



Examinations and Controlled Assessments Policy

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Date of last review:	April 2018	Date of next review:	April 2021
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Policy review dates and changes

Review date	By whom	Summary of changes made	Date implemented

Signed		Designation	Chair of Governors
Name	Janet Hall	Date	Summer 2018



1. Purpose

The purpose of this 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
- Specifically for controlled assessments
- To enable a more integrated approach to teaching and learning and assessment
- To provide an increased facility to ensure that work is the student's own.
- To enable teachers to choose the timing of the controlled assessment and to select from a choice of tasks and contextualise them
- To be viewed as part of the course, rather than a separate activity and to take place in the classroom, within the normal timetable.

2. Responsibilities

Headteacher

- The Headteacher has overall responsibility for the school as an exam centre and liaises with Deputy Headteacher Achievement and the Exams Officer who will:
 - Advise on appeals and re-marks.
 - Report all suspicions or actual incidents of malpractice. Refer to the JCQ (Joint Council for Qualifications) document suspected malpractice in examinations and assessments

Exams Officer

- Advise the school leadership team, curriculum leaders, subject tutors and other relevant support staff on annual exam timetables and application procedures as set by the various awarding organisations.
- Contribute to the production and distribution to staff, and candidates of an annual calendar for all exams in which candidates will be involved and communicate regularly with staff concerning imminent deadlines and events.
- Ensure that candidates are informed of and understand those aspects of the exam timetable that will affect them.
- Consult with teaching staff to ensure that necessary coursework is completed on time and in accordance with JCQ guidelines.
- Provide and confirm detailed data on estimated entries.
- Receive, check and store securely all exam papers and completed scripts.
- Administer access arrangements and make applications for special consideration using the JCQ access arrangements and special considerations regulations and guidance relating to candidates who are eligible for adjustments in examinations.
- Identify and manage exam timetable clashes.
- Account for income and expenditures relating to all exam costs/charges.
- Line manage the invigilation team; their recruitment and training. Monitor the whole invigilation team responsible for the conduct of exams.
- Submit candidates' coursework marks, track despatch and store returned coursework and any other material required by the appropriate awarding organisations correctly and on schedule.
- Arrange for dissemination of exam results and certificates to candidates and forward appeals/re-mark requests.
- Maintain systems and processes to support the timely entry of candidates for their exams together with the recording of any achievement.
- Implement this policy in accordance with all other school policies, procedures and regulations on health and safety, equal opportunities, quality assurance, financial matters and Data Protection Act.
- Provide guidance and pastoral oversight to candidates who are unsure about exam entries.
- Comply with awarding organisation and specification requirements.



- Provide direction to candidates on post-results procedures.
- Accurately complete all exams documentation/coursework mark sheets/declaration sheets and adhere to deadlines.
- Inform the Exams Officer of changes to course/entry/levels.
- Oversee identification and testing of candidates' requirements for access arrangements.
- Liaise with exams office to organise exam access arrangements.
- Provide additional support — with spelling, reading, mathematics, dyslexia or essential skills, hearing impairment, English for speakers of other languages, ICT equipment — to assist candidates in achieving their course aims.

Teachers

- Provide details of additions or removals from candidate lists.
- Return completed exams documentation to the exams office in order to meet the internal deadlines to avoid awarding organisation penalty fees.

Lead Invigilator/Invigilators

- Check the examination room prior to the arrival of candidates to ensure that:
 - Heating, lighting, ventilation and levels of extraneous noise are acceptable.
 - No display materials that might be helpful to candidates are visible.
 - A reliable clock of readable size is visible to each candidate.
 - Ensure notices are displayed in accordance with JCQ regulations.
 - The seating arrangements prevent candidates, intentionally or otherwise, from overseeing the work of others.
- Be fully aware of the regulations according to 'The Instructions for Conducting Examinations'.
- Ensure that a signed record is kept of the seating and invigilation arrangements for any examination session that they participate in.
- Carry out checks on the identity of candidates on their arrival.
- Take all reasonable steps to ensure that:
 - The official examination stationery is issued to candidates and that no other stationery, including paper for rough work, is provided.
 - Candidates take into the examination room only those articles, instruments or materials which are expressly permitted.
 - Candidates have all the necessary material provided by the awarding organisation to enable them to complete the examination.
- Open the packet of examination papers and issue the papers to candidates.
- Give clear instructions to candidates about the conduct of the examination to ensure that they fully understand what they are required to do.
- Supervise the candidates throughout the whole time the examination is in progress and give complete attention at all times to this duty.
- Complete the attendance register during the examination and inform the Exams Officer of any absentees.
- Know the actions to be taken in the event of an emergency such as an emergency evacuation.
- At the end of the examination, to collate all scripts in candidate number order and ensure that they are handed to the correct person.
- Collect all unused stationery in the examination room and return it to the exams office.
- Ensure that the room is left in a tidy condition.
- Work to promote and apply the school's safeguarding policy and procedures.

Candidates

- Check personal exam entries on receipt of timetable and inform the Exams Officer of any discrepancies.
- Understand coursework regulations and sign the relevant declaration that authenticates the coursework as their own.



- Take responsibility for compliance with awarding organisation and JCQ regulations with respect to coursework, controlled assessment, written examinations, and online tests.
- Pay for any re-sits in the specified period.
- Attend all timetabled assessments.

3. Requirements of Controlled Assessments

- It is the responsibility of each Curriculum Leader to obtain the controlled assessment task details from the exam boards and assess in accordance with JCQ Guidelines.
- The Curriculum Leader should choose the most appropriate time for the controlled assessment to take place.
- The Co-ordinator will ensure that all Teachers/EAs understand their individual responsibilities and standardise marking of controlled assessments.
- The Co-ordinator will ensure teachers understand the requirements of the awarding body, including subject specific instructions.
- The Co-ordinator will develop new assessment tasks where appropriate in line with awarding body specifications.
- Teaching staff to understand and comply with guidelines contained in the JCQ publication *Instructions for conducting controlled assessments*.
- The Controlled Assessment may take place during timetabled class time.
- Departments must plan when and how the assessment will take place, taking into account the accommodation and resources required. The Exams Officer and IT Technician should be notified when high level controlled assessment is taking place.
- The Senior Leadership Team (SLT) is accountable for the safe and secure conduct of controlled assessments and ensures assessments comply with JCQ guidelines and awarding bodies' subject-specific instructions.
- 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.
- Teaching staff will ensure that students and supervising staff sign authentication forms on completion of assessments and mark internally assessed components using the mark scheme provided by the awarding body.
- Each student is to keep a research diary where they note the guidance and feedback received from their teacher. The diary should also contain a record of the research and planning stage containing notes, diagrams, essay plans and bibliography.
- Controlled assessments should be spread throughout the academic years of KS4. The SLT and Exams Officer will manage timing and operations of controlled assessments, including rooms, IT, calendar.
- All staff have a calendar of events.
- All assessment materials must be locked in a suitable secure cabinet at the end of each session.
- The teacher will submit marks to the Exams Officer and awarding body when required.
- 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 a student is absent, the teacher must allow that student the chance to make up the time if necessary.
- For long absences, special consideration should be applied for.
- Attendance records from assessment sessions should be kept by the class teacher.
- Work may be handwritten in black ink or word processed. Printouts, charts and videos can be included where appropriate.
- Where the specification permits students to work with others, e.g. during collection of data, any descriptions of the joint work must be in each candidate's own words.



- 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.
- There is an internal appeals procedure, see Exams Officer.
- If a student's work is lost within the school, this must be reported to the exam board.
- Authentication forms must be signed by the teachers and candidates in accordance with awarding body specification.
- Access arrangements do apply to controlled assessments.
- The assessment marks must be submitted to the exam board by the appropriate date.
- Cash-in codes will be entered for the terminal exam series.
- The Exams Officer will download and distribute mark sheets for teaching staff and collect and send to awarding bodies before set deadlines.
- Candidates' work must be securely stored as above until all results have been verified.
- Re-sits of controlled assessment may be allowed in the next exam session.
- After the results are published it may be possible to request a re-moderation of the work.

4. Qualifications Offered

These will be determined by the Senior Leadership Team

Please see our school web site www.rsdd.org.uk

5. Entries

Normally candidates are selected for their exam entries by the Subject Leaders. However, a candidate has the right to request a subject entry, change of level or withdrawal but there would be an expectation that this would be following a discussion with the Deputy Headteacher Achievement and Assistant Headteacher Secondary and Post 16 upon request.

Entry details

All individual candidate statements of entry will be sent to the Exam Officer. The Exams Officer will accept withdrawals, amendments and changes of tier up to the dates set by the awarding organisations. These deadlines are available from the exams office or the awarding organisation websites.

Late entries and resit decisions

Late entries are authorised by the Headteacher. The deadlines for late entries are available from the Exams Officer or the awarding organisation websites. Resit decisions are made in consultation with the Teacher, Deputy Headteacher Achievement and Headteacher.

Unique Learner Numbers

A unique learner number is a ten digit number and is unique to the learner. It is used in England, Northern Ireland and Wales. Information can be found at www.learningrecordservice.org.uk.

We need a ULN. The awarding organisations use it to populate a central personalised learner record in relation to qualifications achieved by the learner within the QCF framework.

The ULN is a mandatory requirement.

It is the responsibility of the centre to obtain and validate a ULN for the learner from the Learning Records Service (LRS). To obtain a ULN, a centre must be registered as a Learner Registration Body.

Exam fees

Normal registration and exam fees for the first sitting are paid by the centre for fully funded candidates with an active enrolment.



6. The Disability and Equality Act, Special Needs and Access Arrangements

Disability and Equality Act

The Disability and Equality Act 2010 extends the application of the Disability Equality Duty in the DDA to general qualifications. All exam centre staff must ensure that access arrangements and special consideration regulations and guidance are consistent with the law.

Special Needs and Disability

Discussions will take place between the Deputy Head Achievement, Assistant Headteacher Secondary and Post 16 and the subject Leader to decide any special arrangement for the exam. This is in addition to the 25% additional time for deaf young people taking exams.

The Exams Officer will inform the subject Leader and candidate that the special arrangements have been granted.

Access Arrangements

Candidates who may require access arrangements are identified during and at the start of the course. Subject Leaders identifying candidates who may require access arrangements after the start of the course should contact the Exams Officer at the earliest opportunity. It is the Subject Leader's responsibility to ensure arrangements are made as soon as possible after the start of the course. Applying for access arrangements via the JCQ AAO tool is the responsibility of the exams officer.

7. Estimated Grades

Estimated grade forms are to be completed and returned directly from the teachers to the Data Manager in order to meet the awarding organisations' published deadlines.

8. Exam Days

The Exams Officer will book all exam rooms after liaison with other users.

The 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 must not advise on which questions are to be attempted.

In practical exams the subject leader may be on hand in case of any technical difficulties. Exam papers must not be read by Subject Leaders or removed from the exam room before the end of a session. Papers will be distributed to subject leaders the following day.

Candidates

- JCQ rules on candidates' use of mobile phones and all electronic devices apply at all times. Normal school rules on dress and behaviour apply.
- Candidates' personal belongings remain their own responsibility
- Disruptive candidates are dealt with in accordance with JCQ guidelines.
- Candidates will not be allowed to leave the exam room until the published finishing time. The exams office staff 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.

9. Post Results: Enquiries about Results and Appeals

Missing and incomplete result queries

Centres may query the results for candidates who have received results showing:

- 'No Result' (X)
- 'Partial Absence' (e.g. D#)
- Missing Results
- 'Pending' (Q)



Enquiries about Results (EARs)

Awarding Bodies offer the following common services for GNVQ, GCSE, GCE, AEA, VCE examinations:

Service 1 (Clerical re-check)

Re-checks of all clerical procedures, checks include:

- That all parts of the scripts have been marked
- The totalling of marks
- The recording of marks
- The application of any adjustments
- The application of grade thresholds
- The application of any special consideration
- *If requested*, a photocopy of the rechecked scripts

The outcome will be reported along with a statement of the total mark for each unit or component included in the enquiry.

Service 2 (Re-mark)

The remarking of any externally assessed units/components will include:

- The clerical re-checks detailed in Service 1
- The re-assessment of units/components by a senior examiner
- *If requested*, a photocopy of the re-checked scripts

Service 3 (Re-moderation of the original sample of centre assessed coursework)

A re-moderation of the centre's coursework marks by a senior moderator. The re-moderation will:

- Be undertaken on the original sample of the candidate's work
- Replicate the original moderation procedures
- Not be undertaken upon the work of an individual candidate or the work of candidates not in the original sample
- Include feedback similar to that provided following the original moderation

EAR Procedure

Any student who wants to query a mark/grade awarded by an Awarding Board upon issue of results should follow the following procedure: A copy of this policy is on the school web site.

- Contact the Examinations Officer exams@rsdd.org.uk as soon as possible (but at least five working days before the published deadline for EARs) to discuss the mark/grade. The Examinations Officer will advise on the options available to query the mark/grade and any costs involved.
- Students should be aware that EARs can result in the marks/grades being raised, confirmed or lowered.
- Students must sign a consent form to confirm that they understand the consequence of an EAR. Consent forms will be issued by the Examinations Officer.
- The subject teacher will review the student's marks/grades and discuss with the Head of Department to agree on the appropriate action taking into account the breakdown of marks, the grade boundaries and the student's predicted grades.

If RSDD agrees to support the EAR, RSDD will make a request, together with the students consent form to the Examinations Officer before the published deadline for EARs.

If the RSDD does not agree to support the EAR, a student may appeal against the decision and make an appeal in writing to the Examination Officer, at least 5 working days before the published deadline for EARs. The appeal should state, in detail, the reason(s) for the appeal. This appeal should be signed, dated and should include the daytime contact telephone number and email address (if possible) of the student, parent or carer. The appeal information will be reviewed by the Examinations Officer and a member of the Senior Leadership Team. The



outcome of the appeal will be communicated wither by telephone, email or 1st class letter post as appropriate within 24 hours of receipt. The decision is final.

If RSDD does not support the EAR, the student may still proceed with the EAR but ALL costs involved will be paid by the student at the time the EAR is made. NO EARs will be made until fees are paid. Requests must be made in person to the Examinations Officer before the published deadline for EARs. If the enquiry is successful the fee will be refunded to the student.

Outcomes following EARs will be forwarded by the Examinations Officer to the student as soon as they have been received from the Awarding Boards.

10. Special Consideration

Should a candidate be too ill to sit an exam, suffer bereavement or other trauma or be taken ill during the exam itself, then it is the candidate/parent/carers responsibility to alert the School and Exams Officer. The candidate must support any special consideration claim with appropriate evidence within seven days of the exam, for example a letter from the candidate's doctor. If the school supports the application, the exams office will then forward a completed special consideration form to the relevant awarding organisation within the JCQ's recommended deadlines and guidance.

11. Internal Verification

- There is an accredited lead internal verifier for all required accreditation.
- Internal verification is valid, reliable and covers all assessors and programme activity.
- Internal verification procedure is open, fair and free from bias.
- There is accurate and detailed recording of internal verification decisions and an internal verification timetable.

Responsibility of the Lead Internal Verifier

- Effective internal verification roles are defined, maintained and supported
- All centre assessment instruments are verified as fit for purpose
- An annual internal verification schedule, linked to assessment plans, is in place
- Secure records of all internal verification activity are maintained. All records should be kept as a hard copy or electronically in the school

Responsibility of the Lead Internal Verifier and Quality Assurance Nominee

- An appropriately structured sample of assessment from all programmes, sites and teams is internally verified, to ensure centre programmes conform to national standards and standards verification requirements
- The outcome of internal verification is used to enhance future assessment practice

12. Contingency Plan

In the event of the Examinations Officer being absent duties will be carried out by the Quality Nominee or the Data Manager. See separate Contingency Plan.

The school follows Ofqual's guidance found at

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

13. Internal appeals procedure

Internal assessment of GCSE coursework

(Please note that appeals cannot be made regarding the actual marks or grades submitted by the school for moderation by the Awarding Bodies)

RSDD is committed to ensuring that:



- Internal assessments are conducted by staff who have the appropriate knowledge, understanding and skills.
- Assessment evidence provided by candidates is produced and authenticated according to the requirements of the relevant Specifications for each subject.
- The consistency of internal assessment is assured through internal standardisation as set out by the Awarding Bodies.
- Staff responsible for internal standardisation and/or assessment attend any compulsory training sessions.

14. See Also

Whole School Curriculum Policy

Examinations Contingency Plan

Malpractice and Maladministration Policy



Appendix 1 Internal Appeals Form



Internal Appeals Form

Name of candidate				
Awarding Body		Subject		Unit / Module / Exam Paper Title
Please state the grounds for your appeal below:-				
<i>Continue overleaf if necessary</i>				
<p>Appeal against an internal assessment decision 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.</p> <p>Signature: _____ Date of signature: _____</p>				
<p>Appeal against the centre decision not to support an enquiry about results By signing here, I am confirming I feel there are grounds to appeal against the centre's decision.</p> <p>Signature: _____ Date of signature: _____</p>				
<p>Appeal against the outcome of an enquiry about results 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.</p> <p>Signature: _____ Date of signature: _____</p>				



The internal appeals procedures for Royal School for the Deaf Derby have been produced to demonstrate compliance with the following:

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

Controlled Assessments, Coursework and Portfolios of Evidence

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

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

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

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

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

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

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

- A formal, codified procedure for handling disputes when a candidate or carer disagrees with a decision by the centre not to support an enquiry.
- Centres must be required to ensure that the procedures are published and made widely available and accessible to all candidates and their carers.

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

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

Further information can be obtained from:

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

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

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

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