



**St Louise's**  
Comprehensive College, Belfast  
A Specialist College

# Examinations and External Assessment Policy

## **MISSION STATEMENT**

*"In partnership with parents, guardians, staff, governors and students  
St Louise's promotes excellence in learning and teaching within a  
Catholic, Vincentian, Comprehensive ethos"*

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### **The purpose of this exam policy is:**

- To ensure the planning and management of examinations is conducted efficiently and in the best interest of candidates
- To ensure the operation of an efficient examination system with clear guidelines for all relevant staff.

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

This Examinations Policy will be reviewed annually.

This Examinations Policy will be reviewed by the Senior Leadership Team.

## **1. Examination Responsibilities**

### **Head of Centre / Principal**

Overall responsibility for the school/college as an Examination Centre:

- Advises on appeals and re-marks
- The Head of Centre is responsible for reporting all suspicions or actual incidents of malpractice.  
*Refer to the JCQ document Suspected Malpractice in Examinations and Assessments.*

### **Examinations Officer in Liaison with the SLT and Leaders of Key Stages**

Manages the administration of public examinations and analysis of examination results:

- Advises the senior leadership team, subject and Form Tutors and other relevant support staff on annual examination timetables and application procedures as set by the various Examination Boards
- Oversees the production and distribution to staff, governors and candidates of an annual calendar for all examinations in which candidates will be involved and communicates regularly with staff concerning imminent deadlines and events
- Provides Year Team with examinations timetable so that candidates and their parents are informed of and understand those aspects of the exam timetable that will affect them
- Consults with Heads of Department to ensure that necessary coursework and/or controlled assessment is completed on time and in accordance with JCQ guidelines
- Immediately informs Heads of Department on Moderators requirements
- Provides and confirms detailed data on estimated entries
- Receives, checks and stores securely all examination papers and completed scripts
- Provides seating plan at each separate venue for students with Access Arrangements as directed by SENCO and Year Team.
- Co-ordinates the despatch of all examination papers and materials to each venue.
- Assists the year team in making applications for special consideration using the *JCQ Access arrangements and special considerations regulations and Guidance relating to candidates who are eligible for adjustments in examinations*
- Identifies and manages examinations timetable clashes
- Ensures that all entries are done in a timely manner.

- ensures that all withdrawals are done without incurring an additional cost to the centre (this includes issuing on withdrawal dates to the Year Teams and Heads of Department).
- accounts for income and expenditures relating to all examination costs/charges
- line manages the senior examinations invigilator in organising the recruitment, training and monitoring of a team of exams *invigilators/readers/scribes* responsible for the conduct of exams
- prepares and presents reports to the SLT showing results achieved in relation to expected grades and comparable data for previous years.
- prepares the examination macros in partnership with c2k in August/September of the examination year.
- carries out all the c2k procedures based on preparing for Inspection Guidance on an annual basis.
- submits candidates' coursework marks, tracks despatch and stores returned coursework and any other material required by the appropriate awarding bodies correctly and on schedule
- arranges for dissemination of examination results and certificates to candidates and forwards, in consultation with the SLT, any appeals/re-mark requests
- maintains systems and processes to support subject co-ordinators and Leader of learning in the timely entry of candidates for their examinations and vocational awards such as BTEC, City & Guilds, LLW/COPE and Occupational Studies.
- ensures that cash-in codes are completed for all examinations.

### **Vice Principal (Curriculum)**

Organisation of teaching and learning.

- External validation of courses followed at Key Stage 4 / Post-16.
- Oversees the consultation and implementation of the Curriculum Plan.
- Notification of Access Arrangements at Key Stage 4 (notification of Access Arrangements at Post-16 will be fulfilled by the Leader of Learning).

### **Heads of Department**

- Guidance and oversight of candidates who are unsure about examination entries or amendments to entries.
- Assess the outcome of examination results in comparison to estimated grades and where appropriate raise concerns if performance was considerably lower than expected for individual students or whole cohorts.
- Accurate completion of coursework mark sheets and declaration sheets.
- Accurate completion of entry and all other mark sheets and adherence to deadlines as set by the Exams Officer.
- Ensure that any potential withdrawal of students are submitted to Vice Principal (Curriculum) within 4 weeks of the awarding body deadline (withdrawals must not be directly sent to the office) – see section
- Ensure that subject teachers are consistent and accurate in deciding tier of entry for students. Any dispute regarding tier of entry should be handled consistently, with discretion and within two weeks of the awarding body deadline so as not to incur a higher entry cost.
- Ensure that cash-in codes are applied in all cases when making entries at KS4 and Post-16.

### **Head of CEIAG**

- Ensure that students are receiving suitable careers information, advice and guidance so that they can make appropriate subject choices at KS3, KS4 and Post-16.

### **Teachers**

- Notification of access arrangements (as soon as possible after the start of the course).
- Submission of candidate names to Heads of Department.
- Use suitable evidence from previous assessments to make consistent and accurate tier of entry.

### **SENCO**

- Co-ordination of access arrangements and maintaining a central file linked to Special Educational Needs Register.
- Co-ordinate completion of Access arrangements forms with Year Team.
- Ensure that Literacy co-ordinator undertakes the identification and testing of candidates' requirements for access arrangements.
- Seek provision of additional support — with spelling, reading, mathematics, dyslexia or essential skills, hearing/sight impairment, English for speakers of other languages, IT equipment — to help candidates achieve their course aims.
- Liaise with Examinations Officer and Year Team to assist staffing of separate venues with readers and/or scribes.

### **Lead Invigilator**

- Collection of examination papers and other material from the examinations office before the start of the exam.
- Collection of all examination papers in the correct order at the end of the exam and their return to the examinations office.
- Return of all separate venue scripts to a pre-arranged central collection point (Main Exam Venue).

### **Candidates**

- Confirmation and signing of accuracy of entry.
- Understanding coursework regulations and signing a declaration that authenticates the coursework as their own.
- Request and make payment for re-sitting examinations.

### **Administrative staff**

- Support for the input of data.
- Posting of examination papers.

## **2. The Statutory Tests and Qualifications Offered**

The statutory tests and qualifications offered at this centre are decided by the Senior Leadership Team.

The statutory tests and qualifications offered are GCSE, Level 2 Qualifications, A levels, Essential Skills, VRQ, NVQ & BTEC/OCR.

The subjects offered for these qualifications in any academic year may be found in the centre's published prospectus for that year. If there has been a change of

syllabus from the previous year, the examinations office must be informed by 1<sup>st</sup> September.

### **At Key Stage 3**

In line with CCEA requirements, all candidates will be assessed in Using Mathematics, Using Communication and Using ICT.

### **At Key Stage 4**

All candidates will be entitled, and enabled, to achieve an entry for qualifications from an external awarding body at Level 2.

### **At Post-16**

For this academic year, students will complete AS and A2 levels. This will be reviewed for 2016-17 in light of specification changes of the different awarding bodies.

## **3. Examination Seasons and Timetables**

### 3.1 Examination Seasons

Internal examinations are scheduled in line with our Assessment Cycles as specified within our Whole School Learning, Teaching and Assessment Policy.

External examinations are scheduled in line with the awarding bodies.

### 3.2 Timetables

The Examinations Officer will circulate the examination timetables and venues for both external and internal examinations once these are confirmed.

## **4. Entries, Entry Details, Late Entries and Retakes**

### 4.1 Entries

Candidates are selected for their examination entries by the subject teachers.

A candidate or parent/carer can request a subject entry, change of level or withdrawal at their own cost.

The centre may accept entries from external candidates only if they are past students repeating modules.

### 4.2 Late Entries

Entry deadlines are circulated to Heads of Department via email from the Examinations Officer.

Late entries are authorised by Vice Principal (Curriculum), Leader of Learning (Post-16) and Heads of Department.

### 4.3 Retakes

Candidates are allowed 1 retake per subject in GCSE under special circumstances (illness / physical and/or emotional trauma at time of examination).

Candidates are allowed 1 retake per subject in AS.

Retake decisions will be made in consultation with the candidates, subject teachers, Vice Principal (Curriculum), Leader of Learning (Post-16) and Heads of Department.

*(See also Section 5: Examinations Fees)*

## **5. Examination Fees**

GCSE initial registration and entry examination fees are paid by the centre.

AS initial registration and entry examination fees are paid by the centre.

A2 initial registration and entry examination fees are paid by the centre.

Late entry or amendment fees are paid by the Departments.

Candidates or Departments will not be charged for changes of tier, withdrawals made by the proper procedures or alterations arising from administrative processes, provided these are made within the time allowed by the awarding bodies.

Reimbursement will be sought from candidates who fail to sit an examination or meet the necessary coursework requirements.

This fees reimbursement policy will be communicated in writing to candidates and parents/carers at the start of GCSE and Post-16 Courses.

Retake fees are met by the candidates after the trigger point is reached.

*(See also section 4.3: Retakes)*

Candidates must pay the fee for an enquiry about a result, should the centre not uphold the enquiry and the candidate insist on pursuing the enquiry.

*(See also Section 11.2: Enquiries about Results [EARs])*

## **6. The Special Education Needs and Disability Order**

### **6.1 SENDO**

SENDO extends the application of the Disability Discrimination Act to general qualifications. All examination centre staff must ensure that the access arrangements and special consideration regulations and guidance are consistent with the law.

### **6.2 Special Needs**

A candidate's special needs requirements are determined by the SENCO and the educational psychologist / specialist teacher.

The SENCO will inform subject teachers of candidates with special educational needs who are embarking on a course leading to an examination, and the date of that examination. The SENCO can then inform individual staff of any special arrangements that individual candidates may be granted during the course and in the examination.

### **6.3 Access Arrangements**

Making special arrangements for candidates to take examinations is the responsibility of the SENCO, Year Teams and the Examinations Officer (with

each Year Team supporting their implementation).

Submitting completed access arrangement applications to the awarding bodies is the responsibility of the SENCO.

Rooming for access arrangement candidates will be arranged by the SENCO with the Examinations Officer in liaison with the Year Team.

Invigilation and support for access arrangement candidates will be organised by the SENCO with the Examinations Officer.

Examinations Officer and Year Teams to assist with staffing of separate venues with readers and/or scribes.

| <b>ACCESS ARRANGEMENTS</b>    |   |  |
|-------------------------------|---|--|
| <b>Access Arrangement</b>     | <b>Explanation</b>  | <b>Eligibility</b>   |
| Supervised rest breaks        | Students are permitted to stop for short break/s during the examination and the time stopped is added to the finish time, with the effect of elongating the examination but not actually using any extra time.  | <ul style="list-style-type: none"> <li>• Behavioural, emotional and social needs</li> <li>• Medical condition</li> <li>• Physical disability</li> <li>• Psychological requirement</li> <li>• Normal way of working (the centre must be satisfied of a genuine need)</li> </ul>                                 |
| Prompter                      | A trained adult can prompt them with a few permitted phrases to refocus, move the student on to the next question or indicate how much time is left.  | <ul style="list-style-type: none"> <li>• Normal way of working</li> </ul>  |
| Separate invigilation         | An alternative venue may be provided away from the main examination hall.   | <ul style="list-style-type: none"> <li>• Behavioural, emotional and social needs</li> <li>• Medical/Psychological condition</li> </ul>   |
| Extra time                    | Students may be entitled to an allowance of up to 25% depending on the history of evidence of need and the recommendation of the designated Specialist Teacher. In some exceptional circumstances students may be entitled to an allowance up to 50%.             | <ul style="list-style-type: none"> <li>• A Statement of Special Education Needs</li> <li>• An assessment carried out by a qualified psychologist or specialist teacher confirming that extra time is needed to complete timed activities</li> <li>• Medical report</li> <li>• Normal way of working</li> </ul> |
| Word processor                | Access to a computer for an examination (if appropriate – not for subjects such as Maths) so the student would word process their answers. Spelling and grammar checks would be disabled and a special examination account would be used with no internet access. | <ul style="list-style-type: none"> <li>• Normal way of working</li> <li>• Temporary injury affecting writing</li> </ul>  |
| A computer reader or a reader | A trained adult who would read the question and any relevant text (with the exception of Section A of an English GCSE   | <ul style="list-style-type: none"> <li>• Visual impairment or temporary condition affecting vision</li> <li>• An assessment carried out by a qualified psychologist or</li> </ul>  |



|          |  |  |
|----------|--|--|
|          | examination) for the student. The student would then write the answer/s themselves.  | <p>specialist teacher confirming below average reading accuracy, comprehension or speed (must have been carried out within 26 months prior to the examination)</p> <ul style="list-style-type: none"> <li>• The assessment must be based upon a recent edition of a national standardised test (specialist decides)</li> <li>• Results must be given as a standardised score, only a standardised score of less than 85 for reading accuracy or reading comprehension or reading speed is acceptable</li> <li>• Normal way of working</li> </ul>   |
| A scribe | A trained adult who writes for the student. The student would dictate their answers. The scribe would write exactly what they say. | <ul style="list-style-type: none"> <li>• Physical disability/medical condition</li> <li>• An assessment carried out by a qualified psychologist or specialist teacher confirming learning difficulty affecting writing (must have been carried out within 26 months prior to examination)</li> <li>• Candidate cannot use a word processor with the spell check/predictive text disabled and either spelling in the below average range – standardised score of less than 85 and/or illegible writing and/or incomprehensible and/or below average handwriting speed</li> <li>• Normal way of working</li> <li>• Temporary condition/injury affecting writing</li> </ul> |

## 7. Estimated Grades

### Estimated Grades

The Heads of Department will submit estimated grades to the exams officer when requested by the Exams Officer.

## 8. Managing Invigilators and Examination Days

### 8.1 Managing Invigilators

External Invigilators will be used for examination administration. Examination supervision will be carried out by staff members that are free as a result of the exam. This is organised by the Leader of Learning. The recruitment of external invigilators is the responsibility of the examinations office.

Securing the necessary Criminal Records Bureau (Access NI) clearance for new invigilators is the responsibility of the examinations office.

CRB fees for securing such clearance are paid by the individuals.

Invigilators are timetabled and briefed by the examinations office.

Invigilators' rates of pay are set by the examinations office.

## 8.2 Examination Days

The Examinations Officer will book all examination rooms after liaison with other users and make the question papers, other examination stationery and materials available for the invigilator.

Site management is responsible for setting up the allocated rooms.

The Lead Invigilator and Key Stage Leaders will start all examinations in accordance with JCQ guidelines.

Subject staff may be present at the start of the examination to assist with identification of candidates and to give final instructions to candidates.

In practical examinations subject teachers may be on hand in case of any technical difficulties.

Examination papers must not be read by subject teachers or removed from the exam room before the end of a session. Papers will be distributed to Heads of Department at the end of the examination session.

## **9. Candidates, Clash Candidates and Special Consideration**

### 9.1 Candidates

The centre's published rules on uniform, equipment, water bottles, identification, behaviour and candidates' use of mobile phones and all electronic devices **apply at all times**.

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

Disruptive candidates are dealt with in accordance with JCQ guidelines.

Candidates may leave the examination room for a genuine purpose requiring an immediate return to the examination room, in which case a member of staff must accompany them.

Head of Year and Leader of Learning are responsible for candidates who are late for their examinations, or do not turn up at all.

### 9.2 Clash Candidates

The Examinations Officer (with assistance from Leader of Learning and Head of Year) will be responsible as necessary for identifying escorts, identifying a secure venue and/or arranging overnight stays.

### 9.3 Special consideration

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

Any special consideration claim must be supported by appropriate evidence within five days of the examination, for example a letter from the candidate's doctor.

The Examinations Officer and Key Stage Leader will then forward a completed special consideration form to the relevant awarding body within seven days of the examination.

## **10. Coursework and Controlled Assessments**

### 10.1 Coursework / Controlled Assessment

It is the responsibility of Heads of Department and the teaching staff to ensure that the procedures and guidelines for examination and assessments issued by the awarding bodies and JCQ are followed.

*Some examples of Maladministration and Malpractice are outlined in Appendix 2.*

Candidates who have to prepare portfolios should do so by the end of the course or centre-defined date. Candidates must ensure that the work they are submitting is their own work and has not been plagiarised either in part or whole. Heads of Department must ensure that teachers explain the requirements and conditions of each piece of controlled assessment or portfolio piece.

Teaching staff must not sign centre declaration or candidate authentication sheets if there are any doubts as to the veracity of any work that has been submitted.

Heads of Department will ensure all coursework is ready for despatch at the correct time and the Examinations Officer will keep a record of what has been sent when and to whom.

Heads of Department are responsible for ensuring that all coursework deadlines are met and that all coursework procedures are followed. They must sign for the work after it has been given to the office for despatch.

The Whole School Controlled Assessment Policy outlines clearly the guidelines for conducting, marking and storing Controlled Assessment Portfolios. This is supplemented by a Departmental Controlled Assessment Policy for each Department.

Marks for all internally assessed work are provided to the examinations office by the Heads of Department.

### 10.2 Appeals Against Internal Assessments

The centre is obliged to publish a separate procedure on this subject, which is available from the examinations office.

The main points are:

- Appeals will only be entertained if they apply to the process leading to an assessment. There is no appeal against the mark or grade awarded

- Candidates may appeal if they feel their coursework has been assessed unfairly, inconsistently or not in accordance with the specification for the qualification
- Appeals should be made in writing by 30 June to the Head of Centre (or other nominee) who will decide whether the process used conformed to the necessary requirements
- The Head of Centre's findings will be notified in writing, copied to the Examinations Officer and recorded for awarding body inspection.

## **11. Results, Enquiries about Results (EARs) and Access to Scripts (ATS)**

### 11.1 Results

Candidates will receive individual results slips on results days in person at the centre.

Arrangements for the school to be open on results days are made by the Head of Centre.

The provision of staff on results days is the responsibility of the Head of Centre.

The centre aggregates at the end of Year 14 for AS grades, not at the end of Year 13.

### 11.2 EARs

EARs may be requested by centre staff or candidates if there are reasonable grounds for believing there has been an error in marking.

When the centre does not uphold an EAR, a candidate may apply to have an enquiry carried out. If a candidate requires this against the advice of subject staff, they will be charged.

*(See Section 5: Exam Fees)*

### 11.3 ATS

After the release of results, candidates may ask subject staff to request the return of papers within three days' scrutiny of the results.

If a result is queried, the exams officer, teaching staff and Head of Centre will investigate the feasibility of asking for a re-mark at the centre's expense.

Centre staff may also request scripts for investigation or for teaching purposes. For the latter, the consent of candidates must be obtained.

GCSE re-marks cannot be applied for once a script has been returned.

## **12. Certificates**

Certificates are collected and signed for.

Certificates may be collected on behalf of a candidate by a third party, provided they have been authorised to do so.

Certificates may be withheld from candidates who owe fees.  
A transcript of results may be issued if a candidate agrees to pay the costs incurred.

The centre retains certificates for six years.

### **13. Withdrawals from Examinations and Summary of Annual Examination Results (SAER)\*\***

#### 13.1 Withdrawals

##### **Withdrawal from Individual Subjects**

Students are withdrawn from individual subject examinations, **only in extreme circumstances**. The process by which this undertaken is as follows:

- Stage 1: Subject teacher outlines concerns to HOD
- Stage 2: HOD refers concern to Curriculum VP KS4 / AP Post 16
- Stage 3: The Senior Leadership Team in consultation with year team leaders determines whether or not a student is to be withdrawn.

##### **Withdrawal from All Subjects**

Students are withdrawn from all subjects, **only in very extreme circumstances** and in compliance with the ineligibility criteria No. 1-8 as outlined by DE in the SAER.

- Stage 1: Subject teacher outlines concerns to HOD
- Stage 2: HOD refers concern to Curriculum VP KS4 / AP Post 16
- Stage 3: Year Team / SENCO outlines concern to Curriculum VP KS4 / AP Post 16
- Stage 4: The Senior Leadership Team in consultation with year team leaders determines whether or not a student is to be withdrawn

*The rigorous tracking process allows for on-going communication between Subject Teachers, Heads of Department, Year Teams, the Senior Leadership Team and parents. Only in very extreme circumstances will a student be identified to be withdrawn from individual subjects/all subjects.*

#### 13.2 SAER Return

The Heads of Key Stage in Consultation with the Curriculum Vice-Principal and the Principal should ensure that all students who are eligible to be included in the statistical return are added and that any student who is ineligible is removed following all relevant DE Guidance. Students can only be deemed ineligible if:

- A. The student is ineligible for inclusion in the return under one of the eight reasons detailed below; or
- B. A student does not meet the criteria to be included in the 2015/16 academic year return, but will be (or has been) included in the return for a different academic year.

##### **Student Ineligibility Criteria**

- 1. A student has died
- 2. A student, either through serious illness (including mental health issues) or pregnancy, was unable to sit ANY examinations – In the case of pregnancy, please indicate if the student was referred to the SAM Programme.

3. A student has transferred to another school or has emigrated.
4. A student is in a special unit approved by the department.
5. A student has a statement of special educational needs\*
6. A student has been placed in the EOTAS scheme – This only includes EA Approved referral service.
7. A student with serious welfare issues that has culminated in the ability to sit any examination – An indication must be made in the return that the student was referred to the EA or other agency for support.
8. A student has been withdrawn from the school with the consent from the guardian/Parents. Students can only be deemed ineligible under this reason code if this return is accompanied by documentary evidence such as a letter signed and dated by the guardian. Refer to DE Circular 2015/02 for further advice.

\*Discretion should be exercised when assessing ineligibility under reason 5 as each decision should be made on an individual basis.

\*\* Please refer to DE Correspondence dated May 26 2016 which was used as the rationale for the policy amendments.

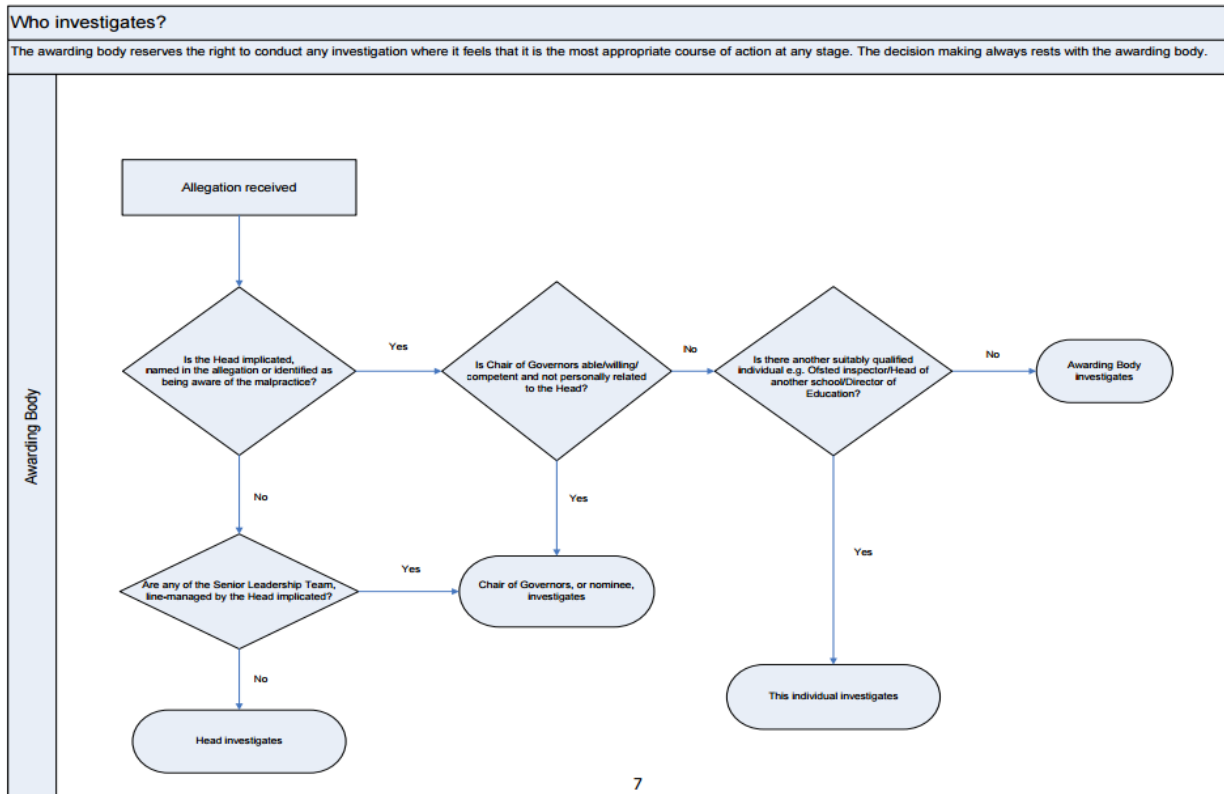
*In line with the Whole School Census Return at Post 16 some students will complete Level 2 courses. These students will be included in the 'ineligibles'. Funding received by the school is at Level 2.*

*Students identified as 'hosted students' will be reported on in their host schools. The students (males) that receive their full Post 16 Curriculum in St Louise's will be reported on within the St Louise's SAER Information.*

## **14. Appendix 1: In Instances of Suspected Malpractice**

### **14.1 The Head of Centre must:**

- Notify the appropriate awarding body at the earliest opportunity of all suspicions or actual incidents of malpractice. The only exception to this is malpractice discovered in controlled assessments or coursework before the authentication forms have been signed by the candidate.
- Complete Form JCQ/M1 (suspected candidate malpractice) or Form JCQ/M2a (suspected malpractice/maladministration involving centre staff) to notify an awarding body of an incident of malpractice.
- Supervise personally, and as directed by the awarding body, all investigations resulting from an allegation of malpractice;
- Ensure that if it is necessary to delegate an investigation to a senior member of centre staff, the senior member of centre staff chosen is independent, and not connected to the department or candidate involved in the suspected malpractice. This is to avoid conflicts of interest which can otherwise compromise the investigation;
- Respond speedily and openly to all requests for an investigation into an allegation of malpractice. This will be in the best interests of centre staff, candidates and any others involved;
- Co-operate and ensure their staff do so with an enquiry into an allegation of malpractice, whether the centre is directly involved in the case or not; inform staff members and candidates of their individual responsibilities and rights as set out in these guidelines;
- Pass on to the individuals concerned any warnings or notifications of penalties, and ensure compliance with any requests made by the awarding body as a result of a malpractice case.



#### 14.2 Rights of the Accused Individual/s

When, in the view of the investigator, there is sufficient evidence to implicate an individual in malpractice, that individual whether a candidate or a member of staff, accused of malpractice must:

- Be informed (preferably in writing) of the allegation made against him or her;
- Be advised that a copy of the JCQ publication Suspected Malpractice in Examinations and Assessments: Policies and Procedures can be found on the JCQ website – <http://www.jcq.org.uk/examinations-office/malpractice>
- Know what evidence there is to support that allegation;
- Know the possible consequences should malpractice be proven;
- Have the opportunity to consider their response to the allegations (if required);
- Have an opportunity to submit a written statement;
- Be informed that he/she will have the opportunity to read the submission and make an additional statement in response, should the case be put to the Malpractice Committee;
- Have an opportunity to seek advice (as necessary) and to provide a supplementary statement (if required);
- Be informed of the applicable appeals procedure, should a decision be made against him or her;
- Be informed of the possibility that information relating to a serious case of malpractice may be shared with other awarding bodies, the regulators, the Police and/or professional bodies including the Teaching Agency as appropriate.

#### 14.3 Sanctions and Penalties Applied Against Candidates

The awarding bodies will determine the application of a sanction or penalty according to the evidence presented, the nature and circumstances of the

malpractice, and the type of qualification involved. Not all the sanctions and penalties are appropriate to every type of qualification or circumstance. These penalties may be applied individually or in combination. The table below shows how the sanctions and penalties might be applied. Awarding bodies may, at their discretion, impose the following sanctions against candidates.

1. Warning  
The candidate is issued with a warning that if the offence is repeated within a set period of time, further specified sanctions will be applied.
2. Loss of marks for a section  
The candidate loses all the marks gained for a discrete section of the work. A section may be part of a component, or a single piece of coursework if this consists of several items.
3. Loss of marks for a component  
The candidate loses all the marks gained for a component. A component is more often a feature of linear qualifications than a unitised qualification, and so this penalty can be regarded as an alternative to penalty 4. Some units also have components, in which case a level of penalty between numbers 2 and 4 is possible.
4. Loss of all marks for a unit  
The candidate loses all the marks gained for a unit. This penalty can only be applied to qualifications which are unitised. For linear qualifications, the option is penalty 3. This penalty usually allows the candidate to aggregate or request certification in that series, albeit with a reduced mark or grade.
5. Disqualification from a unit  
The candidate is disqualified from the unit. This penalty is only available if the qualification is unitised. For linear qualifications the option is penalty. The effect of this penalty is to prevent the candidate aggregating or requesting certification in that series, if the candidate has applied for it.
6. Disqualification from all units in one or more qualifications  
If circumstances suggest, penalty 5 may be applied to other units taken during the same examination or assessment series. (Units which have been banked in previous examination series are retained.) This penalty is only available if the qualification is unitised. For linear qualifications the option is penalty 8.
7. Disqualification from a whole qualification  
The candidate is disqualified from the whole qualification taken in that series or academic year. This penalty can be applied to unitised qualifications only if the candidate has requested aggregation. Any units banked in a previous series are retained, but the units taken in the present series and the aggregation opportunity are lost. If a candidate has not requested aggregation the option is penalty 6. It may also be used with linear qualifications.
8. Disqualification from all qualifications taken in that series  
If circumstances suggest, penalty 7 may be applied to other qualifications. This penalty can be applied to unitised qualifications only if the candidate has requested aggregation. Any units banked in a previous series are retained, but the units taken in the present series and the aggregation opportunity are lost. If a candidate has not requested aggregation the option is penalty 6. It may also be used with linear qualifications.



## 9. Candidate debarral

The candidate is barred from entering for one or more examinations for a set period of time. This penalty is applied in conjunction with any of the other penalties above, if the circumstances warrant it. Unless a penalty is accompanied by a bar on future entry, all candidates penalised by loss of marks or disqualification, may retake the component(s), unit(s) or qualification(s) affected in the next examination series or assessment opportunity if the specification permits this. They will have to retake the whole subject, carrying forward the controlled assessment mark. This means that candidates will generally have to wait twelve months before retaking the examination(s). Heads of centre may wish to take further action themselves in cases of candidate malpractice.

## **15. Appendix 2: Examples of Maladministration and Malpractice**

### 15.1 Examples of Maladministration

- Failure to adhere to the regulations regarding the conduct of controlled assessments, coursework and examinations or malpractice in the conduct of the examinations/assessments and/or the handling of examination question papers, candidate scripts, mark sheets, cumulative assessment records, results and certificate claim forms, etc.  
For example:
- Failing to ensure that candidates' coursework or work to be completed under controlled conditions is adequately monitored and supervised;
- Inappropriate members of staff assessing candidates for access arrangements who do not meet the criteria as detailed within the JCQ publication Access Arrangements and Reasonable Adjustment ;
- Failure to use current assignments for assessments;
- Failure to train invigilators adequately, leading to non-compliance with the JCQ Publication Instructions for conducting examinations;
- Failing to issue to candidates the appropriate notices and warnings, e.g. JCQ Information for candidates documents;
- Failure to inform the JCQ Centre Inspection Service of alternative sites for examinations;
- Failing to post notices relating to the examination or assessment outside all rooms (including music and art rooms) where examinations and assessments are held;
- Not ensuring that the examination venue conforms to the requirements as stipulated in the JCQ publication Instructions for conducting examinations;
- The introduction of unauthorised material into the examination room, either prior to or during the examination; (N.B. this precludes the use of the examination room to coach candidates or give subject-specific presentations, including power-point presentations, prior to the start of the examination);
- Failing to remind candidates that any mobile phones or other unauthorised items found in their possession must be handed to the invigilator prior to the examination starting;
- Failure to invigilate examinations in accordance with the JCQ publication Instructions for conducting examinations;
- Failure to keep accurate records in relation to very late arrivals and overnight supervision arrangements;

- Failure to keep accurate and up to date records in respect of access arrangements which have been processed electronically using the Access arrangements online system;
- Granting access arrangements to candidates who do not meet the requirements of the JCQ publication Access Arrangements and Reasonable Adjustments;
- Granting access arrangements to candidates where prior approval has not been obtained from the Access arrangements online system or, in the case of a more complex arrangement, from an awarding body;
- Failure to supervise effectively the printing of computer based assignments when this is required;
- Failing to retain candidates' controlled assessments or coursework in secure conditions after the authentication statements have been signed or the work has been marked;
- Failing to maintain the security of candidate scripts prior to despatch to the awarding body or examiner;
- Failing to despatch candidate scripts / controlled assessments / coursework to the awarding bodies or examiners or moderators in a timely way;
- Failing to notify the appropriate awarding body of an instance of suspected malpractice in examinations or assessments as soon as possible after such an instance occurs or is discovered;
- Failing to conduct a thorough investigation into suspected examination or assessment malpractice when asked to do so by an awarding body;
- The inappropriate retention or destruction of certificates.

## 15.2 Examples of Candidate Malpractice

For example:

- The alteration or falsification of any results document, including certificates;
- A breach of the instructions or advice of an invigilator, supervisor, or the awarding body in relation to the examination or assessment rules and regulations;
- Failing to abide by the conditions of supervision designed to maintain the security of the examinations or assessments;
- Collusion: working collaboratively with other candidates, beyond what is permitted;
- Copying from another candidate (including the use of IT to aid the copying);
- Allowing work to be copied e.g. posting written coursework on social networking sites prior to an examination/assessment;
- The deliberate destruction of another candidate's work;
- Disruptive behaviour in the examination room or during an assessment session (including the use of offensive language);
- Exchanging, obtaining, receiving, passing on information (or the attempt to) which could be examination related by means of talking, electronic, written or non-verbal communication;
- Making a false declaration of authenticity in relation to the authorship of controlled assessments, coursework or the contents of a portfolio;
- Allowing others to assist in the production of controlled assessments, coursework or assisting others in the production of controlled assessments or coursework;
- The misuse, or the attempted misuse, of examination and assessment materials and resources (e.g. exemplar materials);

- Being in possession of confidential material in advance of the examination;
- Bringing into the examination room notes in the wrong format (where notes are permitted in examinations) or inappropriately annotated texts (in open book examinations);
- The inclusion of inappropriate, offensive or obscene material in scripts, controlled assessments, coursework or portfolios;
- Impersonation: pretending to be someone else, arranging for another person to take one's place in an examination or an assessment;
- Plagiarism: unacknowledged copying from published sources or incomplete referencing;
- Theft of another candidate's work;
- Bringing into the examination room or assessment situation unauthorised material, for example: notes, study guides and personal organisers, own blank paper, calculators (when prohibited), dictionaries (when prohibited), instruments which can capture a digital image, electronic dictionaries (when prohibited), translators, wordlists, glossaries, iPods, mobile phones, MP3/4 players, pagers or other similar electronic devices;
- The unauthorised use of a memory stick where a candidate uses a word processor;
- Behaving in a manner so as to undermine the integrity of the examination.

Head of centre

Exams officer

Date

To Be Reviewed May 2017

## 16. Appendix 3: Summary of Examination Results - DE Guidance



Rathgael House  
43 Balloo Road  
Bangor  
BT19 7PR

26<sup>th</sup> May 2016

Dear Principal

### SUMMARY OF ANNUAL EXAMINATION RESULTS (SAER) 2015/16

I am writing to request that you identify all students in year 12 and those in the final year of an A-level or equivalent course who will be ineligible for inclusion in the examination statistics which will be collected by the Department in September once results are available.

Students meet the criteria to be included in the statistical return if they are in year 12 or in the final year of an A-level or equivalent course of study for the first time (usually year 14).

Students can only be removed from the annual school performance data under two conditions:

**A.** The student is ineligible for inclusion in the return under one of the eight reasons detailed below; or

**B.** A student does not meet the criteria to be included in the 2015/16 academic year return, but will be (or has been) included in the return in a different academic year.

#### **A. Student Ineligibility**

Students can only be deemed ineligible for inclusion in the examination return for the following 8 reasons:

1. A student has died
2. A student, either through serious illness (including mental health issues) or pregnancy, was unable to sit any examinations. - *In the case of pregnancy, please indicate if the student was referred to the School Age Mothers programme.*
3. A student has transferred to another school or has emigrated.
4. A student is in a special unit approved by the Department.
5. A student has a statement of special educational needs\*.
6. A student has been placed in the EOTAS scheme. – *Please note that only students placed in EOTAS through the Education Authority (formerly, Education and Library Board) referral service will be deemed ineligible.*
7. A student has serious welfare issues that have culminated in the inability to sit any examinations. - *Please indicate in the return if the student was referred to the Education Authority (formerly, Education and Library Board) or any other agency for support.*
8. A student has been withdrawn from the school with the consent of their parent/guardian. - *Students will only be deemed ineligible under this reason code if this return is accompanied by documentary evidence, such as a letter signed and dated by the parent/guardian. (DE Circular*

2015/02 provides advice on the removal of a student from the school register).

\* Note – Under reason 5 ('A student has a statement of special educational needs'), schools should exercise discretion in assessing the ineligibility of each statemented student on an individual basis.

### **B. Students who do not meet the criteria to be included in the 2014/15 academic year return**

Students may also be removed from the return if they fail to meet the criteria to be included.

These are students who:

1. have already been included in the SAER return in a previous academic year. For example, a student in year 15 who is in the final year of an A-level for the second time.
2. will be included in the SAER return in a future academic year. For example, a student who is in census year 12 but is studying in year 11 or a student in census year 14 who will not progress to the final year of their level 3 course of study until year 15.

In the event that a student is being removed from the performance return on the basis that they do not meet the criteria, it is necessary to indicate on the attached form the academic year in which this student has been/will be included in the return.

**If any of your students are ineligible for inclusion, or fail to meet the criteria for this return, they must be identified on the attached tables, along with additional supporting information.**

**All other year 12, 14 and 15 students recorded on the annual school census in October 2014 will be included in the SAER return later in the year.**

To facilitate this process, the names and UPNs of all year 12 and year 14/15 students enrolled at your school on census day (October 2015) are provided. An example of how to complete the tables is also included (on coloured paper) for reference purposes.

Please ensure that the table is carefully checked for accuracy and signed by the Principal.

Please complete and return the attached tables by **Thursday 9<sup>th</sup> June 2016**. Please sign and return the form **even in the case of a NIL return**.

Please retain a copy of your return for your own information.

If you have any issues with the creation and sending of the tables please contact me on (028) 9127 9259 or email me at [danielle.mcneill@education-ni.gov.uk](mailto:danielle.mcneill@education-ni.gov.uk)

Finally, you may wish to note that the proportion of year 12 students recorded as ineligible for examinations in your school will be included on the schools+ database on the Department of Education website which is available to the public.

Thank you for your continuing co-operation.

Yours sincerely,

*Danielle McNeill*  
Analytical Services Unit