provide a centre exam timetable of subjects and rooms
- arrange invigilation

The SENCo will:

- liaise with teaching staff to make appropriate arrangements for access arrangement candidates

Teaching staff will:

- provide exam papers and materials to the EO
- support the SENCo in making appropriate arrangements for access arrangement candidates

Exam time

Access arrangements

The EO will:

- provide cover sheets for access arrangement candidates' scripts where required for particular access arrangements
- have a process in place to deal with emergency access arrangements as they arise at the time of exams
 - apply for approval through AAO where required or through the awarding body where qualifications sit outside the scope of AAO

Candidate absence

Candidate absence policy

If a candidate is absent from an examination and the EO has not been informed, the EO will ensure that a telephone call home is made to determine the whereabouts of the candidate.

If a candidate is unable to sit an exam, the EO and the Achievement Coordinator will gather evidence and apply to the Awarding Body for Special Consideration where appropriate.

Any candidate persistently absent from exams will be dealt with by the Achievement Coordinator and SLT, and may be charged for their entry fees.

“Advice: it is good practice for a centre to have a policy for late and absent candidates.”

Invigilators will:

- be informed of the policy/process for dealing with absent candidates through training
- ensure that confirmed absent candidates are clearly marked as such on the attendance register and seating plan

Candidate behaviour

See Irregularities below.

Candidate belongings

See unauthorised materials below.

Candidate late arrival

The EO will:

- ensure that candidates who arrive very late for an exam are reported to the awarding body as soon as practically possible after the exam has taken place
- warn candidates that their work may not be accepted by the awarding body

Invigilators will:

- be informed of the policy/process for dealing with late/very late arrival candidates through training
- ensure that relevant information is recorded on the exam room incident log

Candidate late arrival policy

Any candidate that arrives late on one occasion will be given a ‘Late Arrival’ card and allowed the full time of the exam.

Any candidate that arrives late for a second time may not be allowed to enter the exam room – this is at the discretion of the Achievement Coordinator and SLT.

A candidate will be considered very late if they arrive more than one hour after the published start time of the exam.

“Advice: it is good practice for a centre to have a policy for late and absent candidates. Invigilators must be made aware of this policy.

Advice: Centres should have their own internal procedures for dealing with candidates who persistently arrive late for examinations.

The exams officer may need to liaise with a senior member of staff who has pastoral responsibilities.”

[JCQ [ICE14](#)]

Conducting exams

The Head of Centre will:

- ensure venues used for conducting exams meet the requirements of JCQ and awarding bodies

The EO will:

- ensure exams are conducted as per JCQ and awarding body instructions

Dispatch of exam scripts

The EO will:

- dispatch scripts as instructed by JCQ and awarding bodies
- keep appropriate records to track dispatch

Exam papers and materials

The EO will:

- organise exam question papers and associated confidential resources in date order in secure storage
- attach erratum notices received to relevant exam question paper packets
- collate attendance registers and examiner details in date order
- regularly check mail or inbox for updates from awarding bodies

Exam rooms

The Head of Centre will:

- ensure only approved centre staff are present in exam rooms
- ensure that information relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates

Food and drink in exam rooms

Water may be taken into the exam room in clear, see through bottles, but all packaging and labels need to be removed. No food is allowed in the exam room, unless it is a medical requirement.

“Food and drink may be allowed in the examination room at the discretion of the head of centre. However, this is on the condition that any food brought into the examination room by the candidate is free from packaging and all labels are removed from drink containers.”

[JCQ [ICE](#) 11]

The EO will:

- ensure exam rooms are set up as required in the regulations
- provide invigilators with appropriate resources to effectively conduct exams
- ensure sole invigilators have an appropriate means of summoning assistance
- ensure invigilators understand how to deal with candidates who may need to leave the exam room temporarily

SLT will:

- ensure a documented emergency evacuation procedure is in place

Emergency evacuation procedure

The Emergency Evacuation Procedure can be found in Appendix 3 of this document.

“... You must have a written centre policy for dealing with an emergency evacuation of the examination room, which will be subject to inspection by the JCQ Centre Inspection Service.”

[JCQ [ICE](#) 18]

Site staff will:

- ensure exam rooms are available and set up as requested by the EO
- ensure grounds or centre maintenance work does not disturb exam candidates in exam rooms
- ensure fire alarm testing does not take place during exam sessions

Invigilators will:

- conduct exams in every exam room as instructed in training/update events and briefing sessions

Candidates will:

- be required to remain in the exam room for the full duration of the exam

Irregularities

The head of centre will:

- ensure any cases of suspected malpractice (by centre staff, candidates, invigilators) are investigated and reported to the awarding body as required

SLT will:

- ensure support is provided for the EO and invigilators when dealing with disruptive candidates in exam rooms
- ensure that internal disciplinary procedures relating to candidate behaviour are instigated, when appropriate

The EO will:

- provide an exam room incident log in all exam rooms for recording any incidents or irregularities

- action any required follow-up and reports to awarding bodies as soon as practically possible after the exam has taken place

Invigilators will:

- record any incidents or irregularities on the exam room incident log (for example, late/very late arrival, candidate or centre staff suspected malpractice, candidate illness, disruption or disturbance in the exam room, emergency evacuation)

Malpractice

See Irregularities above.

Special consideration

The EO will:

- process appropriate requests for special consideration to awarding bodies
- gather evidence which may need to be provided by other staff in centre or candidates
- submit to awarding bodies to the external deadline

Candidates will:

- provide appropriate evidence to support special consideration requests, where required

Unauthorised materials

Arrangements for unauthorised materials taken into the exam room

Any unauthorised materials taken into the exam room will be kept at with the invigilator at the front of the room. Mobile phones shall be switched off.

All watches are to be placed on the exam desk in clear sight of the invigilators.

“any unauthorised items that have been taken into the examination room must be placed out of reach of the candidates (and not under their desks) before the examination starts. This would normally be at the front of the examination room or a similar arrangement that enables the invigilator to control access to the items.”

[JCQ [ICE11](#)]

Invigilators will:

- be informed of the arrangements through training

Results and post-results

Internal assessment

HoFs will ensure:

- teaching staff keep candidates' work, whether part of the moderation sample or not, secure and for the required period stated by JCQ and awarding bodies
- work is returned to candidates or disposed of according to the requirements

Managing results day(s)

SLT will:

- identify centre staff who will be involved in the main summer results day(s) and their role

Site staff will:

- ensure the centre is open and accessible to centre staff and candidates, as required

Accessing results

The EO will:

- inform candidates in advance of when and how results will be released to them
- access results from awarding bodies under restricted release of results, where this is provided by the awarding body
- resolve any missing or incomplete results with awarding bodies
- issue statements of results to candidates on publication of results
- provide summaries of results for relevant centre staff on publication of results

Post-results services

The EO will:

- provide information to candidates and staff on the services provided by awarding bodies and the fees charged
- publish internal deadlines for requesting the services to ensure the external deadlines can be effectively met
- provide a process to record requests for services and collect candidate informed consent and fees where relevant
- submit requests to awarding bodies to meet the external deadline
- track requests to conclusion and inform candidates and relevant centre staff of outcomes
- update centre results information, where applicable

The Head of Centre will:

- ensure an **internal appeals procedure** is available where candidates disagree with the centre decision:
 - not to support an enquiry about results
 - not to appeal against the outcome of an enquiry about results

Teaching staff will:

- meet internal deadlines to request the services and gain relevant candidate informed consent
- identify the budget to which fees should be charged

Candidates will:

- meet internal deadlines to request the services
- provide informed consent and fees, where relevant

Analysis of results

Following the publication of results, the Head of Centre and the Exams Officer will:

- provide analysis of results to appropriate centre staff
- provide results information to external organisations where required
- undertake the Key Stage 4 Performance Tables checking exercise

Certificates

Certificates are provided to centres by awarding bodies after results have been confirmed. The process for issuing certificates to candidates is:

Issue of certificates procedure

The Exams Officer manages the distribution of certificates to the candidates. The candidates are given a date from which they can collect their certificates, and they must sign to say that they have been collected. Certificates will not be posted.

Candidates may:

- arrange for certificates to be collected on their behalf by providing the EO with written or email permission/authorisation; authorised persons must provide ID evidence on collection of certificates

Retention of certificates policy

Unclaimed or uncollected certificates will be stored in the secure storage room for a minimum of 12 months from the date of issue.

Review

The EO will:

- provide SLT with an overview of the exam year, highlighting what went well and what could be developed/improved in terms of exams management and administrative processes within the stages of the exam cycle
- collect and evaluate feedback from staff, candidates and invigilators to inform review

SLT will:

- work with the EO to produce a plan to action any required improvements identified in the review

Retention of records

The EO will:

- keep records as required by JCQ and awarding bodies for the required period (12 months)
- keep records as required by the centre's records management policy
- provide an exam archiving policy that identifies information held, retention period and method of disposal

Exam archiving policy

Exam information is held on SIMS and can be accessed by the Exams Officer at any time in the future.

Access Arrangement records are held in the secure storage for a minimum of seven years after the exam series.

Candidates will be liable for the cost of replacement certificates, directly from the Awarding Body.

Primary Examinations

In the primary setting the Head of Learning is responsible for:

- Ordering, storing, security and completion of Year 2 and Year 6 SATs papers and registering children who will partake
- Must notify the exam boards of any special requirements needed eg extra time, visual overlays etc
- Make sure that the SATs are carried out following the guidance set out in the handbooks
- Complete paperwork and seal SATs papers ready for collection.
- Organise the ordering, storage, security and completion of Y1 Phonics screening papers.
- Ensure the school and papers are ready for any external moderation should this be requested.

Appendix 1 – Exam Contingency Plan

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Purpose of the plan

This plan examines potential risks and issues that could cause disruption to the management and administration of the exam process at Aylestone Business and Enterprise 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 scenarios contained in the *Joint contingency plan in the event of widespread disruption to the examination system in England, Wales and Northern Ireland*.

This plan complies with JCQ general regulations (section 5) in that:

The centre agrees to “*have in place a written examination contingency plan/examinations policy which covers all aspects of examination administration. This will allow members of the senior leadership team to have a robust contingency plan in place, minimising risk to examination administration, should the examinations officer be absent at a crucial stage of the examination cycle;*”

Causes of potential 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 and trained
- *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*
 - exam timetabling, rooming allocation; and invigilation schedules not prepared
 - candidates not briefed on exam timetables and awarding body information for candidates
 - exam/assessment materials and candidates' work not stored under required secure conditions
 - internal assessment marks and samples of candidates' work not submitted to awarding bodies/external moderators
- *Exam time*
 - exams/assessments not taken under the conditions prescribed by awarding bodies
 - required reports/requests not submitted to awarding bodies during exam/assessment periods e.g. very late arrival, suspected malpractice, special consideration
 - candidates' scripts not dispatched as required 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:

- *Planning*
 - Office Manager to work with Assistant Head Teacher (Teaching, Learning and Assessment) and Heads of Faculties to collect information on qualifications and awarding body specifications being delivered.

- Assistant Head Teacher to ensure recruitment of invigilators – Office Manager to organise invigilator schedule.
- *Entries*
 - Office Manager to liaise with Heads of Faculties to ensure estimated entries information is uploaded to the exam boards.
 - Office Manager to liaise with Heads of Faculties to ensure entries are checked by Heads of Faculty and submitted to the exam boards before the deadlines to avoid penalty fees.
- *Pre-exams*
 - Office Manager and Achievement Co-ordinator for Y11 to distribute candidate handbook and brief candidates. Office Manager to create invigilator schedule.
 - Office Manager and Assistant Head Teacher (TLA) to work with General Office to ensure exam/assessment materials and candidates' work is stored under required secure conditions.
 - Office Manager to work with Heads of Faculties to ensure internal assessment marks and samples of candidates' work are submitted to awarding bodies/external moderators.
- *Exam time*
 - Office Manager and Assistant Head Teacher (TLA) to ensure exams/assessments are taken under the conditions prescribed by awarding bodies
 - Office Manager to work with Achievement Co-ordinator Y11 to ensure that required reports/requests are submitted to awarding bodies during exam/assessment periods e.g. very late arrival, suspected malpractice, special consideration
 - Office Manager and Lead Invigilator to ensure that candidates' scripts are dispatched as required to awarding bodies
- *Results and post-results*
 - Office Manager to work with Capita SIMS and Assistant Head Teacher (TLA) to ensure access to examination results is available.
 - Office Manager to process post results services as required.

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
 - 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
 - modified paper requirements not identified in a timely manner to enable ordering to meet external deadline
 - staff providing support to access arrangement candidates not allocated and trained
- *Exam time*
 - access arrangement candidate support not arranged for exam rooms

Centre actions:

- *Planning*
 - Assistant SENCO to ensure students are tested and potential access arrangements are communicated with the Examinations Officer.
 - Assistant SENCO to locate evidence of need and evidence to support normal way of working collation.
- *Pre-exams*
 - Assistant SENCO to work with Examinations Officer to ensure the approval for access arrangements is applied for to the awarding body
 - Assistant SENCO to work with Examinations Officer to ensure modified paper requirements are identified in a timely manner to enable ordering to meet external deadline
 - Assistant SENCO and Academic Learning Coach Team Leader to ensure that staff providing support to access arrangement candidates are allocated and trained
- *Exam time*

- Academic Learning Coach Team Leader and Examinations Officer to ensure access arrangement candidate support is arranged for exam rooms.

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
- Internal assessment marks and candidates' work not provided to meet submission deadlines

Centre actions:

- Head of Faculty to ensure that early/estimated entry information is provided to the exams officer on time.
- Head of Faculty to ensure final entry information is provided to the exams officer on time.
- Head of Faculty to ensure internal assessment marks and candidates' work is provided to meet submission deadlines

4. Invigilators - lack of appropriately trained invigilators or invigilator absence

Criteria for implementation of the plan (SSTW/ADMIN)

- 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:

- Office Manager to ensure recruitment and training of sufficient invigilators to conduct the examination.
- Office Manager to work with SENCO and Administration team to ensure invigilator absences can be covered by trained support staff.

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:

- Exams officer to work with Bursar and SLT to plan rooming well in advance of the examination series.
- Bursar and Exams Officer to liaise with Site Manager to identify alternative spaces, such as the Gymnasiums, that could be used for examination.

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:

- Senior IT Technician to work with Exams Officer and Capita SIMS to ensure entries are submitted to the examination board by another method if MIS has failed.

- Senior IT Technician to work with Exams Officer and Capita SIMS to ensure planning can still take place if MIS has failed.
- Senior IT Technician to work with Exams Officer and Capita SIMS to ensure results can be downloaded from the Awarding Bodies by another method if MIS fails.

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

Criteria for implementation of the plan (the Headteacher)

- 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

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

Centre actions:

- The Headteacher to communicate to parents and candidates plans put in place should the centre close for an extended period of time.

8. 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

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

Centre actions:

- Exams Officer to contact the relevant Awarding Bodies.
- Exams Officer to liaise with SLT to agree messages and actions.

9. Centre unable to open as normal during the exams period

Criteria for implementation of the plan

- Centre unable to open as normal for scheduled examinations

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

Centre actions:

- Headteacher to communicate with parents and candidates.
- Exams Officer to contact Awarding Bodies.

10. Disruption in the distribution of examination papers

Criteria for implementation of the plan

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

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

Centre actions:

- Exams officer to complete appropriate paperwork for Awarding Bodies and JCQ.
- Y11 Achievement Co-ordinator and SLT to communicate any cancellation of papers to parents.

11. Disruption to the transportation of completed examination scripts

Criteria for implementation of the plan

- Delay in normal collection arrangements for completed examination scripts

The centre to communicate with relevant awarding organisations at the outset to resolve the issue. [JCP scenario 4]

Centre actions:

- General Office staff to inform Exams Officer of delay, who will contact ParcelForce and the Awarding Body if required.

12. Assessment evidence is not available to be marked

Criteria for implementation of the plan

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

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

Centre actions:

- HoF/Link SLT to provide evidence as required by the Awarding Body.

13. Centre unable to distribute results as normal

Criteria for implementation of the plan

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

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

Centre actions:

- SLT to liaise with candidates to communicate any delay.

Causes 7-13 – all scenarios, criteria and specific communications have been taken directly from the *Joint contingency plan in the event of widespread disruption to the examination system in England, Wales and Northern Ireland*

Further guidance to inform and implement contingency planning

Ofqual

Joint contingency plan in the event of widespread disruption to the examination system in England, Wales and Northern Ireland

<https://www.gov.uk/government/publications/exam-system-contingency-plan-england-wales-and-northern-ireland/joint-contingency-plan-in-the-event-of-widespread-disruption-to-the-examination-system-in-england-wales-and-northern-ireland>

JCQ

General regulations

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

Guidance on alternative site arrangements

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

Instructions for conducting examinations

<http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations>

A guide to the special consideration process

<http://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance>

GOV.UK

Emergencies and severe weather: schools and early years settings

<https://www.gov.uk/emergencies-and-severe-weather-schools-and-early-years-settings>

Teaching time lost due to severe weather conditions

<https://www.gov.uk/government/publications/teaching-time-lost-due-to-severe-weather-conditions/teaching-time-lost-due-to-severe-weather-conditions>

Dispatch of exam scripts guide: Ensuring the service runs smoothly; Contingency planning

<https://www.gov.uk/government/publications/dispatch-of-exam-scripts-yellow-label-service/dispatch-of-exam-scripts-guide>

Appendix 2 Internal Appeals Procedure

Appeals procedure against internal assessment decisions

Aylestone Business and Enterprise College is committed to ensuring that internal assessments¹ are marked and administered fairly, consistently and in accordance with the awarding body specifications and subject-specific associated documents.

This is ensured by:

- Subject staff having the necessary and appropriate knowledge, understanding, skills, and training in this activity
- Subject staff authenticating candidates' work according to the requirements of the relevant awarding body
- A process of internal moderation and standardisation led by Heads of Faculty/nominated subject staff

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

All appeals must follow the procedure detailed below.

Note - *appeals may only be made against the marking/assessment process not against the mark submitted by the centre for moderation by the awarding body.*

1. Appeals 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 (e.g. the last GCSE written paper in the summer exam series)
2. Appeals should be made using the **internal appeals form** completed by the candidate (or parent/carer)
3. The head of centre will appoint a member of the senior leadership team, who has no involvement in the assessment process for that subject to conduct the investigation
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(s) and/or subject-specific associated documents
5. The appellant will be informed in writing of the outcome of the appeal, including any relevant correspondence with the awarding body and any changes made to internal assessment procedures
6. The outcome of the appeal will be made known to the head of centre 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

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 ABEC and is not covered by this procedure.

¹Internal assessment includes controlled assessments, coursework and portfolios of evidence

The above template is taken in most part from JCQ [Appeals against internally assessed marks – suggested template for centres](#)

Appeals procedure against centre decisions not to support an enquiry about results

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 officer.

The service, *enquiries about results* (EARs), may be requested by centre staff or 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 officer, teaching staff and head of centre will investigate the feasibility of requesting an enquiry at the centre's expense.

When ABEC 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.

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

Appeals procedure following the outcome of an enquiry about results

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

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

The **internal appeals form** should be completed and submitted to the centre within **10 calendar days** of the notification of the outcome of the enquiry. Subject to the head of centre's decision, this will allow the centre 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 on 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 centre.

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

Name of appellant		Candidate name <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 EO, on behalf of the head of centre, to the timescale indicated in the internal appeals procedure.

The internal appeals procedures for Aylestone Business and Enterprise 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, an 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.)

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.

7. 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>

12. 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.

Ofqual GCSE, GCE, Principal Learning and Project Code of Practice

http://ofqual.gov.uk/ofdoc_categories/regulations-and-guidance/codes-of-practice-regulations-and-guidance/

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

- iii. a formal, codified procedure for handling disputes when a candidate or carer disagrees with a decision by the centre not to support an enquiry.

Centres must be required to ensure that the procedures are published and made widely available and accessible to all candidates and their carers.

9.14 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/controlled-assessments>

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

<http://ofqual.gov.uk/complaints-and-appeals/exam-results-appeals/>

<http://www.jcq.org.uk/examination-system/the-appeals-process>

Emergency evacuation procedure 2015/16

In the event of an emergency evacuation of an exams room for events such as:

- Fire/Fire alarm
- Bomb alert
- Any other emergency which requires an evacuation of an exams room

Invigilators at Aylestone Business and Enterprise College have been informed that they must take the following action (in accordance with JCQ [Instructions for conducting examinations](#) (ICE) regulation 18: Emergencies):

1. Stop the candidates from writing.
2. Collect the attendance register (in order to ensure all candidates are present).
3. Evacuate the examination room.
4. Advise candidates to leave all question papers and scripts in the examination room.
5. Inform candidates they must leave the room in silence.
6. Supervise candidates as closely as possible while they are out of the examination room to make sure there is no discussion about the examination.
7. When instructed, supervise the return of candidates to the exam room.
8. Make a note of the time of the interruption and how long it lasted.
9. Allow the candidates the full working time set for the examination.
10. Make notes of the incident to enable the exams officer to produce a full report of the incident and of the action taken to be forwarded to the relevant awarding body.

In addition to the actions required by JCQ ICE regulation 18 above, invigilators are also informed of the following centre-specific actions or information:

1. The exam room must be evacuated by the nearest fire exit
2. Candidates must be escorted to the assembly point (along the kerb of the main school roundabout for those in **the Upper Gym**, along the path that leads up to Broadlands House for those in **CA3**, and along the fence on the tennis courts outside the C block for those in C block). Candidates must be one metre apart.
3. On returning to the exam room allow candidates time to settle down, reminding them they are still under exam conditions
4. Restart the exam and allow candidates the full working time set for the examination
5. Make relevant changes to the displayed finish time
6. All information regarding the evacuation must be recorded on the exam room incident log