



Key Stage 4 PRU

The Clifton Centre KS4 PRU

Examinations Policy 2023-24

The Clifton Centre

KS4 Pupil Referral Unit

Silverdale

Clifton

M278GQ

Tel: 0161 921 1300

Fax: 0161 793 5282

Website: www.salfordpru.org.uk

Email: cliftonpruschool@salford.gov.uk

Contents

1. Exam responsibilities
2. The statutory test and qualifications offered
3. Exam seasons and timetables
4. Entries, entry details, late entries and retakes/appeals
5. Exam fees
6. The Equality Act, special needs and access arrangements
7. Estimated grades
8. Managing invigilators and exam days
9. Managing behaviour
10. Candidates, clash candidates and special consideration
11. Coursework and appeals against internal assessments
12. Results, enquiries about results (EARs) and access to scripts (ATS)
13. Certificates
14. Contingency Planning

Appendix i Policy for the Management of Controlled Assessment – Staff Responsibilities and Risk assessment

Appendix ii Appeals against Internal Assessment of Work for External Qualifications

Appendix iii Centre Contingency and Adverse Effects Plan

Appendix iv The Clifton Centre Examinations Disability and Equality Policy

The purpose of this exam policy is:

- to ensure the planning and management of exams is conducted efficiently and in the best interest of candidates;
- to ensure the operation of an efficient exam system with clear guidelines for all relevant staff;
- to ensure the Centre complies with Joint Council for Qualifications regulations and awarding body guidelines.

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

This exam policy will be reviewed annually by the Head of Centre, Senior Leadership Team and the Exams Officer.

- **The JQC Publication "Instructions for Conducting Exams" that is published annually, is used as the basis of this Policy. Any queries, errors or discrepancies that may arise due to examination procedure change during the school year should be clarified via JQC and the ICE Guidance as soon as possible.**

1. Exam responsibilities

Head of Centre

- 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. Refer to the JQC document *Suspected malpractice in examinations and assessments*;
- Appoints a member of staff to provide analysis of exam results.

Exams Officer

- manages the administration of public and internal exams;
- advises the senior leadership team, subject and class tutors and other relevant support staff on annual exam timetables and application procedures as set by the various exam boards;
- oversees the production and distribution to staff, governors 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 teaching staff to ensure that necessary coursework and controlled assessment is completed on time and in accordance with JCQ guidelines;
- receives, checks and stores securely all exam papers and completed scripts and ensures that scripts are dispatched as per deadlines;
- provides and confirms detailed data on estimated entries;
- administers access arrangements and makes application for special consideration using the JCQ publication *Adjustments for candidates with disabilities and learning difficulties* and the *JCQ Guide to the special consideration process*;
- identifies and manages exam timetable clashes;
- accounts for income and expenditures relating to all exam costs/charges;
- organises the recruitment, training and monitoring of a team of exams invigilators responsible for the conduct of exams;
- organises all Internal examinations;
- ensures candidates' coursework and controlled assessment marks and requested work samples are submitted on schedule, and record returned work and any other material required by the appropriate awarding bodies correctly;
- arranges for dissemination of exam results and certificates to candidates and forwards, in consultation with the SLT, any appeals/re-mark requests;
- maintains systems and processes to support the timely entry of candidates for their exams.

SLT

- is responsible for organising teaching and learning and;
- external validation of courses followed at key stage 4 / post-16.

Subject Leaders are responsible for:

- providing guidance and pastoral oversight of candidates who are unsure about exam entries or amendments to entries;
- involvement in post-results procedures;
- accurate completion of coursework and controlled assessment mark sheets and declaration sheets;
- accurate completion of entry, estimated grades and all other mark sheets and adherence to deadlines as set by the exams officer.

Subject Leader for Careers are responsible for:

- guidance and careers information.

Teachers are responsible for:

- notification of access arrangements (as soon as possible after the start of the course).

SENCo is responsible for: administration of access arrangements; identification and testing of candidates' requirements for access arrangements; working with the exams officer to provide access arrangements required by candidates in exam rooms; provision of additional support including— with spelling, reading, mathematics, dyslexia or essential skills, hearing impairment, English for speakers of other languages, IT equipment — to help candidates achieve their course aims. **Named person –Kylie Barry –PGC SEN Award –Edge Hill, Nov 2021** –Kylie is based at The New Broadwalk Centre, our KS3 Provision that is part of the Silverdale Federation.

Clifton SEN Co-ordinator: Stephanie Carr

Assistant Examinations Officer is responsible for:

- supporting the exams officer with administration tasks associated with entries, etc;
- posting of exam papers when required.

Lead invigilator/invigilators are responsible for:

- supporting the exams officer when preparing the examination rooms;
- assisting with the collection of exam papers and all relevant equipment from the exams office prior to the examination;
- supervising students and ensure JCQ 'Instructions for Conducting Examinations' are adhered to;
- assisting with the smooth and efficient running of the examinations;
- collecting exam papers in the correct order at the end of the examination, and return to the Exams Officer.

Candidates are responsible for:

- confirmation and signing of entries;
- ensuring they know the date, time and location of all their exams;
- understanding coursework and controlled assessment regulations and signing a declaration that authenticates the coursework or controlled assessment as their own;

- ensure they abide by and are aware of the JCQ information for candidates for written and on-screen examinations;
- ensuring they are aware of all deadlines for coursework/controlled assessments, entries and post results requests and that they meet stated deadlines.

2. The statutory tests and qualifications offered

The statutory tests and qualifications offered at this centre are decided by the head of centre.

The statutory tests and qualifications offered are , GCSE, Functional Skills, BTEC/NOCN and ASDAN.

The subjects offered for these qualifications in any academic year may be found in the centre's published prospectus for that year. If there has been a change of syllabus from the previous year, the exams office must be informed as soon as the decision is made.

Informing the Exams Officer of changes to a syllabus is the responsibility of the faculty leaders.

Decisions on whether a candidate should not be entered for a particular subject will be taken in consultation with the subject teachers, SLT and candidates' parents.

At key stage 4

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

3. Exam seasons and timetables

3.1 Exam seasons

Internal and External examinations are scheduled throughout the academic year. Internal exams are held under external exam conditions, as organised by Subject Leaders and the Exams Officer.

External examinations are scheduled in line with relevant awarding bodies. Which exam series are used in the centre is decided by the Head of Centre.

3.2 Timetables

The exams officer will circulate the exam timetables for both external and internal exams once these are confirmed.

4. Entries, entry details, late entries and retakes

4.1 Entries

It is the subject leaders' responsibility to check that all entry codes and details are correct and to advise the Exams Officer of any amendments.

It is the students' responsibility to check that all entries and personal details are correct and to advise the Exams Officer of any amendments by the stated deadlines.

Candidates are selected for their exam entries by their subject leaders.

A candidate or parent/carer can request a subject entry, change of level or withdrawal, which must be agreed by the faculty leader. Any entries requested by the student or parent/carer and not supported by the subject teacher must be paid for by the student.

The centre accepts external entries from former candidates only.

The centre does not act as an exam centre for other organizations.

4.2 Late entries

Entry deadlines are circulated to subject leaders via email, notice-board in the staff room and staff briefing meetings.

Late entries are authorised by faculty leaders and will incur penalty fees from the awarding bodies which will be payable by the subject/department.

4.3 Retakes

GCSE retakes will be allowed in exceptional circumstances and to ensure compliance with attainment requirements. Retake decisions will be made by the Head of Centre in consultation with the candidate. (See also section 5: Exam fees)

4.4 Appeals – see separate JQC Appeals Document

5. Exam fees

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

Late entry or amendment fees are paid by the subject department.

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 which are displayed on the staff room notice-board.

Reimbursement will be sought from candidates who fail to sit an exam or meet the necessary coursework/controlled assessment requirements.

This fee reimbursement policy will be communicated in writing to candidates and parents/carers at the start of GCSE courses.

Retake fees for first and any subsequent retakes are paid by the candidates. (See also section 4.3: Retakes).

Candidates must pay the fee for an enquiry about a result, should the centre not uphold the enquiry and the candidate insist on pursuing the enquiry. (See also section 12.2: Enquiries about results [EARs])

6. The Equality Act, special needs and access arrangements

See Appendix iv.

7. Estimated grades

Estimated grades

The subject leader will submit estimated grades to the Exams Officer when requested by the Exams Officer and exam boards.

8. Managing invigilators and exam days

8.1 Managing invigilators

Internal and External invigilators will be used for exam supervision. They will be used for all external exams and internal exams as timetabled by the exams office.

The recruitment of invigilators is the responsibility of the exams office.

Securing the necessary Disclosure and Barring Service (BDS) clearance for new invigilators is the responsibility of the centre administration.

DBS fees for securing such clearance are paid by the centre. Invigilators are timetabled and briefed by the exams office.

Invigilators' rates of pay are set by the centre administration.

8.2 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 exam desk and chair requirements in allocated rooms.

The exams officer/lead invigilator will start all exams in accordance with JCQ guidelines.

Subject staff may be present prior to the start of the exam to assist with identification of candidates but will not be allowed to enter the exam room or advise on which questions are to be attempted

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

Exam papers must not be read by subject teachers or removed from the exam room. Papers will be distributed to invigilators by the Exams Officer.

The exams office is responsible for investigating suspected malpractice.

In the event of an emergency evacuation, invigilators will follow JCQ and centre policy. Details of the emergency evacuation procedure are available in each examination room for reference.

9. Managing Behaviour

Disruptive candidates are dealt with in accordance with JCQ guidelines.

SLT will:

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

The Exams Officer will:

- provide an exam room incident log in all exam rooms for recording any incidents or irregularities;
- action any required follow-up and reports to awarding bodies as soon as practically possible after the exam has taken place.

Invigilators will:

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

10. Candidates, clash candidates and special consideration

10.1 Candidates

The centre's published rules on uniform, acceptable dress, behaviour and candidates' use of mobile phones and all electronic devices apply at all times.

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

Candidates are expected to stay for the full exam time at the discretion of the exams officer.

Candidates may only leave the exam room for a genuine purpose, as agreed by the exams officer, and will be accompanied by a member of the exam office staff and returned immediately to the exam room.

The exams officer will attempt to contact any candidate who is not present at the start of an exam and deal with them in accordance with JCQ guidelines.

10.2 Clash candidates

The exams officer will be responsible for identifying clash candidates, arranging supervision with the centre or arranging overnight supervision as necessary according to the JCQ 'Instructions for conducting exams'.

10.3 Special consideration

Should a candidate be ill before an exam, suffer bereavement or other trauma or be taken ill during the exam itself, it is the candidate's responsibility to alert the Exams Officer or the exam invigilator, to that effect on the day of the exam.

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

The exams officer will then submit a special consideration application to the relevant awarding body within seven days of the exam.

11. Coursework/controlled assessment and appeals against internal assessments

11.1 Coursework/controlled assessment

Candidates who have to prepare portfolios should do so by the end of the course or centre-defined date.

Subject leaders will ensure all coursework/controlled assessment is ready for dispatch, with an authentication form completed declaring that all work submitted is the candidate's own work, at the correct time and the exams officer will keep a record of what has been sent when and to whom. Marks for all internally assessed work are provided to the exams office by the faculty leaders.

The centre is obliged to publish a separate policy specifically for controlled assessments. See Appendix i.

The main points are:

- It is the responsibility of the subject leader to obtain the controlled assessment task details from the exam boards.
- Departments must plan when and how the assessment will take place, taking into account the accommodation and resources required. The exams officer should be notified when high level controlled assessment is taking place.
- Relevant display materials must be removed or covered up.
- All staff must be aware of the relevant level of control permitted (high, medium or low) as this will determine the level of permitted supervision e.g. high control means that students are under exam conditions.
- All assessment materials must be locked in a suitable secure cabinet at the end of each session.
- Separate user accounts for exam use must be used for high control level work. These must have no access to internet or e-mail and must only be accessible during the controlled sessions. If work is saved on memory sticks these must be collected in after each session and locked away, as above.
- Where work is assessed by the teacher and externally moderated by the exam board, standardisation of marking must take place in the school if more than one teacher is involved in the assessing.
- If suspected malpractice occurs, the Exams Officer must be informed.
- If a student's work is lost within the school, this must be reported to the exam board via the Exams Officer.
- Authentication forms must be signed by the teachers and candidates.
- Access arrangements do apply to controlled assessment.
- The assessment marks must be submitted to the exam office by the appropriate date.

11.2 Appeals against internal assessment of work

The centre is obliged to publish a separate policy on this subject. See appendix ii.
The main points are:

- Appeals will only be entertained if they apply to the process leading to an assessment. There is no appeal against the mark or grade awarded.
- candidates may appeal if they feel their coursework has been assessed unfairly, inconsistently or not in accordance with the specification for the qualification.
- appeals should be made in writing by 10 June to the Head of Centre (or other nominee) who will decide whether the process used conformed to the necessary requirements.
- the Head of Centre's findings will be notified in writing, copied to the Exams Officer and recorded for awarding body inspection.

12. Results, enquiries about results (EARs) and access to scripts (ATS)

12.1 Results

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

Third parties may collect candidates results only with prior written authorisation from the candidate to the Exams Officer.

Uncollected results will be posted to the candidate's address on the school information system or kept in school for distribution at the beginning of the next school year.

Results will NOT be issued by telephone, email or text.

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

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

12.2 EARs

Where a candidate is unhappy with the mark awarded for a particular externally marked exam unit, a clerical check or review of original marking may be requested via the Examinations Office. The candidate will be required to acknowledge that his/her grade may be confirmed, raised or lowered and will be responsible for paying the relevant fee at the time of the request.

A review of marking may be requested by centre staff, with the permission of the candidate, if there are reasonable grounds for believing there has been an error in marking.

When the centre does not uphold an EAR, a candidate may apply to have an enquiry carried out. If a candidate requires this against the advice of subject staff, they will be charged. (See section 5: Exam fees)

12.3 ATS

Candidates may request the return of their exam scripts for which they will be charged the exam board fee.

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

Review of marking cannot be applied for once a script has been returned.

13. Certificates

Certificates are presented in person.

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

A transcript of results may be issued if a candidate agrees to pay the costs incurred.

The centre retains uncollected certificates for one year after which time they will be confidentially destroyed.

14. Contingency Planning

Contingency planning for exams administration is the responsibility of the Head of Centre and Exams Officer. Please see appendix iii.

Head of Centre
Alison Johnston

Exams Officer
Jonathan Hill

Date: September 2023



Key Stage 4 PRU

This policy is next due for review: July 2023

Appendix i GCSE Policy for the Management of Controlled Assessment – Staff Responsibilities and Risk assessment

Education Inclusion Services KS4 The Clifton Centre

Policy for the Management of Controlled Assessment

Contents

Purpose of the policy

Staff responsibilities in planning and managing GCSE controlled assessment

Risk management process

Prepared by: Examinations Officer, September 2023

Approved by: Head of Centre

Next Review July 2024

Purpose of the policy

This purpose of this policy is to:

- identify staff responsibilities in planning and managing GCSE controlled assessments;
(Taken from the JCQ document GCSE controlled assessments - Outlining staff responsibilities).
- examine potential risks and issues relating to the implementation of controlled assessment for GCSE qualifications and how these might be managed and mitigated through forward planning and remedial actions.
(Taken from the JCQ document GCSE controlled assessments - Risk management process).

This policy complies with JCQ's **21-22 General Regulations 5.8** in that the centre is required to *"have in place, and be available for inspection purposes, a **written** policy with regard to the management of controlled assessments"* .

This policy does not cover specific instructions for conducting controlled assessments which are provided by JCQ and awarding bodies.

Staff responsibilities in planning and managing GCSE controlled assessment

Outlining staff responsibilities - GCSE controlled assessments

Senior Leadership Team

- Accountable for the safe and secure conduct of controlled assessments.
Ensure assessments comply with JCQ guidelines and awarding bodies' subject-specific instructions.
- At the start of the academic year, begin coordinating with Subject Leads to schedule controlled assessments.
- Map overall resource management requirements for the academic year. As part of this resolve:
 - clashes/problems over the timing or operation of controlled assessments;
 - issues arising from the need for particular facilities (rooms, IT networks, time out of school etc);
- Ensure that all staff involved have a calendar of events.

Subject Leads

- Decide on the awarding body and specification for a particular GCSE.
- Standardise internally the marking of all teachers involved in assessing an internally assessed component.
- Ensure that individual teachers fully understand their responsibilities with regard to controlled assessment.
- Ensure that individual teachers fully understand the requirements of the awarding body's specification, are familiar with the relevant teachers' notes **and** any other subject specific instructions.

- Where appropriate, develop new assessment tasks or adapt sample awarding body assessment tasks to meet local circumstances, in line with the awarding body's specification and control requirements.

Teaching staff

- Understand and comply with the general guidelines detailed within the JCQ publication *Instructions for conducting controlled assessments*.
- Understand and comply with the awarding body's specification for conducting controlled assessments, including any subject-specific instructions, teachers' notes or additional information on the awarding body's website.
- Supply to the Exams Officer details of all unit codes for controlled assessments.
- Obtain confidential materials/tasks set by awarding bodies in sufficient time to prepare for the assessment(s) and ensure that such materials are stored securely at all times.
- Supervise assessments (at the specified level of control). Undertake the tasks required under the regulations, only permitting assistance to candidates as the specification allows.
- Ensure that candidates and supervising teachers sign authentication forms on completion of an assessment.
- Mark internally assessed components using the mark scheme provided by the awarding body. Submit marks to the awarding body by the published deadline, keeping a record of the marks awarded.
- Retain candidates' work securely between assessment sessions (if more than one).
- Post-completion, retain candidates' work securely until the closing date for enquiries about results (EARs). 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.

- Ask the appropriate special educational needs coordinator (SENCo) for any assistance required for the administration and management of access arrangements.

Examinations Officer –Mr Jonathan Hill

- Where confidential materials are directly received by the exams officer, to be responsible for receipt, safe storage and safe transmission, whether in CD or hard copy format.
- Download and distribute marksheets for teaching staff to use.
- **In exceptional circumstances** where controlled assessments cannot be conducted in the classroom, arrange suitable accommodation where controlled assessments can be carried out at the direction of the senior leadership team.

Special educational needs coordinator/additional learning support

- Named person –Kylie Barry –PGC SEN Award –Edge Hill, Nov 2021
- Ensure access arrangements have been applied for.
- Work with teaching staff to ensure requirements for support staff are met.

Risk management process

GCSE controlled assessments

Risk	Forward Planning	Action	Staff
Timetabling			
Controlled assessment schedule clashes with other activities	Plan/establish priorities well ahead (e.g. at the start of the academic year)	Plan dates in consultation with school calendar – negotiate with other parties	SLT Exams Officer
Too many controlled assessments close together across GCSE subjects	Plan controlled assessments so they are spaced over the duration of the course	Space controlled assessments to allow candidates some time between them	SLT Subject Leads
Accommodation			
Insufficient space in classrooms for candidates	Once the size of the cohort is known at the start of the year, flag instances where regular classroom space may not be suitable to conduct controlled assessments	Use more than one classroom or multiple sittings where necessary	Subject Leads Exams Officer
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / centre facilities	Use alternative accommodation where required.	SLT Subject Leads
Downloading awarding body set tasks			
IT system unavailable on day of assessment	Download tasks well ahead of scheduled assessment date in all cases	Download tasks before scheduled date of assessment	Subject leads Exams Officer

Teaching staff unable to access task details	Test secure access rights ahead of controlled assessment schedule every year and every session	Ensure teaching staff have access rights for the correct area of awarding body secure extranet sites well ahead of the controlled assessment schedule	Subject leads Exams Officer
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Contact awarding body and ask for replacement task; download again	Subject leads
Absent candidates			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates		Subject leads SLT Exams Officer
Control levels for task taking			
The assessment is undertaken under incorrect level of control (time, resources, supervision and collaboration)	Ensure teaching staff know what level is applicable and understand what is involved. Provide training if required	Seek guidance from the awarding body	Subject leads SLT
Supervision			
Teaching staff do not understand that the supervision of controlled assessments is their responsibility	Ensure teaching staff fully understand the nature of controlled assessments and their role in supervising assessments		SLT Subject leads
A suitable supervisor has not been arranged for an	A suitable supervisor must be arranged for any controlled		Exams Officer

assessment where teaching staff are not supervising	assessment session where a teacher is not supervising, in line with the awarding body's specification		
Task setting			
Teaching staff fail to correctly set tasks	Ensure teaching staff fully understand the task setting arrangements as defined in the awarding body's specification	Seek guidance from the awarding body	Subject leads
Assessments have not been moderated in line with the awarding body's specification	Check specification and plan required moderation appropriately	Seek guidance from the awarding body	Subject leads
Security of materials			
Assessment tasks not kept secure before assessment	Ensure teaching staff fully understand the importance of task security	Contact the awarding body to request/obtain different assessment tasks	Subject leads Exams Officer
Candidates' work not kept secure during or after assessment	Define the appropriate level of security, in line with the awarding body's requirements, for each department as necessary	Seek guidance from the awarding body	Subject leads Exams Officer
Insufficient or insecure storage space	Look at provision for suitable storage at the start of the GCSE course	Arrange alternative storage within the centre	Subject leads Exams Officer
Deadlines			
Deadlines not met by candidates	Ensure all candidates are briefed on	Mark what candidates have	Subject Leads

	deadlines and the penalties for not meeting them	produced by the deadline Seek guidance from awarding body on further action	
Deadlines for marking and/or paperwork not met by teaching staff	Ensure teaching staff are given clear deadlines (prior to the awarding body deadline) to complete marking/paperwork (Marks can then be processed and submitted ahead of awarding body deadlines)	Mark what candidates have produced by the deadline Seek guidance from awarding body on further action	SLT Subject Leads Exams Officer
Authentication			
Candidate fails to sign authentication form	Ensure all candidates have authentication forms to sign Ensure that the authentication form is securely attached to their work when it is completed and handed in for marking	Find candidate and ensure authentication form is signed	Subject leads
Teaching staff fail to complete authentication forms or leave before completing the authentication process	Ensure teaching staff fully understand the importance of authentication forms and the requirement of a signature	Return the authentication form to the teacher for signature, ensure authentication forms are signed as work is marked	Subject leads
Marking			
Teaching staff interpret marking	Ensure appropriate training and	Arrange for re-marking	Subject leads SLT

descriptions incorrectly	practicing of marking, plan for sampling of marking during the practice phase	Consult the awarding body's specification for appropriate procedures	
Staff do not attend the standardisation activity as required by the awarding body	Plan against the awarding body's requirements for standardisation, i.e. when and how this activity must be conducted	Check with the awarding body whether a later standardisation event can be arranged	Subject leads SLT

Appendix ii Appeals against Internal Assessment of Work for External Qualifications

Education Inclusion Services KS4 The Clifton Centre

Internal Appeals Procedure

Contents

Appeals procedure against internal assessment decisions

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

Appeals procedure following the outcome of an enquiry about results

Internal appeals form

Prepared by: Examinations Officer, September 2023

Approved by: Head of Centre

Next Review due: July 2024

Appeals procedure against internal assessment decisions

The Clifton Centre 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

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

All appeals must follow the procedure detailed below.

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

1. Appeals should be made as early as possible and **at least two weeks before** the end of the last externally assessed paper in the examination series (e.g. the last GCSE written paper in the summer exam series)
2. Appeals should be made using the **internal appeals form** completed by the candidate (or parent/carer)
3. The head of centre will appoint a member of the senior leadership team, who has no involvement in the assessment process for that subject to conduct the investigation
4. The purpose of the appeal will be to decide whether the process used for the internal assessment conformed to the published requirements as detailed in the awarding body specification(s) and/or subject-specific associated documents

5. The appellant will be informed in writing of the outcome of the appeal, including any relevant correspondence with the awarding body and any changes made to internal assessment procedures
6. The outcome of the appeal will be made known to the Head of Centre and will be logged as a complaint. A written record will be kept and made available to the awarding body upon request. Should the appeal bring any significant irregularity in procedures to light, the awarding body will be informed

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

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

Following the issue of results, the general qualification awarding bodies offer post-results services. Full details of these services, internal deadlines for requesting a service and fees charged will be provided by the exams officer. The service, *enquiries about results* (EARs), may be requested by centre staff or candidates (or their parents/carers) if there are reasonable grounds for believing there has been an error in marking.

If a query is raised about a particular examination result, the Exams Officer, teaching staff and Head of Centre will investigate the feasibility of requesting an enquiry at the centre's expense.

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

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

Appeals procedure following the outcome of an enquiry about results

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

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

The **internal appeals form** should be completed and submitted to the centre within **10 calendar days** of the notification of the outcome of the enquiry. Subject to the Head of Centre's decision, this will allow the centre to process the appeal and submit to the awarding body within the required 14 calendar days. Awarding body fees which may be charged for the appeal must be paid by the appellant on submission on the internal appeals form. If the appeal is upheld by the awarding body, this fee will be refunded by the awarding body and repaid to the appellant by the centre.

Internal appeals form

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

Please tick to indicate what the appeal is against:

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

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

Please state the grounds for your appeal below:

Continue overleaf if necessary

Appeal against an internal assessment decision

Appellant declaration

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

Signature:

Date of signature:

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

Appellant declaration

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

Signature:

Date of signature:

Appeal against the outcome of an enquiry about results

Appellant declaration

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

Signature:

Date of signature:

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

The internal appeals procedures for The Clifton Centre have been produced to demonstrate compliance with the following:

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

Controlled Assessments, Coursework and Portfolios of Evidence

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

Post-Results Services and Appeals

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

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

6.4 Submission of requests

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

7 Appeals

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

JCQ A guide to the awarding bodies' appeals processes

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

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

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

<https://www.gov.uk/government/publications/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:

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

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

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

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

Further information can be obtained from:

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



Key Stage 4 PRU

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

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

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

Appendix iii Centre Contingency and Adverse Effects Plan

Education Inclusion Services KS4 The Clifton Centre Contingency and Adverse Effects Plan

Contents

Aim of the Contingency and Adverse Effects Plan

Communications

Causes of potential disruption to the examination process

1. Disruption of teaching time – centres are closed for an extended period
2. Disruption in the distribution of examination papers
3. Candidates unable to take examinations because of a crisis - centres remain open
4. Centres are unable to open as normal during the examination period
5. Disruption to the transportation of completed examination papers
6. Assessment evidence is not available to be marked
7. Centres are unable to distribute results as normal
8. Examinations Officer extended absence during key points in the examinations process
9. Teaching staff extended absence during key points in the examinations process
10. Cyber Attack
11. Failure of ICT Systems

Summary of responsibilities in the event of disruption to examinations

Prepared by: Examinations Officer, September 2023

Approved by: Head of Centre

Review due: July 2024

Related Documents:

- Examinations Policy
- Ofqual Joint Contingency Plan

Aim of the Contingency and Adverse Effects Plan

This plan examines potential risks and issues that could cause disruption to the management and administration of the exam process at Education Inclusion Services KS4 The Clifton Centre. By outlining the actions and procedures to be followed 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 information contained in the Joint Contingency Plan for the examination system in England, Wales and Northern Ireland where it is stated that “Centres should prepare plans for any disruption to examinations as part of their general emergency planning. It is important to ensure that relevant centre staff are familiar with the plan. Consideration should be given as to how these arrangements will be communicated to candidates, parents and staff should disruption to examinations occur.”

The Joint Contingency Plan can be found at:

<https://www.gov.uk/government/publications/exam-system-contingency-plan-england-wales-and-northern-ireland>

Communications

In the event of local disruption Communication to teachers and students will take place through the Examinations Officer following agreement with the Head of Centre.

In the event of major disruption, communication is a key factor in ensuring an effective and consistent response across the agencies involved. This includes communications between the organisations involved in the response and communications to stakeholders such as centres, candidates, parents or carers and the public. Details of whether specific contingencies have been agreed across organisations will be confirmed on the Ofqual website and proactively communicated to relevant stakeholders.

www.ofqual.gov.uk

The organisations involved in the Joint Contingency Plan are committed to:

- sharing timely and accurate information as required to meet the aims of the plan
- communicating with stakeholders so they are aware of disruption to the exams, the contingency measures being implemented and any actions required of them as a result
- ensuring that any messages to the public are clear and accurate.

Causes of potential disruption to the examination process

1. Disruption of teaching time –Education Inclusion Services KS4 The Clifton Centre is closed for an extended period

Criteria for implementation of the plan

- We are 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.

Recommended actions:

Where there is disruption to teaching time and students miss teaching and learning, it remains the responsibility of centres to prepare students, as usual, for examinations.

- In the case of modular courses, we may advise candidates to sit examinations in an alternative series

We will follow DFE guidance on emergency planning, with advice on severe weather. This is available on the Department for Education website:

www.education.gov.uk/schools/adminandfinance/emergencyplanning/a0069425/advice-on-severeweather

Further advice from the Department of Education Northern Ireland is available under the Useful Information section, page 12.

2. Disruption in the distribution of examination papers

Criteria for implementation of the plan

- Disruption to the distribution of examination papers to Education Inclusion Services KS4 The Clifton Centre in advance of examinations.

Recommended actions:

- Awarding organisations to provide us with electronic access to examination papers via a secure external network. Awarding organisations to fax examination papers to us if electronic transfer is not possible. The Examinations Officer would need to ensure that copies are received, made and stored under secure conditions

- Awarding organisations to source alternative couriers for delivery of hardcopies.

3. Candidates unable to take examinations because of a crisis - centres remain open

Criteria for implementation of the plan

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

Recommended actions:

- We will liaise with candidates to identify whether the examination can be sat at an alternative venue in agreement with the relevant awarding organisations
- We will offer candidates an opportunity to sit any examinations missed at the next available series
- We will apply to awarding organisations for special consideration for candidates where they have met the minimum requirements. Candidates are only eligible for special consideration if they have been fully prepared and have covered the whole course but are affected by adverse circumstances beyond their control. If a candidate chooses not to sit an examination for other reasons they should be aware that special consideration rules will not apply.

JCQ guidance on special consideration can be accessed through the JCQ website:

www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-andguidance

4. We are unable to open as normal during the examination period

Criteria for implementation of the plan

- We are unable to open as normal for scheduled examinations.

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

As part of their general planning for emergencies, centres should cover the impact on examinations.

The responsibility for deciding whether it is safe for a centre to open lies with the Head of Centre.

The Head of Centre is responsible for taking advice, or following instructions from relevant local or national agencies in deciding whether they are able to open.

Recommended actions:

- We will open for examinations and examination candidates only, if possible
- We will use alternative venues in agreement with relevant awarding organisations (e.g. share facilities with other centres or use other public building, if possible)
- We may offer candidates an opportunity to sit any examinations missed at the next available series
- We will apply to awarding organisations for special consideration for candidates where they have met the minimum requirements (see item 3 above).

5. Disruption to the transportation of completed examination papers

Criteria for implementation of the plan

- Delay in normal collection arrangements for completed examination scripts.

Recommended actions:

- In the first instance we will seek advice from awarding organisations and normal collection agency regarding collection. We will not to make their own arrangements for transportation without approval from awarding organisations.
- We will ensure secure storage of completed examination papers until collection.

6. Assessment evidence is not available to be marked

Criteria for implementation of the plan

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

Recommended actions

- Awarding organisations to generate candidate marks for affected assessments based on other appropriate evidence of candidate achievement as defined by the awarding organisations
- Candidates to retake affected assessment at subsequent assessment window.

7. We are unable to distribute results as normal

Criteria for implementation of plan

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

Recommended actions:

We will contact awarding organisations about alternative options:

- make arrangements to access its results at an alternative site
- make arrangements to coordinate access to post results services from an alternative site
- share facilities with other centres if this is possible.

8. Exam Officer extended absence during key points in the examination process

Criteria for implementation of plan

Key tasks required in the management and administration of the examinations process not undertaken including:

- making entries, may involve payment of late fees
- exam planning of key dates and deadlines
- exam timetabling, room allocation and invigilation schedules
- distribution of candidate's examination timetables
- internal assessment marks not submitted to awarding bodies
- packing and dispatching of candidate's scripts
- accessing results and distribution to candidates
- facilitation of post-results services

Recommended actions:

- Examinations assistant to liaise with the Head of Centre over the completion of key tasks.

9. Teaching staff extended absence during key times in the examinations process

Criteria for implementation of plan

- Estimated entry information not provided to the Examinations Officer resulting in pre-release material not being dispatched.
- Failure to provide final entry information to the Examinations Officer in time, resulting in
 - Candidate not being entered for exams or assessments
 - Payment of late fees to awarding bodies
- Internal assessment marks not submitted within deadlines.

Recommended actions:

- Examinations Officer and Head of Centre to liaise with remaining teaching staff.

Summary of responsibilities in the event of disruption to examinations

Awarding organisations are responsible for:	Examination centres are responsible for:
Offering advice regarding communication with candidates, parents and carers	Communicating with candidates, parents and carers
	Preparing plans for any disruption to exams as part of general emergency planning
Ensuring centres receive examination materials for scheduled examinations	Preparing candidates for examinations
	Ensuring examinations and assessments are taken under the conditions prescribed by awarding organisations
	Ensuring, where relevant, that assessment materials and candidate work are stored under secure conditions

	Deciding whether the centre can open for examinations as scheduled and informing relevant awarding organisations if the centre is unable to open
Advising centres on possible alternative examination arrangements and declining or approving proposals for alternative examination arrangements	Exploring the opportunities for alternative arrangements if the centre cannot open for examinations and agreeing such arrangements with the awarding organisations
Evaluating and declining or approving requests for special consideration	Judging whether candidates meet the requirements for special consideration as a result of any disruption and submitting these requests to the relevant awarding organisations
	Assessing and liaising with awarding organisations in the event of disruption to the transportation of papers
Marking, moderating and grading candidate work	
Issuing results to centres on scheduled dates	The distribution of examination results to candidates
Advising UCAS and CAO about any delays that may impact on their deadlines	
Making a post results service available	Offering a post results service

10. Cyber-attack

Criteria for implementation of the plan

Where a cyber-attack may compromise any aspect of delivery

Centre actions to mitigate the impact of the disruption

- Ensure entries are final and ready to be sent 5 working days before the ABs deadline.
- Seating plans, attendance register checking, and any other preparation requiring the use of the MIS system to be actioned at least 5 working days before each exam.
- Liaise with local schools to access their facilities to download results.

11. Failure of IT systems

Criteria for implementation of the plan

MIS system failure at final entry deadline

MIS system failure during exams preparation

MIS system failure at results release time

Centre actions to mitigate the impact of the disruption

- Ensure entries are final and ready to be sent 5 working days before the ABs deadline.
- Seating plans, attendance register checking, and any other preparation requiring the use of the MIS system be actioned at least 5 working days before each exam.
- Liaise with local schools to access their facilities to download results.

Appendix iv The Clifton Centre Examinations Disability and Equality Policy

- Named person –Kylie Barry –PGC SEN Award –Edge Hill, Nov 2021

6.1 Equality Act

The Equality Act 2010 extends the application of the Equality Act to general qualifications. All exam office staff will ensure that the access arrangements regulations and guidance are consistent with the law.

6.2 Special Needs

A candidate's special needs requirements are determined by the SENCO. The SENCO 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 SENCO can then inform the Examinations Officer and teaching staff of any special arrangements that individual candidates may be granted during the course and in the exam.

6.3 Access arrangements

Access Arrangements are pre-examination adjustments for candidates based on evidence of need and normal way of working. Access Arrangements fall into two distinct categories: some arrangements are delegated to centres, others require prior JCQ^{CIC} awarding body approval.

Access Arrangements allow candidates/learners with special educational needs, disabilities or temporary injuries to access the assessment without changing the demands of the assessment. For example, readers, scribes and Braille question papers. In this way Awarding Bodies will comply with the duty of the Equality Act 2010 to make 'reasonable adjustments'.

6.4 Reasonable Adjustments

The Equality Act 2010 requires an Awarding Body to make reasonable adjustments where a disabled person would be at a substantial disadvantage in undertaking an assessment.

A reasonable adjustment for a particular person may be unique to that individual and may not be included in the list of available Access Arrangements.

How reasonable the adjustment is will depend on a number of factors including the needs of the disabled candidate/learner. An adjustment may not be considered reasonable if it involves unreasonable costs, timeframes or affects the security or integrity of the assessment. JCQ

The Clifton Centre will ensure that reasonable adjustments are made for candidates that require them. The Exams Officer and SENCO will complete any required applications for access arrangements.

6.5 The Assessment Process

It is the responsibility of teaching staff to express and concerns regarding a student's access to exams to the SENCo and Head of Centre. Provision of support for candidates' access arrangements is the responsibility of the SENCO as requested by the Exams Officer.

Assessments are carried out by an assessor(s) appointed by the Head of Centre. The assessor(s) is (are) appropriately qualified as required in JCQ regulations as follows:

- *an access arrangements assessor who has successfully completed a post-graduate course at or equivalent to Level 7, including at least 100 hours relating to individual specialist assessment. An access arrangements assessor may conduct assessments to be recorded within Section C of Form 8; and/or*
- *an appropriately qualified psychologist registered with the Health & Care Professions Council who may conduct assessments to be recorded within Section C of Form 8 and where necessary undertake full diagnostic assessments; and/or*
- *a specialist assessor with a current SpLD Assessment Practicing Certificate, as awarded by Patoss, Dyslexia Action or BDA and listed on the SASC website, who may conduct assessments to be recorded within Section C of Form 8 and where necessary undertake full diagnostic assessments.*

and

An access arrangements assessor must have successfully completed a post-graduate course at or equivalent to Level 7, including at least 100 hours relating to individual specialist assessment, which must include training in all of the following:

- *the theoretical basis underlying psychometric tests, such as the concepts of validity and reliability; standard deviations and the normal curve; raw scores, standard scores, quotients, percentiles and age equivalent scores; the concept of statistically significant discrepancies between scores; standard error of measurement and confidence intervals;*
- *the appropriate use of nationally standardised tests for the age group being tested;*
- *the objective administration of attainment tests which can be administered individually. This must include tests of reading accuracy, reading speed, reading comprehension and spelling. Appropriate methods of assessing writing skills, including speed, must also be covered;*
- *the appropriate selection and objective use of tests of cognitive skills, **see paragraph 7.5.12, page 86;***

- *the ethical administration of testing including the ability to understand the limitation of their own skills and experience, and to define when it is necessary to refer the candidate to an alternative professional...*

[AA 7.3]

6.6 Checking the Qualification(s) of the Assessor(s)

The Clifton Centre ensures that where a candidate with a learning difficulty requires an assessment of his/her needs, he/she is assessed by an appropriately qualified specialist assessor as appointed by the head of centre.

Evidence of the assessor's qualification(s) is held on file for inspection purposes and is available for presentation to the JCQ Centre Inspector by the SENCo.

- **Named person –Kylie Barry –PGC SEN Award –Edge Hill, Nov 2021**

6.7 Access Arrangements Online

Access arrangements online is a tool provided by JCQ member awarding bodies for GCSE and GCE qualifications. This tool also provides the facility to order modified papers for GCSE and GCE qualifications.

“For GCSE and GCE qualifications, Access arrangements online enables centres to make a single on-line application for a candidate requiring access arrangements using any of the secure awarding body extranet sites. Access arrangements online will provide an instant response and will only allow a maximum of 26 months for any arrangement.

Further information on Access arrangements online is available from:

<http://www.jcq.org.uk/exams-office/aao-access-arrangements-online>”

[AA 8.1]

Submitting applications to Access Arrangements Online is the responsibility of both the SENCo and Examinations Officer.

6.8 Word Processor Policy

An exam candidate may be approved the use of a word processor where this is appropriate to the candidate's needs as determined by a qualified assessor, not simply because this is the candidate's preferred way of working within the centre.

"It is strongly recommended that a centre has a policy on the use of word processors which it can articulate to parents/carers. Principally, that a word processor cannot simply be granted 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.

The use of a word processor must reflect the candidate's normal way of working within the centre and be appropriate to the candidate's needs..."

[AA 5.8]

6.9 Separate Invigilation within the Centre

A decision where an exam candidate may be approved separate invigilation within the centre will be based on whether the candidate

- *...has a substantial and long term impairment which has an adverse effect; and*
- *the candidate's normal way of working within the centre.*

[AA 5.16]

This will be determined by the SenCo.

Rooming arrangements will be made by the Examinations Officer and a member of the Senior Leadership Team.