



Exam Policy

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Headlands School Exams Policy

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Introduction

1. Purpose

- 1.1 The Exams Policy and Procedure document details the Centre's practices and procedures relating to the administration of accredited qualifications.
- 1.2 The Exams Policy and Procedures document also contains some of the stipulations contained within the official centre agreements that the centre is obliged to have in place with awarding organisations.

2. Aims

This policy aims to:

- Ensure the planning and management of exams is conducted efficiently and in the best interest of candidates.
- Set out examples of centre and learner malpractice and detail the procedures if such circumstances arise.
- Set out the procedures for appealing against assessment decisions.

3. Exam responsibilities

- 3.1 Exams office Manager/Data Officer manages the administration of public and internal exams and:
 - 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 awarding bodies.
 - 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 is completed on time and in accordance with JCQ guidelines.
 - Receives, checks and stores securely all exam papers and completed scripts.
 - Administers access arrangements and makes applications for special consideration using the JCQ publications Access arrangements, reasonable adjustments and special consideration for that exam year.
 - Identifies and manages exam timetable clashes.
 - Accounts for income and expenditures relating to all exam costs/charges.
 - Line manages the exam invigilators and organises the recruitment, training and monitoring of a team of exams invigilators responsible for the conduct of exams.
 - Submits candidates' coursework/controlled assessment marks, tracks despatch and stores returned coursework and any other material required by the appropriate awarding bodies correctly and on schedule.
 - Arranges for dissemination of exam results and certificates to candidates and forwards, in consultation with the SLT, any appeals/review of marking requests.
 - Maintains systems and processes to support the timely entry of candidates for their exams.
- 3.2 Teachers are responsible for:

- Notification of access arrangements requirements (as soon as possible after the start of the course).
- Submission of candidates' names to heads of department/school/curriculum.

3.3 The Sen Coordinator SENCo is responsible for:

- Identification and testing of candidates, requirements for access arrangements.
- Provision of additional support - 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.

3.4 Lead invigilator/invigilators are responsible for:

- Collection of exam papers and other material from the exams office before the start of the exam.
- Collection of all exam papers in the correct order at the end of the exam and their return to the exams office.

3.5 Candidates are responsible for:

- Confirmation and signing of entries.
- Understanding coursework regulations and signing a declaration that authenticates the coursework as their own.

Qualification and Examination Administration

1. Records of learners

- 1.1 The centre will ensure that appropriate and reliable steps are taken to verify the identity of learners before registration, assessment or exam entry takes place.
- 1.2 Exam desk labels are produced for each candidate and include a photograph of all internal candidates sitting examinations. This enables the invigilating staff to confirm the identity of candidates if required. If a photograph is not available then a member of staff who the candidate is known to will provide confirmation if required.
- 1.3 External candidates are required to provide photographic identification before they commence their examinations.
- 1.4 The centre will have arrangements in place to obtain on behalf of its learners a Unique Learner Number and a learner record.

2. Qualification registrations/entries

- 2.1 For all accredited courses, candidates will be registered with the relevant awarding organisation and entered for all appropriate examinations and will be advised of this during the guidance process.
- 2.2 It is the responsibility of the subject teacher to ensure that candidates being registered for qualifications and/or entered for examinations are enrolled on the appropriate course, except in the case of students re-sitting examinations due to absence through personal injury or illness.
- 2.3 It is the responsibility of the subject teacher to send correct information to the Exams Office regarding registrations and entries in order to ensure submissions can be made by the Exams staff before the awarding organisation deadlines (without incurring late fees) and in accordance with any requirements of the funding organisation.
- 2.4 The centre will recognise any restrictions regarding the minimum amount of time that candidates must be registered with awarding organisations before certification, as well as the combination of units and/or qualifications are allowed.
- 2.5 The centre will use the record of the learner's previous achievements to ensure that opportunities for credit transfer and exemption are maximised, where learner consent is given.

3. Exam Entries/Fees

- 3.1 Candidates are selected for their exam entries by the Heads of Department, Heads of Subject and Subject teachers. Entry deadlines are circulated to Heads of department via Email, Briefing meeting and Internal post/pigeon hole. Late entries are authorised by Heads of department.
- 3.2 Candidates or parents can request a subject entry, change of level, or withdrawal.

- 3.3 The centre accepts entries from former candidates only.
- 3.4 The centre does not act as an exam centre for other organisations.
- 3.5 Re-sit decisions will be made in consultation with Candidates, Subject teachers, Head of post-16 and Heads of subject.
- 3.6 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.
- 3.7 GCSE, AS and A2 entry exam fees are paid by the Centre.
- 3.8 Late entry or amendment fees are paid by the Centre.
- 3.9 Fee reimbursements are sought from candidates who decide to sit an exam after the late entry/withdrawal deadline/fail to sit an exam/do not meet the necessary coursework requirements without medical evidence or evidence of other mitigating circumstances.
- 3.10 A-Level Re-sit fees are paid by the student.

4. Re-Sits

- 4.1 If a candidate wishes to re-sit an exam, they must consult with and obtain agreement from their subject teacher.
- 4.2 If candidates have not paid for re-sits by the stipulated deadline, their entry will not be submitted. Candidates wishing to be entered for re-sits after the stipulated deadline will be charged any applicable late fees.
- 4.3 A-Level Re-sit fees are paid by the student.

5. External Candidates

- 5.1 External candidates will only be accepted with the agreement of the Exams Officer and the Head of Centre. An additional external candidate fee may be charged. Where external candidates cannot be accommodated with the centre's own candidates, invigilation costs will also be charged.

6. Withdrawal from examinations and programme registrations

- 6.1 All candidates who are enrolled on externally accredited programmes will normally take their examinations and complete the assessed units for which they have been registered. However, there are occasions when candidates can be withdrawn by their teachers for examination entries and vocational programme registration, particularly as a result of:
 - a) Failure to attend school
 - b) Failure to complete work

In both these cases it is the responsibility of the teacher to withdraw the student from the associated examination and enrolments in a timely manner .

7. Disability access requirement and Equality Act 2010

The Disability Discrimination Act introduced measures aimed at eliminating the discrimination often faced by disabled people. The main provisions of the Act give protection to disabled people in the areas of employment and education. A person has a disability for the purposes of the DDA if s/he has a physical or mental impairment that has a substantial and long-term adverse effect on her/his ability to carry out normal day-to-day activities.

- 7.1 The centre will make reasonable adjustments to put in place provision for disabled learners to take examinations and/or assessments, subject to the regulations of the awarding organisations. As such, a wide variety of access arrangements are available e.g. extra time, readers, scribes, prompters, separate room.
- 7.2 Any access arrangements must be supported by appropriate evidence (as stipulated by the relevant awarding organisation), they must reflect the learner's normal way of working and they must not give them an unfair advantage.
- 7.3 Evidence of need (where required) must be available in centre for inspection by the JCQ Inspection Service or the relevant awarding organisation. Access arrangements cannot be granted solely on the basis that they were approved at the learner's previous educational establishment, even if the approval period is still valid.
- 7.4 Candidates requiring access arrangements for examinations and/or assessments should discuss these with their teachers or Learning Support at the beginning of their course or as soon as it is identified that those arrangements will be required.
- 7.5 It is the responsibility of the Learning Support department and teachers to inform the SENCo as soon as they are aware of any candidates requiring access arrangements. Candidates should also take responsibility for liaising with the Exams Officer or SENCo as soon as possible themselves, particularly if they have an emergency requirement for an access arrangement (e.g. broken arm).
- 7.6 Applications for access arrangements must be made through the SENCo. It is vital that arrangements are applied for as early as possible in the academic year because evidence in support of the application has to be obtained and submitted to the awarding organisation. Awarding organisations may refuse applications which miss their deadlines or may charge for late requests.
- 7.7 Where requirements for access arrangements are identified after the deadlines, the application should be submitted as soon as is practicable. Every attempt will be made to gain permission from the awarding organisation and to accommodate the candidate's needs, although this cannot be guaranteed.
- 7.8 Reasonable adjustments will be made to ensure that exam-related correspondence is adapted, as appropriate, for students with disabilities.
- 7.9 Reasonable adjustments will be made to find suitable exam accommodation and equipment for students with disabilities.
- 7.10 Where possible, staff acting as readers, prompters and scribes in access arrangement exams will be drawn from the pool of Learning Tutors working for the Additional Support Department. Where multiple learners require assistance however, staff may be drawn from other areas and candidates may not be supported by their usual contact.

8. Clash of Examination Dates and Times

8.1 It is essential that candidates inform the Exams Office immediately of any clash with their examinations dates and times, especially if the clash involves another centre.

8.2 Clash candidates will be under close, permanent supervision by a member of staff from immediately after their first exam of the day until they commence their final exam of the day. Where the circumstances of the clash mean that one of the exams is being postponed by a day, overnight supervision will be required, although this can normally be undertaken by a parent/guardian (JCQ exams). The JCQ confidentiality declaration form must be signed by the candidate and the overnight supervisor before supervision commences.

8.3 Clash candidates are not permitted to be in possession of an electronic communication device or to have access to the internet during their supervision.

8.4 Clash candidates are advised to bring refreshments for their supervision period.

9. Invigilation

9.1 Recruitment of external invigilators is the responsibility of the Exams Office. These invigilators are used to invigilate all external exams.

9.2 Securing the necessary Criminal Records Bureau (DBS) clearance for new invigilators is the responsibility of the Centre administration. DBS fees for securing such clearance are paid by the centre.

9.3 Invigilators are responsible for the conduct of the examination and are required to have received appropriate instruction, through the attendance at training provided by the Exams Office.

9.4 Invigilators should be familiar with the awarding organisation invigilation regulations and should ensure that both centre and awarding organisation procedures are followed correctly.

Exam material

10.1 The Exams Office will store live exam material in secure facilities which comply with the awarding organisation requirements.

10.2 The centre, either via the Exams Office or teaching staff, where appropriate, will allow candidates access to relevant pre-release materials on or as soon as possible after the date specified by the awarding organisations.

On the Exam Day

In the event of possible disruption to exams e.g. caused by adverse weather, the centre will aim, where feasible, to remain open. The centre will use various sources to keep candidates notified including the centre website and text messages.

11.1 Prior to the examination

- 11.1.1 The caretaking team is responsible for setting up desks in exam venues, according to the regulations regarding seating arrangements issued by the awarding organisations.
- 11.1.2 The Exams Office is responsible for setting up exam venues in terms of numbering desks, putting up statutory notices etc. This responsibility, where appropriate, may be delegated to invigilators.
- 11.1.3 The IT Services team is responsible for responding to exam job logs, ensuring that any computers being used for exams are in working order and have any necessary software or links set-up. If candidates have to use specific, individual exam log-in accounts, the IT Services team is also responsible for ensuring that these have been set up and can be accessed/locked at the appropriate times.
- 11.1.4 Seating plan numbers are displayed in the Exam notice board and candidates are advised to look for their desk number before entering the exam venue.
- 11.1.5 In an exam room, candidates must not have access to items other than those clearly allowed in the instructions on that question paper, the stationery list, or specification for that subject. For the main exams, students should take their personal belongings to the designated bag room.
- 11.1.6 Candidates are not allowed to enter the examination room until asked to do so and should follow the invigilator's instructions to:
- a. hand in any unauthorised material to the invigilator.
 - b. help with the inspection of any specified authorised articles e.g. calculators.
 - c. comply with other instructions pertaining to examinations given by the invigilator.
 - d. ensure that all mobile phones and smart watches are switched off, with any alarms disabled, and that they are handed in to the invigilator if they have not been left in the designated bag room (candidates should not have them about their person).
 - e. Watches, of any type, must not be taken into the examination room.

11.2 At the start of the exam

- 11.2.1 The invigilator should remind any clash candidates to remain in their seats at the end of the exam.
- 11.2.2 The invigilator must read out the evacuation instructions to candidates.
- 11.2.3 The invigilator should make an announcement regarding the regulations and details of the exam. If a script is provided by the awarding organisation, this should be read out.
- 11.2.4 The invigilator must read out any erratum notices to candidates, ensuring that any late-comers are also given this information.
- 11.2.5 The invigilator should check the identity of the candidates, where possible before the exam starts. If this is not feasible, this should be done discreetly during the exam.

11.3 During the exam

- 11.3.1 The invigilator should remind any clash candidates to remain in their seats at the end of the exam.
- 11.3.2 The invigilator must give their full attention to conducting the examination properly. They must respond promptly to candidate queries and be vigilant for any malpractice.
- 11.3.3 The invigilator must complete all necessary paperwork, which typically includes an attendance register, a seating plan, an incident log and an exam room checklist.
- 11.3.4 Candidates must remain silent during the examination but may attract the attention of the invigilator by raising a hand to ask for any essential information. Invigilators are not allowed to discuss examination questions.
- 11.3.5 Candidates will conduct themselves in the examination room so as not to disturb other candidates.
- 11.3.6 Candidates must not communicate with another candidate by any means (e.g. notes, talking, signs etc.) and must not attempt to read another candidate's work.
- 11.3.7 Candidates must write in black ink/ball-pen (black only for JCQ exams) or, in the case of some multiple choice tests, an HB pencil. Correcting fluid/pens/tape must not be used.
- 11.3.8 Candidates must use only the approved awarding organisation's stationery in an examination. 'Rough work' should be done on the paper provided and then clearly crossed through.
- 11.3.9 Candidates are allowed to have bottles of water in the exam. All labels must be removed. If candidates need to take any food stuffs into the exam (e.g. cough sweets, or food for diabetic students), all packaging must be removed. Food and drink should be made available for scrutiny by invigilators.
- 11.3.10 Candidates may not leave the examination room before being given permission to do so by the invigilator.
- 11.3.11 Provision is made for a candidate to be accompanied out of the examination room e.g. to go to the toilet, but a candidate who leaves the examination room unaccompanied will not be allowed to return.
- 11.3.12 When candidates are instructed to stop work they should do so immediately and ensure that their script is correctly presented for collection by the invigilator who will also collect any items supplied by the centre. Scripts and continuation sheets should be attached together clearly showing the candidate's name and number as well as the Centre number.

11.4 Evacuation procedures

- 11.4.1 In the event of any emergency requiring evacuation of the building, invigilators must follow the general evacuation procedures and the specific centre examination evacuation procedure.

11.4 After the exam

11.5.1 Headlands School will respect the confidentiality of scripts by not allowing them to be read or photocopied by any person prior to marking, without the permission of the awarding organisation.

11.5.2 The Exams Office will despatch scripts promptly, where possible on the day of the examination. If scripts have to be retained overnight or for a longer period, in accordance with awarding organisation guidance, they will be retained in secure conditions.

11.5.3 The centre will follow the instructions issued by awarding organisations relating to the use of question papers after the examination has taken place.

11.6 Absence and Special Consideration

11.6.1 If a candidate is unable to attend the examination, the Exams Office should be informed as soon as possible.

11.6.2 Candidates who fail to attend their examinations without valid or certified reason, may be charged the appropriate registration/examination fee.

11.6.3 Candidates who are absent due to illness or misfortune may be eligible for an enhanced grade, subject to them having fulfilled the minimum requirements of the awarding organisation.

11.6.4 Requests from candidates who are absent from all parts of the examination will not be considered by the awarding organisation.

11.6.5 Candidates who feel that recent circumstances or problems during an exam may have affected their performance (e.g. illness, bereavement, trauma) may be eligible for special consideration, subject to the regulations of the awarding organisations. If a candidate believes that they may be eligible for either special consideration or an enhanced grade, it is their responsibility to inform the Exams Office as soon as possible after the exam and provide appropriate evidence of their circumstances.

11.6.6 Special consideration may also be available in assessed work. Applications are considered on a case by case basis by the relevant awarding organisations and teachers should notify the Exams Office of any instances where an application should be made.

11.7 Irregularities

11.7.1 Any irregularity will be reported to the Exams Officer, Head of Centre and to the appropriate awarding organisation subject to their specific regulations (see Section C for further information). Candidates will be informed of any irregularity reported thus and, if the candidate is aged under 18, their parent(s)/guardian(s) will also be informed.

Internal assessment/claims

12.1 The Head of Centre is responsible for checking that all staff assessing students' work are suitably qualified by:

- Checking on qualifications during the recruitment process.
- On-going CPD to ensure qualifications are up to date.

12.2 The Assistant Head (Assessment) is the designated person within the centre responsible for checking that the assessment process is administered correctly by:

- Regular checking of assessment moderation (timetabled and minuted in department meetings).
- Preparing Controlled Assessment calendar and carrying out learning walks to ensure they are carried out in accordance with the regulations.
- Acting on any concerns raised by the Exams Officer regarding clerical administration.

12.3 All candidates completing coursework for assessment (JCQ qualifications) must sign the declaration of authentication, prior to submitting it for final assessment, to confirm that the work is their own. This form must then be countersigned by the member of staff who assesses their work.

12.4 Candidates have a right of appeal against a coursework assessment. Any appeal should be made in accordance with the centres procedures for Appealing Against an Assessment. (See Section D).

12.5 An appeal may proceed in the following circumstances:

- a) That a candidate's performance in an assessment was adversely affected by illness or other personal circumstances, which the candidate was unable or unwilling to divulge at the time of assessment. Appropriate proof of these circumstances will usually be required (e.g. Medical Certificate).
- b) That a candidate's performance in an assessment was adversely affected by administrative error or that the assessment was not conducted in accordance with the current regulations for the course.
- c) That a candidate's performance in an assessment was adversely affected by other irregularities.

12.6 An appeal will not be allowed where the internal mark/grade has been confirmed by external moderation/verification.

12.7 Candidates who fail to submit assessment by the prescribed date, without good cause and prior authorisation, may be penalised in accordance with appropriate course and awarding organisation regulations.

12.8 If a candidate is unable to complete coursework before the required deadline and has extenuating circumstances, they must notify their teacher as soon as possible, supplying evidence of the circumstances. The tutor should liaise with the Exams Office, who will request an extension from the relevant awarding organisation, if applicable.

12.9 It is the responsibility of the subject teacher to send coursework marks/grades to the Exams Office before any stipulated dates, in order to ensure that Exams staff are able to submit the marks/grades to the relevant awarding organisations ahead of relevant awarding organisation or funding deadlines.

12.10 In instances where postal moderation is to be carried out, it is the responsibility of the subject teacher to provide the Exams Office with the requested samples of work for despatch before the stipulated deadline.

12.11 The centre will take all reasonable steps to guard against fraudulent or mistaken claims.

Results

13.1 Candidates will receive individual result slips on results days, either in person at the centre, via candidates' school email addresses, or by post to their home addresses.

13.2 Any person collecting the results on behalf of the candidate must have a note of authorisation together with their own form of personal identification.

13.3 Arrangements for the centre to be open on results days are made by the Exams officer.

Post result services (e.g enquiries about results)

14.1 Depending on the qualification, various post results services may be available, including a review of marking of the candidate's exam and access to the candidate's exam script. Details of the services offered by awarding organisations are available on request from the Exams Office. Information is provided to learners along with results.

14.2 Applications for post results services must be made to the Exams Office within the deadlines set by the awarding organisations. Unless specifically stated by the awarding organisation, candidates should not contact the awarding organisation directly.

14.3 Fees are applicable for post results services and these must be paid in advance. A review of marking fee may be refunded by the awarding organisation if an improvement is made, subject to the regulations of the appropriate awarding organisation.

14.4 Any candidates requesting a review of marking should understand that their unit score and their overall grade may go down as well as up and the new mark/grade must be accepted.

14.5 Any candidates who remain dissatisfied with the result of a review of marking and wish to appeal against the decision must provide appropriate and reasonable grounds to the Exams Office, in line with awarding organisation guidelines. Any application must be endorsed by the Head of Centre, who will consider the grounds and decide whether the centre is in a position to support the appeal.

14.6 Teaching staff may obtain scripts for teaching and learning purposes or as examples for other students but prior permission must be obtained from the candidates concerned.

14.7 The JCQ post-results review of moderation service is not available to individual candidates nor is it available on controlled assessment or coursework marks which have been accepted without change. Only work included in the original sample will be reviewed. (This does not affect a learner's right of appeal before the marks have been submitted to the awarding organisation - see section D.)

Certificates

- 15.1 Certificates will be available to be collected in person from the centre. Any person collecting the documents on behalf of the candidate must have a note of authorisation together with their own form of personal identification.
- 15.2 The Centre only guarantees to retain uncollected certificates for 12 months. Students should be aware that some awarding bodies do not offer a replacement certificate service and there is a cost involved for those that do.

Retention of records

- 16.1 The centre will retain complete, accurate records for at least 3 years from completion of all qualifications (or longer if required by interested parties).

Liaison with awarding organisations

- 17.1 Where applicable, the centre will keep relevant awarding organisations informed of any resource changes affecting the qualifications that it is delivering. These include staffing changes.
- 17.2 The centre will comply with requests from relevant awarding organisations for access to appropriate information, data and documents.
- 17.3 The centre will co-operate with awarding organisations, regulatory authorities and the JCQ Centre Inspection Service when subject to inspection or investigation.

Section C Learner Malpractice

1. Introduction

- 1.1 These Procedures apply to assessments and examinations, the results of which are taken into account in the certification of candidates by awarding/validating organisations.
- 1.2 These Procedures do not apply to assessments which are made by the centre for its own purposes.
- 1.4 The parents/guardians/wards of candidates who are under 18, and whose sons/daughters are involved in the Procedures, will be kept fully informed of developments. Parents/guardians/wards will be invited to attend any interviews or hearings which their sons/daughters are required to attend as part of the Procedures.

2. Malpractice in an assessment/examination

- 2.1 Malpractice, with regard to assessment and examination, is defined as any form of behaviour by which a candidate(s) seeks to improperly influence the outcome of the assessment/examination.

2.1.1 Plagiarism

This is where a candidate deliberately includes in their own work a substantial unacknowledged portion of someone else's material. As well as words, it can apply to artwork, images, computer generated work, thoughts, inventions and discoveries. Examples include:

- a) the inclusion of several sentences or more from another person's work without the use of quotation marks and acknowledgement of the sources
- b) the summarising of another person's work by simply changing a few words or altering the order of presentation without acknowledgement
- c) the use of another person's ideas without acknowledgement
- d) copying the work of another student

2.1.2 Collusion

This is where a student either:

- a) submits work done in collaboration with another person as entirely his/her own
- b) collaborates with another student to complete work which is submitted as the other student's work e.g. lending research or work to other candidates or allowing their work to be copied.

2.1.3 Falsifying Data

This is where a student either:

- a) presents data in reports and projects based on experimental work which the student claims to have carried out but which (s)he has invented or obtained by unfair means.
- b) makes alterations to results documents or certificates.

2.1.4 Impersonation

This is where a student arranges for someone else to take their place in an assessment/examination/test or where a student pretends to be someone else in order to produce the work for another.

2.1.5 Non-compliance with instructions

This involves the failure to abide by the instructions or advice of an assessor, a supervisor, an invigilator or awarding organisation conditions in relation to the assessment/examination/test rules, regulations and security.

2.1.6 Misuse of assessment/examination material

Examples include:

- a) acquiring an exam paper or information about an exam paper prior to the examination.
- b) removing examination material e.g. question paper, spare stationery from the exam room without the permission of the invigilator.

2.1.7 Unauthorised material

This is where a student has unauthorised material during a supervised assessment or examination, whether they intend to use it or not e.g. notes, calculator, dictionary, mobile phone, MP3 player.

2.1.8 Illegal communication

This includes passing on or receiving information (e.g. orally, in the form of notes, or by gestures) during a supervised assessment or examination.

2.1.9 Improper behaviour

This relates to any behaviour which could undermine the integrity of the assessment/examination or test.

2.1.10 Cheating

This includes any means, other than those listed above, of seeking to gain an unfair advantage.

3. Procedures relating to unfair advantage in an assessment/examination

3.1 Procedures relating to those awarding/validating organisations whose regulations require that they be informed of Unfair Advantage.

3.1.1 Where there are grounds for suspicion of Unfair Advantage the Exams Officer or nominee will conduct an investigation. This will include an interview with the candidate(s) involved and with any other relevant parties.

3.1.2 The Exams Officer or nominee will produce a written report within 6 working days of the results of the investigation.

3.1.3 A copy of the report will be sent to the candidate(s) and to the Head of Centre.

3.1.4 The Exams Officer or nominee will inform the candidate(s), in writing, of the decision taken by the awarding organisation.

3.1.5 Any candidates who remain dissatisfied with the decision made by an awarding organisation as a result of candidate malpractice must provide appropriate and reasonable grounds to the Exams Officer, in line with awarding organisation guidelines. Any application must be endorsed by the Head of Centre, who will consider the grounds and decide whether the centre is in a position to support the appeal.

3.2 Procedures relating to those awarding/validating organisations whose regulations authorise the centre to deal with Unfair Advantage.

3.2.1 Where there are grounds for suspicion of Unfair Advantage the Exams Officer or nominee will conduct an investigation. This will include an interview with the candidates(s) involved and with any other relevant parties.

3.2.2 The Exams Officer or nominee will produce a written report within 6 working days of the results of the investigation.

3.2.3 A copy of the report will be sent to the candidate(s).

3.2.5 The Head of Centre or Nominee concerned will do one of the following:

a) decide that no further action be taken

b) decide that the candidate(s) concerned be referred, which would require that the candidate(s) be given the opportunity to re-take the assessment.

c) decide to fail the candidate.

3.2.6 The candidate(s) will be informed of the decision by the Head of Centre in writing.

3.2.7 Candidates will have a right of appeal. Any appeal should be made in accordance with the College's procedures for Appeals. (See Section E, point 1)

Section D Centre Malpractice

1. Introduction

- 1.1 These Procedures apply to assessments and examinations, the results of which are taken into account in the certification of candidates by awarding/validating organisations.

2. Malpractice relating to an assessment/examination

- 2.1 Malpractice, with regard to assessment and examination, is defined as any form of behaviour by which a member of centre staff either seeks to improperly influence the outcome of the assessment/examination or fails to comply with awarding organisation regulations and procedural instructions.

2.1.1 Breach of security

This involves acts which break the confidentiality of exams or candidates' scripts and includes such instances as:

- a) failing to keep assessment/examination/test papers secure prior to the assessment/examination/test.
- b) obtaining unauthorised access to assessment/examination/test material prior to an assessment/examination/test.
- c) tampering with or reading candidate scripts or controlled assessments or coursework after collection and before despatch to the awarding body/examiner/moderator.
- d) failing to supervise adequately candidates who have been affected by a timetable variation.
- e) failing to keep mark schemes secure.
- f) failing to keep student computer files which contain controlled assessments or coursework secure.

2.1.2 Deception

This involves acts of dishonesty and includes such instances as:

- a) inventing or changing marks for internally assessed components (e.g. coursework) where there is no actual evidence of the candidates' achievement to justify the marks awarded.
- b) fabricating assessment and/or internal verification records or authentication statements;
- c) fraudulent certificate claims e.g. claiming before the candidate has completed all the requirements of assessment.
- d) falsifying records/certificates e.g. by alteration or substitution.

2.1.3 Improper assistance to candidates

This involves any assistance being given to a candidate which results in a potential or actual advantage. Examples include:

- a) Centre staff producing, editing, amending or substituting work for the candidate e.g. adding or removing any material to or from coursework after it has been presented by a candidate for final assessment.

- b) sharing or lending candidates' controlled assessments or coursework with other candidates in a way which allows malpractice to take place.

2.1.4 **Maladministration**

This involves a failure to follow the regulations regarding the conduct of exams or assessments. Examples include:

- a) failing to ensure that candidates' coursework or work to be completed under controlled conditions is adequately monitored and supervised.
- b) failing to retain candidates' controlled assessments or coursework in secure conditions after the authentication statements have been signed or the work has been marked.
- c) failure to train invigilators adequately, leading to non-compliance with the regulations of the awarding organisation.
- d) failing to issue to candidates the appropriate notices and warnings.
- e) failure to inform the JCQ Centre Inspection Service of alternative sites for examinations;
- f) failure to ensure that the examination venue conforms to the requirements as stipulated by the awarding organisation.
- g) failure to invigilate examinations in accordance with the regulations issued by the awarding organisation.
- h) inappropriate members of staff assessing candidates for access arrangements.
- i) granting access arrangements to candidates who do not meet the eligibility requirements or where prior approval has not been obtained.
- j) failing to despatch candidate scripts / controlled assessments / coursework to the awarding bodies or examiners or moderators in a timely way.
- k) failing to notify the appropriate awarding body of an instance of suspected malpractice in examinations or assessments as soon as possible after such an instance occurs or is discovered.

3. **Procedures relating to Centre Malpractice**

- 3.1 Any instance of suspected centre malpractice may lead to disciplinary procedures being invoked against individual members of staff and could be regarded as gross misconduct.

Section E Appeals

1. **Appealing against an Assessment**

- 1.1 The Deputy Head and Quality Nominee are the staff responsible for the Appeals Procedure.
- 1.2 This procedure applies to those programmes leading to an award or qualification where an assessment of the candidate's performance is made by the centre and the result of that assessment is taken into account in the determination of the candidate's final grade(s). It only applies where the regulations of the validating or awarding organisation concerned permit that candidates be informed of the results of centre assessments and where there is either no external appeal mechanism at all or appeals can only be made in

- limited circumstances (e.g. if the marks have been changed by an external moderator).
- 1.3 In instances where internal appeals relate to Joint Council qualifications, these should have been considered and resolved by the date of the last externally assessed paper of the series (e.g. by the end of June for the summer series). Any difficulties in meeting this deadline will be raised with the relevant awarding organisation.
- 1.4 Where a centre assessment is an element in the award of a qualification by an external validating or awarding organisation then the body concerned will be kept fully informed of any appeal, where applicable. If necessary, representatives of the body may be involved in any stage of the Appeals Procedure.
- 1.5 It is strongly recommended that any candidate who becomes involved in the Appeals Procedure should seek advice from persons not directly involved in the subject matter of the appeal.
- 1.6 The parents/guardians of candidates who are under 18 at the time of an appeal and whose sons/daughters are involved in the Procedure for Appealing against an Assessment, will be kept fully informed of developments. Candidates are entitled to be supported by parents/guardians or a friend at any interviews or hearings appeal which they attend as part of the Procedure for Appealing against an Assessment.
- 1.7 All candidates will be made aware of the appeals procedure during induction.
- 1.8 A written record of all appeals will be maintained by the centre and will include the outcome of the appeal and the reasons for the outcome. A copy will be given to the candidate involved.
- 1.9 All appeals will include a review of the procedures used by the centre to award marks for internal assessments and will consider whether those procedures were in conformity with the published requirements of the awarding organisation and the Code of Practice.
- 1.10 Procedure**
- 1.10 Where a candidate disagrees with the assessment given, (s)he must discuss this with the assessor concerned as soon as possible. In all circumstances this should be done within one week of receiving the assessment decision.
- 1.11 Stage One: Assessor and Candidate**
- 1.11.1 The candidate should complete the first section of the Candidate Appeal Form (see Appendix).
- 1.11.2 The assessor will consider the candidate's appeal and provide a response through:
- a. clear explanation/reiteration (as appropriate) of the assessment decision following re-evaluation of the evidence.
 - b. amendment of the candidate's assessment record, if appropriate.

The assessor should record the action they have taken and the decision they have reached on the Candidate Appeal Form.

1.11.3 Feedback will be given to candidates within one week of receiving the appeal. The candidate will be entitled to have access to:

- a. any correspondence between the centre and the awarding organisation relating to their internally assessed work.
- b. information, if available at the time of the appeal, as to whether their work was sampled by the awarding organisation.
- c. the moderated mark given to the work by the awarding organisation, if known.
- d. relevant awarding organisation procedures for the conduct of internal assessments.

1.11.4 If the candidate agrees with the decision provided then they should tick the box on the Candidate Appeal Form to indicate that they accept the assessor's decision and the appeal need not proceed further.

1.11.5 Where the candidate is unhappy with the decision reached, they should tick the box on the Candidate Appeal Form to indicate that they reject the assessor's decision and wish to proceed to Stage 2.

1.12 Stage Two - Internal Verifier

1.12.1 The assessor concerned must forward:

- a. the original assessment record and candidate evidence, where appropriate
- b. the Candidate Appeal Form to the nominated Internal Verifier within 24 hours of the appeal being completed.

1.12.2 The Internal Verifier must reconsider the assessment decision and this will normally involve an evaluation of:

- a) the candidate's evidence and associated records
- b) the assessor's rationale for the decision
- c) the opinion of the candidate

1.12.3 In doing so, the Internal Verifier must complete the relevant section of the Candidate Appeal Form and provide the candidate with the reconsidered decision within 6 working days of receiving the appeal.

1.12.4 Where the candidate remains unhappy with the reconsidered assessment decision, the appeal must proceed to Stage 3.

1.13 Stage Three - Internal Verifiers' Panel

1.13.1 A panel of three Internal Verifiers from other programme areas will be established, who must evaluate the candidate appeal.

1.13.2 Copies of the candidate's work and the assessor's decision should be presented to each verifier.

- 1.13.3 The identity of both the candidate and the assessor must be removed from any documents presented.
 - 1.13.4 A decision will be returned to the Internal Verifier who has presented the appeal within three weeks.
 - 1.13.5 The Internal Verifier will then inform the candidate and assessor of the majority decision which is final.
 - 1.13.6 The Candidate Appeal Form should then be held with programme documentation. The result of the appeal will be sent to the appropriate Head of Curriculum.
- 2. Appealing against an exam mark**
 - 2.1 Candidates have a right of appeal against an exam mark. Any appeal should be made in accordance with both the centre's procedures (see Section B, part 15) and the regulations of the appropriate awarding organisation.
- 3. Appealing against a malpractice decision**
 - 3.1 A request to appeal against a malpractice decision made by an awarding organisation should be made in accordance with the centre's procedures (see Section C, part 3) and the regulations of the appropriate awarding organisation.