



# Exams Policy

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## 1. Introduction and Context

- 1.1. North East Derbyshire Support Centre (also referred to as NEDSC), an AP Academy, is part of the Esteem Multi-Academy Trust. NEDSC is primarily a school for pupils who have been excluded from mainstream school, or who are at risk of exclusion from mainstream school. The school serves the north of Derbyshire across three sites.
- 1.2. NEDSC offers a broad and balanced curriculum that includes a range of qualifications, suited to the needs of individual pupils. At the core of the curriculum is the school's commitment to skill and personal development, and the preparation for working life.
- 1.3. NEDSC will follow the most recently published version of JCQ's Instructions for Conducting Exams (ICE) at all times, this covers preparation, how exams are conducted and after-exam procedures. Where this Policy conflicts with the latest ICE, the ICE should take precedence.

## 2. Equality Statement

- 2.1. NEDSC promotes equality of opportunity for diverse members of the school community, including, disabled pupils, staff, parents, women, men, and different racial groups within the school. All staff understand the school's commitment to the promotion of equality of opportunity for all pupils, parents and staff.
- 2.2. NEDSC will eliminate discrimination and harassment on the grounds of:
  - 2.2.1. Sex; race; disability; religion or belief; sexual orientation; gender reassignment; pregnancy or maternity
- 2.3. NEDSC has a policy of zero tolerance towards discrimination and harassment. We will have an embedded equalities curriculum, delivered to all pupils. NEDSC will promote positive attitudes towards disabilities and those with disabilities. Our school will encourage participation of disabled pupils, parents, staff and carers within the context of the school's admission's policy

## 3. Access to Fair Assessment

- 3.1. We aim to provide a variety of qualifications which provide all students with the opportunity to achieve their full potential by the most appropriate and direct route. Our assessment policy is based on the concepts of equality, diversity, clarity, consistency, and openness. We will endeavour to ensure that the assessment processes are implemented in a way which is fair and non-discriminatory.
- 3.2. Pupils are made aware of the contents of this policy and have access to it via the school website. All staff are made aware of the contents and purpose of this policy. This policy is reviewed annually and may be revised in response to feedback from pupils and their parents, staff and external organisations.
- 3.3. We will:
  - 3.3.1. ensure that all assessment of work is carried out fairly and in keeping with the awarding body's requirements
  - 3.3.2. ensure that all portfolio-based work will be assessed fairly against the qualification standards.
  - 3.3.3. teachers involved with assessment will be fully trained

- 3.3.4. ensure that internal assessments are carried out fairly, in accordance with the awarding body's instructions
- 3.3.5. Ensure that externally marked tests and exams will be conducted in accordance with the requirements of the awarding body
- 3.4. Pupils can expect:
  - 3.4.1. to be fully inducted onto any new course and access information
  - 3.4.2. that information will be shared with parents and carers wherever possible
  - 3.4.3. to be given appropriate assessment opportunities during a course, with feedback from teachers regarding the quality of the work
  - 3.4.4. that learning outcomes, performance criteria and expectations for learning and assessment are made clear at the start of the course. Such criteria will also be established with each assignment
  - 3.4.5. that all work will be marked within the time period stated when set
  - 3.4.6. Where equivalents and exemptions can be applied, we will ensure this is pursued with the relevant awarding body.
- 3.5. Cheating and Plagiarism
  - 3.5.1. A fair assessment of a pupil's work can only be made if that work is entirely the pupil's own. Therefore, pupils can expect an awarding body to be informed if:
    - 3.5.1.1. they are found guilty of copying or sharing information and answers (unless they are working jointly as part of a group project)
    - 3.5.1.2. they are use an unauthorised aid during a test or examination
    - 3.5.1.3. they copy another pupil's answers during a test or examination
    - 3.5.1.4. they attempt to communicate with other pupils during a test or examination
  - 3.5.2. All allegations of cheating and plagiarism will lead to a full investigation which will follow the guidance of the relevant awarding body. If a pupil feels that they have been wrongly accused of cheating or plagiarism, they should be referred to the Appeals Procedures set out in this Policy.

## **4. Taking a Register and Identifying Candidates**

- 4.1. NEDSC recognises that close attention must be paid to the completion of the attendance register. Failure to do so will affect an awarding body's ability to deliver an accurate set of results. The attendance register is a key part of the process of identifying candidates present in the examination room.
- 4.2. Whenever possible, a member of SLT or Site Lead will be present at the start of the examination to assist with the identification of candidates.

- 4.3. NEDSC will either use:
  - 4.3.1. a seating plan with pictures of each candidate; or
  - 4.3.2. have an alphabetic list of all candidates with pictures of each candidate, available in the exam room
- 4.4. Invigilators will be informed of those candidates with access arrangements and will be made aware of the access arrangement(s) awarded.
- 4.5. NEDSC will use an attendance register which lists:
  - 4.5.1. the centre number;
  - 4.5.2. details of the exam paper including tier and date of examination;
  - 4.5.3. candidate numbers and candidate names.
- 4.6. An invigilator will mark on the register whether candidates were present, absent or transferred. Where relevant, invigilators will be briefed before the exam regarding any candidates that have been transferred.
- 4.7. An invigilator will write on the attendance register the details of candidates who took the examination but are not shown on the register. It is separately the Exams Officer's job to make formal entries to the awarding body as soon as possible, if this has not already been done.
- 4.8. An invigilator will cross through the numbers and names of candidates who have been officially withdrawn from a paper or a subject but who are still shown on the register.
- 4.9. The attendance register will be taken as soon as practicable after the start of the exam. Absent candidates will then be contacted, by a member of staff not involved in the administration of the exam, as to their whereabouts.
- 4.10. The attendance register will be completed before the end of the examination. The attendance register will be used to check is made that all scripts have been collected.
- 4.11. NEDSC will keep a copy of the attendance register until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.
- 4.12. Any private/external candidate or a transferred candidate will be asked to show photographic documentary evidence to prove that he/she is the same person who entered/registered for the examination/assessment, e.g. a passport or photographic driving licence.
- 4.13. Where it is impossible to identify a candidate due to the wearing of religious clothing, such as a veil, the candidate will be approached by a member of staff of the same gender and taken to a private room where they should be politely asked to remove the religious clothing for identification purposes. NEDSC will inform candidates in advance of this procedure, well before their first examination. Once identification has been established, the candidate will be able to sit the examination wearing the religious clothing in question.

## 5. Secure Storage

- 5.1. NEDSC follows JCQ instructions for the safe and secure storage of examination materials.
- 5.2. Named key holders for the Secure Storage room are D Marlow (Deputy Headteacher, Exams Officer, SENDCo), S Sell (Assistant Headteacher, Site Lead), K Fowler (Receptionist), F Divine (Receptionist).
- 5.3. There is not enough space in NEDSC's secure room for the second pair of eyes check to take place in a dignified manner, whilst the Exams Officer remains in the room. To ensure compliance, therefore, the Exams Officer will make the first checks and record this on the JCQ suggested Form. The second pair of eyes check will take place in the same room after the Exams Officer has vacated the space and the second person can enter the room.
  - 5.3.1. The check will take place immediately before the question paper packet is opened in the Examination Room.
  - 5.3.2. If any packet needs to be split to make up sets for multiple rooms or sites, the split and check will be made in the Secure Store Room

## **6. Exam Access Arrangements (EAA)**

- 6.1. EAAs are designed for candidates with the required knowledge, understanding and skills, who are unable to demonstrate these in an assessment in its normal format due to a difficulty or disability.
- 6.2. EAAs should reflect the normal way of working for which there is evidence of need, unless such arrangements would affect the integrity of the assessment.
- 6.3. EAAs are intended to increase access to assessments but cannot be granted where they will directly affect performance in the skills that are the focus of the assessment. Credit is only given for skills demonstrated by the candidate working independently.
- 6.4. EAAs are not intended to give an unfair advantage.
- 6.5. EAAs will not be permitted if they compromise the assessment objectives of the Specification in question. EAAs may vary between subjects because different subjects and methods of assessments may have different demands. An alternative assessment route may be available within the Specification.
- 6.6. The Equality Act 2010 requires an awarding body to make reasonable adjustments where a candidate who is disabled within the meaning of the Equality Act 2010 would be at a substantial disadvantage in comparison to someone who is not disabled.
- 6.7. NEDSC will only apply for an EAA if it represents a student's normal way of working with evidence provided.
- 6.8. A reasonable adjustment may be unique to an individual and may not be included in the list of available access arrangement examples below:
  - 6.8.1. Supervised rest breaks
  - 6.8.2. Extra time
  - 6.8.3. Computer Reader
  - 6.8.4. Human Reader
  - 6.8.5. Computer Aided Scribe
  - 6.8.6. Human Scribe
  - 6.8.7. Word Processor
  - 6.8.8. Prompter
  - 6.8.9. Live speaker for pre-recorded examination components

- 6.8.10. Alternative site for the conduct of examinations
- 6.8.11. Facilities arrangements for candidates with physical disabilities
- 6.8.12. Bilingual translation dictionaries
- 6.8.13. Modified Exam Paper (e.g. coloured, enlarged paper, braille)

## 6.9. Evidence needed for Exam Access Arrangements

6.9.1. Various pieces of evidence are required to apply for an Exam Access Arrangement from JCQ, depending on the arrangement required. These include:

- 6.9.1.1. Form 8 Report from Access Arrangements Assessor for SEND K students
- 6.9.1.2. A student's EHC Plan and the information therein
- 6.9.1.3. Previous Access Arrangements from other schools
- 6.9.1.4. Evidence of the student's normal way of working through NEDSC Access Arrangements Observation forms
- 6.9.1.5. Results of standardised assessments

## 6.10. Staff roles in determining and managing EAA

### 6.10.1. Examinations Officer:

- 6.10.1.1. To ensure all administrative processes are accurately followed in order to meet JCQ regulations (or the relevant regulating body).
- 6.10.1.2. To conduct the application process for EAA, working closely with the SENDCo to ensure both SEND K and SEND E students have their needs identified, noted and supported.
- 6.10.1.3. To ensure that the agreed EAA provisions are in place for exams (both national and internal) and are communicated to the invigilators.
- 6.10.1.4. To ensure the agreed EAA provision is updated on Arbor in the Examinations Module / on each student's profile.
- 6.10.1.5. To manage any on the day questions and queries regarding EAA provision.
- 6.10.1.6. To put in place (in conjunction with the SENDCo) any on day provisions – such as medical emergencies.
- 6.10.1.7. To ensure students are roomed suitably for their Access Arrangement and to ensure zero disruption for other students also sitting exams.
- 6.10.1.8. To work with Teaching Staff to ensure this Policy below is successfully implemented.
- 6.10.1.9. To keep an up to date record of Access Arrangements granted

### 6.10.2. SENDCo:

- 6.10.2.1. To ensure there is a 'whole centre' approach to access arrangements it is therefore the responsibility of the Head of Centre, SLT, commissioned specialist assessor(s) and teaching staff to familiarise themselves with the latest JCQ guidance
- 6.10.2.2. The SENDCo, fully supported by teaching staff and SLT, will lead on the access arrangements process.
- 6.10.2.3. To work closely with the Examinations Officer to ensure this Policy are followed and completed.
- 6.10.2.4. To complete a SENDCo's File Note where relevant.
- 6.10.2.5. Teaching staff and SLT must support the SENDCO in determining and implementing appropriate access arrangements.
- 6.10.2.6. To work with Teaching Staff to ensure this Policy is successfully implemented.

### 6.10.3. Specialist Assessor:

- 6.10.3.1. To work with students, commissioned by their parents at the recommendation of NESC to do basic assessments, give strategies and build a picture of need and provision.
- 6.10.3.2. To administer recognised psychometric testing after gathering evidence from teachers, student interviews and classroom observations.
- 6.10.3.3. To assist the SENDCo in the decision-making process about EAA.

- 6.10.4. Teaching Staff:
- 6.10.4.1. To complete NEDSC Access Arrangements Observation forms in order to provide relevant information/evidence of the candidate's persistent and significant difficulties.
  - 6.10.4.2. To complete NEDSC Access Arrangements Observation forms in order to show how the candidate's disability/difficulty has impacted on teaching and learning in the classroom.
  - 6.10.4.3. To complete NEDSC Exam Access Arrangements Observation forms in order to detail the candidate's normal way of working within the centre, the support given and how this relates to the proposed arrangement.
  - 6.10.4.4. Working with the Examinations Officer and SENDCO to ensure that the correct EAA are in place for controlled assessments, NEAs, coursework and similar assessments as per subject Specifications.

6.11. Deadlines for making EAA applications

- 6.11.1. There is a JCQ deadline each year for making EAA applications. In order for deadlines to be met, the Examinations Officer will ensure all relevant staff are made aware of the date:
  - 6.11.1.1. Via distribution of the annually updated JCQ Advice (Appendix 1) to SLT and the SENDCO
  - 6.11.1.2. Via the SENDCO whom will inform relevant Teaching Staff
- 6.11.2. Starting from the time a student is referred to NEDSC it is the responsibility of the SENDCO to identify students whom will be regarded as SEND K or SEND E during their studies at NEDSC.
- 6.11.3. The SENDCO will work with teaching staff to identify needs which were either not identified during the School Application process, or which were not in existence / relevant at that point in time, for all students on roll.

6.12. Procedure for Medical Letters

- 6.12.1. Letters from medical professionals will trigger an investigation but the medical condition also needs to be supported by evidence from within the school otherwise it is considered malpractice. EAAs cannot be awarded purely on the basis of a medical letter.

6.13. Private Assessments

- 6.13.1. NEDSC may choose not to accept these as it is discriminatory against students who cannot afford a private report. We can only accept private reports as part of wider school evidence accumulated in the usual way as set out in this Policy.
- 6.13.2. A student's 'normal way of working' in school is paramount. EAAs cannot be awarded purely on the basis of a private assessment. In line with JCQ guidelines, where we choose to accept or reject a privately commissioned report from an external professional, the SENDCO will provide a written rationale to support this decision which will then be available for inspection purposes.

6.14. External Candidates

- 6.14.1. From time to time NEDSC may act as an Exam Centre for External Candidates. This Policy will be made available to the relevant parties, either:
  - 6.14.1.1. the parents for home-schooled students; or
  - 6.14.1.2. Head of Centre for candidates from non-JCQ approved schools.
- 6.14.2. The same time frames, regulations and spirit of fairness set out in this Policy will apply to External Candidates. It is the sole responsibility of the relevant parties identified in paragraph



23 above, to compile and verify the evidence required in order to apply for an EAA. Copies of the NEDSC Access Arrangements Observation forms will be made available.

- 6.14.3. The Examination Officer at Etz Chaim will make the final decision if the JCQ regulations have been correctly followed by the relevant parties identified in paragraph 23 above and there whether or not Etz Chaim can make the EAA application.

#### 6.15. The use of Laptops

- 6.15.1. Laptops cannot be simply be granted to a candidate because he/she now wants to type rather than write in examinations or can work faster on a keyboard, or because he/she uses a laptop at home. The word processor must reflect the candidate's normal way of working.

- 6.15.2. NEDSC follows JCQ regulations to determine that candidates who would benefit from the use of a word processor might have (this list is not exhaustive):

- 6.15.2.1. A learning difficulty which has a substantial and long-term adverse effect on their ability to write legibly
- 6.15.2.2. A medical condition (congenital, contracted or temporary)
- 6.15.2.3. A physical disability
- 6.15.2.4. A sensory impairment
- 6.15.2.5. Planning and organisational problems when writing by hand
- 6.15.2.6. Poor handwriting

- 6.15.3. The SENDCO will work with parents and teaching staff to identify students who meet the criteria set out above. It is the NEDSC policy that students are given access to Microsoft Word and PowerPoint to support their learning in a general way. It is Etz Chaim policy that students are given access to Read Aloud technology and/or Dictation technology within Office 365 or access to DocsPlus to address the specific learning difficulties as listed throughout this Policy. Teaching staff will provide the training required for students so that assistive technology is used as required for each student's individual needs and can thereby be their normal way of working.

- 6.16. NEDSC recognises that schools are regularly inspected to ensure they have followed JCQ regulations – usually in the spring or in the summer during the examination season. The consequences of malpractice can be severe. These may include disqualification for the student from one or more examinations, disqualification for a whole cohort of students, or even the Centre being closed down for up to 5 years. Examples of malpractice include:

- 6.16.1. Students being granted EAA which are not their normal way of working
- 6.16.2. EAA being 'suddenly' granted before examinations
- 6.16.3. EAA being granted when a student has no history of need or provision
- 6.16.4. EAA being granted without sufficient evidence
- 6.16.5. Students not using their EAA in a mock examination and still being allowed it in the real examination

## 7. Withdrawal of Qualification Statement

- 7.1. This policy aims to establish a clear process to be followed by the school in the event that a qualification is withdrawn. This Policy establishes the rationale and scope for withdrawals. The Policy clearly sets out how the school will protect the interests of its pupils in the event that a qualification is withdrawn.

- 7.2. This policy covers the following:

- 7.2.1. All qualification, units and informal awards offered by all recognised awarding bodies, including (but not limited to) ASDAN, AQA, NCFE, OCR, The RHS and Pearson.

- 7.2.2. All staff, qualification regulators, and pupils who are registered with the school.
- 7.3. There are a number of reasons why a qualification might be withdrawn by the school. These include:
  - 7.3.1. lack of demand for the qualification
  - 7.3.2. qualification no longer meets the needs of the student population
  - 7.3.3. qualification subject matter is no longer relevant
  - 7.3.4. units and qualifications are owned by other awarding organisations who have decided to withdraw
  - 7.3.5. lack of funding
- 7.4. The curriculum is regularly reviewed by the school's Senior Leadership Team (SLT). All qualifications are considered on their own merit, and with regard to their demand and suitability. The Deputy Headteacher holds the remit for curriculum development and review, and will make recommendations to the SLT. They will consider entry data, attainment levels, qualification relevance and regulatory changes.
- 7.5. In the event that a decision is made to withdraw a qualification, a report outlining the rationale for withdrawal will be provided, signed by the Headteacher. Upon the decision being made to withdraw a qualification, a withdrawal schedule will be drawn up. The schedule will comply with any requirements as stated by Ofqual and may include arrangements for pupils to complete programmes of work at an alternative school, centre or AP provider. The schedule will:
  - 7.5.1. specify how the interests of learners will be protected
  - 7.5.2. detail how the withdrawal will be communicated to the awarding organisation, regulatory authorities, centres and learners providing details of all deadlines including the last date for accepting entries and the last date for certification.
- 7.6. In some cases, it may be possible that the school withdraws delivery of a qualification whilst there are still active learners, as defined by the awarding body. Should this be the case, and where the qualifications and awarding body allow, the school will co-ordinate with the awarding body to find the next local provider to allow the active learners to complete the qualification.

## **8. Candidate Malpractice**

- 8.1. This Policy sets out to define the procedures to be followed in the event of any dispute or allegation regarding candidate malpractice in the assessment of internally marked qualifications and regarding examinations marked externally. This Policy stresses the principles of Fair Access as set out above.
- 6.2. Attempted or actual malpractice activity will not be tolerated. The following are examples of malpractice by candidates with regards to portfolio-based qualifications. This list is not exhaustive:
  - 6.2.1. Plagiarism: the copying and passing of as the candidate's own work, the whole or part of another person's work
  - 6.2.2. Collusion: working collaboratively with other learners to produce work that is submitted as the candidate's only
  - 6.2.3. Failing to abide by the instructions of an assessor – This may refer to the use of resources which the candidate has been specifically told not to use
  - 6.2.4. The alteration of any results document
- 6.3. If a teacher suspects a candidate of malpractice, the candidate will be informed, and the allegations will be explained. The candidate will have the opportunity to give their side of the story before any

final decision is made. If the candidate accepts that malpractice has occurred, he/she will be given the opportunity to repeat the assignment. If found guilty of malpractice following an investigation, the teacher may decide to re-mark previous assignments and these could also be rejected if similar concerns are identified.

- 6.4 If a teacher suspects a candidate of malpractice during an examination, the candidate will be informed, and the allegations will be explained. The candidate will have the opportunity to give their side of the story before any final decision is made. If the candidate is found guilty of malpractice, the Awarding Body will be informed. NEDSC will follow the procedures set out by the JCQ and / or Awarding Body as per the most up to date JCQ Guidelines.
- 6.5 If a malpractice decision is made, which the candidate feels is unfair, the candidate has the right to appeal to the Deputy Headteacher.

## **7 Staff Malpractice and Maladministration Policy**

- 7.2 This Policy sets out to define the procedures to be followed in the event of any dispute or allegation regarding staff malpractice in the assessment of internally marked qualifications and also regarding examinations invigilated by staff at the school and marked externally. This also covers maladministration.
- 7.3 This Policy sets out to define the procedures to be followed in the event of any dispute or allegation regarding candidate malpractice in the assessment of internally marked qualifications and regarding examinations marked externally.
- 7.4 Attempted or actual malpractice activity will not be tolerated. The following are examples of malpractice by staff with regards to NEAs, coursework or portfolio-based qualifications. This list is not exhaustive:
  - 7.4.1 Tampering with candidates work prior to external moderation/verification
  - 7.4.2 Assisting candidates with the production of work outside of the awarding body guidance
  - 7.4.3 Fabricating assessment and/or internal verification records or authentication statements
- 7.5 The following are examples of malpractice by staff with regard to examinations:
  - 7.5.1 Assisting candidates with exam questions outside of the awarding body guidance
  - 7.5.2 Allowing candidates to talk, use a mobile phone or go to the toilet unsupervised
  - 7.5.3 Tampering with scripts prior to external marking taking place.
- 7.6 Investigations into allegations will be coordinated by the Headteacher, who will ensure the initial investigation is carried out within ten working days. The person responsible for coordinating the investigation will depend on the qualification being investigated. The investigation will involve establishing the full facts and circumstances of any alleged malpractice. It should not be assumed that because an allegation has been made, it is true. Where appropriate, the staff member concerned and any potential witnesses will be interviewed and their version of events recorded. The member of staff will be:
  - 7.6.1 informed in writing of the allegation made against him or her informed what evidence there is to support the allegation
  - 7.6.2 informed of the possible consequences, should malpractice be proven given the opportunity to consider their response to the allegations
  - 7.6.3 given the opportunity to submit a written statement

- 7.6.4 given the opportunity to seek advice (as necessary) and to provide a supplementary statement (if required)
  - 7.6.5 informed of the applicable appeals procedure, should a decision be made against him/her
  - 7.6.6 informed of the possibility that information relating to a serious case of malpractice will be shared with the relevant awarding body and may be shared with other awarding bodies, the regulators Ofqual, the police and/or professional bodies
- 7.7 If work is submitted for moderation/verification or for marking which is not the candidate's own work, the awarding body may not be able to give that candidate a result.
- 7.8 Should the suspicion of staff malpractice arise, the school will investigate under its Disciplinary Policy. Should an allegation of malpractice against a member of staff be proven, the disciplinary panel may impose a sanction as set out in the policy. For matters of gross professional misconduct, the panel will have the option to dismiss a member of staff from their post.
- 7.9 Training and other special conditions, including supervision and additional moderation, may be considered as suitable actions to support staff, and to ensure their future involvement in the delivery of course content, internal and external assessments.
- 7.10 The member of staff may appeal any decision made against them, as set out in the disciplinary policy.
- 7.11 To mitigate against errors in administration, or maladministration, the entry record will be created by the Exams Officer and checked by a Site Lead or member of SLT before and after entry of candidates to any specified award. In the event of an error occurring, the awarding body will be notified immediately.

## **8 Conflicts of Interest**

- 8.1 A conflict of interest in this context can be defined as a situation that has the potential to undermine the impartiality of a tutor, assessor, and internal moderator because of a person's self-interest, professional interest or public interest.
- 8.2 Awarding bodies are required to be aware of any potential conflicts of interest that may impact on the outcomes of internal assessment and ultimately the award of a qualification. All staff will be made aware of the following examples of potential conflicts of interest, though this list is not exhaustive:
- 8.2.1 A member of staff works for a centre and a family member takes a qualification at the same centre
  - 8.2.2 A member of staff at the centre is completing a qualification delivered and assessed by the centre
  - 8.2.3 Tutor, assessor or internal moderator working with more than one centre or private training provider
  - 8.2.4 Tutor, assessor or internal moderator partaking in the appointment, promotion, supervision or evaluation of a person with whom they have family connections with
  - 8.2.5 A member of centre staff involved in the delivery or outcome of a qualification having a family connection with a registered learner or the learner's family
- 8.3 If aware of a conflict of interest, or the potential for there to be one, staff must make this known as soon as possible to the Headteacher or Deputy Headteacher. Issues will be dealt with on an individual basis, seeking to remove the conflict of interest and to ensure fair assessment for all candidates.

## 9 Student Appeals

- 9.1 This policy addresses the situation(s) where pupils may wish to appeal against a grade they have received for a qualification, including NEAs. Staff and pupils should access the JCQ publication A Guide to the Awarding Bodies' Appeals Processes for further support.
- 9.2 Pupils' NEA work should be produced and authenticated according to the requirements of the appropriate examination board. Where a set of work is divided between staff, consistency should be assured by internal moderation and standardisation. If a pupil believes that this may not have happened in relation to his/her work, he/she may make use of this appeals procedure. Note that appeals may only be made against the process that led to the assessment and not against the mark or grade.
- 9.3 After work has been assessed internally it is moderated by the awarding body to ensure consistency between centres. Such moderation frequently changes the marks awarded for internally assessed work. That is outside the control of the service and is not covered by this procedure.
- 9.4 All pupils at NEDSC have the right to make an appeal about any of the marks received for the qualifications they are undertaking. If any student wishes to appeal a decision, they should follow the following procedure within 10 working days of receiving the disputed decision:
- 9.4.1 speak to the member of staff responsible for teaching the qualification in the first instance about the reason they wish to appeal
  - 9.4.2 the member of staff has a responsibility to explain to the candidate why they received the grade/mark
  - 9.4.3 if the pupil is not satisfied with the explanation, the piece of work will be re-marked by another member of staff also involved with that qualification
  - 9.4.4 the pupil will be informed of the outcome of the re-marking by letter within 2 weeks of their original appeal.
- 9.5 If the pupil wants to continue the appeal, he/she needs to contact the Exams Officer, who will provide the student with information about the appeals procedure for the relevant awarding body and explain what is involved.
- 9.6 The Exams Officer will assist with the completion of any forms and will correspond with the awarding body on behalf of the student. Note that a student must have the support of the centre to be able to appeal against a result.
- 9.7 External Exam Appeals
- 9.7.1 In relation to appeals against the Academy's decision not to support a clerical check, review of marking, a review of moderation or an appeal, this procedure confirms the Academy's compliance with JCQ's General Regulations for Approved Centres 2020-21, Section 5.3 that the centre has in place "a written internal appeals procedure". This will manage disputes when a candidate disagrees with a centre decision not to support a clerical check, a review of marking, a review of moderation or an appeal.
- 9.7.2 Following the issue of results awarding bodies make post-result services available. Full details of these services, internal deadlines for requesting a service and fees charged are provided by the Exams Officer and will be made available on request.

- 9.7.3 If the Academy or a candidate (or his/her parent/carer) has a concern and believes a result may not be accurate, an enquiry about the result may be requested. Enquiries about results (EARs) offers three services:
- 9.7.4 Service 1 – clerical re-check.
- 9.7.5 Service 2 – review of marking.
- 9.7.6 Service 3 – review of moderation (this service is not available to an individual candidate).
- 9.8 Written candidate consent (informed consent via candidate email is acceptable) is required in all cases before a request for an EAR service 1 or 2 is submitted to the awarding body as with these services candidates' marks and subject grades may be lowered. Candidate consent can only be collected after the publication of results.
- 9.9 Any pupil who wants to query a mark/grade awarded by an Awarding Body upon issue of results should follow the following procedure:
- 9.10 Contact the Examinations Officer and the subject teacher as soon as possible (but at least 5 working days before the published deadline for EARs) in person to discuss mark/grade.
- 9.11 The Examination Officer will advise on the options available to query the mark/grade and the costs involved. Pupils should be aware that EARs can result in marks/grades being raised, confirmed or lowered. Pupils must sign a consent form to confirm that they understand the consequence of an EAR. Consent forms will be issued by the Examination Officer.
- 9.12 The subject teacher will review the students' marks/grades and discuss with the Deputy Headteacher to agree appropriate action. They will examine the breakdown of marks, the grade boundaries and the students' predicted grades. If the Academy agrees to support the EAR, the request, together with the students consent form, should be made in writing/email to the Examination Officer, before the published deadline for EARs.
- 9.13 The cost of the enquiry will be met by the Academy. If the Department does not agree to support the EAR:
- 9.13.1 A student may appeal against not to support an EAR. Appeals should be made in writing to the Examination Officer, at least 5 days before the published deadline for EARs. The appeal should state, in detail, the reason(s) for the appeal. This appeal should be signed and dated and should include the daytime contact telephone number of the student, parent or guardian. The appeal information will be reviewed by the Examination Officer and a member of the Senior Leadership team; the outcome of the appeal will be communicated by telephone and letter within 24hours of receipt. This decision is final.
- 9.13.2 If the Academy does not support the EAR the student may still proceed with the EAR but all cost involved will be paid by the pupil at the time the EAR is made. No EARs will be made until fees are paid. Requests must be made in person to the Examination Officer before the published deadline for EARs.
- 9.13.3 Outcomes following EARs will be forwarded by the Examinations Officer to the pupil and subject teacher as soon as they have been received from the Awarding Bodies. Following the EAR outcome, an external appeals process is available if the head of centre remains dissatisfied with the outcome and believes there are grounds for appeal. The JCQ publications Post-Results and

JCQ Appeals Booklet (A guide to awarding bodies' appeals processes) will be consulted to determine the acceptable grounds for a preliminary appeal.

- 9.14 Where the Headteacher is satisfied after receiving the EAR outcome, but the candidate (or his/her parent/carer) believes there are grounds for a preliminary appeal to the awarding body, a further internal appeal may be made to the Headteacher. Following this, the Headteacher's decision as to whether to proceed with a preliminary appeal will be based upon the acceptable grounds as detailed in the JCQ Appeals Booklet. Candidates or 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 5 calendar days of the notification of the outcome of the EAR. Subject to the Headteacher's decision, this will allow the centre to process the preliminary appeal and submit to the awarding body within the required 30 calendar days of receiving the outcome of the enquiry about results process.
- 9.15 Awarding body fees which may be charged for the preliminary appeal must be paid to the centre by the appellant before the preliminary appeal is submitted to the awarding body (fees are available from the exams officer). If the appeal is upheld by the awarding body, this fee will be refunded by the awarding body and repaid to the appellant by the Academy.
- 9.16 Please see the Appendices of this Policy for our Internal Appeals Form, Enquiries about Results and Appeals Candidate Consent Form, Access to Scripts Candidate Consent Form and Complaints & Appeals Log.

## **10 Staff Recruitment, Induction and Development**

- 10.1 North East Derbyshire Support Centre is an AP Academy, and part of the Esteem Multi-Academy Trust. As such, school policies and practice regarding the recruitment and development of staff are rigorous and are reinforced by Trust policy.
- 10.2 The school only employs qualified teachers, and all teaching assistants are SLTAs with the skill and expertise to work independently with small groups and individuals. Owing to the nature of our work as a provider of alternative provision, all staff are highly skilled and are experts in working with challenging behaviours. All recruitment is conducted under the Trust's safer recruitment practice and all recruitment processes are supported by a member of staff trained in safer recruitment.
- 10.3 All staff receive a significant induction experience, which covers curriculum, teaching and learning, behaviour and safeguarding in depth. All staff new to a particular awarding body or qualification will have the appropriate level of training which could include, but is not limited to, the following:
- 10.3.1 specific training from the awarding body
  - 10.3.2 attendance at regional meetings of the awarding body
  - 10.3.3 INSET and CPD to keep their knowledge and skills development up to date
  - 10.3.4 training and support from NEDSCs awarding body coordinator.

## **11 Partnership Working Statement**

- 11.1 NEDSC works closely with local mainstream schools to provide dual-registered placements to young people at risk of exclusion. We will therefore liaise with local schools on the needs of pupils, and for the purposes of support and moderation, where said schools also offer ASDAN qualifications.

- 11.2 The organisation, delivery, and assessment of ASDAN programmes and qualifications will remain the individual responsibility of the candidates' main registered school. Staff with responsibility for coordinating ASDAN programmes at each school may attend meetings jointly, for example with the regional lead, or will report back to other schools if only one representative is in attendance.

## **12 Internal Moderation and Prior Learning**

- 12.1 Internal moderation (taken in the Policy to also cover the processes of internal standardisation and internal verification) is carried out to ensure that assessment methods are consistent across staff and qualifications, and that outcomes are fair to all students. Evidence of a robust internal moderation system will be required at external moderation and for audit purposes, therefore, there must be reliable and auditable record-keeping systems in place.

- 12.2 It is the responsibility of all staff to participate in the Moderation process by keeping the necessary records, attending relevant meetings and submitting marked candidate work as requested by the awarding body and to set deadlines.

- 12.3 All assessment evidence that has been internally moderated must be kept on site until after the external moderation. The work remains the property of the candidate and can be returned to the candidate according to the requirements of the relevant awarding organisation.

- 12.4 The aim of this policy is to ensure that:

- 12.4.1 internal moderation practices are valid and reliable, cover all tutors/assessors and meet the requirements of the awarding organisation
- 12.4.2 the internal moderation procedures are fair and open
- 12.4.3 accurate and detailed records are kept of internal moderation decisions

- 12.5 The school will:

- 12.5.1 ensure that all assessment activities are valid, appropriate and fit for purpose
- 12.5.2 apply a strategy that will provide a representative sample across all tutor/assessors
- 12.5.3 create a plan of internal moderation in relation to all assessment activities
- 12.5.4 define, maintain and support effective internal moderation roles, including the provision of training where required
- 12.5.5 provide standardised documentation to support internal moderation activity and record-keeping
- 12.5.6 ensure that feedback and outcomes of internal and external moderation support future development of good practice
- 12.5.7 carry out an annual evaluation and review of internal moderation policy and procedures

- 12.6 Internal Moderation processes will alter according to awarding body requirements for the particular subject in question. Set out below is an example of how robust and transparent the process must be:

- 12.6.1 A first round of formative internal moderation to be conducted with colleagues teaching the subject across the school
- 12.6.2 All student work will be moderated if numbers < 5
- 12.6.3 One copy of the feedback sheet to be given to the assessor, one to be stored centrally in the centre portfolio for auditable purposes
- 12.6.4 A meeting held to discuss issues arising from first round of internal moderation. Minutes taken



- 12.6.5 A second round of formative internal moderation to be conducted. Documentation to be copied as before and stored in centre portfolio
  - 12.6.6 Any action noted by IM on first round to be checked and signed off. Meeting held to discuss issues arising
  - 12.6.7 Prior to submission of marks, the Co-ordinator to establish candidates and units to be put forward for external moderation (as required)
  - 12.6.8 Summative internal moderation to be conducted
  - 12.6.9 Arrangements to be made for External Moderation
  - 12.6.10 External moderation takes place
  - 12.6.11 Meeting to be arranged to discuss feedback from External Moderation and plan put in place to address any issues arising
- 12.7 In the case of some awarding bodies a Review and Feedback process will be followed. In the first instance, feedback of ongoing and completed work will be given to students as part of regular formative assessment as they progress through the qualification / award.
- 12.8 Following each round of internal moderation, a review meeting will be held, and feedback will be given to tutors and assessors, and to candidates where necessary.
- 12.9 After external moderation has taken place, a review meeting will be held. Feedback will be given to tutors and assessors and an action plan will be put in place to further develop practice and address any issues arising.
- 12.10 At the end of each academic year, a curriculum review will be held involving staff and students. Responses will be gathered via questionnaire and used to continually improve standards and outcomes.
- 12.11 NEDSC recognises that recognition of prior learning is optional for Centres. Due to the nature of our school and our relatively limited curriculum, this Policy anticipates that it is very unlikely such a circumstance would arise for an NEDSC student.
- 12.12 In the case of students who have started courses with an NEA component prior to joining NEDSC, and where that course is delivered at NEDSC, the school will make every effort to contact the candidate's previous school to enquire about the existence of such work.
- 12.13 Where a candidate's previous school indicates that NEA work does exist and was produced in line with the awarding body's requirements, NEDSC will ask for the work to be brought to school in a secure manner preferably by a member of staff from the candidate's previous school, or if not then by recorded delivery.
- 12.14 In the case of Pearson qualifications, NEDSC will follow the procedures and processes set out in the Pearson Recognition of Prior Learning and Process Policy.

## Emergency Evacuation Procedure for Examinations

- 12.15 The following procedure shows consideration towards the Joint Council for Qualifications (JCQ) regulations in the event of an emergency evacuation during an external exam. NEDSC will keep up to date with the JCQ's document 'Centre Emergency Evacuation Procedure'. This document will be kept in a prominent place in all Exam Rooms and the procedure will supersede the arrangements set out below in the situation where there are contradictory protocols:
- 12.16 The invigilator must take the following action in an emergency such as a fire alarm or a bomb alert:
- 12.16.1 Stop the candidates from writing
  - 12.16.2 Advise candidates to leave all question papers and scripts on the desk
  - 12.16.3 If it is safe to do so and there is a low number of candidates, the invigilator must consider collecting and taking the exam papers from the room so that the candidates can continue the exam in alternative location
  - 12.16.4 Evacuate the room in accordance with usual evacuation procedures to the meeting point in the car park
  - 12.16.5 Candidates should leave the room in silence
  - 12.16.6 Candidates must be closely supervised to ensure there is no discussion about the exam
  - 12.16.7 Record the time of the interruption and how long it lasted
  - 12.16.8 Allow the candidates the full working time set for the examination
  - 12.16.9 Make a full report of the incident and of the action taken, and send to the relevant awarding body
  - 12.16.10 Where the centre is concerned about the security of the examination; advice should be sought from the awarding body as soon as it is safe to do so
  - 12.16.11 Where candidates are unable to return to the building, the relevant awarding body must be contacted immediately for advice, to ensure candidates who are unable to complete the examination, due to circumstances beyond their control, are not disadvantaged
  - 12.16.12 Where the emergency is a bomb scare, the threat must be reported immediately to the police on 999. Guidance will be followed in accordance with the document – <https://www.gov.uk/government/publications/bomb-threats-guidance/procedures-for-handling-bomb-threats>

## 13 Contingency Planning

- 13.1 The Academy always operates on the basis that it will open unless overnight weather/other conditions are so extreme that there would be significant risk to students and staff getting to school. We recognise that there may be unforeseen circumstances that could lead to the Academy, or a Site, being closed. Such examples may include a localised flood, a police incident, electrical failure – this list is not exhaustive.
- 13.2 The Academy has multiple sites. If one site only is out of bounds, examinations will move to a site that remains open, with parents/carers being informed. The Centre will use its discretion to permit late candidates to sit the exam. JCQ late procedures will be fully followed including form VLA.
- 13.3 Where weather/other conditions have a significant effect on the number of staff and students that can reach school, a decision not to open is made as early as possible on the relevant morning.
- 13.4 Local media outlets (Peak Radio, Radio Sheffield and Radio Hallam) are contacted immediately. The school website is updated and text messages sent to all staff and parents.
- 13.5 If there are timetabled examinations scheduled on a day when bad weather/other conditions are a factor, the centre has a contingency team of staff who come to school whatever the weather/other conditions, to ensure that the timetabled examinations will go ahead, the Academy may only be open to candidates sitting timetabled examinations. This is following advice and recommendation from the JCQ (Joint Council for Qualifications) that:

***“Wherever possible, the examinations should be conducted according to the centre’s published examination timetable” and “It is important to note that rescheduling the examinations is not an option due to the consequences that this would have across the system”***

13.6 The process will include:

- Staff on the contingency team will receive a text to come into school and should make their way in;
- Local media advised that timetabled examinations at the centre will be going ahead;
- Website updated each day to give instructions;
- Texts to parents/carers that centre is open and examinations going ahead;
- Start times may be able to be delayed if a number of candidates are late due to possibility of local transport disruption (permission/advice will be sought from the awarding bodies each session);
- Candidates are expected to make the effort to come to sit their examination, but see below if some individual candidates are unable to reach the centre:

***“Where candidates are entered for examinations but this is not their terminal (final) examination series, they may be entered again. Where candidates are sitting units as part of their terminal examination series or no further re-sit opportunity is available, then an application for Special Consideration may be made. The candidate must meet the published criteria for the Special Consideration as indicated in the JCQ publication”.***

- 13.7 Candidates must not rely on “Special Consideration” to make up for missing a paper, there are strict criteria which apply and not everyone will be eligible (this should be discussed with their subject teachers).
- 13.8 It is possible that some individuals may be able to sit their papers at another Centre, however this will be advised on a daily basis, provided that another Centre is willing to accept transferred candidates.

- 13.9 If for any reason the Academy is unable to open for examinations due to circumstances beyond its control, this be communicated via text, email, local media and, where practical, by telephone.
- 13.10 The decision to close a particular Academy site, or the whole Academy, rests with the Headteacher at all times, after due consideration and relevant advice taken.
- 13.11 Responsibilities

Activity	Staff responsible
Announcement of closure of Centre	Head Teacher
Updates to the Website	Business Support Team
Communication to local Radio Stations before 7.00 a.m.	Head Teacher/Business Manager
Notifying staff *	Head Teacher
Notifying pupils*	Business Support Team
Contingency team to act as invigilators	
Access to papers, exam material in absence of Exam Officers.	Assistant Headteacher
Contact exam boards if no access to papers	Exams Officer / Headteacher

#### EXAM BOARDS

JCQ	Exams Office Support	0207 638 4135
AQA	Exams Office Support	0800 197 7162
EDEXCEL	Exams Office Support	0344 463 2535
OCR	Exams Office Support	01223 552 556

## 14 Assessment Procedures and Risk Management

- 14.1 NEDSC provides its pupils with the opportunity to take a range of qualifications which require various different forms of assessment. These include controlled assessments and other non-examination assessments.
- 14.2 Controlled assessment and non-examination assessment are forms of internal assessment which measure subject specific knowledge and skills which cannot be tested by timed written papers. For controlled assessments, control levels are set for each stage of the assessment process: task setting; task taking and task marking.
- 14.3 Depending on the level of control defined within the specification, controlled assessments may take place for example:
- 14.3.1 In a normal timetabled lesson
  - 14.3.2 Entirely within the centre under supervision with controlled access to resources; or
  - 14.3.3 Outside the centre and involve research with limited supervision.
- 14.4 Controlled assessment and non-examination assessment may take place at any time during the course. However, tasks issued to candidates must be appropriate to the year in which the assessment will be submitted to the awarding body.
- 14.5 The Joint Council for Qualifications (JCQ) requires all centres to have a policy which shows regard to the management of controlled assessments and the management of non-examination assessment. Inspectors may check at any time that such a policy has been put in place.

14.6 This policy aims to ensure that:

- 14.6.1 Statutory regulations relating to controlled assessments and non-examination assessments are met.
- 14.6.2 Procedures are in place to ensure that controlled assessments and non-examination assessments are managed consistently, efficiently and effectively throughout the academy.
- 14.6.3 Responsibility and accountability for the various tasks associated with the above are clearly defined.
- 14.6.4 Colleagues have clear guidelines on how to manage various issues and difficulties that may arise during the controlled assessment or non-examination assessment process.

14.7 In order to meet these objectives, members of staff will be responsible for the following aspects of management and organisation.

14.7.1 Headteacher

- 14.7.1.1 Accountable for the safe and secure conduct of controlled assessments and non-examination assessments. Ensure assessments comply with JCQ guidelines and awarding bodies' subject-specific instructions.

14.7.2 Deputy Headteacher

- 14.7.2.1 Be familiar with JCQ instructions for conducting controlled assessments and non-examination assessments and the detailed requirements of the relevant awarding body specification(s) for all subjects and ensuring that these are implemented.
- 14.7.2.2 At the start of the academic year, begin coordinating with core teachers to schedule controlled assessments and non-examination assessments. It is advisable that controlled assessments and non-examination assessments be spread throughout the academic years of key stage 4 where permitted within course regulations.
- 14.7.2.3 Map overall resource management requirements for the year. As part of this resolve: clashes / problems over the timing or operation of controlled assessments and non-examination assessments, and issues arising from the need for facilities (rooms, IT networks, time out of school etc.)
- 14.7.2.4 Create, publish and update an internal appeals policy for controlled assessments and non-examination assessments.
- 14.7.2.5 Ensure access arrangements have been applied for.
- 14.7.2.6 Ensure that the exams officer and teaching staff are informed of candidates with particular needs/access arrangements at the start of an examined course, or as soon as possible thereafter, so that appropriate arrangements can be made in lessons. Advise on the implementation of access arrangements when required. Liaise with the exams officer to ensure the completion of the relevant JCQ forms.
- 14.7.2.7 Ensure PCs and laptops meet the guidelines set out by JCQ.
- 14.7.2.8 Organise ICT technical assistance when required.

14.7.3 Core Teachers

- 14.7.3.1 Understand and comply with the general guidelines contained in the JCQ publications Instructions for conducting controlled assessments and Instructions for conducting non-examination assessments.

- 14.7.3.2 Understand and comply with the awarding body specification for conducting controlled assessments, including any subject-specific instructions, teachers' notes or additional information on the awarding body's website.
- 14.7.3.3 Ensure that pupils are aware of the controlled assessment or non-examination assessment task requirements and know the assessment criteria they are expected to meet.
- 14.7.3.4 In discussion with the Deputy Headteacher, decide on the awarding body and specification for a particular GCSE.
- 14.7.3.5 Ensure that Controlled assessment and Non-Examination Assessment tasks issued to candidates are appropriate to the year in which assessment will be submitted to the awarding body.
- 14.7.3.6 Ensure that non-examination assessment tasks set by the centre are consistent with the assessment criteria detailed in the specification and that they are accessible to candidates.
- 14.7.3.7 Standardise (where necessary) internally the marking of all teachers involved in assessing an internally assessed component and ensure that records of this process are kept.
- 14.7.3.8 Ensure that individual teachers understand their responsibilities with regard to controlled assessment and non-examination assessment.
- 14.7.3.9 Ensure that individual teachers understand the requirements of the awarding body's specification and are familiar with the relevant teachers' notes, and any other subject specific instructions.
- 14.7.3.10 Attend relevant meetings or training, especially when facilitated by the awarding body.
- 14.7.3.11 Where appropriate, develop new assessment tasks or contextualize sample awarding body assessment tasks to meet local circumstances, in line with awarding body specifications and control requirements.
- 14.7.3.12 Ensure that confidential materials/tasks set by awarding bodies are obtained in sufficient time to prepare for the assessment(s) and ensure that such materials are stored securely at all times.
- 14.7.3.13 Supply to the exams officer details of all unit codes for controlled assessments and non-examination assessments.
- 14.7.3.14 Supply to the exams officer mark sheets for completed controlled assessments or non-examination assessments.
- 14.7.3.15 Check to ensure that any ICT requirements are in place and have been tested before controlled assessments or non-examination assessments take place.
- 14.7.3.16 Ensure that deadlines for controlled assessments and non-examination assessments are clear and are shared with all relevant staff, pupils and, where appropriate, their parents/carers.
- 14.7.3.17 Ensure that assessment materials and candidates' work are kept in secure conditions at all times. In the case of work stored electronically, this will include protection from corruption. (If work is stored on memory sticks, these should be backed up and locked away after each session.)
- 14.7.3.18 Ensure that informed consent of parents/carers has been obtained if photographs/images of candidates or other pupils are submitted.
- 14.7.3.19 Organise with the exams officer, the submission of candidates' work for moderation, keeping a record of the names and examination numbers of those candidates whose work is included in the moderation sample.
- 14.7.3.20 Supervise assessments (at the specified level of control). Undertake the tasks required under the regulations, only permitting assistance to students as the specification allows.
- 14.7.3.21 Ensure that pupils and supervising teachers sign authentication forms on completion of an assessment.
- 14.7.3.22 Mark internally assessed components using the mark schemes provided by the awarding body.
- 14.7.3.23 Submit marks through the exams officer to the awarding body when required, keeping a record of the marks awarded.

- 14.7.3.24 Ensure that pupils are aware of the controlled assessment or non-examination assessment task requirements and know the assessment criteria they are expected to meet.
- 14.7.3.25 Check that candidates using electronic storage facilities only introduce permitted material into the assessment environment.
- 14.7.3.26 Keep a record for each controlled assessment or non-examination assessment session, indicating date, time, duration, supervision arrangements and details of any incidents.
- 14.7.3.27 Post-completion, retain candidates' work securely until the closing date for enquiries about results. In the event that an enquiry is submitted, retain candidates work securely until the outcome of the enquiry and any subsequent appeal has been conveyed to the centre.
- 14.7.3.28 Liaise with the DEPUTY HEADTEACHER for any assistance required for the administration and management of access arrangements.

#### 14.7.4 Specialist Teaching and Learning Assistants

- 14.7.4.1 Understand and comply with the general guidelines contained in the JCQ publications Instructions for conducting controlled assessments and Instructions for conducting non-examination assessments.
- 14.7.4.2 Understand and comply with the awarding body specification for conducting controlled assessments, including any subject-specific instructions, teachers' notes or additional information on the awarding body's website.
- 14.7.4.3 Supervise assessments (at the specified level of control). Undertake the tasks required under the regulations, only permitting assistance to students as the specification allows.
- 14.7.4.4 Ensure that pupils and supervising teachers sign authentication forms on completion of an assessment.
- 14.7.4.5 Retain candidates' work securely between assessment sessions (if more than one).
- 14.7.4.6 Check that candidates using electronic storage facilities only introduce permitted material into the assessment environment.

#### 14.7.5 Exams Officer

- 14.7.5.1 Be familiar with JCQ instructions for conducting controlled assessments and non-examination assessments.
- 14.7.5.2 Enter pupils for individual units, whether assessed by controlled assessment, external exam or on-screen test, before the deadline for final entries.
- 14.7.5.3 Enter pupils' 'cash-in' codes for the terminal exam series.
- 14.7.5.4 Where confidential materials are directly received by the exams' office, to be responsible for receipt, safe storage and safe transmission, whether in digital, CD or hard copy format.
- 14.7.5.5 Ensure that candidates' work is stored in secure conditions when necessary.
- 14.7.5.6 Download and distribute mark sheets for teaching staff to use and collect and send mark sheets to awarding bodies before deadlines.
- 14.7.5.7 On the few occasions where controlled assessment cannot be conducted in the classroom arrange suitable accommodation where controlled assessment can be carried out, at the direction of the Deputy Headteacher.
- 14.7.5.8 Organise in liaison with the core teachers, the submission of candidates' work for moderation, keeping a record of the names and examination numbers of those candidates whose work is included in the moderation sample.
- 14.7.5.9 Liaise with Access Arrangements Assessor(s) to ensure the completion of the relevant JCQ forms for access arrangements and other concessions.

#### 14.7.6 Management of issues and potential risks associated with non-examination assessments:

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
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Task setting		
Awarding Body Set Task: It Failure/Corruption Of Task Details Where Set Task Details Accessed From The Awarding Body Online	Awarding Body Key Date For Accessing/Downloading Set Task Noted Prior To Start Of Course It Systems Checked Prior To Key Date Alternative It System Used To Gain Access Awarding Body Contacted To Request Direct Email Of Task Details	Teacher  Deputy Headteacher Teacher Exams Officer
Centre Set Task: Subject Teacher Fails To Meet The Assessment Criteria As Detailed In The Specification	Ensures That Subject Teachers Access Awarding Body Training Information, Practice Materials Etc.	Deputy Headteacher
Candidates Do Not Understand The Marking Criteria And What They Need To Do To Gain Credit	A Simplified Version Of The Awarding Body's Marking Criteria Described In The Specification That Is Not Specific To The Work Of An Individual Candidate Or Group Of Candidates Is Produced For Candidates. Candidates Confirm They Understand The Marking Criteria	Teacher
Subject Teacher Long Term Absence During The Task Setting Stage	Subject specialist supply staff to be sought; timetable changes to be made where possible to use the subject specialist skills of Academy Staff.	Deputy Headteacher
Issuing Of Tasks		
Task For Legacy Specification Given To Candidates Undertaking New Specification	Ensures Subject Teachers Take Care To Distinguish Between Requirements/Tasks For Legacy Specifications And Requirements/Tasks For New Specifications Awarding Body Guidance Sought Where This Issue Remains Unresolved	Deputy Headteacher
Awarding Body Set Task Not Issued To Candidates On Time	Awarding Body Key Date For Accessing Set Task As Detailed In The Specification Noted Prior To Start Of Course Course Information Issued To Candidates Contains Details When Set Task Will Be Issued And Needs To Be Completed By Set Task Accessed Well In Advance To Allow Time For Planning, Resourcing And Teaching	Teacher  Teacher  Teacher
The Wrong Task Is Given To Candidates	Ensures Course Planning And Information Taken From The Awarding Body's Specification Confirms The Correct Task Will Be Issued To Candidates Awarding Body Guidance Sought Where This Issue Remains Unresolved	Deputy Headteacher
Subject Teacher Long Term Absence During The Issuing Of Tasks Stage	Subject specialist supply staff to be sought; timetable changes to be made where possible to use the subject specialist skills of Academy Staff.	Deputy Headteacher
Task Taking		
Supervision		
Planned Assessments Clash With Other Centre Or Candidate Activities	Assessment Plan Identified For The Start Of The Course Assessment Dates/Periods Included In Centre Wide Calendar	Deputy Headteacher



Rooms Or Facilities Inadequate For Candidates To Take Tasks Under Appropriate Supervision	Timetabling Organised To Allocate Appropriate Rooms And It Facilities For The Start Of The Course Staggered Sessions Arranged Where It Facilities Insufficient For Number Of Candidates Close Site To Pupils Who Are Not Taking Assessment.	Deputy Headteacher
Insufficient Supervision Of Candidates To Enable Work To Be Authenticated	Confirm Subject Teachers Are Aware Of And Follow The Current Jcq Publication Instructions For Conducting Non-Examination Assessments And Any Other Specific Instructions Detailed In The Awarding Body's Specification In Relation To The Supervision Of Candidates Confirm Subject Teachers Understand Their Role And Responsibilities As Detailed In The Centre's Non-Examination Assessment Policy	Deputy Headteacher
A Candidate Is Suspected Of Malpractice Prior To Submitting Their Work For Assessment	Instructions And Processes In The Current JCQ Publication Instructions For Conducting Non-Examination Assessments (Chapter 9 Malpractice) Are Followed An Internal Investigation And Where Appropriate Internal Disciplinary Procedures Are Followed	Deputy Headteacher & Exams Officer
Access Arrangements Were Not Put In Place For An Assessment Where A Candidate Is Approved For Arrangements	Relevant Staff Are Signposted To The Jcq Publication A Guide To The Special Consideration Process (Chapter 2), To Determine The Process To Be Followed To Apply For Special Consideration For The Candidate	Deputy Headteacher & Exams Officer
<b>Advice And Feedback</b>		
Candidate Claims Appropriate Advice And Feedback Not Given By Subject Teacher Prior To Starting On Their Work	Process Is In Place As Part Of The Centre's Quality Assurance Procedures Regular Monitoring Of Subject Teacher Completed Records And Sign-Off To Confirm Monitoring Activity Full Records Kept Detailing All Information And Advice Given To Candidates Prior To Starting On Their Work As Appropriate To The Subject And Component Candidate Confirms/Records Advice And Feedback Given Prior To Starting On Their Work	Deputy Headteacher  Deputy Headteacher Teacher  Teacher
Candidate Claims No Advice And Feedback Given By Subject Teacher During The Task-Taking Stage	Process Is In Place As Part Of The Centre's Quality Assurance Procedures Regular Monitoring Of Subject Teacher Completed Records And Sign-Off To Confirm Monitoring Activity Full Records Kept Detailing All Advice And Feedback Given To Candidates During The Task-Taking Stage As Appropriate To The Subject And Component Candidate Confirms/Records Advice And Feedback Given During The Task-Taking Stage	Deputy Headteacher  Deputy Headteacher Teacher  Teacher
A Third Party Claims That Assistance Was Given To Candidates By The Subject Teacher Over And Above That Allowed In The Regulations And Specification	An Investigation Is Conducted; Candidates And Subject Teacher Are Interviewed And Statements Recorded Where Relevant Records As Detailed Above Are Provided To Confirm All Assistance Given Where Appropriate, A Suspected Malpractice Report Is Submitted To The Awarding Body	Headteacher  Deputy Headteacher Exams Officer

Candidate Does Not Reference Information From Published Source	Candidate Is Advised At A General Level To Reference Information Before Work Is Submitted For Formal Assessment	Teacher
	Candidate Is Again Referred To The Jcq Document Information For Candidates: Non-Examination Assessments	Teacher
	Candidate's Detailed Record Of His/Her Own Research, Planning, Resources Etc. Is Regularly Checked To Ensure Continued Completion	Teacher
Candidate Does Not Set Out References As Required	Candidate Is Advised At A General Level To Review And Re-Draft The Set Out Of References Before Work Is Submitted For Formal Assessment	Teacher
	Candidate Is Again Referred To The Jcq Document Information For Candidates: Non-Examination Assessments	Teacher
	Candidate's Detailed Record Of His/Her Own Research, Planning, Resources Etc. Is Regularly Checked To Ensure Continued Completion	Teacher
Candidate Joins The Course Late After Formally Supervised Task Taking Has Started	A Separate Supervised Session(S) Is Arranged For The Candidate To Catch Up	Teacher
Candidate Moves To Another Centre During The Course	Awarding Body Guidance Is Sought To Determine What Can Be Done Depending On The Stage At Which The Move Takes Place	Exams Officer
An Excluded Student Wants To Complete His/Her Non-Examination Assessment(S)	The Awarding Body Specification Is Checked To Determine If The Specification Is Available To A Candidate Outside Mainstream Education If So, Arrangements For Supervision, Authentication And Marking Are Made Separately For The Candidate	Exams Officer Deputy Headteacher
<b>Resources</b>		
A Candidate Augments Notes And Resources Between Formally Supervised Sessions	Preparatory Notes And The Work To Be Assessed Are Collected In And Kept Secure Between Formally Supervised Sessions	Teacher
	Where Memory Sticks Are Used By Candidates, These Are Collected In And Kept Secure Between Formally Supervised Sessions	Teacher
	Where Work Is Stored On The Centre's Network, Access For Candidates Is Restricted Between Formally Supervised Sessions	Teacher
A Candidate Fails To Acknowledge Sources On Work That Is Submitted For Assessment	Candidate's Detailed Record Of His/Her Own Research, Planning, Resources Etc. Is Checked To Confirm All The Sources Used, Including Books, Websites And Audio/Visual Resources	Teacher
	Awarding Body Guidance Is Sought On Whether The Work Of The Candidate Should Be Marked Where Candidate's Detailed Records Acknowledges Sources Appropriately	Exams Officer
	Where Confirmation Is Unavailable From Candidate's Records, Awarding Body Guidance Is Sought And/Or A Mark Of Zero Is Submitted To The Awarding Body For The Candidate	Exams Officer
<b>Word And Time Limits</b>		

A Candidate Is Penalised By The Awarding Body For Exceeding Word Or Time Limits	Records Confirm The Awarding Body Specification Has Been Checked To Determine If Word Or Time Limits Are Mandatory Where Limits Are For Guidance Only, Candidates Are Discouraged From Exceeding Them Candidates Confirm/Record Any Information Provided To Them On Word Or Time Limits Is Known And Understood	Teacher Teacher Teacher
Collaboration And Group Work		
Candidates Have Worked In Groups Where The Awarding Body Specification States This Is Not Permitted	Awarding Body Specification Has Been Checked To Determine If Group Work Is Permitted Awarding Body Guidance Sought Where This Issue Remains Unresolved	Teacher Exams Officer
Authentication Procedures		
A Teacher Has Doubts About The Authenticity Of The Work Submitted By A Candidate For Internal Assessment  Candidate Plagiarises Other Material	Subject Staff Are Made Aware Of The Jcq Document Teachers Sharing Assessment Material And Candidates' Work Records Confirm That Candidates Have Been Issued With The Current Jcq Document Information For Candidates: Non-Examination Assessments Candidates Confirm/Record That They Understand What They Need To Do To Comply With The Regulations For Non-Examination Assessments As Outlined In The Jcq Document Information For Candidates: Non-Examination Assessments The Candidate's Work Is Not Accepted For Assessment A Mark Of Zero Is Recorded And Submitted To The Awarding Body	Deputy Headteacher  Deputy Headteacher  Teacher
Candidate Does Not Sign Their Authentication Statement/Declaration	Declaration Is Checked For Signature Before Accepting The Work Of A Candidate For Formal Assessment	Teacher
Subject Teacher Not Available To Sign Authentication Forms	Ensures A Centre-Wide Process Is In Place For Subject Teachers To Sign Authentication Forms At The Point Of Marking Candidates Work As Part Of The Centre's Quality Assurance Procedures	Deputy Headteacher
Presentation Of Work		
Candidate Does Not Fully Complete The Awarding Body's Cover Sheet That Is Attached To Their Worked Submitted For Formal Assessment	Cover Sheet Is Checked To Ensure It Is Fully Completed Before Accepting The Work Of A Candidate For Formal Assessment	Teacher
Keeping Materials Secure		
Candidates Work Between Formal Supervised Sessions Is Not Securely Stored	Subject Teachers Are Aware Of And Follow Current Jcq Publication Instructions For Conducting Non-Examination Assessments Regular Monitoring Ensures Subject Teacher Use Of Appropriate Secure Storage	Teacher  Deputy Headteacher
Adequate Secure Storage Not Available To Subject Teacher	Alternative Secure Storage Sourced Where Required	Deputy Headteacher

Task Marking – Externally Assessed Components		
A Candidate Is Absent On The Day Of The Examiner Visit For An Acceptable Reason	Awarding Body Guidance Is Sought To Determine If Alternative Assessment Arrangements Can Be Made For The Candidate If Not, Eligibility For Special Consideration Is Explored And A Request Submitted To The Awarding Body Where Appropriate	Deputy Headteacher & Exams Officer
A Candidate Is Absent On The Day Of The Examiner Visit For An Unacceptable Reason	The Candidate Is Marked Absent On The Attendance Register	Exams Officer
Task Marking – Internally Assessed Components		
A Candidate Submits Little Or No Work	Where A Candidate Submits No Work, The Candidate Is Recorded As Absent When Marks Are Submitted To The Awarding Body Where A Candidate Submits Little Work, The Work Produced Is Assessed Against The Assessment Criteria And A Mark Allocated Appropriately; Where The Work Does Not Meet Any Of The Assessment Criteria A Mark Of Zero Is Submitted To The Awarding Body	Teacher  Teacher
A Candidate Is Unable To Finish Their Work For Unforeseen Reason	Relevant Staff Are Signposted To The Jcq Publication A Guide To The Special Consideration Process (Chapter 5), To Determine Eligibility And The Process To Be Followed For Shortfall In Work	Exams Officer
The Work Of A Candidate Is Lost Or Damaged	Relevant Staff Are Signposted To The Jcq Publication A Guide To The Special Consideration Process (Chapter 5), To Determine Eligibility And The Process To Be Followed For Lost Or Damaged Work	Exams Officer
Candidate Malpractice Is Discovered	Instructions And Processes In The Current Jcq Publication Instructions For Conducting Non-Examination Assessments (Chapter 9 Malpractice) Are Followed Investigation And Reporting Procedures In The Current Jcq Publication Suspected Malpractice In Examinations And Assessments Are Followed Appropriate Internal Disciplinary Procedures Are Also Followed	Deputy Headteacher & Exams Officer  Deputy Headteacher
A Teacher Marks The Work Of His/Her Own Child	A Conflict Of Interest Is Declared By Informing The Awarding Body That A Teacher Is Teaching His/Her Own Child At The Start Of The Course Marked Work Of Said Child Is Submitted For Moderation Whether Part Of The Sample Requested Or Not	Deputy Headteacher  Exams Officer
An Extension To The Deadline For Submission Of Marks Is Required For A Legitimate Reason	Awarding Body Is Contacted To Determine If An Extension Can Be Granted Relevant Staff Are Signposted To The Jcq Publication A Guide To The Special Consideration Process (Chapter 5), To Determine Eligibility And The Process To Be Followed For Non-Examination Assessment Extension	Exams Officer Exams Officer
After Submission Of Marks, It Is Discovered That The Wrong Task Was Given To Candidates	Awarding Body Is Contacted For Guidance Relevant Staff Are Signposted To The Jcq Publication A Guide To The Special Consideration Process (Chapter 2), To Determine Eligibility And The Process To Be Followed To Apply For Special Consideration For Candidates	Exams Officer

<p>A Candidate Wishes To Appeal The Marks Awarded For Their Work By Their Teacher</p>	<p>Candidates Are Informed Of The Marks They Have Been Awarded For Their Work Prior To The Marks Being Submitted To The Awarding Body  Candidates Are Informed Of Their Marks  Candidates Are Informed That These Marks Are Subject To Change Through The Awarding Body's Moderation Process  Candidates Are Informed Of Their Marks Prior To The Internal Deadline Set By The Exams Officer For The Submission Of Marks  Through The Candidate Exam Handbook, Candidates Are Made Aware Of The Centre's Internal Appeals Procedures And Timescale For Submitting An Appeal Prior To The Submission Of Marks To The Awarding Body</p>	<p>Teacher   Teacher  Teacher   Deputy Headteacher   Deputy Headteacher</p>
<p>Deadline For Submitting Work For Formal Assessment Not Met By Candidate</p>	<p>Deadline Given And Understood By Candidates At The Start Of The Course  Candidates Confirm/Record Deadlines Known And Understood  Depending On The Circumstances, Awarding Body Guidance Sought To Determine If The Work Can Be Accepted Late For Marking Providing The Awarding Body's Deadline For Submitting Marks Can Be Met   Decision Made (Depending On The Circumstances) If The Work Will Be Accepted Late For Marking Or A Mark Of Zero Submitted To The Awarding Body For The Candidate</p>	<p>Teacher   Teacher   Exams Officer   Deputy Headteacher</p>
<p>Deadline For Submitting Marks And Samples Of Candidates Work Ignored By Subject Teacher</p>	<p>Internal/External Deadlines Are Published At The Start Of Each Academic Year  Reminders Are Issued Through Senior Leaders/Subject Heads As Deadlines Approach  Deadlines Known And Understood By Subject Teachers  Where Appropriate, Internal Disciplinary Procedures Are Followed</p>	<p>Deputy Headteacher   Deputy Headteacher   Headteacher</p>
<p>Subject Teacher Long Term Absence During The Marking Period</p>	<p>Subject specialist supply staff to be sought; timetable changes to be made where possible to use the subject specialist skills of Academy Staff; to work in partnership with local schools to use any subject specialist staff that may be willing to support the Academy during this period.</p>	<p>Deputy Headteacher</p>

# Appendices

# Internal Appeals Form

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

Please tick to indicate what the appeal is against:

- Internally assessed marks  
 The centre decision not to support an enquiry about results (EAR)  The outcome of an enquiry about results.

<b>Name of appellant</b>		<b>Candidate name (if different to appellant)</b>	
<b>Awarding Body</b>		<b>Exam Paper Code</b>	
<b>Subject</b>		<b>Exam Paper Title</b>	

Please state the grounds for your appeal below :

Continue overleaf if necessary

## Appeal against internally assessed marks

### 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 assessment process not against the mark to be 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 Exams Officer, on behalf of the head of centre, to the timescale indicated in the internal appeals procedure.

## ENQUIRIES ABOUT RESULTS AND APPEALS

### Candidate Consent Form

#### Information for candidates

**The following information explains what may happen following an enquiry about a result and any subsequent appeal.**

If your school or college makes an enquiry about a result (review of the original marking) and a subsequent appeal, for one of your examinations after your subject grade has been issued, there are three possible outcomes:

- Your original mark is lowered, so your final grade may be lower than the original grade you received.
- Your original mark is confirmed as correct, so there is no change to your grade.
- Your original mark is raised, so your final grade may be higher than the original grade you received.

In order to proceed with the enquiry about results, you must sign the form below. This tells the head of your school or college that you have understood what the outcome might be, and that you give your consent to the enquiry about results being made.

#### Candidate consent form

<b>Centre Number</b>	<b>Centre Name</b>
<b>Candidate Number</b>	<b>Candidate Name</b>

Details of enquiry (Awarding Body, Qualification level, Subject title, paper/unit)

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I give my consent to the head of my examination centre to make an enquiry about the result of the examination(s) listed above. In giving consent I understand that the final subject grade awarded to me following an enquiry about the result and any subsequent appeal may be lower than, higher than, or the same as the grade which was originally awarded for this subject.

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

**This form should be retained on the centre's files for a least six months following the outcome of the enquiry about results or any subsequent appeal.**



## ACCESS TO SCRIPTS

Candidate Consent Form for access to and use of examination scripts

<b>Centre Number</b>	<b>Centre Name</b>
<b>Candidate Number</b>	<b>Candidate Name</b>
<b>Subject</b>	

I consent to my scripts being accessed by my centre/

Tick **ONE** of the boxes below:

- If any of my scripts are used in the classroom I do not wish anyone to know it is mine. My name and candidate number must be removed.
- If any of my scripts are used in the classroom I have no objection to other people knowing they are mine.

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

**This form should be retained by the Academy for at least six months.**

# Complaints & Appeals Log

On receipt, all appeals will be assigned a reference number and logged.

The outcome of any reviews of the centre's marking 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 review of the centre's marking bring any irregularity in procedures to light, the awarding body will be informed immediately.

Ref No	Date received	Complaint or Appeal	Outcome	Outcome date