

OUSEDALE SCHOOL
EXAMS POLICY
including Controlled Assessment/Non Exam Assessment
Procedures

1.0 Purpose

1.1 The purpose of this policy is to ensure the:

- Planning and management of exams , non exam assessment and controlled assessment is conducted efficiently and in the best interest of candidates;
- Operation of an efficient exam system with clear guidelines for all relevant staff.

1.2 It is the responsibility of everyone involved in the centre's exam processes to read, understand and implement this policy, including its appendices.

2.0 Exam Responsibilities

2.1 The Headteacher has overall responsibility for the school as an exam centre:

- Advises on appeals and re-marks;
- Is responsible for reporting all suspicions or actual incidents of malpractice.

2.2 The Exams Officer manages the administration of public and internal exams:

- Advises the senior leadership team (SLT), subject and class tutors and other relevant support staff on annual exam timetables and application procedures as set by the various awarding bodies;
- Oversees the production and distribution to staff and candidates of an annual calendar for all exams in which candidates will be involved and communicates regularly with staff concerning imminent deadlines and events;
- Ensures 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 is completed on time and in accordance with JCQ (Joint Council for Qualifications) guidelines;
- Provides and confirms detailed data on estimated entries;
- Receives, checks and stores securely all exam papers and completed scripts;
- Administers access arrangements and makes applications for special consideration using the JCQ publications Access arrangements, reasonable adjustments and special consideration;
- Identifies and manages exam timetable clashes;
- Accounts for income and expenditures relating to all exam costs/charges;

- Organise the recruitment, training and monitoring of a team of exams invigilators responsible for the conduct of exams;
- Submits candidates' coursework marks, tracks dispatch and stores returned coursework and any other material required by the appropriate awarding bodies correctly and on schedule;
- Arranges for dissemination of exam results and certificates to candidates and forwards, in consultation with the SLT, any appeals/review of marking requests;
- Maintains systems and processes to support the timely entry of candidates for their exams.

3.0 Qualifications Offered

3.1 The qualifications offered are approved qualifications at levels 1, 2 and 3.

3.2 The subjects offered for these qualifications in any academic year may be found in the centre's published option booklets for that year. If there has been a change of syllabus from the previous year, the exams office must be informed by the end of the summer term prior to the new course starting.

4.0 Exam Series And Timetables

4.1 Exam seasons:

- Internal exams and assessments are scheduled within schemes of work and in line with the Assessment Calendar;
- External exams and assessments are scheduled in November, January/March (IFS exams/BTECE External Assessment), May and June;
- On-demand tests can be scheduled only in windows agreed between the Exams Officer and Senior Assistant Headteacher.

4.2 Timetable

- Once confirmed, the exams officer will circulate the exam timetable for internal exams and external exams.

5.0 Entries, Entry Details and Late Entries

- Candidates are selected for their exam entries by the heads of department, with recommendations from subject teachers;
- All decisions regarding exam entries lie with the school
- Candidates or parents/carers can request a subject entry, change of level or withdrawal, but the school make the final decision;
- The decision whether or not to accept entries from external candidates or act as an exam centre for other organisations lies with the Senior Assistant Headteacher;
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- Entry deadlines are circulated to Heads of Department via Email and Internal Post/Pigeon hole;
- Late entries are authorised by the Exam Officer and Senior Assistant Headteacher;

- Decisions on whether a candidate should be entered for a particular subject will be taken in consultation with the Candidates, Parents/Carers, SENDCo, subject teachers, Head of Department and Senior Assistant Headteacher;
- Parents have to pay for the re-entry of any external exam.
- Parents/Guardians are responsible for confirmation and signing of entries;
- Retake decisions will be made in consultation with Candidates, subject teachers, Exams Officer and Heads of Department

6.0 Exam Day Responsibilities

Heads of Department and those delegated by them may in the exam room:

- Start and finish exams, including reading the paper rubric at the start of the exam;
- Assist with the identification of candidates;
- Deal with any disciplinary matters;
- Check that candidates have been issued with the correct question paper, (particularly where optional or tiered papers are involved);
- Check that candidates have the appropriate equipment and materials for the examination;
- Identify whether the candidates have been prepared for the set texts highlighted on the question paper.

6.1 Teachers must not:

- Sit and read the examination question paper in the exam room;
- Enter the exam room, uninvited, with the sole intention of accessing the examination question paper;
- Have access to the examination question papers unless this is specifically requested by either the exams officer or an invigilator. For example, a possible printing error has been identified and, in the absence of an erratum notice, the exams officer needs this verified by the relevant subject teacher before escalating the issue to the awarding body;
- Give any indication of their opinion of a question paper to candidates, verbally or otherwise, having been asked to inspect the content;
- Communicate with candidates, except in Art timed tests, Science Practical examinations and controlled assessment, or when maintaining discipline in the exam room;
- Enter the exam room and approach candidates, either to prompt them to make an attempt at the examination or to provide support and encouragement;
- Enter the exam room and read candidates' scripts.

6.2 The SEND Coordinator (SENDCo) is responsible for:

- Identification of candidates needing additional support;
- Access arrangements;
- Provision of additional support - with spelling, reading, mathematics, dyslexia, hearing impairment, English for speakers of other languages, IT equipment - to help candidates achieve their course aims.

6.3 Invigilators are responsible for:

- Taking the register and informing the exam officer if any student(s) is/are missing;

- Ensuring the exam takes place in accordance with the guidelines set;
- Providing students with appropriate stationery;
- Collecting exam papers and other material from the exams office before the start of the exam;
- Collection of all exam papers in the correct order at the end of the exam and their return to the exams office.

7.0 Exam Fees

- 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;
- Late entry or amendment fees are paid by the Centre, unless the request is made by the candidate;
- Fee reimbursements are not sought from candidates who fail to sit an exam for medical circumstances, as long as they are able to provide a doctors note for the exam period.

8.0 Equality Act

8.1 Equality Act:

- All exam centre staff must ensure that they meet the requirements of the Equality Act 2010
- The centre will meet the requirements of the Equality Act by ensuring that the exams centre is accessible and provision made where necessary to accommodate the needs of any child with a known disability.

8.2 Access Arrangements:

- The SENDCo will inform subject teachers of candidates with special educational needs who are embarking on a course leading to an exam, and the date of that exam. The SENDCo can then inform individual staff of any special arrangements that individual candidates can be granted during the course and in the exam;
- A candidate's access arrangements requirement is determined by the SENDCo;
- Making access arrangements for candidates to take exams is the responsibility of both the SENDCo and Exams Officer;
- Submitting completed access arrangement applications to the awarding bodies is the responsibility of the SENDCo;
- Rooming for access arrangement candidates will be arranged by the SENDCo with the exams officer;
- Invigilation and support for access arrangement candidates will be organised by the SENDCo and the exams officer.

9.0 Managing Invigilators

9.1 Managing Invigilators:

- Support and external staff are used to invigilate examinations;

- Invigilators will be used for internal and external exams;
- Recruitment and training of invigilators is the responsibility of the exams officer;
- Securing the necessary Disclosure and Barring Service (DBS) clearance for new invigilators is the responsibility of the Personnel Officer. DBS fees for securing such clearance are paid by the centre;
- Invigilators are timetabled, briefed and trained by the exams officer.
- Where the Awarding Body requires it the centre will observe all new invigilators on their first invigilation of an assessment related to the qualification overseen by that Awarding Body and annually thereafter. These observations shall be recorded using the Awarding Body's supplied form and completed forms then retained for audit purposes.

9.2 Malpractice

- The Headteacher is responsible for investigating suspected malpractice.

9.3 Exam Days

- The exams officer will book all exam rooms after liaison with other users and make the question papers, other exam stationery and materials available for the invigilator;
- Site management is responsible for setting up the allocated rooms;
- The lead nominated teacher will start all exams in accordance with JCQ guidelines;
- In practical exams subject teachers will be on hand in case of any technical difficulties;

10.0 Candidates

10.1 Candidates

- The centre's published rules on acceptable dress, behaviour and candidates' use of mobile phones and other 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 are expected to stay for the full exam time at the discretion of the exams officer or senior invigilator;
- Candidates may only leave the exam room for a genuine purpose and are required to return immediately to the exam room. They will be accompanied by a member of staff at all times;
- The exams officer is responsible for handling late or absent candidates on exam day or subsequently.

10.2 Clash Candidates

- The exams officer will be responsible as necessary for supervising escorts, identifying a secure venue and arranging overnight stays.

10.3 Special Consideration

- Should a candidate be ill before an exam, suffer bereavement or other trauma, be taken ill during the exam itself or otherwise disadvantaged or disturbed during an exam, then it is the candidate's responsibility to alert the centre, the exams officer, or the exam invigilator, to that effect;
- The candidate must support any special consideration claim with appropriate evidence before the end of the exam season, for example by providing a letter from the candidate's doctor;
- The exams officer will then forward a completed special consideration form to the relevant awarding body.

11.0 Internal Controlled Assessments / Non Exam Assessments And Appeals

11.1 Internal Controlled Assessments / Non Exam Assessments and Appeals

- Internal controlled assessment/Non Exam Assessments/Coursework is defined as any work on a topic which has been set either by an awarding body, or the centre for a current or future examination series
- It is the duty of the Curriculum Middle Leaders to ensure that all internal assessment is ready for dispatch at the correct time. The exams officer will assist by keeping a record of each dispatch, including the recipient details and the date and time sent;
- It is the responsibility of the Curriculum Middle Leaders to store safely and securely non-examination assessments, including controlled assessments, coursework or portfolios, retained in, or returned to, the centre up to and including the deadline for the submission of enquiries about results and until any enquiry or malpractice investigation has been resolved.
- Marks for all internally assessed work are provided to the exams office by the Curriculum Middle Leaders.

11.2 Appeals Against Internal Assessments

- The process for managing appeals against internal assessments is detailed in a separate appeals policy, available from the exams officer.

12.0 Results, Enquiries About Results (EARs) And Access To Scripts (ATS)

12.1 Results, Enquiries About Results (EARs) And Access To Scripts (ATS)

- Candidates will receive individual result slips on results days, either in person at the centre or by post to their home addresses (candidates to provide self addressed envelope);
- The provision of staff on results days is the responsibility of the exams officer.

12.2 EARs (Enquiry About Result(s))

- EARs may be requested by centre staff or candidates if there are reasonable grounds for believing there has been an error in marking. The candidate's consent is required before any EAR is requested;
- If a result is queried, the Headteacher, exams officer and teaching staff will investigate the feasibility of asking for a review of marking at the centre's expense;

- When the centre does not support a candidate's or parent's request for 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;
- After the release of results, candidates may ask subject staff to request the return of papers within one day's scrutiny of the results;
- Centre staff may also request scripts for investigation or for teaching purposes. For the latter, the consent of candidates must be obtained.
- It is the responsibility of the Curriculum Middle Leaders to ensure that when GCSE and GCE scripts that have been returned under access to scripts arrangements are no longer required, they are disposed of in a confidential manner, but no earlier than the dates specified by the awarding bodies.

13.0 Certificates

- Certificates are presented in person and collected and signed for;
- Certificates can be collected on behalf of a candidate by third parties, provided they have been authorised to do so;
- Certificates are withheld from candidates who owe fees.
- The centre retains certificates for 6 years;
- A transcript of results may be issued if a candidate agrees to pay the costs incurred.

14.0 Monitoring And Evaluation

14.1 This policy is monitored on a triennial basis behalf of the governing body by the Governors' Learning & Curriculum Committee.

14.2 Policies which should be read in conjunction with this policy are:

- Charging and Remissions;
- Staff Discipline Policy;
- Complaints Policy and Procedure.
- Disability Access Plan

Reviewed by Learning & Curriculum Committee on 13th March 2017
 To Full Governing Body 29th March 2017
 Next Review March 2020

APPENDIX A: EXAM CONTINGENCY PLAN

1.0 Purpose of the plan

This plan examines potential risks and issues that could cause disruption to the management and administration of the exam process at Ousedale School. By outlining actions/procedures to be invoked in case of disruption it is intended to mitigate the impact these disruptions have on our exam process.

Alongside internal processes, this plan is informed by scenarios contained in the *Joint contingency plan in the event of widespread disruption to the examination system in England, Wales and Northern Ireland*.

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

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

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

2.1 Criteria for implementation of the plan:

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

Planning

- Annual data collection exercise not undertaken to collate information on qualifications and awarding body specifications being delivered.
- Annual exams plan not produced identifying essential key tasks, key dates and deadlines.
- Sufficient invigilators not recruited and trained.

Entries

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

Pre-exams

- Exam timetabling, rooming allocation; and invigilation schedules not prepared.
- Candidates not briefed on exam timetables and awarding body information for candidates.
- Exam/assessment materials and candidates' work not stored under required secure conditions.
- Internal assessment marks and samples of candidates' work not submitted to awarding bodies/external moderators.

Exam time

- Exams/assessments not taken under the conditions prescribed by awarding bodies.
- Required reports/requests not submitted to awarding bodies during exam/assessment periods e.g. very late arrival, suspected malpractice, and special consideration.
- Candidates' scripts not dispatched as required to awarding bodies.

Results and post-results

- Access to examination results affecting the distribution of results to candidates.
- Facilitation of the post-results services.

2.2 Centre actions:

- Responsibility will fall to the Assistant Exam Officer.

3.0 SENDCo extended absence at key points in the exam cycle

3.1 Criteria for implementation of the plan:

Key tasks required in the management and administration of the access arrangements process within the exam cycle not undertaken including:

Planning

- Candidates not tested/assessed to identify potential access arrangement requirements.
- Evidence of need and evidence to support normal way of working not collated

Pre-exams

- Approval for access arrangements not applied for to the awarding body.
- Modified paper requirements not identified in a timely manner to enable ordering to meet external deadline.
- Staff providing support to access arrangement candidates not allocated and trained.

Exam time

- Access arrangement candidate support not arranged for exam rooms.

3.2 Centre actions:

- Responsibility will fall to the SLT Link.

4.0 Teaching staff extended absence at key points in the exam cycle

4.1 Criteria for implementation of the plan:

Key tasks not undertaken including:

- Early/estimated entry information not provided to the exams officer on time; resulting in pre-release information not being received.
- Final entry information not provided to the exams officer on time; resulting in:
 - Candidates not being entered for exams/assessments or being entered late.
 - Late or other penalty fees being charged by awarding bodies.
- Internal assessment marks and candidates' work not provided to meet submission deadlines.

4.2 Centre actions:

- The Exam Officer to ensure all information is requested from Middle Leaders or other members of relevant department.
- Information to be accessed by the MIS system.

5.0 Invigilators - lack of appropriately trained invigilators or invigilator absence

5.1 Criteria for implementation of the plan:

- Failure to recruit and train sufficient invigilators to conduct exams.
- Invigilator shortage on peak exam days.
- Invigilator absence on the day of an exam.

5.2 Centre actions:

- The Exam Officer to confirm with existing invigilators their availability and recruit where necessary at the start of the academic year.
- Invigilator training to take place before Trial exams in December.
- Invigilators absent on the day of the exam will be replaced by the School Cover Supervisors.

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

6.1 Criteria for implementation of the plan:

- Exams officer unable to identify sufficient/appropriate rooms during exams timetable planning.
- Insufficient rooms available on peak exam days.
- Main exam venues unavailable due to an unexpected incident at exam time.

6.2 Centre actions:

- All exam venues to be given priority, therefore all rooms available for exams.
- Relocate to the School's Sixth Form Centre (Newport Pagnell Campus) and the Sports Hall (Olney Campus) in the event of main venues being unavailable on the day.
- The Exam Officer to inform relevant exam board(s) of any delays to the start of exam.

7.0 Failure of IT systems

7.1 Criteria for implementation of the plan:

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

7.2 Centre actions:

- All entries to be made at least 5 days before final entry deadline.

- School IT Department and CAPITA to resolve failure issues, if they cannot be resolved on results release day the Exam Officer/Assistant Exam Officer to download results direct from the relevant exam board(s).

8.0 Disruption of teaching time – centre closed for an extended period

8.1 Criteria for implementation of the plan:

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

8.2 Centre actions:

- Head of Centre to communicate with parents, carers and students about the potential for disruption to teaching time and the school's plan to address this.

9.0 Candidates unable to take examinations because of a crisis – centre remains open

9.1 Criteria for implementation of the plan:

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

9.2 Centre actions:

- The Exam Officer to communicate with relevant exam board(s) at the outset to make them aware of the issue.
- The Exam Officer to communicate with parents, carers and candidates regarding solutions to the issue.

10.0 Centre unable to open as normal during the exams period

10.1 Criteria for implementation of the plan:

- Centre unable to open as normal for scheduled examinations.

10.2 Centre actions:

- Exam Officer to inform each exam board with which examinations are due to be taken as soon as is possible.
- Relocate exams to second site (Ousedale is a dual campus school).

11.0 Disruption in the distribution of examination papers

11.1 Criteria for implementation of the plan:

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

11.2 Centre actions:

- The Exam Officer to communicate with relevant exam board(s) and organise an alternative delivery of papers.

12.0 Disruption to the transportation of completed examination scripts

12.1 Criteria for implementation of the plan:

- Delay in normal collection arrangements for completed examination scripts.

12.2 Centre actions:

- The Exam Officer to communicate with relevant exam board(s) at the outset to resolve the issue.

13.0 Assessment evidence is not available to be marked

13.1 Criteria for implementation of the plan:

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

13.2 Centre actions:

- Head of Centre to communicate this immediately to the exam board(s) and subsequently to students and their parents or carers.

14.0 Centre unable to distribute results as normal

14.1 Criteria for implementation of the plan:

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

14.2 Centre actions:

- Exam Officer to contact exam board(s) about alternative options.

15.0 Further guidance to inform and implement contingency planning:

Ofqual

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

JCQ

- General regulations.
- Guidance on alternative site arrangements.
- Instructions for conducting examinations.
- A guide to the special consideration process.

GOV.UK

- Emergencies and severe weather: schools and early years settings.
- Teaching time lost due to severe weather conditions.
- Dispatch of exam scripts guide: Ensuring the service runs smoothly; Contingency planning.

APPENDIX B: CONTROLLED ASSESSMENT/NON EXAM ASSESSMENT PROCEDURES

1.0 Introduction

- 1.1 Controlled assessment/Non exam assessment is a form of internal assessment where the control levels (High, Medium or Low) are set for each stage of the assessment process: task setting, task taking and task marking. In some subjects, work will be marked by the awarding body. For most subjects however, work will be marked by the centre and moderated by the awarding body.

2.0 Roles and Responsibilities

- 2.1 The Deputy Head Curriculum will:

- Ensure, on behalf of the Headteacher, that each department carries out controlled assessment in accordance with the instructions issued by the Joint Council for Qualifications (JCQ);
- Co-ordinate, with Heads of Department, a schedule for controlled assessment/non exam assessment to take place;
- Map overall resource management requirements for the year. As part of this resolve:
 - Clashes/ problems over the timing or operation of controlled assessments/non exam assessments;
 - Issues arising from the need for particular facilities (rooms, IT networks, time out of school etc);
- Ensure all staff, students and parents have access to a calendar of events.

- 2.2 Heads of Department will ensure:

- The safe and secure conduct of controlled assessment/non exam assessment in their area and comply with JCQ guidelines and awarding bodies' subject-specific instructions;
- Overall assessment (controlled, non exam and/or external assessment) is taken in the exam series in which the qualification is certificated;
- All marking is standardised;
- All teachers in each department understand their responsibilities with regard to controlled assessment/non exam assessment and are familiar with the contents of the JCQ publication "*Instructions for conducting controlled assessments and non exam assessments*";
- Individual teachers understand the requirements of the awarding body's specification, particularly the level of control required, and are familiar with the relevant teachers' notes, and any other subject specific instruction;
- There is a clear policy in the department handbook on the carrying out of controlled assessment/non exam assessment and appropriate staff training takes place on an annual basis;
- All confidential materials, together with the work produced by the candidates, are stored securely at all times. Secure storage is defined as a secure locked steel cabinet, a metal cabinet or similar;
- Support Staff are given sufficient notice in which to order and prepare materials needed for assessments;

- The Special Educational needs Co-ordinator (SENDCo) is informed about any assistance required for the administration and management of access arrangements;
- In the case of formal supervision (high level of control) candidates do not have access to e-mail, the internet, *mobile phones* or any other electronic devices;
- Where videos or photographs/images of the candidates are to be included as part of the controlled assessment consent is obtained from parents/carers/guardians;
- A log is kept which contains:
 - The date and time of each assessment together with its title;
 - The name of the supervising teacher;
 - A list of candidates who were present during the assessment;
 - A list of any absent candidates;
 - A log of any incidents which occurred during the assessment is kept for each controlled assessment.

2.3 Teaching staff must:

- Comply with the general guidelines contained in the JCQ publication *“Instructions for conducting controlled assessments and non exam assessments”*;
- Understand and comply with the awarding body specification for conducting controlled assessments/non exam assessments, including any subject-specific instructions, teachers’ notes or additional information on the awarding body’s website;
- Obtain confidential materials/tasks set by awarding bodies in sufficient time to prepare for the assessment(s) and ensure that such materials, together with the work produced by the candidates, are stored securely at all times;
- Supervise assessments (**at the specified level of control**) and undertake the tasks required under the regulations, only permitting assistance to students as the specification allows;
- Ensure that students and supervising teachers sign authentication forms on completion of an assessment;
- Mark internally assessed components using the mark schemes provided by the awarding body. Submit marks to the TLR holder at the date required, keeping a record of the marks awarded;
- Retain candidates’ work securely between assessment sessions (if more than one);
- 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.

2.4 The Exams Officer will:

- Enter students for individual units, whether assessed by controlled assessment, external exam or on-screen test, before the deadline for final entries;
- Enter students' 'cash-in' codes for the exam series;
- Take responsibility for receipt, safe storage and safe transmission, whether in CD, digital or hard copy format;
- Download and distribute mark sheets for teaching staff to use, and collect and send mark sheets to awarding bodies before deadlines;
- On the few occasions where controlled assessment/non exam assessment cannot be conducted in the classroom arrange suitable accommodation where

controlled assessment can be carried out, at the direction of the Senior Assistant Headteacher Curriculum;

- Ensure all documents from the JCQ relative to controlled assessment are put on to the T: Drive in the 'Exams' folder;

2.5 Special Educational needs Co-ordinator will:

- Ensure access arrangements have been applied for;
- Work with teaching staff to ensure requirements for support staff are met.

3.0 Good Practice

- At the start of a formal sessions of controlled assessment/non exam assessment candidates will be reminded to turn their phone off and disable alarms;
- Staff are encouraged to go through the JCQ *Notice to Candidates* (for controlled assessments) at the start of each assessment and ensure that they fully understand the penalties incurred in the case of any kind of malpractice.

4.0 Student Malpractice

The Headteacher will:

- Report to the appropriate awarding body at the earliest opportunity all suspicions or actual incidents of malpractice;
- If the irregularity is discovered prior to the candidate signing the declaration of authentication form investigate any alleged malpractice internally and record the outcome on the authentication form supplied by the awarding body;
- If the irregularity is identified after the candidate has signed the declaration of authentication, the Headteacher will submit full details of the case to the relevant awarding body at the earliest opportunity;
- Supervise all investigations resulting from an allegation of malpractice;
- Ensure that if it is necessary to delegate an investigation to a member of staff, the member of staff chosen is independent, and not connected to the department 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, as this is in the best interests of centre staff, candidates and any others involved.

5.0 Teacher Malpractice

- The school will carry out an investigation where it is evident that a teacher has helped a child with their controlled assessment/non exam assessment beyond the guidelines contained within each specification;
- Where there is malpractice it will be dealt with under the disciplinary policy of the school and the awarding body will be informed.

APPENDIX C: INTERNAL APPEALS PROCEDURE

1.0 Appeals procedure against internal assessment decisions

1.1 Ousedale School is committed to ensuring that internal assessments are marked and administered fairly, consistently and in accordance with the awarding body specifications and subject-specific associated documents.

This is ensured by:

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

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

1.3 All appeals must follow the procedure detailed below.

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

1. Appeals should be made as early as possible and **at least two weeks before** the end of the last externally assessed paper in the examination series (e.g. the last GCSE written paper in the summer exam series)
2. Appeals should be made using the **internal appeals form** completed by the candidate (or parent/carer)
3. The head of centre will appoint a member of the senior leadership team, who has no involvement in the assessment process for that subject to conduct the investigation
4. The purpose of the appeal will be to decide whether the process used for the internal assessment conformed to the published requirements as detailed in the awarding body specification(s) and/or subject-specific associated documents
5. The appellant will be informed in writing of the outcome of the appeal, including any relevant correspondence with the awarding body and any changes made to internal assessment procedures
6. The outcome of the appeal will be made known to the head of centre and will be logged as a complaint. A written record will be kept and made available to the awarding body upon request. Should the appeal bring any significant irregularity in procedures to light, the awarding body will be informed
7. Where the Awarding Body allows, if the learner is unable to reasonably resolve an appeal directly with the centre they are permitted to appeal directly to the Awarding Body responsible for that qualification. Any appeal must be submitted within 20 days of the assessment being appealed and associated fee submitted.

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

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

- 2.1 Following the issue of results, the general qualification awarding bodies offer post-results services. Full details of these services, internal deadlines for requesting a service and fees charged will be provided by the exams officer.
- 2.2 The service, *enquiries about results* (EARs), may be requested by centre staff or candidates (or their parents/carers) if there are reasonable grounds for believing there has been an error in marking. If a query is raised about a particular examination result, the exams officer, teaching staff and head of centre will investigate the feasibility of requesting an enquiry at the centre's expense.
- 2.3 When Ousedale School does not uphold a request from a candidate, the candidate may pay the appropriate fee, and a request will be made to the awarding body on the candidate's behalf.
- 2.4 If the candidate (or their parent/carer) believes there are grounds to appeal against the centre's decision not to support an enquiry, an appeal can be submitted to the centre using the **internal appeals form** at least **one week prior** to the internal deadline for submitting an EAR.

3.0 Appeals procedure following the outcome of an enquiry about results

- 3.1 Where the head of centre remains dissatisfied after receiving the outcome of an EARs, an appeal will be made to the awarding body, following the guidance in the JCQ publications post-results services and a guide to the awarding bodies' appeals processes.
- 3.2 Where the head of centre is satisfied after receiving the outcome of an EAR, but the internal candidates and/or their parents/carers are not satisfied, they may make a further representation to the head of centre. Following this, the head of centre's decision as to whether to proceed with an appeal will be based upon the centre's internal appeals arrangements. Candidates, parents/carers are not permitted to make direct representations to an awarding body.
- 3.3 The **internal appeals form** (page 20) should be completed and submitted to the centre within **10 calendar days** of the notification of the outcome of the enquiry. Subject to the head of centre's decision, this will allow the centre to process the appeal and submit to the awarding body within the required 14 calendar days. Awarding body fees which may be charged for the appeal must be paid by the appellant on submission on the internal appeals form. If the appeal is upheld by the awarding body, this fee will be refunded by the awarding body and repaid to the appellant by the centre.

4.0 The internal appeals procedures for Ousedale School have been produced to demonstrate compliance with the following:

- **JCQ General Regulations for approved centres**
Controlled Assessments, Coursework and Portfolios of Evidence
5.8 The centre agrees to:
have in place, and be available for inspection purposes, a **written** internal appeals procedure relating to internal assessment decisions and to ensure that details of this procedure are made widely available and accessible to all candidates; (A centre may place its internal appeals procedure on the school/college website or alternatively, the document may be made available to candidates upon request.)

Post-Results Services and Appeals

5.14 The centre agrees to:

have available for inspection purposes and draw to the attention of candidates and their parents/carers, a **written** internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support an enquiry about results or an appeal; (A centre may place its internal appeals procedure on the school/college website or alternatively the document may be made available to candidates upon request.)

- **JCQ Post-results services**

6.4 Submission of requests

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

- **JCQ A guide to the awarding bodies' appeals processes**

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

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

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

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

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

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

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

Internal appeals form:

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

Please tick to indicate what the appeal is against:

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

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

Please state the grounds for your appeal below:

Continue overleaf if necessary

Appeal against an internal assessment decision**Appellant declaration**

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

Signature:

Date of signature:

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

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

Signature:

Date of signature:

Appeal against the outcome of an enquiry about results**Appellant declaration**

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

Signature:

Date of signature:

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

APPENDIX D: WORD PROCESSOR PROCEDURES

1.0 Principles for using a word processor

- 1.1 Candidates with access to word processors are allowed to do so in order to remove barriers for disabled candidates, which prevent them from being placed at a substantial disadvantage as a consequence of persistent and significant difficulties.
- 1.2 The use of word processors is only permitted whilst ensuring that the integrity of the assessment is maintained, at the same time as providing access to assessments for a disabled candidate.
- 1.3 The use of a word processor is not granted where it will compromise the assessment objectives of the specification in question.
- 1.4 Candidates may not require the use of a word processor in each specification. As subjects and their methods of assessments may vary, leading to different demands of our candidates, the need for the use of a word processor is considered on a subject-by-subject basis.
- 1.5 The use of a word processor is agreed / processed at the start of the course. Candidates are subsequently aware that they will have the use of a word processor for examinations and controlled assessments/coursework.
- 1.6 Candidates are aware that they will have the use of a word processor for examinations and controlled assessments/coursework.
- 1.7 The use of a word processor for candidates is only granted if it reflects the support given to the candidate as their 'normal way of working', which is defined as support: in the classroom; or working in small groups for reading and/or writing; or literacy support lessons; or literacy intervention strategies; and/or in internal school tests and mock examinations.

2.0 The use of a word processor

- 2.1 The school will provide a word processor with the spelling and grammar check facility/predictive text disabled (switched off).
- 2.2 Only grant the use of a word processor to a candidate where it is their normal way of working (see above) within the centre.
- 2.3 Only grant the use of a word processor to a candidate if it is appropriate to their needs. (For example, the quality of language significantly improves as a result of using a word processor due to problems with planning and organisation when writing by hand).
- 2.4 Provide access to word processors to candidates in controlled assessments or coursework components as standard practice unless prohibited by the specification.
- 2.5 Allow candidates to use a word processor in an examination to type certain questions, i.e. those requiring extended writing, and handwrite shorter answers.
- 2.6 Aware that examinations which have a significant amount of writing, as well as those that place a greater demand on the need to organise thought and plan extended answers, are those where candidates will frequently need to type. Examinations which

require more simplistic answers are often easier to handwrite within the answer booklet. The candidate avoids the difficulty of visually tracking between the question paper and screen.

- 2.7 In all cases, ensure that a word processor cover sheet is completed and attached to each candidate's typed script.
- 2.8 In Functional Skills English (Reading and Writing components) the use of a word processor with the spell check facility switched on is permitted for all candidates.
- 2.9 Does not simply grant the use of a word processor to a candidate because he/she prefers to type rather than write or can work faster on a keyboard, or because he/she uses a laptop at home.

3.0 Word Processor and their programmes

- 3.1 Word processors are used as a type-writer, not as a database, although standard formatting software is acceptable.
- 3.2 The school is responsible for the following:
Word processors have been cleared of any previously stored data, as must any portable storage medium used. An unauthorised memory stick is not permitted for use by a candidate. Where required, candidates are provided with a memory stick, which has been cleared of any previously stored data, by a nominated member of centre staff.
- 3.3 An unauthorised memory stick is not permitted for use by a candidate.
- 3.4 Where required, candidates are provided with a memory stick, which has been cleared of any previously stored data, by a nominated member of centre staff.
- 3.5 Word processors are in good working order at the time of the examination.
- 3.6 Word processors are accommodated in such a way that other candidates are not disturbed and cannot read the screen.
- 3.7 Where a candidate using a word processor is accommodated separately, a separate invigilator is used.
- 3.8 Word processors are either connected to a printer so that a script can be printed off, or have the facility to print from a portable storage medium.
- 3.9 Documents are printed after the examination is over.
- 3.10 Candidates are present to verify that the work printed is their own.
- 3.11 Word processed scripts are attached to any answer booklet which contains some of the answers.
- 3.12 Word processors are used to produce scripts under secure conditions, and if they are not then the school are aware that they may be refused by the awarding body.
- 3.13 Word processors are not used to perform skills which are being assessed.

- 3.14 Word processors are not connected to an intranet or any other means of communication.
- 3.15 Candidates are not given access to other applications such as a calculator (where prohibited in the examination), spreadsheets etc. when using a word processor.
- 3.16 Graphic packages or computer aided design software is not included on a word processor unless permission has been given to use these.
- 3.17 Predictive text software or an automatic spelling and grammar check is disabled unless the candidate has been permitted a scribe or is using voice recognition technology (the script must have a scribe cover sheet attached), or the awarding body's specification permits the use of automatic spell checking.
- 3.18 Voice recognition technology is not included on word processors unless the candidate has permission to use a scribe or relevant software.
- 3.19 Word processors are not used on the candidate's behalf by a third party unless the candidate has permission to use a scribe.

4.0 Laptops, Tablets and Word Processors

- 4.1 The battery capacity of all laptops and/or tablets is checked before the candidate's examination(s) with the battery sufficiently charged for the entire duration of the examination.
- 4.2 Candidates are reminded that their centre number, candidate number and the unit/component code must appear on each page as a header or footer.
- 4.3 Candidates using Notepad or Wordpad software (which do not allow for the insertion of a header or footer) are instructed to handwrite their details as a header or footer once they have finished the examination and printed off their typed script. They are also supervised to ensure that they are solely performing this task and not re-reading their answers or amending their work in any way.
- 4.4 Each page is appropriately numbered.
- 4.5 Candidates are instructed to use a minimum 12pt font and double spacing.
- 4.6 Invigilators remind candidates to save their work at regular intervals.
- 4.7 Candidates granted the use of a word processor are present at the end of the examination when their script is printed off so they can verify that the work printed off is their own.
- 4.8 The school is to confirm that tablets used during examinations/assessments designed to run for a long period of time once fully charged and are 'free-standing'.
- 4.9 The school is to confirm that candidates with fully charged laptops or tablets given the opportunity to be seated within the main examination hall without the need for separate invigilation and power points.
- 4.10 The school is to confirm that it is possible to set up 'autosave' onto each laptop/tablet.

5.0 Accommodating word processors in examinations

- 5.1 The use of word processors are internally accommodated at the school in the following manner: Kept in a secure area in the Learning Support Area.
- 5.2 Invigilation arrangements relating to the use of word processors in the following manner: Candidates using laptops are invigilated in separate rooms together with other students with access arrangements e.g. extra time.